

# Complaints and Appeals Policy and Procedure

<b>Distribution:</b>	<b>All staff and students</b>
<b>Related Documents:</b>	<p><b>Related Policy</b></p> <ul style="list-style-type: none"> <li>• PnP - Attendance Policy and Procedure</li> <li>• PnP - Satisfactory Progress Policy</li> <li>• PnP - Student Disciplinary Policy</li> <li>• PnP - Fees, charges and Refunds Policy &amp; Procedure</li> <li>• PnP - Certification and Issuing of Qualifications Policy and Procedure</li> </ul> <p><b>Related Forms</b></p> <ul style="list-style-type: none"> <li>▪ Form – Complaints &amp; Appeals Form</li> </ul> <p><b>Related Documents &amp; Registers</b></p> <ul style="list-style-type: none"> <li>▪ Student Handbook</li> <li>▪ Complaints &amp; Appeals Register</li> </ul>
<b>Legislative Context:</b>	<p>Human Rights and Equal Opportunity Commission Act 1986 (Cth)            Equal Opportunity Act 1995 (Cth)            Age Discrimination Act 2004 (Cth)            Disability Discrimination Act 1992 (Cth)            Human Rights and Equal Opportunity Commission Act 1986 (Cth)            Racial Discrimination Act 1975 (Cth)            Sex Discrimination Act 1984 (Cth).            Workplace Relations Act 1996 (Cth)            Equal Opportunity Act 1995 (Cth)            Work Health and Safety Act 2011 (QLD)            Education (General Provision) Act 2006 (QLD)            ISP-VET Guidelines 2020 (QLD)</p>
<b>Alignment</b>	National Vocational Education and Training Regulator Act 2011
Standards for Registered Training Organisations (RTOs) 2015	
<p>Clauses 5.1 to 5.3—Informing and protecting students,            Clauses 1.7, 5.4 and 6.1 to 6.6—Supporting and informing learners; managing complaints and appeals</p>	

# Complaints and Appeals Policy and Procedure

## Table of Contents

<b>Table of Contents</b> .....	<b>2</b>
Introduction.....	3
Purpose.....	3
Scope.....	3
Responsibilities.....	3
Definitions.....	3
<b>Policy Statement</b> .....	<b>5</b>
Complaint handling requirements.....	5
Principles for handling complaints.....	5
Procedural fairness.....	6
Relevant staff responsible to handle complaints.....	6
<b>Requirements, Process &amp; Procedures</b> .....	<b>7</b>
General Information.....	7
Register and Record Keeping.....	10
Corrective Action.....	10
Preventive Action.....	10
Improvements to Complaints and Appeals System.....	11
Responsibility.....	11
<b>Flow Chart</b> .....	<b>11</b>
Non-Academic Concern.....	11
<b>Academic Concern/Appeals</b> .....	<b>12</b>
Appeals process.....	12
<b>Procedures</b> .....	<b>13</b>
<b>Major Version History</b> .....	<b>17</b>

# Complaints and Appeals Policy and Procedure

## Introduction

Having an effective complaints and appeals process assists The College to comply with the conditions of registration as well as giving students and client's faith in the RTO and the quality of its operations.

## Purpose

To ensure complaints and appeals are addressed efficiently and effectively. The RTO has a complaints policy to manage and respond to allegations involving the conduct of the RTO, its trainers, assessors, or other staff, a third-party providing services, on the RTOs behalf, its trainers, assessors or other staff or a learner of the RTO.

## Scope

The *Complaints and Appeals Policy and procedure* applies to all students, including prospective, current, and completed students.

The policy applies to grievances, complaints and appeals arising between parties including student-to-student, student-to-staff member, or students involved in college-approved work or vocational placement activities

Staff should refer to the *Employee Grievance Policy and Procedure* if they have a complaint to make.

## Responsibilities

The *Complaints and Appeals Policy and Procedure* is the responsibility of the Chief Executive Officer.

## Definitions

**Complaints:** Complaints arise when a student is not satisfied with any aspect of The College for example:

- The Procedures
- The Quality of a product or service provided by The College
- The Facilitators, staff, or other students.

**Grievance- Non- Academic:** is a concern about non-academic matters, perceived discrimination, a situation, a process, a person or people, a facility or a support service provided by The College which the student brings to the attention of The College in an informal way, that is, it is spoken about, not written down. Examples include, but are not limited to matters related to:

- provision of student support services such as those associated with the application and enrolment
- process, and amenities
- suspension or cancellation of enrolment for non-academic matters
- use or misuse of personal information that the provider holds in relation to the student
- grievances about financial matters, fines and payments
- fee-for-service arrangements
- exclusions from events and facilities
- job placement assistance

# Complaints and Appeals Policy and Procedure

- perceived discrimination
- unfairness and injustice
- bullying
- sexual harassment; and
- other forms of harassment.

**Grievance- Academic:** is a concern about academic matters, academic situation, or academic process provided by the Training College which the student brings to the attention of The College in an informal way, that is, it is spoken about, not written. Examples include, but are not limited to matters related to:

- academic progress decisions
- attendance procedures, where relevant
- application for credit transfer or recognition of prior learning (RPL)
- assessment issues
- a decision of a member of academic staff that affects an individual student or a group of students
- content or structure of education and training programs or quality of teaching.
- supervision of a Practicum or Vocational Placement; and
- issues related to authorship or intellectual property.

**\*Please note:** *The process for requesting a review of an assessment outcome forms part of the Student Assessment Policy and Procedure. Students should use this Student Assessment Policy and Procedure in the first instance if they wish to request a review of an assessment outcome. Students who remain dissatisfied with the outcome of their review may then use the following formal complaint section, Phase 2, of this policy (refer Section 6.3).*

**Internal Appeal:** An appeal against a decision where the appeal is brought under The College policies and code of conducts or where there is a process for appeal within The College policies and procedures

**Appeals:** *Appeals arise when a student is not satisfied with the decision made as a result of the complaint.*

- The College recognises the differences between Complaints and Appeals. A quick resolution of the matter is in the best interest of all parties concerned.
- Appeals may also arise when a student is not satisfied with an assessment outcome.
- This procedure is also included within the Student Handbook.

**External Appeal:** An appeal to an external agency against a final decision of the college. Agencies may include the Victorian Ombudsman, the Privacy Commissioner, the Victorian Equal Opportunity, and Human Rights Commissions.

**Final Decision:** A decision made by the member of staff authorised by the CEO to make that decision and communicated to the Complainant in writing when all Internal Appeal avenues within college's policy, procedures and codes have been exhausted.

**Complainant:** A person lodging a complaint or an appeal.

# Complaints and Appeals Policy and Procedure

**Respondent:** A person responding to a complaint or an appeal.

## Policy Statement

### Complaint handling requirements

The College complaints handling process for individual students complies as follows:

- The College complaints handling policy is set out to manage and respond to allegations involving the conduct of:
  - The College as an RTO
  - The College staffs
  - third party/ies who may be engaged at some point in time to provide services on The College's behalf, its trainers, assessors, agencies, or other staff; or
  - Prospective and enrolled student(s)
- The College complaints policy:
  - ensures the principles of natural justice and procedural fairness are adopted at every stage of the complaint process
  - informs those involved of the allegations in a respectful manner
  - provides opportunities for those involved to present their side of the matter
  - fair and unbiased
  - publicly available
  - sets out the procedure for making a complaint
  - ensures complaints are acknowledged in writing and finalised as soon as practicable; and
  - provides for a review by an appropriate party independent of and the complainant at the request of the individual making the complaint if internal processes fail to resolve the complaint.
- Where The College considers more than 20 calendar days are required to process and finalise the complaint, The College:
  - informs the complainant in writing, including reasons why more than 60 calendar days are required
  - regularly updates the complainant on the progress of the matter.
- The College:
  - securely maintains records of all complaints and their outcomes; and
  - identifies potential causes of complaints and takes appropriate corrective action to eliminate or mitigate the likelihood of occurrence.

### Principles for handling complaints

The College makes sure that the process for lodging a complaint is clear and explains what will happen as a result. Students engage with staff about any concerns they have to stop minor issues becoming more serious.

The College ensures students are not disadvantaged and specifically:

PNP - Complaints, Grievances & Appeals QLD.docx

# Complaints and Appeals Policy and Procedure

- does not require students to complete overly complex forms, which can be a barrier to students expressing their concerns; or
- does not require students to provide extensive written information as part of the complaints process
- allows students to have a support person (not legal) to be with them at all stages of the complaints process
- ensures students know the timeframe necessary to handle the matter (where it requires more than 60 days will inform in writing)
- informs students of external organisations they can refer to if they are dissatisfied with the outcome of internal complaint's handling processes
- allows anyone who has allegations made against them, to give their side of the situation before a decision has been made
- maintains student enrolment during the complaints handling process
- where the matter involves workplace delivery, the employer is positively engaged as a stakeholder in the complaints handling process.

## Procedural fairness

During all stages of the complaint's procedure The College will take all steps to ensure that:

- student(s) will not be discriminated against with students maintaining their enrolment
- a full explanation for decisions and actions taken as part of the process will be maintained at each stage
- all parties involved will have the opportunity to have their opinion heard and respected
- no cost to the student for accessing internal complaints processes
- records relating to complaints are treated as confidential and adhere to the principles of privacy and personal information requirements
- transparent information regarding external organisations is made available
- a student will maintain their enrolment during the complaint process unless the presence of the student/complainant creates an unsafe or hostile environment for staff and other students, the CEO may suspend enrolment till the duration to resolve the complaint has reached a mutually agreed and understood outcome
- all matters are handled with sensitivity to enable a safe environment for reaching a mutually satisfying outcome
- students may have a support person (not legal) to be with them at any stage of the complaints process

## Relevant staff responsible to handle complaints

### Complaint / Grievances

Area of concern	Informal discussion	Formal complaint / Grievances	Internal appeal (final decisions)
Training & Assessment	Trainer & Assessor	Course Coordinator	CEO
Administration & Finance	Administration Officer	Administration Manager	CEO

# Complaints and Appeals Policy and Procedure

Admission, Enrolment and Marketing	Admission & Enrolment Officer	--	CEO
General Code of Conduct	The person involved or Course Coordinator	Quality and Development Manager	CEO

## Requirements, Process & Procedures

### General Information

The College's Student Complaints and Appeals Policy and Procedure applies to all grievances and complaints managed by The College, either informally or formally.

There are four (4) phases in The College Student Complaints and Appeals Policy & Procedure:

**Phase 1:** Informal Discussion

**Phase 2:** Formal Complaint

**Phase 3:** Internal Appeal

**Phase 4:** External Appeal

All students or potential students can access each of the four phases of The College Student Complaints and Appeals Policy at any time. However, it is strongly recommended that each Phase of the policy is completed before escalating to the next Phase.

### Phase 1: Informal Discussion

- The student is encouraged to raise the grievance directly with person/s involved. For example, if the grievance is about fees, the concern should be discussed in the first instance with the Course Coordinator.
- A grievance about an assessment task should be discussed in the first instance with the trainer.
- An informal discussion should take place directly between the relevant person(s) as soon as possible. The student may choose to be accompanied or assisted by a Support Person during the informal discussion phase.
- If the student has attempted to resolve the issue directly with the relevant person(s) and is not satisfied with the outcome or does not wish to directly approach the person(s) concerned, the student should discuss the grievance with the Business Analyst/Course Coordinator as soon as possible.
- The Course Coordinator will consider the issue and may suggest a course of action to resolve the issue or attempt to mediate between the student and the person(s) concerned.
- The student and other person(s) directly involved will be advised in writing of the outcome within ten (10) working days from the time the grievance was raised with the Course Coordinator.
- A record of the discussion and its outcome will be placed on the central The College Complaints Register by the Course Coordinator.
- If the student is not satisfied with the outcome, the student can escalate their grievance to Phase 2 under this policy.



# Complaints and Appeals Policy and Procedure

## Phase 2: Formal Complaint

- a. In the second phase, the informal discussion (i.e., Phase 1) escalates to a formal process. The Complaint involves the student lodging a written complaint. The Complaint will be investigated by the Responsible Officer.
  - The student completes a Complaint Form or submits a letter to the Course Coordinator.
  - The student receives written acknowledgment of the Complaint within ten (10) working days of the Complaint lodgement
  - The Course Coordinator investigates the Complaint and seeks to resolve it within twenty (20) working days of it being received.
  - The student receives written notification of the outcome of the investigation once the process is complete.
  - If the student is not satisfied with the outcome, the student can escalate the complaint to **Phase 3** under this policy.
- b. To proceed to Phase 2, the student **MUST** provide the following information in writing:
  - details of the Complaint
  - supporting information that the student wishes to have considered
  - an explanation of the steps already taken to try to resolve the issue informally and why the responses received are not considered satisfactory; and
  - what the student thinks needs to be done to address his/her concerns.
- c. As part of investigation process, the Course Coordinator will discuss the issues with the person(s) concerned, and if required, may discuss it with relevant staff observing the appropriate confidentiality. A meeting with the student may be arranged to enable the student to formally present their Complaint. The student may be accompanied or assisted by a Support Person at any such meeting.
- d. If the Course Coordinator considers that the Complaint should be upheld, then relevant staff will be notified immediately to implement the actions required to resolve the Complaint. The student will be provided with a written report of the steps taken to address the Complaint within twenty-five (25) working days of the commencement of the complaint process.
- e. If the Complaint is not upheld, then the student will be given a written report on the reasons for the decision. The student will also be advised of his/her right to access the Internal Appeals Process if not satisfied with the outcome of the formal Complaint and lodge this within twenty-eight (28) working days of the **Phase 2** decision.
- f. The Course Coordinator will file a written record of the Complaint and its outcome in the central The College Complaints Register.

## Phase 3: Internal Appeal

### a. General Complaints

If the student is not satisfied with the outcome from **Phase 2**, the student can escalate the complaint to **Phase 3** under this policy. This phase is referred to as an Internal Appeal and it will be investigated through a formal process at no cost to the student. The Internal Appeal will be investigated by the CEO.



# Complaints and Appeals Policy and Procedure

- i. The student submits a written request for an internal appeal using Complaints, Grievances and Appeals Form within 28 days of receipt of the written report from **Phase 2**
- ii. The Course Coordinator may:
  - make a determination based on the information already provided
  - decide that there are insufficient grounds to take any further action, thus concluding the consideration of the matter under this Internal Appeal Phase; or
  - establish an Internal Appeal Review Panel (committee).
- iii. If the decision is made to establish an Internal Appeal Review Panel, the Course Coordinator convenes the Panel within 10 working days of receipt of the Appeal Request Form
- iv. The Appeal Review Panel meets within 20 working days of receipt of the Appeal Request Form
- v. The student is given at least 5 working days of notice in advance of the Internal Appeal Review Panel meeting
- vi. The student receives written notification within 5 working days of the Panel's decision;
- vii. If the student is not satisfied with the outcome, the student can escalate the complaint to **Phase 4** under this policy.
- viii. The Internal Appeal Process will consider all relevant information. The student may attend and be accompanied by a Support Person who may speak on the student's behalf. If the Complaint which is the subject of the appeal involves other person(s), they will also be invited to present their case to the Panel. A written record of the meeting must be taken.
- ix. The student will be notified in writing within five (5) working days of the decision of the Internal Appeal Review Panel. If the appeal is upheld, the student will be informed of the action to be taken to resolve the matter. The College will immediately implement any decision and/or action required.
- x. If the Complaint is not upheld, the student will be given a written report including the reason/s for the decision and advising the student of their right to access the External Review Process.
- xi. The Course Coordinator will file a written record of the Complaint and its outcome in the central The College Complaints Register.

## Phase 4: External Appeal

If the Complainant is not satisfied with the outcome of **Phase 3**, they may request the matter be referred to an external dispute resolution process by a body appointed for this purpose by The College.

The details for the external body and contact person are:

### **Dispute Assessment Officer**

Disputes Settlement Centre of Victoria

Level 4, 456 Lonsdale Street Melbourne VIC 3000

Phone: 1300 372 888

Email: [dscv@justice.vic.gov.au](mailto:dscv@justice.vic.gov.au)

[www.disputes.vic.gov.au](http://www.disputes.vic.gov.au)

### **The Victorian Ombudsman**

[www.ombudsman.vic.gov.au](http://www.ombudsman.vic.gov.au)

# Complaints and Appeals Policy and Procedure

Email: [ombudvic@ombudsman.gov.au](mailto:ombudvic@ombudsman.gov.au)

Phone: 03 9613 6222

## **National Training Complaints Hotline:**

The National Training Complaints Hotline is a national service for consumers to register complaints concerning vocational education and training. The service refers consumers to the appropriate agency/authority/jurisdiction to assist with their complaint. Consumers can register a complaint with the National Training Complaints Hotline by:

Phone: 13 38 73 select Option 4, Monday–Friday, 8am to 6pm nationally.

Web: <https://www.education.gov.au/NTCH>

Email: [ntch@education.gov.au](mailto:ntch@education.gov.au)

If any student (complainant) is not satisfied with the outcome of the formal complaint and appeal process, they can escalate the complaint to ASQA at:

Web: <https://www.asqa.gov.au/complaints>

Email: [asqanet@asqa.gov.au](mailto:asqanet@asqa.gov.au)

Call: ASQA info line on 1300 701 801

## **Register and Record Keeping**

A register of all Complaints and Appeals lodged is maintained confidentially by the relevant The College staff and includes:

- Names of relevant parties
- The complaint being made / decision being appealed
- Outcome of the Complaint / Appeal (including reasons, in the case of an Appeal)
- The name and position of the person/s making the decision

At all stages of the complaints and appeals process, including any discussions, will be recorded in writing and available to the complainant or respondent if requested.

All records relating to complaints and appeals will be kept for a period of five (5) years. Any records or documentation is to be kept strictly confidential and stored securely in the Student Management System (VETtrak).

## **Corrective Action**

Management must monitor the area of complaint or appeal to ensure that corrective action is taken, and the problem resolved. Management must also monitor any required changes are implemented and that there is no recurrence of the problem.

## **Preventive Action**

Management must implement preventive or corrective action as appropriate to the problem identified through the complaints & appeals process and monitor the implementation for effectiveness, to ensure that it:

- Prevents the identified problem; and

PNP - Complaints, Grievances & Appeals QLD.docx

# Complaints and Appeals Policy and Procedure

- Does not have any unforeseen side effects.

Management must review complaints and appeals to determine causes and take action to prevent reoccurrence of these causes.

## Improvements to Complaints and Appeals System

Complaints and appeals are subject to the Monitoring & Review Procedure, Continuous Improvement of Client Services Procedure and Continuous Improvement of Training & Assessment Procedure.

## Responsibility

All staff and clients adhere to The College Policies and Procedures. The Course Coordinator with direct access to the CEO, has the responsibility to ensure that The College complies with all of the statements and processes included in this document and maintains these standards across all of the areas of operation of The College.

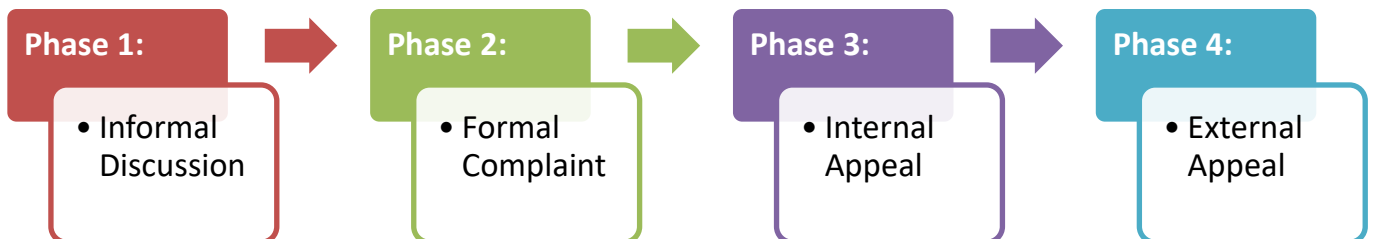
## Flow Chart

### Non-Academic Concern

#### Process

The College's Student Complaints and Appeals Policy and Procedure applies to all grievances and complaints managed by The College, either informally or formally.

There are four (4) phases in The College Student Complaints and Appeals Policy & Procedure:



All students or potential students can access each of the four phases of The College Student Complaints and Appeals Policy at any time. However, it is strongly recommended that each Phase of the policy is completed before escalating to the next Phase.

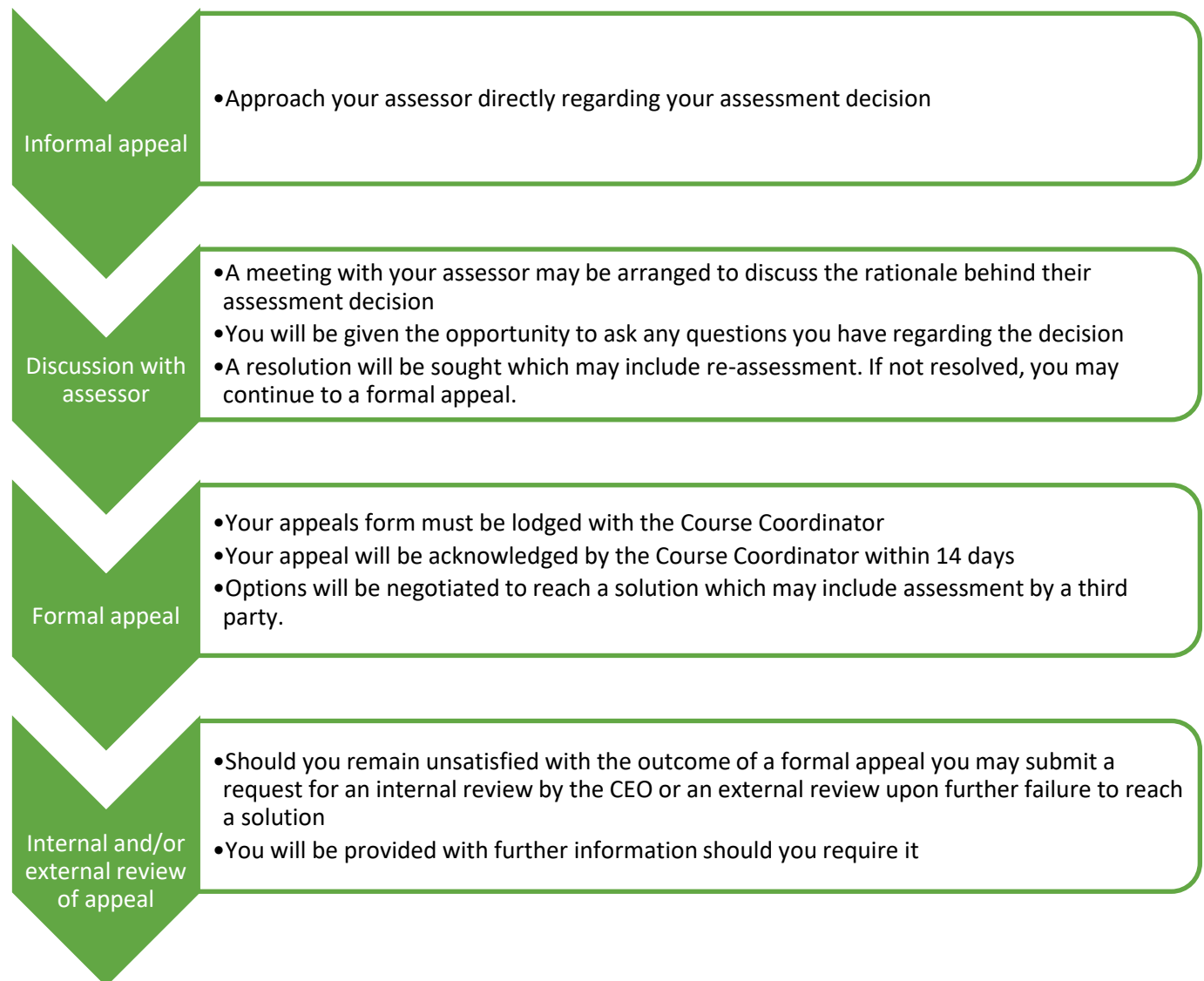
# Complaints and Appeals Policy and Procedure

## Academic Concern/Appeals

An appeal is an application to have an unfavourable decision or assessment result received during the assessment process reconsidered.

You have the right to appeal an assessment decision. You may have informal discussions with your trainer/assessor about your results however if you wish to lodge a formal appeal you must do so in writing.

### Appeals process



# Complaints and Appeals Policy and Procedure

## Procedures

Complaint	
Procedure	Responsibility
<p><b>A. Receive and acknowledge complaint</b></p> <ul style="list-style-type: none"> <li>▪ As per policy, formal complaints are to be made in writing by the complainant, attention to 'Course Coordinator.'</li> <li>▪ The Course Coordinator should review all complaints upon receipt.</li> <li>▪ Acknowledge receipt of complaint in writing by sending a letter to complainant within 5 working days of receipt. Use Complaint/ Appeal Acknowledgement Letter available on VETtrak</li> <li>▪ Record details of the complaint on the Complaints and Appeals Register.</li> <li>▪ Commence process of investigation within 10 days of receiving the complaint.</li> </ul>	Course Coordinator
<p><b>B. Investigate the complaint</b></p> <ul style="list-style-type: none"> <li>▪ Upon receiving the complaint, the matter is to be investigated to ensure all relevant information is available and it is accurate and complete</li> <li>▪ Further details from the complainant, respondent or other involved parties may be requested during this stage. This may be in writing, over the phone, or face-to-face. Where the meeting is face to face, the complainant may be accompanied by a support person</li> <li>▪ If the matter is in relation to a third-party delivering Services on behalf of The College, the third party should be involved in the resolution of the complaint</li> <li>▪ The Course Coordinator will review the information and decide on an appropriate response. Where deemed necessary by the Course Coordinator, the matter may be reviewed by other members of the management team to arrive at an appropriate resolution.</li> <li>▪ <b>Note:</b> The complaint must be completely resolved within 60 calendar days of receipt of the original complaint. If the matter is particularly complex and it is going to take longer to resolve, the complainant is to be advised in writing along with reasons for the extra time. They must be provided with updates on progress on a weekly basis thereafter until the matter is resolved.</li> <li>▪ In OTC Operations TEAM, set up a task and provide label the task with two (2) [Tags] 'Formal Complaint' and 'Continuous Improvement.'</li> <li>▪ Organise and set up Complaint Committee meeting to discuss and action the complaint submission.</li> </ul>	Course Coordinator
<p><b>C. Advise of the outcome and update records</b></p> <ul style="list-style-type: none"> <li>▪ Provide a written response to the complainant outlining:               <ul style="list-style-type: none"> <li>○ The College's understanding of the complaint</li> <li>○ The steps taken to investigate and resolve the complaint</li> <li>○ Decisions made about resolution, with reasons for the decisions made</li> </ul> </li> </ul>	Course Coordinator

# Complaints and Appeals Policy and Procedure

<ul style="list-style-type: none"> <li>○ Areas that have been identified as possible causes of the complaint and improvements to be recommended</li> <li>○ Their right to access the appeals process if they are not satisfied with the outcome of the complaints process.</li> <li>▪ Update the <i>Complaints and Appeals Register</i> so it includes the outcome of the complaint (if needed, as TEAM report will be produced monthly)</li> <li>▪ Update the <i>Continuous Improvement Register</i> if applicable for any improvements to be made as an outcome</li> <li>▪ Keep a copy of the complaint and supporting documents in the Complaints file and in the student enrolment detail on VETtrak</li> <li>▪ Discuss the complaint and its outcome at the next AcCom meeting.</li> </ul>	
---	--

Internal appeal	
Procedure	Responsibility
<p><b>D. Receive and acknowledge appeal</b></p> <ul style="list-style-type: none"> <li>▪ As per policy, appeals are to be made in writing by the appellant, attention to the CEO</li> <li>▪ The CEO should review all appeals upon receipt</li> <li>▪ Acknowledge receipt of appeal in writing by sending a letter to appellant within 5 working days of receipt. Use Complaint/Appeal Acknowledgement Letter</li> <li>▪ In OTC Operations TEAM, set up a task and provide label the task with two (2) [Tags] 'Internal appeal' and 'Continuous Improvement.'</li> </ul>	CEO
<p><b>E. Respond to assessment appeals</b></p> <ul style="list-style-type: none"> <li>▪ In the case of appeals against assessment decisions, the original assessment decision will be reviewed by having an assessor independent of the original decision, mark the assessment task again</li> <li>▪ The assessment decision made during the appeals process will be considered the actual assessment outcome for the task.</li> <li>▪ Advise the student of the outcome of the appeal as per point G below.</li> </ul>	CEO
<p><b>F. Respond to appeals against non-academic decisions</b></p> <ul style="list-style-type: none"> <li>▪ Upon receiving the appeal, the matter is to be investigated to identify the original decision made and the reasons for the decision</li> <li>▪ Further details from the appellant, respondent, the person who made the original decision, or other involved parties may be requested during this stage. This may be in writing, over the phone, or face-to-face</li> <li>▪ If the matter is in relation to a third-party delivering Services on behalf of the RTO, the third party should be involved in the resolution of the appeal</li> <li>▪ The appellant may request for an independent party (mediator) to be involved in the process. Where this is requested by the appellant, they will bear the costs</li> </ul>	CEO

# Complaints and Appeals Policy and Procedure

<p>associated. Additionally, The College may decide to call upon an independent mediator to assist to resolve the issue where a decision cannot be reached internally. This will be at The College's cost</p> <ul style="list-style-type: none"> <li>▪ The College will review all relevant information and decide on an appropriate response</li> <li>▪ <b>Note:</b> The appeal must be resolved within 60 calendar days of receipt of the original appeal. If the matter is particularly complex and it is going to take longer to resolve, the appellant must be advised in writing along with reasons for the extra time. They must be provided with progress updates on a weekly basis thereafter until the matter is resolved.</li> </ul>	
<p><b>G. Advise appellant of the outcome and update records</b></p> <ul style="list-style-type: none"> <li>▪ Provide a written response to the appellant outlining: <ul style="list-style-type: none"> <li>○ The RTO's understanding of the reasons for the appeal</li> <li>○ The steps taken to investigate and resolve the appeal</li> <li>○ Decisions made about resolution and reasons for the decisions</li> <li>○ If relevant, areas that have been identified as possible causes of the appeal and improvements to be recommended</li> <li>○ Complete TEAM planner task and provide outcome status: Complete</li> <li>○ Update the Continuous Improvement Register if applicable for any improvements to be made as an outcome.</li> <li>○ Keep a copy of the appeal and supporting documents in the Complaints file and in the student or staff file (where relevant)</li> <li>○ Document action and outcome against student's enrolment details in VETtrak</li> <li>○ Discuss the appeal and its outcome at the next management meeting.</li> </ul> </li> </ul>	<p>CEO</p> <p>Student Support Officer</p>

Independent reviews by external party	
Procedure	Responsibility
<p><b>H. External complaint or appeal</b></p> <ul style="list-style-type: none"> <li>▪ If dissatisfied with the internal processes, the complainant/appellant may initiate an external complaint or appeal.</li> <li>▪ Additionally, a complainant or appellant who has been through the internal processes may request The College to appoint an independent party to review the matter.</li> <li>▪ The independent party used is Melbourne Commercial Arbitration and Mediation Centre who have a cost of \$950.00 to \$2,500.00 per matter, however complainants and appellants are able to seek their own external parties at their own cost.</li> </ul>	<p>CEO</p>



# Complaints and Appeals Policy and Procedure

- |  |  |
|--|--|
| <ul style="list-style-type: none"><li>▪ For international students, the independent party is the Overseas Students Ombudsman.</li><li>▪ The College will co-operate fully in the process of the external party to investigate and review the matter. This will include and not be limited to providing full access to the relevant student file/s and the internal complaints records, where permitted to do so by law. All staff will be instructed to cooperate in such instances and to give an accurate account of the events as they understand them.</li><li>▪ Where the decision of the external party supports The College, will notify DESBT of the change in enrolment status.</li></ul> |  |
|--|--|

# Complaints and Appeals Policy and Procedure

## Major Version History

Date	Reason for change	Modified / Approved By (Role & initials)
6/11/2018	Policy review & update to new format	CEO / AW
9/1/2019	Added Victorian Ombudsman & ASQA to the list of external options	CEO -AW
17/03/2022	Updated Policy statement, content: requirements and processes, and responsible staff who handles the complaint	Q&D - AJ
05/04/2023	Updated policy statement; requirements and processes	Quality and Development Manager