POLICY & PROCEDURE

CROWN COLLEGE

Procedure Number & Name: RTOPRO025 Complaints and Appeals

1. POLICY

Crown College is committed to ensuring all staff and participants are provided with the best possible environment in which to work and study. Despite all efforts of the RTO to provide satisfactory services to its students, complaints may occasionally arise that require formal resolution. The following procedures provide participants the opportunity to have any issues relating to a substantiated complaint or appeal resolved and resolutions reached that attempt to satisfy all parties involved. This complaints and appeals process will be at no cost to the participant.

2. RELATED STANDARDS

This policy relates to the following standards from Standards for Registered Training Organisations 2015.

Standard 1.7
The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.

Standard 2.2
The RTO:

a) systematically monitors the RTO’s training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and

b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO’s training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

Standard 5.2
Each learner is properly informed and protected.

d) the learner’s rights, including:

i) details of the RTO’s complaints and appeals process required by Standard 6; and

ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;

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

Standard 6.1
6.1. The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

a) the RTO, its trainers, assessors or other staff;

b) a third party providing services on the RTO’s behalf, its trainers, assessors or
other staff; or
c) a learner of the RTO.

**Standard 6.2**
The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO’s behalf.

**Standard 6.3**
The RTO’s complaints policy and appeals policy:
a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
b) are publicly available;
c) set out the procedure for making a complaint or requesting an appeal;
d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
e) provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

**Standard 6.4**
Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
b) regularly updates the complainant or appellant on the progress of the matter.

**Standard 6.5**
The RTO:
a) securely maintains records of all complaints and appeals and their outcomes; and
b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

**Standard 6.6**
Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

### 3. PURPOSE

This policy is implemented to make all staff and participants aware of their right to appeal and/or make a complaint against any decision or fact that has affected their study experience at Crown College.

This policy outlines Crown College’s approach to managing complaints and appeal and ensures all stakeholders are aware of the steps to take to have their dissatisfaction addressed appropriately.

This policy provides an avenue for all complaints to be addressed in a fair, efficient and confidential manner.
4. RESPONSIBILITY

Group Manager – Learning & Development
Group Training Manager – RTO
Group Training Manager – Support Services
Group Training Manager – Hotels, Retail, Food & Beverage
Group Training Manager – Gaming
All RTO Training & Assessment staff
All RTO administration and support staff

5. DEFINITIONS

Crown College RTO – includes the following Registered Training Organisations as identified on training.gov:
- Crown Melbourne Ltd trading as Crown College RTO ID: 3743
- Crown Training Pty Ltd RTO ID: 40529

Complaint means any act or commission that a customer or potential customer of Crown College believes to be unfair or discriminatory and relates to any Crown College activity. It can include complaints related to academic or non-academic matters.

Appeal means a request to review a decision that has been previously made.

6. GUIDELINES

This Policy relates to all employees or contractors employed by Crown College RTO.

7. PROCEDURES

Stage 1 – Informal Complaint Process

1. Complaint is made to Crown College staff member
2. Complaint is recorded and emailed to the RTO Compliance Coordinator
3. Complaint is recorded in the Complaint Register
4. RTO Compliance Coordinator engages stakeholders and assigns complaint to appropriate Group Training Manager
5. Relevant Group Training Manager contacts complainant within 5 working days of receiving complaint
6. If the matter is resolved, written acknowledgement is sought from all parties (preferably by email)
7. If the matter is unresolved, an internal investigation of the complaint is initiated by the relevant manager
8. The outcome of the investigation will either be a resolution of the complaint or initiation of formal complaint process
9. The complainant (and staff member if relevant) are provided with a written statement of the outcome which outlines the details of the decision. The written statement will be provided within 10 working days by the relevant manager and RTO Compliance Coordinator
Stage 2 – Formal Complaint Process

1. Written complaint is submitted to the RTO Compliance Coordinator
2. The RTO Compliance Coordinator will acknowledge the complaint within 5 working days of receipt
3. The RTO Compliance Coordinator (or independent staff member) investigates the complaint and liaises with all parties involved
4. The complainant and staff member are provided with a written statement of outcome which outlines the details of the decision. The written statement will be provided within 10 working days by the RTO Compliance Coordinator
5. If the matter is resolved, written acknowledgement is sought from all parties
6. If the matter is unresolved it will be referred to the Group Training Manager RTO and the Group Manager, Learning and Development.
7. The complainant is provided with a written statement of the outcome which outlines the details of the decision. The written statement will be provided within 15 working days by the Group Training Manager RTO.
8. If required to attend a formal meeting/mediation session, the complainant may be accompanied at the meeting by a representative.

Stage 3 - Appeals Process

If a stakeholder remains unsatisfied with the outcome of their complaint, a written statement detailing their appeal is to be lodged with the Group Training Manager RTO.

1. The Group Training Manager RTO will delegate the appeal to the relevant portfolio Group Training Manager for review of the original outcome and the grounds for the appeal. They will consult as necessary to investigate the appeal;
2. The portfolio Group Training Manager will contact the appellant within 10 working days to discuss the outcome of the complaint and identify the desired outcome;
3. The desired outcome will be discussed with relevant stakeholders and a solution agreed to;
4. The Group Training Manager RTO will advise the appellant in writing within 10 working days of the outcome of their appeal;
5. If an agreed solution cannot be reached the appellant may escalate the appeal to the Group Manager, Learning and Development.
6. The appellant is provided with a written statement of outcome which outlines the details of the decision. The written statement is provided within 15 working days by the Group Training Manager RTO.
7. Crown College is a member of LEADR Student Mediation Scheme. If you are dissatisfied with the outcome of the complaint at the end of the internal process, you may wish to have the matter dealt with through an external dispute resolution process facilitated by LEADR. The division of the expenses associated with the mediation e.g. mediator’s fee, room hire and possibly travel expenses are to be shared equally between Crown College and the complainant. Further information and a detailed Information Kit is available from [http://www.leadriama.org/membership-information/student-mediation-scheme](http://www.leadriama.org/membership-information/student-mediation-scheme)

Complaints to the Regulator

If the complainant wishes to make an official complaint to the regulator, they can complete the Complaint about a training organisation operating under ASQA’s jurisdiction form provided by the Australian Skills Quality Authority (ASQA) on their website. [http://www.asqa.gov.au/complaints/making-a-complaint.html](http://www.asqa.gov.au/complaints/making-a-complaint.html)
8. RECORD KEEPING

All RTO staff associated with investigating and resolving a complaint or appeal are required to keep file notes of any related discussions or actions. Such file notes are to be marked ‘strictly confidential’ and be held in a secure restricted place. All official correspondence with the complainant/appellant will be retained in the same place.

Notes should be kept to a minimum stating only facts and relevant details as described by the parties. Dates and times of interactions should also be recorded.

All details relating to complaints and appeals will be recorded in the Complaints and Appeals Register.

Any actions arising from the Complaints and Appeals Register will be used to inform the Continuous Improvement Committee and further enhance Crown College’s systems and operations.

9. RELATED DOCUMENTS

Student Information Handbook
Trainer/Assessor Guide
Complaints and Appeals Register
Continuous Improvement Register

10. AUTHORITY

Group Training Manager – RTO

11. AMENDMENT SCHEDULE

<table>
<thead>
<tr>
<th>Date</th>
<th>Modification</th>
<th>Version</th>
<th>By</th>
</tr>
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<tbody>
<tr>
<td>17.11.2014</td>
<td>New template, updated Responsibility &amp; Authority, Related Documents, updated procedure to include new Stage 1, 2, 3 process, included Record Keeping, updated to New Standards 2015</td>
<td>2.0</td>
<td>Vanessa Hoppe</td>
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<tr>
<td>10.8.2015</td>
<td>Update Stage 3 Point 7. to include reference to LEADR external organisation for dispute resolution</td>
<td>3.0</td>
<td>Vanessa Hoppe</td>
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