

# Complaints and Appeals

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**References:** SRTO 2015 Standard 6

## 1.0 Purpose

This policy provides the framework to give any learner the opportunity to put forward a complaint or appeal against any perceived unfair treatment or assessment.

Lead Institute will ensure that students have a fair, inexpensive means of appealing decisions, procedural matters or any issues that directly relate to the successful completion of their course.

## 2.0 Background

Lead Institute will provide an effective complaints and appeals policy as referenced in Standard 6 from the Standards for Registered Training Organisations (RTOs) 2015. Lead Institute will ensure their students have the right to natural justice protected through access to professional, timely, inexpensive, and documented complaints handling and appeals processes.

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

*RTOs must implement a transparent complaints and appeals policy that enables learners and clients to be informed of and to understand their rights and the RTO's responsibilities under the Standards*

## 3.0 Definitions

**Complaint** - A cause or reason for complaining; a grievance.

**Appeal** - Where a student is not satisfied with the outcome of an assessment, or wishes to dispute a Lead Institute decision, he/she may 'appeal' or question the decision. The assessment may be reviewed and possibly be changed if deemed necessary.

## 4.0 Policy

### 4.1 Context

It is in the interest of the college and the students to resolve any student grievances or disputes quickly and judiciously. To inform the students of the grievance processes, this policy will be made available on the Lead Institute website, the Lead Institute Student Handbook, and reiterated during Orientation.

Questions relating to refunds, money or visas which are not able to be dealt with by the Student Support Officer will be passed on immediately to the Executive Director. However, if the grievance is related to class work, the student's first stop will always be the classroom teacher or trainer. All student grievances will be dealt with in a timely and courteous manner. At all times, the student has the option of registering a formal complaint at reception.

## 5.0 Procedures

### 5.1 Appeals

Students have the right to appeal decisions they believe are unfair, whether educational or administrative in nature. If there is a dispute about an assessment or grade, the teacher or trainer/assessor will meet with the student to explain the reasons for the outcome. If, after this meeting, the issue is still unresolved, the teacher or trainer will seek a second opinion from another teacher, or the program coordinator, and will advise the student of the outcome.

Where a decision cannot be resolved satisfactorily through informal negotiation, the student can lodge a written appeal with the Student Support Officer or Academic Manager within seven days of being notified of the decision.

### 5.2 Appeals Timeframes

The Lead Institute appeal period for results is **ten (10) working days** from the return of the assessment item to the student. Where a student is not satisfied with the treatment or assessment provided, they are required to put their complaint in writing to Lead Institute within **five (5) working days** of the incident and to provide examples where possible.

Lead Institute will ensure that the re-assessment and determination occur within **twenty (20) working days** of receiving an appeals letter.

### 5.3 Appeals Procedure – Assessment Results

Lead Institute will arrange for the assessment to be marked by a second teacher or assessor. The Student Support Officer or Academic Manager will then review the two assessment results and make a determination.

If a VET student is still not satisfied, then Lead Institute will, by request, set up an appeal panel, made up of a minimum of two people who are external to the organisation from the following areas to review the assessment:

- VET facilitators, and
- Industry representatives.

The learner will also be invited to attend Panel and to have a representative present.

Lead Institute will advise the learner of the determination (including reasons for the conclusion) in writing.

Lead Institute will maintain a log of all appeals received and the outcomes.

## 5.4 External Appeals

Any student who requires independent advice or mediation can contact

**Australian Skills Quality Authority (ASQA)** and the contact details are:

**Address:** 215 Adelaide St, Brisbane City QLD 4000

**Phone:** 1300 701 801

If the internal or external complaint or appeals process results in a decision that supports the student, Lead Institute will immediately implement that decision and/or corrective and preventative action as required.

## 5.6 Complaints Procedure

Complaints may be made over the telephone or in person (or by email). Lead Institute Staff will attempt to address these problems immediately. If this is not possible, the complainant will be asked to submit their complaint in writing. Students are required to submit their complaint in writing after an unsuccessful attempt has been made to deal with the complaint over the telephone or in person. A copy of the letter of complaint is to be filed on the relevant learner's file. Alternatively, students have the right to formally present their case to the appropriate managerial agent, at no charge. At this meeting, students may elect to be accompanied and assisted by a support person of their own choosing. Afterwards, a written summary of the student's case will be drawn up and kept on his or her file.

All written complaints or summaries of formal presentations are to be logged in the Complaints Log. The log will include the following information:

- Date received.
- Brief description of complaint.
- Staff member dealing with the complaint.
- Date of response, solution or referral.
- Brief description of response, solution or referral (i.e. how the complaint was solved and or the action taken).
- Evidence present in student admin file (note from telephone conversation, copy of letter of complaint etc)

## 5.7 Timelines

A response, solution or referral will be completed within **five (5) working days**.

## 5.8 Outcomes

The complainant will be given a written statement of the outcomes, including the reasons for the decision.

A summary of the complaints received, and the actions taken is to be presented and discussed at relevant departmental team meetings by the Student Support Officer or Academic Manager.

Any complaints which have led to a change in policy, procedure or other aspect of the college are to be recorded in the relevant department's Continuous Improvement Register.

## 6.0 Forms

- Complaints and Appeals Submission Form
- Complaints and Appeals Register
- Continuous Improvement Register

## 7.0 References

[Standards for Registered Training Organisations \(RTOs\) 2015](#)  
[Complaints & Appeals | Australian Skills Quality Authority \(ASQA\)](#)

### Version history

Date	Version	Author	Status	Reviewers
2019	1.0	C Kerr	Implemented and drawn from pre-existing policies.	B White
2019	2.0	C Kerr	Revised	B White
2020	2.1	C Kerr	Revised	B White
2020	2.2	C Kerr	Added footer and Appeals Process from external doc.	B White
2020	3.0	C Kerr	Amended with reference to Standard 8.1(b) and (c)	B White
APR 2021	3.1	L Daly	Amended Background with reference to Standard 6 - Standards for Registered Training Organisations (RTO's) 2015 and updated some minor details.	J Woodward
JUN 2021	3.1	S Sciasci	Revised	L Daly