

SP 3 Complaints and Appeals Policy

1. Purpose

This policy supports the process for lodging a complaint or appeal and outlines the process and the expected result for the person lodging a complaint or appeal.

Ensure people are not disadvantaged. Specifically, do not:

- Require them to complete overly complex forms, which can be a barrier to students expressing their concerns
- Require students to provide extensive written information as part of the complaints process

RTO's complaints and appeal processes must follow the principles of natural justice and procedural fairness by allowing anyone subject to a decision by your RTO, or anyone who has allegations made against them, to tell their side of the story before a decision is made.

This policy outlines the procedure, recording and result of the complaint/ appeal.

2. Scope

This policy provides information regarding how to lodge a complaint, the time frame and how to appeal the decision if you feel you are not satisfied with the result.

It will also provide information regarding support services available externally to you, these support services are confidential

Clause 6.1 The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

- a) the RTO, its trainers, assessors or other staff
- b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff
- c) a learner of the RTO.

Clause 6.2 The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.

Clause 6.3 The RTO's complaints policy and appeals policy is guided by the following:

- a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process
- b) are publicly available
- c) set out the procedure for making a complaint or requesting an appeal
- d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable
- e) provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Clause 6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required

b) regularly updates the complainant or appellant on the progress of the matter.

Clause 6.5 The RTO: a) securely maintains records of all complaints and appeals and their outcomes b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence

3. Definitions

Complaint a statement that something is unsatisfactory or unacceptable.

Appeal an application to a higher decision to be reversed.

4. Policy

- Any person wishing to submit a formal complaint or appeal can do so by completing the '**Complaints and Appeals Form**' found on our website, by calling MultiSkills on 1800 754 557 or by attending our Werribee or Geelong office to receive a physical copy.
- Formally submit complaints or appeals are submitted to the Office Operations Manager. Complaints are to include the following information:
 - Submission date of complaint
 - Name of complainant;
 - Nature of complaint;
 - Date of the event which lead to the complaint
 - Attachments (if applicable)
- Once a formal complaint is received it is to be entered into the **Complaints and Appeals Register** which is monitored by the Office Operations Manager or nominated delegate by COO/GM regularly.
- A decision on the complaint, within **10 working days** and keep the complainant informed of any decisions or outcomes concluded
- Office Operations Manager or nominated delegate by COO/GM shall be required to inform all parties involved of any decisions or outcomes that are concluded in writing. Within the notification of the outcome of the formal complaint the complainant shall
- To appeal a decision the RTO must receive, in writing, grounds of the appeal. Complainants are referred to the appeals procedure
- Copies of all documentation, outcomes and further action required will be recorded in the **Complaints and Appeals Register** by the Office Operations Manager or nominated delegate by COO/GM and on the students file / complainants file. Records shall be maintained as private and confidential and shall be maintained for 7 years.

Appealing a decision

- Any appeal on an RTO decision must be made within **20 working days** of receiving notification of the original decision from the RTO.

- The Office Operations Manager or nominated delegate by COO/GM shall then review the appeal details and organise a meeting with all parties involved in the matter and attempt to seek resolution where appropriate.
- The Office Operations Manager or nominated delegate by COO/GM shall then refer the matter to the appropriate staff to resolve, or make a decision on the appeal, within **10 working days** and keep the appellant informed of any decisions or outcomes concluded, or processes in place to deal with the appeal.
- In the unlikely event that the appeal is not finalised within **60 calendar days**, the RTO shall ensure that the appellant shall be provided reasons for the delay in writing, and will be regularly kept informed and updated of the progress of the matter.
- The Office Operations Manager or nominated delegate by COO/GM shall ensure that MST acts on any substantiated appeal.
- Copies of all documentation, outcomes and further action required will be placed into the **Complaints and Appeals Register** by Office Operations Manager or nominated delegate by COO/GM and on the students file / appellants file. Records shall be maintained as private and confidential and shall be maintained for 7 years.

5. Supporting Documents

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8327	Complaints and Appeals Form	Template

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