

## RTO 1.03.829 COMPLAINTS INCIDENTS AND APPEALS

**This policy is applicable to:** All IRT Academy employees and Third Parties acting on behalf of IRT Academy.

### DISCLAIMER

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## DOCUMENT CONTROL

<b>Policy Number:</b> 1.03.829	<b>Policy Owner:</b> General Manager IRT Academy	<b>Version:</b> 1.2
<b>Contact position:</b> General Manager IRT Academy	<b>Approved for circulation:</b> Group Leadership Team	<b>TRIM classification reference:</b> EDOC2015/02259
<b>Date approved:</b> February 2015	<b>Review due to:</b> Scheduled review	<b>Next review due:</b> February 2018
<b>Procedure or Process reference no:</b> IRT Academy Procedure Manual COMPLAINTS/GRIEVANCES & INCIDENTS - Non-Academic Matters APPEALS – Academic Matters	<b>Compliance/Accreditation/ Standards reference:</b> National Vocational Education and Training Regulator Act 2011	

## REVISION RECORD

Date	Version	Revision description
Apr 12	0.1	First Draft
July 13	0.2	Amended references to L&D Coordinator to Operations Coordinator, updated location of Complaints, Incidents & Appeals Register, reworded section re: inclusion of external body/support person, updated form to Complaint Form.
Oct 14	1.0	Removed term; “unfavourable” from ‘What is an appeal?’ Section. Removed procedure detail and repositioned to IRT Academy Procedure Manual. Added reference to new RTO Standards
Nov 14	1.1	Scheduled Review
Jan 15	1.2	Policy moved to new format. Aligned to Standards for Registered Training Organisations 2015.

**1. TITLE**

RTO 1.03.829 COMPLAINTS INCIDENTS AND APPEALS

**2. POLICY STATEMENT**

IRT Academy will provide students with a documented process for making complaints or grievances and if such grievances are related to assessment outcomes, participants will have access to a fair and equitable appeal process.

**3. PURPOSE**

To ensure that the complaints incidents and appeals approach of IRT Academy meets legislated and regulatory requirements.

**4. SCOPE**

All IRT Academy enrolled and potential students, IRT Academy personnel and any third party(s) acting on behalf of IRT Academy.

**5. OBJECTIVE**

The purpose of this policy is to:

IRT Academy will provide students with a documented process for making complaints or grievances and if such grievances are related to assessment outcomes, participants will have access to a fair and equitable appeal process.

**6. POLICY DETAILS**

**6.1 What is a complaint?**

A complaint is generally negative feedback about services or staff which has not been resolved locally. A complaint may be received by IRT Academy in any form and does not need to be formally documented by the complainant in order to be acted on. Complaints may be made by any person but are generally made by students and/or employers.

**6.2 What is an incident?**

An incident is generally a situation that occurs that could lead to negative feedback about services or staff however, the client/learner has not formally submitted the concern as a complaint. An incident identified by IRT Academy in any form and must be acted on.

### 6.3 What is an appeal?

An appeal is an application by a student for reconsideration of a decision or finding during training and/or assessment. An appeal must be made in writing and specify the particulars of the decision or finding in dispute. Appeals must be lodged within 28 days of the decision or finding is informed to the student.

### 6.4 Early resolution for complaints and appeals

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should aim to be resolved at the time they occur between the persons involved.

## 7. ROLES AND RESPONSIBILITIES

All employees are required to comply with this Policy. There are no specific roles or responsibilities other than those outlined in the table below.

Specific roles and responsibilities of employees and management are outlined in Section 6 of this policy.

Specific roles and responsibilities of areas/departments/functions are outlined in the table below.

Role	Responsibility
Policy Owner – General Manager	Development and monitoring of implementation of policy.
Subject matter expert – Operations Coordinator	Daily operational supervision of policy.
Implementation – all other IRT Academy personnel.	Daily operational implementation of the policy and related procedures.
Advisory- IRT Group Stakeholder Engagement	Specialist advice re: media enquiry, potential media attention.
Advisory- IRT Group Customer Growth	Specialist advice re: customer service management.

## 8. EDUCATION AND STAFF DEVELOPMENT

Education and Staff development relevant to this policy will occur:

- Via the IRT Academy Quarterly meeting
- IRT Academy Procedure Manual
- IRT Academy On-boarding procedure.

## 9. MONITORING, EVALUATION AND REVIEW

Frequently, the complaints and appeals handling process will identify areas in the training and assessment system that can flow into the continuous improvement system as opportunities for improvement. This outcome of complaints and appeals handling is constructive and should be actively applied by all persons involved.

Feedback regarding this policy can be referred to:

- IRT Academy General Manager
- IRT Academy Business Development Manager
- IRT Academy Operations Coordinator
- IRT Academy Administration Coordinator

The policy will be reviewed every 3 years by the General Manager IRT Academy. Triggers for review outside of the usual cycle include:

- Changes to the business activity relating to this policy
- New business activities impacting on this policy
- Changes to internal controls relating to this policy
- Changes to legislative requirements

## 10. DEFINITIONS AND ABBREVIATIONS

Term	Meaning
RTO	Registered Training Organisation

## 11. ASSOCIATED PROCEDURES AND FORMS

Name and number of document
IRT Academy Management Manual
IRT Academy Procedure Manual
Complaints, Incidents and Appeals Register
Continuous Improvement Register
Complaint Form
Assessment Decision Appeal Application
Learner Records
Student Handbook

## 12. REFERENCES – COMPLIANCE AND BEST PRACTICE

<b>Legislative references</b>
National Vocational Education and Training Regulator Act 2011, Standard 6 - Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.
<b>Best Practice references</b>
Not applicable

**Compliance Plan reference:** Not applicable

## 13. LINKS TO OTHER POLICIES

<u><a href="#">2.07 Grievance Dispute Resolution</a></u>
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