

Complaints and appeals

March 2015

Purpose

This document is provided by the Queensland Curriculum and Assessment Authority for the use of Queensland schools that are registered training organisations (RTOs). Its primary purpose is as an example and use is not mandatory. If used by a school RTO as part of its RTO management systems, it must be appropriately adapted and personalised to meet current requirements as defined in the *Standards for Registered Training Organisations (RTOs) 2015* (www.comlaw.gov.au/Details/F2014L01377).

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Policy statement

To be compliant with Standard 6 of the *Standards for Registered Training Organisations (RTOs) 2015* the school RTO must have a publically available complaints and appeals policy.

The school RTO (Name of school RTO) will ensure that the principles of natural justice and procedural fairness are adopted at every stage of the complaints and appeals process. All formal complaints and appeals will be heard and decided on within 60 calendar days of receiving the written complaint or appeal.

If the school RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the complainant or appellant will be informed of the reasons in writing and will be regularly updated on the progress of the matter.

If the processes fail to resolve the complaint or appeal, a review by an independent party will be provided if requested.

The designated person will maintain a secure Complaints and Appeals Register, which documents all formal complaints, appeals and their outcomes.

Any substantiated complaints, as well as the complaints and appeals policy, will be reviewed as part of the continuous improvement processes and appropriate corrective action taken to eliminate or mitigate the likelihood of reoccurrence.

The Principal (as the chief executive officer) of the school RTO is ultimately responsible for ensuring that the school RTO complies with the VQF. This includes the complaints and appeals policy and procedures.

Procedures in this document

1. [Complaints procedure](#)
2. [Appeals procedure](#)

1. Complaints procedure

- All formal complaints must be in writing and addressed to the Principal, as CEO of the RTO.
- On receipt of a written complaint:
 - a written acknowledgement is sent to the complainant from the Principal (via admin support)
 - the complaint is forwarded to the RTO Manager.
- If the complaint is not finalised within 60 calendar days, the complainant is informed of the reasons in writing and regularly updated on the progress of the matter.
- The Principal and/or the RTO Manager will either deal with the complaint or convene an independent panel to hear the complaint; this shall be the complaints and appeals committee.
- The complaints committee shall not have had previous involvement with the complaint and will include representatives of:
 - the Principal
 - the teaching staff
 - an independent person.
- The complainant shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The relevant staff member, third party or student (as applicable) shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The outcome/decision will be communicated to all parties in writing within 60 days.
- If the processes fail to resolve the complaint, the individual making the complaint will have the outcome reviewed (on request) by an appropriate party independent of the RTO.
- If the complainant is still not satisfied, the Principal will refer them to the QCAA website for further information about making complaints (www.qcaa.qld.edu.au/3141.html).
- **The root cause of any complaint will be included in the systematic monitoring and evaluation processes of the RTO so that appropriate corrective action can be instigated to eliminate or mitigate the likelihood of reoccurrence.**

2. Appeals procedure

- All formal appeals must be in writing and addressed to the Principal, as CEO of the RTO.
- On receipt of a written appeal:
 - a written acknowledgement is sent to the appellant from the Principal (via admin support)
 - the appeal is forwarded to the RTO Manager.
- If the appeal is not finalised within 60 calendar days, the appellant is informed of the reasons in writing and regularly updated on the progress of the matter.
- The Principal and/or the RTO Manager will either deal with the appeal or convene an independent panel to hear the complaint; this shall be the complaints and appeals committee.

File location: G:\Coredata\Teachers\VET Compliance
Version date: December 2015
Ownership: Mt Gravatt State High School

Review date: December 2016
Approved: Richard Usher CEO

- The appeals committee shall not have had previous involvement with the appeal, and will include representatives of:
 - the Principal
 - the teaching staff
 - an independent person.
- The appellant shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The relevant staff member, if applicable, shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The outcome/decision will be communicated to all parties in writing within 60 days.
- If the processes fail to resolve the appeal, the individual making the appeal will have the outcome reviewed by an appropriate party independent of the RTO.
- If the appellant is still not satisfied, the Principal will refer them to the QCAA website for further information about making complaints (www.qcaa.qld.edu.au/3141.html).
- **The root cause of any appeal will be included in the systematic monitoring and evaluation processes of the RTO so that appropriate corrective action can be instigated to eliminate or mitigate the likelihood of reoccurrence.**

Policy information required on school RTO website

The school RTO must include the following information on its public website.

The school, as an RTO, has a complaints and appeals policy specific to its RTO operations.

A **complaint** can be made to the school RTO regarding the conduct of:

- the school RTO, its trainers, assessors or other school RTO staff
- students of the RTO
- any third parties providing services on behalf of the school RTO (if relevant).

An **appeal** can be made to the school RTO to request a review of a decision, including assessment decisions.

The school RTO will ensure that the principles of natural justice and procedural fairness are adopted at every stage of the complaints and appeals process. All formal complaints and appeals will be heard and decided on within 60 calendar days of receiving the written complaint or appeal.

If the school RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the complainant or appellant will be informed of the reasons in writing and will be regularly updated on the progress of the matter.

If the processes fail to resolve the complaint or appeal, a review by an independent party will be provided if requested.

Complaints or appeals should be directed to the Principal as CEO of the school RTO:
 rushe5@eq.edu.au