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**Complaints and Appeals  
Policy and Procedure**

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# Complaints and Appeals Policy and Procedure

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## Introduction

Having an effective complaints and appeals process assists Global Training Institute (GTI) to comply with the conditions of registration as well as giving students and clients faith in the RTO and the quality of its operations.

## Purpose

To ensure complaints and appeals are addressed efficiently and effectively.

## Scope

The *Complaints and Appeals Policy and Procedure* is available to all clients of GTI. Staff should refer to the *Employee Grievance Policy and Procedure* if they have a complaint to make.

## Responsibilities

The *Complaints and Appeals Policy and Procedure* is the responsibility of the Chief Executive Officer.

## Definitions

Victimised means to single someone out for cruel or unjust treatment.

Discrimination means to make an unjust or prejudicial distinction in the treatment of different categories of people, especially on the grounds of race or sex or age.

Unjust means not based on or behaving according to what is morally right and fair.

## Alignment

AQTF 2010	
Conditions	3
Standards	2.2, 2.3, 2.7, 3.1, 3.2, 3.3
Standards NVR Registered Training Organisations 2012	
5.1, 5.2, 5.3, 5.5, 5.6, 5.7, 6.1, 6.2, 6.4, 9.1, 9.2, 16.1, 16.2, 16.3, 16.5, 16.6, 16.7, 17.1, 17.2, 17.4, 20.1, 20.2	
Standards for Registered Training Organisations (RTOs) 2015	
Clauses 5.2(di), 6.1-6.6	

## Policy Statement

GTI has an appropriate internal and external complaints handling and appeals process that satisfies the following requirements:

- a) A process in place for lodging a formal complaint or appeal if the matter cannot be resolved informally, which requires a written record of the complaint or appeal to be kept;
- b) Each complainant or appellant has an opportunity to formally present his or her case at minimal or no cost to him or herself;
- c) Each party may be accompanied and assisted by a support person at any relevant meetings;
- d) The complainant or appellant is given a written statement of the outcome, including details of the reasons for the outcome;
- e) The process commences within 15 working days of the formal lodgement of the complaint or appeal and supporting information and reasonable measures are taken to finalise the process as soon as practicable; and
- f) Any Student making a complaint or grievance will not be victimised or discriminated against.

GTI will endeavour to have arrangements in place for a person or body independent of and external to the registered provider to hear complaints or appeals arising from the registered provider's internal complaints and appeals process or refer students to an existing body where that body is appropriate for the complaint or appeal.

If the student is not satisfied with the result or conduct of the internal complaint handling and appeals process, the registered provider must advise the student of his or her right to access the external appeals process at minimal or no cost.

If the student chooses to access the registered provider's complaints and appeals processes, the registered provider must maintain the student's current enrolment status while the complaints and appeals process is ongoing, unless otherwise agreed to by the student. .

If the internal or any external complaint handling or appeal process results in a decision that supports the student, the registered provider may choose to appeal to a higher level within the mediation process letting the student know their decision to do so within 10 working days. Otherwise the RTO must implement any decision and/or corrective and preventative action required and advise the student of the outcome within 20 working days.

## Principles

Any complaint should be handled fairly, recognising the legal rights of the person making the complaint, GTI and the person against whom the complaint is being made. All parties concerned should be treated with courtesy and appropriate confidentiality will be maintained.

GTI should be transparent and accountable in relation to client complaints by ensuring information about the procedure readily available.

At any point a complaint may be withdrawn by the complainant.

GTI will collect data and maintain records of complaints received confidentiality and their outcomes. These may be used by management as part of GTI's continuous improvements.

All documentation relating to student complaints will be stored in the student's electronic folder and the Quality Assurance Officer notified about the complaint within 2 working days. The complaint must be filed appropriately.

This policy and procedure is available to all staff. This policy and procedure is also available to all prospective and enrolled students in the GTI website and contractual documentation.

## Procedure

### Staff and Client Information

Management may inform all staff of complaint and appeal procedures. This often takes place at the staff induction and as improvements are made to the complaints and appeals procedure.

### Complaints and Appeals System

The complaints and appeals system is designed to ensure that clients are able to present their complaint at low cost to the complaint and in a fair and equitable manner.

The complaints & appeals procedure allows staff and clients have access to an independent arbiter if necessary.

The complaints & appeals procedure aims to have complaints and appeals resolved within the specified time frame.

### Complaint and Appeals Process

To initiate the complaint process:

- Processes are to be undertaken to informally resolve the complaint
- The client can choose to speak directly with a GTI Representative to resolve the problem, or can write to the registrar if unable to speak directly to a GTI Representative; and
- While not mandatory, it is strongly recommended that the client lodges the complaint in writing, and, where possible, using the appropriate form.

To investigate the complaint:

- Acknowledge receipt of the complaint within 10 working days and investigate the matter with all concerned parties;
- For non-assessment complaints, ensure that the investigation is appropriate to the nature and seriousness of the complaint, and
- In all cases, the investigation is to be conducted, fairly, openly, and impartially.

To resolve the complaint:

- Where possible respond to the client in writing within 10 working days of receiving the complaint with progress results of the investigation;
- If the complaint requires more than 60 calendar days to resolve, then the client will be notified in writing, including being provided a reason why, and will be notified in writing of the progress of the complaint every week thereafter until the complaint is resolved;
- Where possible ensure that results of the investigation include any corrective action necessary to prevent or minimise future similar complaints; and
- Advise all parties of the Appeal Process and/or any external organisations that may assist, if

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the complaint is unresolved.

To finalise the complaint:

- Update records
- Secure records

## **Preventive Action**

Management may consider where appropriate implementation of preventive or corrective action as appropriate to the problem identified through the complaints & appeals process to minimise future occurrences wherever possible.

## **Related Documents**

- Complaints & Appeals Form