

Document Name and Version #: Appeals, Complaints and Grievance Policy/Procedure.V11	Manual/s: EI Policy/Procedure Manual Student/Employer/EI handbook
Date of last issue: Feb 2015	Authorised by: N.Ryu
Date revised: Jan 2016	Developed by : H.Khan
Date for review : Jan 2017	

Appeals, Complaints and Grievances Policy/Procedure

Scope

This policy and procedure applies to all stakeholders of Education Institute.

Purpose

This document aims to protect the rights of students and clients to present a complaint and to appeal any decisions (including assessment decisions), and to be treated fairly in the process.

This Policy/Procedure sets out the requirements that relate to:

Standards for Registered Training Organisations (RTOs) 2015

Standard 1 -The TO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET Accredited courses. (1.8)

Standards 2 - The operations of the RTO is Quality Assured (2.2)

Standard 5 - Each learner is properly informed (5.2)

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

2014 - 2016 VET Funding Contract (V2.0)

3. General obligations of RTO

Schedule 1 Victorian Training Guarantee Program Specifications

Part A 1: Promotional materials, website and other publications

Definitions

Appeal: In law, an appeal is a process for requesting a formal change to an official decision.

Complaint: A statement that a situation is unsatisfactory or unacceptable.

Grievance: An official statement of a complaint over something believed to be wrong or unfair.

Formal Appeal/Complaint/Grievance: A grievance, complaint or appeal is deemed to be a formal grievance, complaint or appeal when it is made in writing.

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Policy

Despite all efforts to provide excellence in its services to its students and clients, Education Institute acknowledges that complaints may arise that will require formal resolution. Education Institute shall ensure that all complaints received will be given top priority and consideration, with the objective to reach a resolution.

Procedure

Students and clients of Education Institute have the right to present a complaint and to appeal any decisions (including assessment decisions), and to be treated fairly in the process. All complaints and appeals will be treated confidentially, involving only those who need to know, and only with the complainant's permission.

If a student/client is dissatisfied with any aspect of the course they are undertaking (including another learner) or they wish for a competency decision to be reviewed, they should:

- First discuss it with their Trainer/Assessor. If this is not appropriate, discuss it with the appropriate Training Manager. This detail is available via the students training plan, or alternately if they contact the office and provide the qualification they are undertaking they will be transferred to the relevant Training Manager. This is also applicable to those studying under third party arrangements. The contact listed in the Training Plan is to always be the relevant department manager at Education Institute. This ensures all students have a point of contact for Appeals, Complaints and Grievances.
- If the Training Manager and student/client are unable to resolve the dispute, or it is not appropriate that the Training Manager deal with it, the matter should be referred to the Quality and Compliance Manager.
- If the Quality and Compliance Manager is unable to resolve the dispute, or it is not appropriate that the Quality and Compliance Manager deal with it, the matter should be referred to the CEO of Education Institute.

In the event of a formal complaint or appeal, the following steps will be taken:

- Formal complaints and appeals will be made via the **Appeals Complaints and Grievances Form**. Where the complainant chooses to, they may opt to not complete the provided form and instead provide details of this complaint in writing or verbally. When the complaint is made verbally it is the responsibility of the staff member to keep a record of this conversation.
- The `Appeals, Complaints and Grievances form' will be located in each student's information booklet, employer handbook, our [website](#) and upon individual request.
- The `Appeals, Complaints and Grievances form' is to be addressed to the appropriate Manager of Education Institute. Upon receipt of the complaint, the Manager will investigate (including allowing the subject of the complaint to provide their side of the story) within 5 working days, and the complainant will be notified of the result of the investigation within 7 working days. Where this is not practical the complainant will be notified of the planned timeframe for a resolution within 7 working days.
- The Manager will provide the appellant/complainant with a response to the complaint within 7 working days including reasons for the decision/s made with reference to their complaint form.

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- Where a grievance cannot be resolved through discussion and conciliation Education Institute acknowledges the need for an appropriate external and independent agent to mediate between the parties. The Complainant may suggest an independent agent, or can opt to use an agent arranged by Education Institute. Agreement to costs will be negotiated prior to any third party being engaged.
- Should the appellant/complainant not be satisfied with the outcome of their complaint/grievance, they can appeal to Education Institute’s Grievance Appeals Committee.

This committee will include senior staff members of Education Institute. Each complaint may require the attention of some or all committee members.

Name	Title	Company
Hinna Khan	Quality & Compliance Manager	Education Institute
Department Training Manager	Training Manager	Education Institute
Nathan Ryu	Chief Executive Officer	Education Institute

- The complainant will be provided the opportunity to formally present their case.
- The complainant bringing the complaint or appeal has the right to be supported by a person of their choice during the process.
- Once a decision regarding the complaint or appeal has been made, it will be discussed with the complainant, and reasons for the decision put in writing to the complainant and others as applicable.
- The complaint or appeal and the outcome will be recorded, dated and stored on the complainant’s individual file, and also within the folder managed and maintained by the Quality & Compliance Manager for continuous improvement.
- The complainant also have the right to take complaints or grievances to external agencies if, after following Education Institute’s internal procedures, the complainant still believe Education Institute is in breach of its legal requirements. The complainant can submit a complaint to ASQA by completing the ‘ASQA Online Complaints Form’

<http://www.asqa.gov.au/complaints/make-a-complaint---domestic-students/submit-a-complaint-to-asqa.html>

Continuous Improvement Actions initiated by the complaint shall be noted on the ‘Continuous Improvement Register’ and utilised in the ‘Internal Audit Review’ of Education Institute’s Policies and Procedures.

Associated documents

- [Education Institute Policy/Procedure](#)
 - *Education Institute Code of Practice*

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- *Education Institute Code of Conduct*
- *Continuous Improvement Policy*
- *Feedback and Evaluation Policy*
- *Appeals Complaints and Grievances Form*
- *Continuous Improvement Register*