

COMPLAINTS AND APPEALS POLICY & PROCEDURE

1. Policy:

This policy/procedure supports the RTO to provide a process for complaints and appeals to be heard and actioned. This includes any allegations involving the conduct of

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

All complaints and appeals received by MST will be viewed as an opportunity for improvement.

Despite all efforts of MST to provide satisfactory services to its students and clients, complaints may occasionally arise that require formal resolution. The following procedures provide students and clients the opportunity to have any issues relating to a substantiated complaint or appeal resolved and resolutions reached that attempt to satisfy all parties involved. This complaints and appeals process will be at no cost to the student or client (unless referred to a third party; see procedure for more details).

2. Procedure:

The complaints and appeals policy and procedure and applicable form is made available to all students, potential students, and clients by directly contacting the RTO, through the RTO's website, and within the **Student information handbook**.

2.1 General complaints

Where possible all non-formal attempts shall be made to resolve the issue. This may include advice, discussions, and general mediation in relation to the issue and the complainant's issue. Any staff member can be involved in this informal process to resolve issues but once a complainant has placed a formal complaint / appeal the following procedures must be followed:

- Any student, potential student, or third party may submit a formal complaint to MST with the reasonable expectation that all complaints will be treated with integrity and privacy. There is no cost for accessing the internal complaints and appeals process.
- Where a complaint is to be made it should be initiated with a formal submission of the complaints and appeals form as soon as possible after the event that has caused the complaint, but no more than **20 working days** from the event.
- A complainant may be assisted or accompanied by a support person regardless of the nature of the issue or complaint throughout the process at all times. Complainants have the right to access advice and support from independent external agencies / persons at any point of the complaint and appeals process. Use of external services will be at the complainant's costs unless authorised by the CEO.

- Any person wishing to submit a formal complaint or appeal can do so by completing the '**Complaints and Appeals Form**' and state their case providing as many details as possible. This form can be gained by contacting Student Administration at the RTO, or through the RTO website.
- All formally submitted complaints or appeals are submitted to the Administration 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 '**WIN HR/OHS program**' which is monitored by the Administration Manager regularly. The information to be contained and updated within the register is as follows:
 - Submission date of complaint
 - Name of complainant
 - Description of complaint / appeal
 - Determined Resolution
 - Date of Resolution
- The Administration Manager will provide a reference number, in writing, that is generated by **WIN HR/OHS program** to the complainant to confirm receipt of the complaint.
- All complaints received will be reviewed by the Administration Manager. The complaint will be reviewed as soon as practical after submission and the Administration Manager will then identify the nature of the complaint, and the relevant party's involved in the complaint.
- The Administration Manager shall then refer the matter to the appropriate staff to resolve, or make a decision on the complaint, within **10 working days** and keep the complainant informed of any decisions or outcomes concluded, or processes in place to deal with the complaint. Students will be kept informed of any delays in making this decision and kept informed at all times.
- In the event that the complaint is in relation to a serious breach of conduct by a student or employee of MultiSkills Training, the Administration Manager shall inform the CEO immediately. In certain circumstances the CEO may deem it necessary to take immediate action such as suspension of studies or employment, or changes to timetable or classes, while the complaint is dealt with to prevent further escalation of an issue. This type of action will only be applied where there has been any action that poses a threat to others safety or well-being.
- Once a decision has been reached the Administration Manager 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 also be notified that they have the right of appeal. To appeal a decision the RTO must receive, in writing, grounds of the appeal. Complainants are referred to the appeals procedure.
- In the unlikely event that the complaint is not finalised within **60 calendar days**, the RTO shall ensure that the complainant shall be provided reasons for the delay in writing, and will be regularly kept informed and updated of the progress of the matter.

- The Administration Manager shall ensure that the RTO will act immediately on any substantiated complaint. If the internal or any external complaint handling or appeal process results in a decision that supports the complainant, the registered provider must immediately implement any decision and/or corrective and preventative action that is required, and advise the complainant of the outcome.
- Copies of all documentation, outcomes and further action required will be placed into the '**WIN HR/OHS program**' by the Administration Manager and on the students file / complainants file. Records shall be maintained as private and confidential and shall be maintained for 7 years.

2.2 Appealing a decision

All complainants have the right to appeal decisions made by MST. The areas in which a complainant may appeal a decision made by MST may include:

- Assessments conducted
 - Deferral, suspension, or cancellation decisions made in relation to the student's enrolment
 - Or any other conclusion / decision that is made after a complaint has been dealt with by MST in the first instance.
- Any appeal on an RTO decision must be made within **20 working days** of receiving notification of the original decision from the RTO.
 - To activate the appeals process the complainant is to complete a '**Complaints and Appeals Form**' which is to include a summary of the grounds the appeal is based upon. The reason the complainant feels the decision is unfair is to be clearly explained and help and support with this process can be gained from Student Administration Department.
 - The Administration Manager will provide, in writing, a reference number, generated by **WIN HR/OHS program** to the appellant to confirm receipt of the appeal.
 - The Administration Manager 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 Administration Manager 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. Students will be kept informed of any delays in making this decision and kept informed at all times.
 - 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 Administration Manager shall ensure that MST acts on any substantiated appeal.
 - Copies of all documentation, outcomes and further action required will be placed into the '**WIN HR/OHS program**' by the Administration Manager and on the students file / appellants file. Records shall be maintained as private and confidential and shall be maintained for 7 years.
 - The Administration Manager shall ensure that the RTO will act immediately on any substantiated appeal. If the internal or any external complaint handling or appeal process results in a decision that supports the complainant, the registered provider must immediately implement any decision

and/or corrective and preventative action that is required, and advise the complainant of the outcome.

- Where an appeal has been lodged it will be defined into one of the following categories and the appropriate procedures followed:

2.3 General appeals

- Where a complainant has appealed a decision or outcome of a formal complaint they are required to notify MST in writing within **20 working days** of the grounds of their appeal. Any supporting documentation should also be attached to the appeal.
- The appeal shall be lodged through the Student Administration Manager and they shall ensure the details of the appeal are added to the '**WIN HR/OHS program**'.
- The Administration Manager shall be notified and shall seek details regarding the initial documentation of the complaint and shall make a decision based on the grounds of the appeal.
- The complainant shall be notified in writing of the outcome with reasons for the decisions, and the '**WIN HR/OHS program**' updated. The complainant shall also be provided the option of activating the external appeals process if they are not satisfied with the outcome. The complainant is required to notify MST if they wish to proceed with the external appeals process.

2.4 Assessment appeals

- Where a student wishes to appeal an assessment they are required to notify their Trainer & Assessor in the first instance. Where appropriate the Trainer & Assessor may decide to re-assess the student to ensure a fair and equitable decision is gained. The Trainer & Assessor shall complete a written report regarding the re-assessment outlining the reasons why assessment was or was not granted.
- If this is still not to the student's satisfaction, the student shall formally lodge an appeal by submitting a written letter outlining their reasons for the appeal. They shall lodge this with student administrations department within **20 working days** and the appeal shall be entered into the '**WIN HR/OHS program**.'
- The Administration Manager shall be notified and shall seek details from the Trainer & Assessor involved and any other relevant parties. A decision shall be made regarding the appeal either indicating the assessment decision stands or details of a possible re-assessment by a 'third party'. The third party shall be another Trainer & Assessor appointed by MST.
- The student shall be notified in writing of the outcome with reasons for the decision, and the '**WIN HR/OHS program**' updated. The student shall also be provided the option of activating the external appeals process if they are not satisfied with the outcome. The student is required to notify MST if they wish to proceed with the external appeals process

2.5 External Appeals and Further Information:

External Appeals:

In addition to the above internal processes, if students enrolled with MST are still dissatisfied with the decision of the RTO, they may wish to seek legal advice or submit an application with an external dispute resolution process by a relevant body appointed for this purpose (See below for contact details).

Where the RTO is informed that the student has accessed external appeals processes:

- The RTO will maintain a student's enrolment until the external appeal process is finalised.
- The RTO will comply with the findings of the external appeals process.
- Where a decision or outcome is in favour of the complainant MST shall follow the required action and recommendation from the relevant external appeals organisation to satisfy the student's grievance as soon as practicable.

The decision of the independent mediator is final and any further action the student wishes to take is outside the RTO's policies and procedures. The student shall be referred to the appropriate government agencies and this information can be gained from the CEO.

- All records and correspondence in relation to an external appeal shall be maintained with the initial complaint and internal appeal documentation within the 'WIN HR/OHS program' and the student file for a minimum of 5 years.

Victorian Based Students:

The Dispute Settlement Centre of Victoria (DSCV) is a free dispute resolution and mediation service funded by the Victorian Government and may be able to assist resolve any outstanding complaint or issue with the complaint handling process. Further details and office locations for this service are available from <http://www.disputes.vic.gov.au/>

Organisation:	Disputes Settlement Centre of Victoria (http://www.disputes.vic.gov.au/)
Contact Point:	<u>Melbourne Office:</u> Level 4, 456 Lonsdale Street Melbourne VIC 3000 Tel: 1300 372 888 Fax: 8684 1311

Further information

If a client (learner or other client) is still dissatisfied with the decision of the RTO, they may wish to seek legal advice or place a complaint about the RTO to ASQA directly (Please be aware that ASQA does not act in a mediation capacity).

If, after the RTO's internal complaints and appeals processes have been completed, you still believe the RTO is breaching or has breached its legal requirements, you can submit a complaint to ASQA by completing the online complaint form: <https://rms.asqa.gov.au/registration/newcomplaint.aspx>
Except in exceptional circumstances, you must attach evidence to your complaint form showing:

- That you have followed your RTO's formal complaints procedure, and
- The RTO's response

ASQA's processes require you to identify yourself to ASQA as a complainant, although you may request that your identity is kept confidential throughout any investigation that ASQA undertakes. Australian Skills Quality Authority (www.asqa.gov.au)

- Melbourne—Level 6, 595 Collins Street
- Brisbane—Level 7, 215 Adelaide Street
- Sydney—Level 10, 255 Elizabeth Street
- Canberra—Ground Floor, 64 Northbourne Avenue Canberra City
- Perth—Level 11, 250 St Georges Terrace
- Adelaide—Level 5, 115 Grenfell Street
- Hobart—Level 11, 188 Collins Street
- Phone: 1300 701 801

Appendix A (Complaints and appeals form)

COMPLAINTS AND APPEALS FORM

The following is a cover sheet to support your complaint or appeal. Please to outline your complaint or appeal and you are to attach any supporting documentation and send to:

Post

Administration Manager
MultiSkills Training
PO Box 2219
WERRIBEE VIC 3030

Email

Scan and send all documents to:
compliance@multiskills.com.au

Please indicate what your grievance is (*tick the appropriate box below*):

<input type="checkbox"/> Complaint	Initial notification of your dissatisfaction or an issue that has occurred
<input type="checkbox"/> Appeal	Application to have the outcome of a complaint reviewed due to dissatisfaction with the process that has been followed in dealing with the initial complaint or to have an assessment decision reviewed.

Date of submission:	
Name of Complainant:	
Detailed Description Of Complaint/ Appeal: (<i>Include an outline of your complaint/appeal with details of dates and people involved</i>)	
Signature:	
Date:	

DOCUMENT CONTROL INFORMATION

Document Name:	Complaints and appeals policy & procedure
Document No.:	5598
Revision No.:	1.2
Revision Date:	15-05-2015
Next Review Date:	15-05-2016
Created by:	CSKINNER
Approved by:	NAMNGUYEN
Date Approved:	15-05-2015
Document Location:	NovaCore CMS\DMS\Trade Training Group\Policy and Procedures\1. Complaints and Appeals\