



Procedure Name:	<b>Complaints Handling and Appeals</b>
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Audience:	UQ College Staff, Students and Community
Contact Officer:	CEO
Related Documents:	Student Handbook; UQ 5.70.08 Staff Grievance Resolution Procedure
Legislation:	

## 1. Purpose and Objective

This procedure outlines the process for managing complaints received about the RTO, and about and from learners, teachers, staff or third parties.

## 2. Procedure Scope/Coverage

This complaints procedure will manage allegations involving the conduct of:

- UQ College Staff, teachers, lecturer, trainers, assessors, and other staff
  - Stakeholders and others
  - a third-party providing services on the RTO's behalf, its trainers, assessors, or other staff (where this may be relevant to its operations)
- a learner of the UQ College

## 3. Definitions

**Complaint** - is any expression of dissatisfaction with an action or service of the Registered Training Organisation.

**Grievance** - is a level of complaint handled informally at the local level. The information and level of documentation about the grievance should be such to ensure all parties have a record of the nature of the grievance and its agreed resolution and the record is safely stored.

## 4. PROCEDURE

Step	Process	Actions
4.1	Prevention	UQ College seeks to prevent complaints by ensuring high levels of satisfaction with its training and assessment, its performance as an RTO and with its public image. If a complaint should arise, all staff are expected to be fair, courteous and helpful in all dealings with a appellant.
4.2	Make a complaint	If the staff member is unable to immediately resolve a complaint, the appellant is to put their complaint in writing to the <b>Manager – Business Development</b> as a formal complaint using the <b>Have Your Say Form</b> available through the administration office at UQ College
4.3	Review the complaint	<p><b>Manager – Business Development</b> will:</p> <ul style="list-style-type: none"> <li>• Review the complaint within five (5) days of receiving the complaint</li> <li>• Acknowledge receipt of the complaint within 2 business days</li> <li>• Undertake a preliminary enquiry to determine nature of the complaint</li> <li>• Inform other relevant parties (if necessary)</li> <li>• Provide all parties an opportunity to present their cases (with a support person and/or parent/guardian if a learner or with an independent adviser if a client or other stakeholder)</li> <li>• Discuss the resolution and any arrangements required by UQ College with the parties</li> <li>• Record the outcome of discussion on the <b>Outcome of Complaint Form</b></li> <li>• Determine suitable resolutions for the complaint</li> <li>• Make available an independent panel to review the complaint if requested by the appellant</li> <li>• Provide the outcome in writing to the appellant (and other parties if relevant)</li> </ul> <p>*If the complaint is made by or relates to a current learner, there will be no action to the learner’s enrolment during complaint resolution, unless there is a serious concern for the health and safety of the learner or any other learner/s.</p>
4.4	Determination of outcomes	<p>Within 14 business days, <b>Manager – Business Development</b> will provide the appellant (and if relevant, parent/care giver) a written response identifying and explaining the actions taken to address the complaint.</p> <p>In the written response, the appellant (and if relevant, parent/care giver) will be invited to contact the <b>Manager – Business Development</b> to discuss their satisfaction with the outcome to the complaint.</p>



4.5	Appeal Process	An appellant has the right to appeal a decision as determined in (4) above
4.6	Lodge an Appeal	An appeal must be lodged within 20 business days of the appellant being notified of the decision (including assessment decisions) made by UQ College.  All appeals must be lodged in writing directly to the <b>Manager - Business Development</b> . Staff can assist an appellant in lodging an appeal.
4.7	Review the Appeal	The Manager - Business Development will: <ul style="list-style-type: none"> <li>• Allocate the relevant Manager the files relating to appeals against assessment decisions</li> </ul> The Manager to proceed as follows: <ul style="list-style-type: none"> <li>• Provide acknowledgement of receipt of the appeal to the appellant <b>within 2 business days</b></li> <li>• Provide an indication of timeframes for response and resolution of appeal</li> <li>• Review the appeal within five (5) business days of receiving the appeal</li> <li>• Undertake preliminary enquiry to determine the nature of the appeal issue/s</li> <li>• Provide the appellant an opportunity to present their case (with a support person and/or parent/guardian if a student under 18 yrs.)</li> <li>• Discuss possible outcomes with the appellant</li> <li>• Record discussion on <b>Appeals Form</b></li> </ul> <p>*If the appeal is made by or relates to a current student, there will be no action to the student's enrolment during appeal process, unless there is a serious concern for the health and safety of that or any other students.</p>
4.8	Determine Appeal Outcome	Within 14 business days, the <b>Manager - Business Development</b> will provide the appellant (and if relevant, parent/care giver) a written response identifying and explaining the actions taken to address the appeal.  In the written response, the appellant (and if relevant, parent/care giver) will be invited to contact the <b>Manager - Business Development</b> to discuss their satisfaction with the outcome to the appeal.
4.9	Timeframes	If a complaint and appeal cannot be processed and finalised within 60 calendar days, UQ College will: <ul style="list-style-type: none"> <li>• Inform the appellant in writing, citing reasons for the delay, and;</li> </ul> Regularly update the appellant on the progress of the matter
4.10	Independent panel	If the <b>Manager - Business Development</b> cannot resolve the appeal, the appellant can request that an Independent Panel review the



		<p>appeal. The panel should consider the appeal within ten (10) business days of receiving the appeal. If the appellant is a student, the student may have a parent/guardian or support person with them during the proceedings of the panel review.</p> <p>For student related issues, the panel will comprise two representatives of the UQC Student Affairs Committee, and a student representative as mutually agreed by the student and UQ College.</p>
4.11	Independent panel procedure	<p>The independent panel will:</p> <ul style="list-style-type: none"> <li>• Review the evidence submitted and circumstances regarding the appeal</li> <li>• Keep a record of the proceedings to ensure proceeding are conducted fairly</li> <li>• Inform the CEO and appellant, in writing, of its decision and cite the reasons for the decision</li> <li>• Provide the CEO and appellant with copies of the panel proceedings</li> <li>• The decision of the Independent Panel is final.</li> </ul>
4.12	Panel Timeframes	<p>The panel will report their findings within ten (10) business days.</p> <p>If the panel cannot process the findings within ten (10) business days, the panel will:</p> <ul style="list-style-type: none"> <li>• Inform the CEO and appellant in writing, citing reasons for the delay, and;</li> </ul> <p>Regularly update the CEO and appellant on the progress of the matter</p>
4.13	External Review	<p>If (having exhausted all internal processes) the appellant is still not satisfied, they may take the matter externally to an appropriate third party.</p> <ul style="list-style-type: none"> <li>• If the matter pertains to training, assessment, education support and/or administrative services of <b>the RTO</b> or a potential breach of the NVR Act; the appellant should be referred to ASQA’s complaints information page - <a href="http://www.asqa.gov.au/complaints/making-a-complaint.html">http://www.asqa.gov.au/complaints/making-a-complaint.html</a> or the National Training Complaints Hotline</li> </ul> <p style="text-align: center;"><b>Phone:</b> 13 38 73, (option 4) Monday–Friday, 8am to 6pm nationally.</p> <p style="text-align: center;"><b>Email:</b> <a href="mailto:NTCH@education.gov.au">NTCH@education.gov.au</a>.</p> <ul style="list-style-type: none"> <li>• Dependent on the nature of other matters, UQ College will attempt to assist the appellant with possible referral points to independent advice, for example, Training Ombudsman, Fair Trading QLD.</li> </ul>

4.14	Records	Written records will be retained in UQ College’s Complaints file and a copy stored on the relevant student’s files if applicable.
4.15	Improvement	From any substantiated complaints or appeals, as well as the complaints and appeals policy, the causes will be reviewed as part of the continuous improvement process. Appropriate corrective action will be taken to prevent or reduce the likelihood of reoccurrence and the actions will be recorded on the <b>Improvement Register</b> .
4.16	Illegal activity	Any complaint that is related to illegal activity, such as theft, assault etc, will be referred to the appropriate authority.

## 5. Responsibilities

- All staff** are responsible for:
  - ensuring the documenting of complaints as per the scope of this procedure; and
  - sending the details of the complaint to the **Manager – Business Development**.
- The **Manager – Business Development** is responsible for processing complaints in accordance with this procedure
- The **CEO** (or delegated person) will ensure that complaints are managed in accordance with this procedure, and the policy statement is publicly available via the College website and Student Handbook.

Version History				
Review Period:		2 years from date of last approval		
Version Number:	Approved by:	Approval Date:	Effective Date:	Sections Modified:
D1				New Procedure developed
1.0	CEO	October 2018	October 2018	Approval of new procedure
2.0	CMC	March 2020	March 2020	Updated process