



This document contains the procedure issued by RTT ACADEMY for use in delivering compliant training and assessment services.

## 1 PURPOSE

To ensure that all student complaints and assessment appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

## 2 SCOPE

The Complaints and Assessment Appeals Procedure applies to all students enrolled at RTT ACADEMY and includes all State and Nationally accredited qualifications.

## 3 RESPONSIBILITIES

The National Training & RTO Manager and Compliance Coordinator ensure compliance with this policy.

## 4 DEFINITION

### 4.1 Complaint

A complaint is the expression of dissatisfaction with the standard of practice or the quality of services offered by RTT ACADEMY or with the behaviour of another participant or employee of RTT ACADEMY. RTT ACADEMY recognises two distinct types of complaints.

- Minor Informal – easily rectifiable complaints such as a participant not receiving a workbook or missing a handout
- Major Formal – complaints that require issues be addressed in a more formal manner

### 4.2 Appeal

An appeal is an expression of dissatisfaction with a decision that has been made in regards to a complaint or assessment outcome and can only be sought by the organisation or individual for which the original decision was made. An appeal is a request that the decision be reviewed.

## 5 REFERENCE

### 5.1 Standards for Registered Training Organisations (RTOs) 2015

Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

## 6 PROCEDURE

### 6.1 Guiding Principles

RTT ACADEMY will treat all complaints and assessment appeals confidentially at all stages of the process. Access to information about a complaint or appeal shall be strictly limited to those that “have a need to know” in order to deal with the complaint or appeal.

RTT ACADEMY supports and upholds the following principles when dealing with complaints or appeals:

- A commitment to ensure both the individual and the organisation are able to receive a satisfactory outcome from a complaint without fear of reprisals
- The complaints and appeals process will be managed fairly and equitably and as efficiently as possible and will be kept confidential
- All parties will have a clear understanding of the steps involved in the complaints and appeals procedure
- Each complainant will be provided with the opportunity to present their case at each stage of the process, and may have a support person present at all times

- Participants can continue their training during the complaints and appeals process
- All parties involved will be provided with a copy of the complaints and appeals policy and procedure
- All complaints and appeals will be recorded in writing and the complainant provided with a written statement of the outcomes and reasons for the decision
- All complaints and appeals will be used as an opportunity to continuously improve RTT ACADEMY's policies, procedures and processes
- All complaints and appeals that cannot be resolved internally will involve an external process consisting of an external representative who has no personal interest in or knowledge of the organisation, employees, or participants involved

## 6.2 Complaints Procedure

A complaint must be lodged in writing using the Complaints Form available from our website or by contacting RTT ACADEMY. The form must be completed in full and clearly describe the issue, who is involved, and have any appropriate evidence attached as supporting documentation. The completed form is to be submitted to RTT ACADEMY within 5 working days of the occurrence of the incident.

Once a complaint has been received, the steps outlined below will be followed:

### Informal Process

- The RTT ACADEMY employee to whom the complaint is made has the authority to discuss and resolve the matter directly with the participant as quickly and efficiently as possible
- The participant making the complaint should explain the issue and what action they would like to have taken
- A record of the decision will then be documented by the RTT ACADEMY employee dealing with the complaint and held in the complaints file
- If the complaint is not resolved, the RTT ACADEMY employee will then provide information to the participant about the next level of action to be taken for dealing with the complaint. At this stage a formal complaint will need to be filed

### Formal Process

- A formal complaint must be lodged in writing. This can be written by the individual making the complaint or by the RTT ACADEMY employee receiving the complaint. The written complaint must be agreed to and signed by both parties
- When the written complaint is received RTT ACADEMY's Compliance Coordinator will acknowledge, in writing, receipt of the complaint. This will be done within 5 working days of receiving the complaint
- The Compliance Coordinator will investigate the complaint as quickly and efficiently as possible
- If necessary, meetings will be scheduled with all parties to discuss the complaint. A support person for any of the parties may be present at the meeting
- If necessary, the Compliance Coordinator will schedule a meeting with the National Training & RTO Manager to discuss the complaint and the possible actions for resolution
- Within 5 working days of a decision being made, the Compliance Coordinator will provide in writing to the complainant, the outcome of each complaint including the reasons for the decision and the actions, if any, to be taken
- Results and decisions granted in favour of the participant will be implemented and/or corrective and preventative action taken by RTT ACADEMY within 10 working days or as

soon as practicable. RTT ACADEMY will take whatever action is needed to ensure that the issues regarding the complaint are addressed so that it does not reoccur. Such action may include counselling of employees where necessary

- If the complainant is dissatisfied with the official decision, the complainant has the right to appeal the decision in accordance with the appeals process or with an external relevant organisation such as:
  - Australian Skills Quality Authority - complaints that relate to compliance with the registration requirements under Standards for Registered Training Organisations (RTOs) 2015  
<http://www.asqa.gov.au/complaints/complaints.html>
  - Fair Work Ombudsman - complaints in relation to wages, conditions of employment and workplace rights. Fair Work Infoline 13 13 94 or [www.fairwork.gov.au/complaints](http://www.fairwork.gov.au/complaints)
  - Fair Work Commission – complaints in regards to OH&S issues including bullying & harassment. Fair Work Commission info line 1300 799 675 or <https://www.fwc.gov.au/about-us/contact-us/complaints-feedback>
- RTT ACADEMY will attempt to finalise all complaints within 30 days of receipt of the complaint. Where this is not possible, a letter of explanation, including an expected finalisation date, will be given to the complainant
- All records relating to the complaint shall remain strictly confidential between both parties, except by agreement between the parties

RTT ACADEMY will maintain a participant's enrolment whilst the complaint process is ongoing. The participant may continue to attend training and assessment, but if they choose not to they will be made aware that the decision may hinder their learning progress.

### 6.3 Assessment Appeals Procedure

If a participant believes an unfair or inaccurate decision has been made in relation to a complaint or assessment of their work, a process exists to appeal the decision of the complaint or to have their assessment result/s reviewed. If the appeal is in regards to an assessment decision, participants should seek feedback from the trainer as to how the decision was made before submitting an appeal.

Appeals must be lodged in writing using the Appeals Form available from our website or attached to this handbook as Appendix B. The form must be completed in full and clearly describe the issue, who is involved, and have any appropriate evidence attached as supporting documentation. The completed form is to be submitted to RTT ACADEMY within 5 working days of the occurrence of the issue. Any appeals relating to assessment decision that are lodged after the 5 working day window will be subject to approval of RTT ACADEMY's Compliance Coordinator.

Once an appeal has been received, the steps outlined below will be followed:

- An internal review will be undertaken within 24 hours by either the Compliance Coordinator.
- In relation to an assessment appeal and depending on the evidence, the Compliance Coordinator will make a finding that may result in a:
  - request for an independent assessor to assess the participant's work.
  - decision that the assessment findings stand and the participant counselled on what is required to meet the assessment criteria.
- In relation to an appeal of a complaint decision, the RTO Compliance Coordinator will review the complaint and subsequent investigation records and depending on the evidence, the RTO Compliance Coordinator will make a finding that may result in a:
  - request for an independent mediator to conduct an investigation or convene a mediation session between the parties involved



## Complaints and Assessment Appeals Procedure

- decision that the outcome of the complaint stands and the participant has the right to file a complaint or appeal with an appropriate external organisation
- RTT ACADEMY will attempt to finalise all appeals within 30 days of receipt of the appeal. Where this is not possible, a letter of explanation, including an expected finalisation date, will be given to the participant

All records relating to an appeal shall remain strictly confidential.