Complaints and appeals KPSHS

VET policies and procedures

School RTO approval statement					
School RTO name	KEEBRA PARK SHS				
Policy start date	19/06/2020	**QCAA school number**	0062KPSHS	**National provider number**	30319

The Principal as Chief Executive Officer (CEO) approves:

- the policy, procedure and implementation requirements
- all identified attachments to this policy and procedure
- all modifications to the policy and procedure prior to implementation
- the delegated Registered Training Organisation (RTO) officer/s to implement the policy and procedure
- the allocation of time to ensure delegated officers carry out all components within the prescribed timelines and dates of all activities outlined in the quality calendar detailed through this policy and procedure
- the RTO Manager monitoring, evaluating and reviewing the application of this policy and procedure to ensure compliance at all times
- QCAA analysing these documents when conducting audits
- that email addresses provide the same acknowledgment as a signature.

RTO Manager		Principal	
Name	G. HOWE	**Name**	A. BRANDIS
Email	ghowe1@eq.edu.au	**Email**	abran28@eq.edu.au
Date	19/06/2020	**Date**	19/06/2020
All additional delegated officers (add additional places to this table as required)			
Delegated officer	D.HART	**Delegated officer**	N.SMALL N. KATRA H.WILSON C.MURRAY G.CAMPBELL
Email	dhart19@eq.edu.au	**Email**	nsmal13@eq.edu.au hwils53@eq.edu.au cmurr161@eq.edu.au nkatr1@eq.edu.au gcamp49@eq.edu.au
Date	19/06/2020	**Date**	19/06/2020

Section 1 Policy and procedure

Section 1 of this policy and procedure sets out how the RTO addresses a complaint or appeal it receives relating to its officers, students or third parties providing services on behalf of the school RTO.

Relevant Standards: 2.2(b), 5.2(d), (i), 6.1–6.5

Complaints

Complaints policy and procedure			
Policy	**Inform**	**Act**	**Record and review**
• Complaints received by the RTO will be acknowledged in writing and finalised as soon as practicable. • Complaints can involve the conduct of the RTO's officers, students or third-party service providers of the RTO. • Any RTO officer may receive a complaint verbally, in writing or electronically. • The RTO identifies two types of complaints: – type 1: allegations of inappropriate behaviour and/or child protection. These allegations are processed according to the RTO's complaints policy and procedure – type 2: all other complaints. • Without limiting the action in type 1 complaints, this complaints policy is publicly available and upholds the principles of natural justice and procedural fairness. • A review of the issues that triggered the complaint is undertaken. The review aims to identify corrective actions that will eliminate or mitigate the likelihood of a similar complaint occurring in the future.	• On receipt of a complaint, the delegated RTO Complaints officer: – provides written acknowledgment to the complainant – informs both the complainant and the respondent of their right to be assisted by a support person or representative throughout the complaint process – communicates on the progress of the proceedings to the complainant and the respondent throughout the complaint process – if the complaint relates to the conduct of a third-party service provider, the Complaints officer informs the third party on receipt of the complaint and communicates progress on the proceedings with the third party. • All communication by the RTO complies with the RTO's privacy policy and personal information management.	• The RTO officer receiving the complaint forwards it to the RTO Complaints officer (unless it relates to the Complaints officer, in which case it is forwarded to the Principal). • For type 1 complaints, the Complaints officer follows the school's complaints policy and procedure in accordance with the student protection policy. • For type 2 complaints, the Complaints officer: – organises a mediation process that is non-threatening to the complainant – establishes a review by an appropriate party independent of the RTO if mediation has not resolved the complaint – refers the complainant to the QCAA website for further information about complaint processes if the complainant is still not satisfied. • Students are informed that they may lodge a complaint to QCAA only after exhausting this complaints and appeals policy and procedure.	• The Complaints officer: – establishes a written record for each complaint received – updates the record throughout the complaint process. • The RTO Manager: – registers the complaint in the RTO's *Complaints and appeals register* – securely retains all complaint records – reviews each complaint process to identify corrective action/s that eliminate or mitigate the likelihood of reoccurrence – ensures corrective actions are implemented including those actions impacting on any third-party arrangements.

Complaints policy and procedure			
• Records of complaints are securely retained and registered in the RTO's *Complaints and appeals register*.			

Requirements for processing complaints			
Complaints	**Forwarding complaints**	**Timeframe**	**Impacting policies and procedures**
• The receiving RTO officer informs the complainant that an appropriate delegated RTO officer will contact them regarding the complaint. • Whenever applicable, the receiving RTO officer ensures that the safety of the complainant is maintained.	• For type 1 complaints, the receiving RTO officer immediately commences to implement the school's complaints or child protection policy. • For all other complaints, the receiving officer forwards the complaint to the RTO's Complaints officer for processing (unless it relates to the Complaints officer, in which case it is forwarded to the Principal). • The Complaints officer is responsible for ensuring a written record is established for all complaints received (unless it relates to the Complaints officer, in which case the Principal is responsible).	• The Complaints officer finalises complaints within 60 calendar days. • If more than 60 days are required, the complainant and respondent are informed in writing of the reasons for the need to extend the time required to finalise the complaint.	Policies that must be considered in conjunction with this policy and procedure include the school's: • privacy policy • student protection policy.

Appeals

Appeals policy and procedure				
Policy	**Inform**	**Act**	**Record**	**Review**
• All appeals received by the RTO will be acknowledged in writing and finalised as soon as practicable. • Two types of appeal may be lodged: – appeal of final assessment decision – appeal of any other RTO decision. • This policy is publicly available and upholds the principles of natural justice and procedural fairness. • A record of each appeal process is reviewed to identify and implement corrective actions that aim to eliminate or mitigate the likelihood of reoccurrence. • Records of appeals are securely retained and registered in the RTO's *Complaints and appeals register*.	• The RTO Manager provides written acknowledgment to the appellant. • On receipt of an appeal, the RTO Manager informs a third party of the appeal if the appeal relates to a decision made by an employee of the third party. • The RTO Manager communicates the progression of the appeal to all parties throughout the appeals process.	• When appealing final assessment decisions, the RTO Manager actions the following process: – appellant's trainer/assessor reviews the decision – if the appellant is not satisfied, an independent trainer/assessor reviews the assessment decision – if the appellant is still not satisfied, the RTO Manager refers the appellant to the RTO's complaints policy and procedure. • For all other appeals: – the RTO Manager reviews the original decision – if the appellant is not satisfied, an appropriate independent party reviews the RTO's decision – if the appellant is still not satisfied, the RTO Manager refers the appellant to the RTO's complaints policy and procedure.	The RTO Manager: • establishes a written record for each appeal received • updates the record throughout the appeal process • registers the appeal in the RTO's *Complaints and appeals register* • securely retains all appeal records.	The RTO Manager: • reviews each appeal process to identify corrective actions that eliminate or mitigate the likelihood of reoccurrence • ensures corrective actions are implemented including those actions impacting on any third party arrangements.

Requirements for processing appeals			
Appeals	**Forwarding appeals**	**Timeframe**	**Assessment result appeals**
Appeals must be submitted to the RTO in writing using the RTO's Appeal form.	If the appeal relates to a decision made by the RTO Manager, the appeal is forwarded to the Principal for actioning.	• The RTO Manager finalises appeals within 60 calendar days. • If more than 60 days are required, the appellant is informed in writing of the reasons for the need to extend the time required to finalise the appeal.	For assessment results appeals, the RTO Manager ensures the appeals process is informed by the: • assessment requirements of the relevant training package or accredited course • Principles of Assessment • Rules of Evidence.

Section 2 Complaints and appeals checklist

The delegated RTO Complaints officer or the RTO Manager completes this checklist when the complaints and appeals policy requirements have been met.

If 'No' is checked against any condition, report to the RTO Manager and do not proceed.

Complaints and appeals register	N/A	Yes	No
Record			
The RTO Manager has established and maintains a secure *Complaints and appeals register*.		☐	☐
Complaints record and written acknowledgment			
The RTO's Complaints officer has given written acknowledgment of receipt of the complaint to the complainant.		☐	☐
The Complaints officer has established a written record in the *Complaints and appeals register*.		☐	☐
Complaints actions			
For type 1 complaints, the receiving RTO officer has immediately commenced implementing the school's child protection policy.	☐	☐	☐
For type 2 complaints, the complaint has been forwarded to the RTO's Complaints officer (unless it relates to the Complaints officer, in which case it is forwarded to the Principal).	☐	☐	☐
The RTO's Complaints officer has:			
• advised the complainant that they may be assisted by a support person or representative throughout the complaint process		☐	☐
• notified the respondent of the receipt of a complaint relating to them and advised them that they may be assisted by a support person or representative throughout the complaint process		☐	☐
• organised mediation after negotiating a mediation process that is acceptable to both the complainant and the respondent		☐	☐
• maintained an auditable record of the complaint process and outcome/s		☐	☐
• regularly updated the complainant and respondent of the progress throughout the complaints process.		☐	☐
If the complainant is not satisfied with the outcome/s of mediation, the Complaints officer has nominated an appropriate independent party to review the complaint.	☐	☐	☐
If the complainant is still not satisfied with the outcome/s of the independent party review, the Principal has informed the complainant that all complaint process options need to be exhausted before the complaint can be reviewed by an external body or authority.	☐	☐	☐
If all complaint review options have been actioned by the RTO, the Principal has referred the complainant to the QCAA website for further options for resolving the complaint.	☐	☐	☐

Complaints and appeals register	N/A	Yes	No
The complainant and respondent have received in writing the final outcomes of the complaint process.		☐	☐
The RTO Manager who reviewed the complaints process has:			
• identified potential causes		☐	☐
• taken appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.		☐	☐
Complaints process timeframe			
The complaints process has been completed within a 60 calendar day period.		☐	☐
If not, the complainant and respondent have received, in writing, reasons why more than 60 days are required to finalise all matters relating to their complaint.	☐	☐	☐
The *Complaints and appeals register* has been completed and the closed-out date recorded.		☐	☐
Retention of complaints and appeals record			
The RTO Manager has ensured the secure retention of the *Complaints and appeals register* for archival records and audit purposes.		☐	☐

Appeals	N/A	Yes	No
Appeals record and written acknowledgment			
The RTO's delegated officer has given the appellant written acknowledgment of receipt of the appeal.		☐	☐
The delegated officer has established a written record in the *Complaints and appeals register.*		☐	☐
Appeal actions for assessment outcome appeals			
The RTO Manager has:			
• requested the appellant's trainer/assessor to review the assessment outcome		☐	☐
• organised an independent trainer/assessor to review the assessment outcome if the appellant is not satisfied with the initial review		☐	☐
• referred the appellant to the RTO's complaints policy for further possible options if they are still not satisfied with the outcome of the review		☐	☐
• maintained an auditable record of the appeal process and outcome/s		☐	☐
• regularly updated the appellant of the progress throughout the appeal process.		☐	☐
Appeal actions for all appeals other than assessment outcome appeals			
The RTO Manager has:			
• reviewed the RTO's original decision		☐	☐
• organised an appropriate independent party to review the RTO's original decision		☐	☐
• referred the appellant to the RTO's complaints policy for further possible options if they are still not satisfied with the outcome of the review		☐	☐
• maintained an auditable record of the appeal process and outcome/s		☐	☐
• regularly updated the appellant of the progress throughout the appeal process.		☐	☐
The appellant has received in writing the final outcome/s of the appeal process.		☐	☐
The RTO Manager has reviewed the appeals process to:			
• identify potential causes		☐	☐
• take appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.		☐	☐
Appeals process timeframe			
The appeal process has been completed within a 60 calendar day period.		☐	☐
If not, the appellant has received, in writing, reasons why more than 60 days are required to finalise all matters relating to their appeal.	☐	☐	☐
The *Complaints and appeals register* has been completed and the closed-out date recorded.		☐	☐

Section 3 Systematic monitoring

Completing Section 3 satisfies the requirement of the Standard for systematic monitoring.

The RTO Manager will record the dates when monitoring activities occur, the outcomes of the monitoring process and any rectifications required to ensure ongoing compliance.

A 'No' indicates a non-compliance and must be reported to the RTO Manager. Appropriate rectification must be recorded and actioned.

Relevant Standards: 2.1, 2.2

Systematic compliance monitoring checklist	
Date of successive monitoring activities	**Name of person/s conducting successive monitoring activities**
[Date]	
[Date]	
[Date]	
[Date]	

Monitoring the application of this policy and procedure by the RTO		Record of last monitoring	
		Yes	No
School RTO approval statement (Page 1 of this document)	The following details are current and complete:		
	• school RTO name	☐	☐
	• the policy and procedure document is dated (start date)	☐	☐
	• QCAA school number	☐	☐
	• national provider number	☐	☐
	• Principal's name and contact details	☐	☐
	• RTO Manager's name and contact details	☐	☐
	• all delegated officers' names and contact details.	☐	☐
Policy and procedure (Section 1 of this document)	Complaints and appeals policy represents current practice.	☐	☐
	Complaints and appeals procedures represent current practice.	☐	☐
	Complaints and appeals requirements for processing represent current practice.	☐	☐
Complaints and appeals checklist (Section 2 of this document)	Complaints and appeals checklist is used to ensure: • complaints and appeals processes are followed • records are complete.	☐	☐

Monitoring the application of this policy and procedure by the RTO		Record of last monitoring	
		Yes	No
Register of complaints and appeals template	Current approved register of complaints and appeals template is attached or linked to this document.	☐	☐

RTO Manager notes	
Comment on the last monitoring activity	
List any non-compliances	
List any rectifications	