
SWTS-Complaint and Appeals Procedure

1.0 Purpose:

The purpose of this document is to define and maintain a standardised process for handling complaints and Appeals at SWTS so that they are managed fairly, efficiently and effectively. At SWTS, we create an Environment where client views are valued.

2.0 Abbreviations and definitions:

SWTS: South West Training Services

RTO: Registered Training Organizations

Appeals: Appeals are grievances raised in relation to an assessment decision.

Complaints: Complaints may be raised about anything else to do with a student's training or treatment whilst engaged with SWTS.

3.0 Scope:

This procedure applies to all the complaints and appeals reported by Clients and stake holders.

4.0 Responsibility:

The Director:

- ratifies complaint resolution actions and appeal decisions
- Refers clients not satisfied with the outcome of complaints or appeals to the appropriate outside agencies.

Quality Manager:

- handles all formal complaints or appeals in the first instance
- ensures that the Director is aware of any formal complaints or appeals
- participates in complaint resolution processes and moderates regarding appeals (as appropriate)
- takes responsibility for the overall maintenance of the Complaints and Appeals Register, including ensuring complaint resolutions, decisions or actions are documented

Training Manager/Trainer/Assessor:

- refer any formal complaints or appeals to the Quality Manager.

Student registrar:

- refer any formal complaints or appeals to the Quality Manager.
- in conjunction with the Quality Manager, maintains the Complaints and Appeals Register.

5.0 Process:

Complaints arise when a client is dissatisfied with an aspect of the RTO's services, and requires action to be taken to resolve the matter.

Appeals arise when a client is not satisfied with a decision that the school RTO has made.

Appeals can relate to assessment decisions, but they can also relate to other decisions.

Clients with either a complaint or an appeal have access to the following procedures:

Informal complaint (or feedback)

- The initial stage of any complaint (or feedback) shall be for the client to communicate directly with the trainer.
- Client/s dissatisfied with the response to the informal feedback or complaint may initiate a formal complaint

Informal Appeal

- Discuss issues of concern regarding assessments results with assessor so that potential oversights can be corrected or interpretations clarified. (This must occur within 30 days of receiving results).
- Client/s dissatisfied with the response to the informal feedback or appeal may initiate a formal Appeal.

Formal complaint and appeal:

- The informal complaint procedure should be used first.
- All formal complaints or appeals to be done to Student Registrar by using the **Students Complaints and Appeals Form.**
- Student registrar shall record written appeals to the **Students Complaints and Appeals register** and then inform the Quality Manager and Director.
- On receipt of a formal complaint or appeal, the Director and Quality Manager shall convene an independent panel to hear the complaint; this shall be the complaints and appeals committee.

- The complaints and appeals committee shall not have had previous involvement with the complaint or appeal, and will include representatives of:
 - the Director
 - the Training Manager
- The client shall be given an opportunity to present their case to the committee, and may be accompanied by one other person as support or as representation.
- The relevant staff member shall be given an opportunity to present their case to the committee
- The complaint and appeals committee will make a decision regarding the complaint or appeal and record the recommended corrective and improvement actions in **Students Complaints and Appeals Form**.
- The complaint and appeals committee will communicate its decision to all parties in writing within 14 working days of making its decision.
- A copy of the complaints and appeals form to be kept in Complaints and Appeals Folder in Director's room.
- If the client is still not satisfied, the Director will refer them, if the complaints remains unresolved, SWTS will refer the complaint to the Dispute Resolution Centre at the Victorian Department of Justice for their assessment, advice and services for settling the dispute.

Dispute Settlement Centre Victoria

4/456 Lonsdale St

Melbourne VIC 3000

Tel: 03 9603 8370

Tel: 1800 658 528 (toll free for regional callers)

Email: dscv@justice.vic.gov.au

- The root cause of any complaint or appeal will be included in the continuous improvement processes of SWTS
- The complaint and appeals shall be discussed in annual AGM meetings together with their root causes and improvement actions.

6.0 Revision History:

Revision No	Date Approved	Approved by	Brief description of the change
1	June 2013	JurgenWiesner	Initial draft