

## CRICOS COMPLAINTS AND APPEALS PROCEDURE

Appeals Procedure	
<b>PURPOSE</b>	<p>This process serves as the guide and reference document for the Appeals Handling of <b>Skills Training College</b></p> <p>Changes to this procedure must only be made upon the approval of the <b>CEO</b>.</p>
<b>ROLE UNDERTAKING TASK</b>	Training Team / Administration Team
<b>DOCUMENT UPDATE</b>	<b>20/10/2022</b>

Appeals Procedure		
No.	Person/s Responsible	Steps to take
1	<b>Complainant / Trainer and Assessor</b>	<p><b><i>Lodging an appeal</i></b></p> <p>(1) Prior to lodging a formal appeal, complainants are encouraged to attempt informal resolution with relevant individuals:</p> <ol style="list-style-type: none"> <li>a. Privately between concerned parties</li> <li>b. With the help of trainer/assessor or training manager</li> </ol> <p>(2) With a view to resolving the matter, discuss with the Learner:</p> <ol style="list-style-type: none"> <li>a. Give specific feedback on their performance,</li> <li>b. Identify areas of improvement, and</li> <li>c. Provide options to the learner such as further training and/or assessment.</li> </ol> <p>(3) If the matter is successfully resolved, identify if there are areas of improvement and log any identified improvement opportunity in the Continuous Improvement Register.</p> <p>(4) If the dispute cannot be resolved, advise learner of their right to appeal the decision referring them to the Complaints and Appeals Policy in the website or Student Handbook.</p> <p>(5) Student can lodge a formal appeal using the <b>Complaints and Appeals Form</b>. The <b>Complaints and Appeals Form</b> is available:</p> <ol style="list-style-type: none"> <li>a. Via the website</li> <li>b. Student Handbook (appendix)</li> <li>c. Requested from any RTO staff (trainer / assessor / admin)</li> </ol>
2	<b>Student Support Officer</b>	<p><b><i>Receiving the appeal</i></b></p> <ol style="list-style-type: none"> <li>(1) Log the complaint in the <b>Complaints and Appeals Register</b>.</li> <li>(2) Forward the appeal to the Training Manager</li> </ol>

		(3) Provide the student with written acknowledge the receipt of the formal appeal and inform that the processing of the complaint will commence within 10 working days from the lodgement of the complaint
3	<b>Training Manager</b>	<p><b><i>Processing the appeal</i></b></p> <p>(1) Communicate with the appellant and request for additional evidence, if required.</p> <p>(2) Aim to resolve the appeal as quickly as possible and within 30 days from the time action item was assigned or within timeframe specified by the TRAINING MANAGER. Actions which may be taken may include but are not limited to:</p> <ol style="list-style-type: none"> <li>Review of the application form and supporting evidence.</li> <li>Review of all assessment documentation and process.</li> <li>Interview with the appellant to allow them the opportunity to formally state their claim.</li> </ol> <p>(3) Communicate with the student every time actions are taken and decisions once complaint has been resolved.</p> <p>(4) Once resolution is finalised, document the details in an email sent to both parties as soon as resolution is reached. Send email with subject heading: 'Appeal Resolution'. Copy Admin in the email. Proceed to Step 5</p> <p>(5) If the resolution involves re-assessment proceed to next step</p>
4	<b>Trainer / Student Support Officer</b>	<p><b><i>Conducting Re-Assessment</i></b></p> <p>(1) Organise for the re-assessment to commence and inform the appellant of the details in writing, in accordance with assessment processes.</p> <p>(2) Update appeal register.</p> <p>(3) The appellant has the option to nominate an independent observer to be present during the re-assessment.</p> <p>(4) Conduct the re-assessment.</p> <p>(5) Determine the assessment outcome against the competencies.</p> <p>(6) Complete all relevant assessment documentation, notifying the appellant and the <b>TRAINING MANAGER</b> of the outcome, in writing.</p> <p>(7) If the appellant refuses to be re-assessed or is dissatisfied with the result or the process of the appeal, the appellant may lodge an appeal following the External Appeal Process.</p>
5	<b>TRAINING MANAGER</b>	<p>(1) Supply the appellant with the appeals outcome in writing once outcomes are completed.</p> <p>(2) Record all communication and documents related to the resolution actions in the Complaints and Appeals Register.</p> <p>(3) Lodge continuous improvement opportunities in the Continuous Improvement Register.</p> <p>(4) Discuss appeals, action items and communications during Management Meeting or Continuous Improvement Meetings.</p>

6	<b>Administration</b>	<p>(1) Update the learner file in the Learning Management System and PRISMS</p> <p>(2) Place a copy of the re-assessment correspondence on the Learner file</p>
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Complaints Procedure		
No.	Person/s Responsible	Steps to take
1	Complainant / Skills Training College	<p><b><i>Lodging a complaint</i></b></p> <p>(6) Prior to lodging a formal complaint, complainants are encouraged to attempt informal resolution with relevant individuals:</p> <ol style="list-style-type: none"> <li>a. Privately between concerned parties</li> <li>b. With the help of trainer/assessor or training manager</li> </ol> <p>(7) Where dispute cannot be resolved informally, lodge a formal complaint using the <b>Complaints and Appeals Form</b>. The <b>Complaints and Appeals Form</b> is available:</p> <ol style="list-style-type: none"> <li>a. Via the website</li> <li>b. Student Handbook (appendix)</li> <li>c. Requested from any RTO staff (trainer / assessor / admin)</li> </ol>
2	Student Support Officer	<p><b><i>Receiving a complaint</i></b></p> <p>(4) Log the complaint in the <b>Complaints and Appeals Register</b>.</p> <p>(5) Forward the complaint to the Compliance Manager</p> <p>(6) Provide the student with written acknowledge the receipt of the formal complaint and inform that the processing of the complaint will commence within 10 working days from the lodgement of the complaint</p>
3	Compliance Manager	<p><b><i>Processing a complaint</i></b></p> <p>(6) Aim to resolve the complaint as quickly as possible and within 30 days from the time action item was assigned or within timeframe specified by the Consumer Protection Officer. Actions which may be taken may include but are not limited to:</p> <ol style="list-style-type: none"> <li>a. Discussing the facts of the complaint with the complainant.</li> <li>b. Where appropriate and applicable, discuss the complaint with the respondent giving details of the complaint and complainant, giving cause to procedural fairness.</li> <li>c. Where appropriate and applicable, encourage and facilitate the disputants to engage in mediation on an informal level.</li> <li>d. Interview all parties individually, including any witnesses</li> <li>e. Conduct interviews privately and confidentially</li> <li>f. Where applicable, report the outcome of the meeting with the respondent to the complainant.</li> <li>g. Seek preferred outcome from each of the parties.</li> </ol>

		<ul style="list-style-type: none"> <li>h. Communicate with the student every time actions are taken and decisions once complaint has been resolved.</li> <li>i. Where appropriate, facilitate a dispute resolution meeting with parties involved</li> </ul> <p>(7) Communicate with the student every time actions are taken and decisions once complaint has been resolved.</p> <p>(8) Once resolution is finalised, document the details in an email sent to both parties as soon as resolution is reached. Send email with subject heading: 'Complaint Resolution'. Copy <b>Admin</b> in the email.</p>
4	Compliance Manager / Student Support Officer	<p><b>Closing the Complaint</b></p> <ul style="list-style-type: none"> <li>(1) Upon receiving the 'Complaint Resolution' email, update the log in the <b>Complaints and Appeals Register</b>.</li> <li>(2) Where additional action items are required as a result of the complaint, lodge the action items in the <b>Continuous Improvement Register</b>. Tag the action item as resulting from the Complaints and Appeals Process.</li> <li>(3) All fields <b>MUST</b> be completed. If additional information is required to fill out the <b>Complaints and Appeals Register</b> or the <b>Continuous Improvement Register</b>, follow-up with the <b>Person Responsible (Trainer/ Training Manager/ General Manager/ CEO)</b>.</li> <li>(4) Discuss appeals, action items and communications during Management Meeting or Continuous Improvement Meetings.</li> <li>(5) Change status on the <b>Complaints and Appeals Form</b> as 'closed' and file the document with the student's records.</li> </ul>

#### External Complaints Processes

No.	Person/s Responsible	Steps to take
1	<b>Compliance Manager</b>	<ul style="list-style-type: none"> <li>a. In the event that a student is dissatisfied with the result or conduct of the complaint handling or appeals process of the <b>Skills Training College</b>, advise the student within 10 working days of concluding the internal review of the complaint of their right to an external complaints and appeals process to be conducted by an independent person or body completely separate from the <b>Skills Training College</b></li> <li>b. Provide student with information / referral to external arbitrator for a review of the complaint</li> <li>c. Cooperate with the external arbitrator for a review of the complaint.</li> </ul>
2	<b>External Arbitrator</b>	<ul style="list-style-type: none"> <li>(1) Review, investigate and mediate the complaint with all relevant parties and make a ruling.</li> <li>(2) Prepare a formal written report on the investigation, providing a copy to both the <b>CEO / Compliance Manager of Skills Training College</b> and complainant.</li> </ul>

3	<b>Compliance Manager</b>	<ul style="list-style-type: none"><li>a. If the original complaint resolution is upheld, abide to the resolution decided on and proceed to step 4 of Complaints Procedure</li><li>b. If original complaint resolution is not upheld, <b>Skills Training College</b> will abide by any resolutions as recommended by the external arbitrator.</li></ul>
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**VERSION CONTROL**

Version Control Table					
Date	Summary of Modifications	Modified by	Version	Date of Implementation	Next Review Date
14/12/2019	Document Creation	360RTO Solutions	v. 1.0	Date	Date
07/01/2021	RTO and CRICOS code updated	360RTO Solutions	v. 1.1	07/01/2021	Date
20/10/2022	RTO name updated from NTC to STC	STC	v. 1.2	20/10/2022	20/10/2023