



## COMPLIANTS & APPEALS PROCESS

**Standard 2:** The organisation has strategies in place to adhere to the principles of access and equity and to minimise outcomes for its clients

**Standard 2.6** The organisation has a defined complaints and appeals process that will ensure learners' concerns are reviewed and addressed where appropriate and complaints and appeals are addressed effectively and efficiently.

### **Purpose:**

To ensure AVTA has a process for dealing with Complaints and Appeals and that they are managed fairly, efficiently and effectively.

### **Procedure:**

The General Manager is responsible for:

- Developing and implementing a process for handling complaints and appeals.
- Ensuring that clients and staff know about and follow the system.
- Taking corrective action to deal with the identified causes of complaints
- Monitoring and improving the System.

Evidence is to be provided recording all complaints in AVTA's Complaints & Appeals Register and advice provided to the Director of developments and show that resolution has been demonstrated. The following details will be recorded in the register:

- Submission date of complaint
- Nature of complaint
- Date/s when cause of complaint occurred
- Attachments (if applicable)
- Determined Resolution
- Date of Resolution.

The General Manager will also use complaints and appeals data to review AVTA's operations and must act on any substantiated claims.

Complaints and appeals are to be monitored and reviewed to prevent their recurrence and to improve the AVTA's operations or services.



The procedure for dealing with complaints and appeals follows:

## **COMPLAINTS**

Complaints and will be dealt with in accordance with the following procedure.

- STEP 1:** First, you should try to resolve the matter directly with the other person. You should also tell your Assessor, if the issue does not involve them. This should be done within 7 days of speaking to the other person.
- STEP 2:** The Assessor must provide a written statement of outcome you within 21 days of the complaint being raised. The Assessor must also advise the RTO General Manger of the complaint.
- STEP 3:** If the first attempt to resolve the issue fails, or step 1 is not suitable for you, you should write to AVTA General Manger describing the complaint (using complaint & appeal advice). The General Manger will then forward the complaint to an external independent party. The independent party will investigate the complaint, recommend a solution and act on any substantiated claim. A written statement of outcome will be provided to you within 7 days.

## **COMPLAINTS APPEALS**

You must use the following procedure to appeal a decision you do not agree with:

- STEP 1:** Write to the General Manger (using the compliant & appeal advice) within 21 days of the date of the statement of outcome.
- STEP 2:** The appeal will be forwarded to an independent party external to the organisation for investigation and assessment. This will not be the same person who investigated the complaint the first time.
- STEP 3:** The independent external assessor will provide a written statement of outcome within a further 21 days, act on any substantiated claim and document the appeal in the Complaints & Appeals Register.
- STEP3:** If the appeal remains unresolved the parties may seek arbitration by a third party acceptable to all parties to the appeal.
- STEP 4:** If the appeal is still unresolved, the client will be advised of external agencies that may be able to assist.



## **ASSESSMENT APPEALS**

Participants may appeal assessment decisions by assigned Assessors. All appeals must follow the procedure below:

- STEP 1:** Submit your appeal in writing (using the complaint & appeal advice) to the General Manger within 14 days of the being notified of the assessment decision.
- STEP 2:** The General Manger will investigate the appeal and may arrange for re-assessment by an independent assessor. The General Manger must act on any substantiated claim and record the appeal in the Complaints and Appeals Register.
- STEP 3:** The General Manger will advise the client of the outcome in writing within 21 days of receipt of the appeal.
- STEP 4:** If the client remains unsatisfied with the decision then he/she may seek a re-determination under the Complaints appeals process.

### **Documentation**

- Complaints & Appeals Register
- Complaint & Appeal Advice



## COMPLAINT & APPEAL SUBMISSION

**Instructions:** Participants wanting to submit a complaint or appeal must use this form and attach any supporting documentation.

Complaint                       Appeal  
(Please tick appropriate box)

Student Name: \_\_\_\_\_  
Qualification Code \_\_\_\_\_

Assessment Location: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Tel: \_\_\_\_\_

Facsimile: \_\_\_\_\_ Email: \_\_\_\_\_

Position: \_\_\_\_\_

Date of Complaint or Appeal: \_\_\_\_\_

Complaint, Appeal Description: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Action You Have Taken To Resolve This:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Action Taken Date: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
General Manger

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Complainant

