

STES

RTO Policy – Complaints & Appeals

Purpose	The purpose of this policy is to ensure that all complaints and appeals are dealt with in a constructive and timely manner. It outlines the procedure for dealing with a participants appeal against an assessment outcome awarded in any module or unit of competence.
Inputs	<p>Standard 5 - Each learner is properly informed and protected.</p> <p>5.2. Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:</p> <ul style="list-style-type: none"> d) the learner's rights, including: <ul style="list-style-type: none"> i) details of the RTO's complaints and appeals process required by Standard 6; <p>Standard 6 – Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.</p> <p>6.1. The RTO has a complaints policy to manage and respond to allegations involving the conduct of:</p> <ul style="list-style-type: none"> 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; or c) a learner of the RTO. <p>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.</p> <p>6.3. The RTO's complaints policy and appeals policy:</p> <ul style="list-style-type: none"> 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; and 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.

- 6.4. Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
- informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
 - regularly updates the complainant or appellant on the progress of the matter.
- 6.5. The RTO:
- securely maintains records of all complaints and appeals and their outcomes; and
 - identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.
- 6.6. Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

Policy

The Complaints and appeals Policy & Procedure will be made publicly available on the STES website.

Complaints

STES will deal with any complaints, whether from students, clients or staff in an effective and timely manner, typically resolving all complaints within *60 days*.

Assessment Appeals

A student may appeal against an assessment outcome within 14 days of receiving notification of their results.

The grounds for an assessment appeal are:

- The judgement as to whether competence has been achieved and demonstrated was made incorrectly.
- The assessment plan is not flexible or fair.
- Judgement was not made in line with the assessment plan.
- The assessment plan does not address the collection of evidence sufficiently.

Resolution

STES will deal with any complains or student appeals in an effective and timely manner, typically resolving all complaints within 60 days.

- Each complaint or appeal and its outcomes will be recorded in writing.
- The RTO will act upon any substantiated complaints or appeals.

The CEO / Training Manager is responsible for managing the resolution of the complaints and appeals.

Where more than 60 calendar days are required to process and finalise the complaint or appeal, CEO / Training Manager:

- Will informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required, and
- Regularly updates the complainant or appellant on the progress of the matter.

All complaints and appeals are to be recorded on the STES Complaints & Appeals Register and are to be reviewed at the monthly management meetings and, if appropriate, will result in a continuous improvements activity. Also possible causes of complaints or appeals are to be identified and corrective action is to be taken to eliminate or mitigate the likelihood of reoccurrence.

If the client or student is still not satisfied with the resolution of the complaint or appeal, they can seek further assistance from TAC.

Reference Documentation

Other reference documentation which relates to this P&P includes:

- TAC Policies & Guidelines
 - Training Accreditation Council (TAC) Complaints Handling Policy