



DAYSAFE PTY LTD

Policy & Procedure – Complaints & Appeals

Purpose	The purpose of this Policy & Procedure (P&P) is to ensure that all complaints and appeals are dealt with in a constructive and timely manner. It outlines the procedure for dealing with a participants appeal against an assessment outcome awarded in any module or unit of competence.
Scope	This P&P provides guidance on the resolution of complaints and appeals made against the RTO by students, stakeholders or staff.
Inputs	<p>Standard 5 - Each learner is properly informed and protected.</p> <p>5.2. Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:</p> <ul style="list-style-type: none"> d) the learner's rights, including: <ul style="list-style-type: none"> i) details of the RTO's complaints and appeals process required by Standard 6; <p>Standard 6 – Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.</p> <p>6.1. The RTO has a complaints policy to manage and respond to allegations involving the conduct of:</p> <ul style="list-style-type: none"> 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. <p>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.</p> <p>6.3. The RTO's complaints policy and appeals policy:</p> <ul style="list-style-type: none"> 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;

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- 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.

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.

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.

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.

Requirement	<p>The RTO must have a policy for dealing with complaints about the organisation, third parties, staff or other learners. They must also have an appeals policy, in case there is a request to review or reconsider a decision that has been made.</p> <p>These policies must be publicly available, for example, by including them on the RTO website or displaying them in common areas for staff and learners.</p> <p>The RTO's process must follow the principles of natural justice and procedural fairness and the decision maker is to be independent of the decision being reviewed.</p> <p>The policy should disclose any costs associated with a third party review so all parties are aware of any costs they may need to pay.</p> <p>The RTO must deal with complaints and appeals promptly. The timeframes that will apply to resolution of complaints and appeals should be identified, so that complainants know how long it should take to get a response from the RTO at all stages of the process. If a complaint or appeal (including any review process) will take more than 60 days to finalise, the RTO is to write to the people involved explaining the delay.</p> <p>The RTO is to record all complaints and appeals received, and document outcomes. This information is to be used to review the RTO's processes and practices to ensure the issue doesn't happen again.</p>
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<p>Reference Documentation</p>	<p>Other reference documentation which relates to this P&P includes:</p> <ul style="list-style-type: none"> • ASQA Publications <ul style="list-style-type: none"> ○ Making a complaint
<p>Tools & Templates</p>	<p>This P&P is supported by the Tools & Templates identified at each stage in the process.</p>
<p>Policy</p>	<p>Appeals</p> <p>Daysafe Pty Ltd will deal with any student complaints in an effective and timely manner, typically resolving all complaints within <i>4 weeks</i>.</p> <ul style="list-style-type: none"> • Each complaint and its outcomes will be recorded in writing. • We will act upon any substantiated complaint. <p>The grounds for an assessment appeal are:</p> <ul style="list-style-type: none"> • The judgement as to whether competence has been achieved and demonstrated was made incorrectly. • The assessment plan is not flexible or fair. • Judgement was not made in line with the assessment plan. • The assessment plan does not address the collection of evidence sufficiently. <p>Client Complaints</p> <p>Daysafe Pty Ltd will deal with any student complaints in an effective and timely manner, typically resolving all complaints within <i>4 weeks</i>.</p> <ul style="list-style-type: none"> • Each complaint and its outcomes will be recorded in writing. • We will act upon any substantiated complaint.

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Resolution

Daysafe will deal with any complains or student appeals in an effective and timely manner, typically resolving all complaints within 60 days.

- Each complaint or appeal and its outcomes will be recorded in writing.
- The RTO will act upon any substantiated complaints or appeals.

The CEO is responsible for managing the resolution of the complaints and appeals.

Where more than 60 calendar days are required to process and finalise the complaint or appeal, CEO:

- will informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required, and
- regularly updates the complainant or appellant on the progress of the matter.

All complaints and appeals are to be recorded on the RTO Complaints & Appeals Register and are to be reviewed at the monthly management meetings and, if appropriate, will result in a continuous improvements activity. Also possible causes of complaints or appeals are to be identified and corrective action is to be taken to eliminate or mitigate the likelihood of reoccurrence.

If the client or student is still not satisfied with the resolution of the complaint or appeal, they can seek further assistance from ASQA.

Initial complaint	When a staff member is approached by a student or stakeholder about a complaint they should in the first instance attempt to resolve the issue if they are able.	Tools & Templates •
Output	Complaint resolved without intervention	
Responsibility	Trainers & Assessors	

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<p>Client Appeals</p>	<p>Appeals against Daysafe Pty Ltd decisions including, assessment decisions, are to be submitted in writing on the Daysafe Complaints / Appeals Form</p> <p>Daysafe Pty Ltd will deal with any student appeals against our decisions including, assessment decisions, in an effective and timely manner, typically resolving all appeals within 4 weeks.</p> <ul style="list-style-type: none"> • Each appeal and its outcomes will be recorded in writing on the Daysafe Complaints & Appeals Register. • Appeals which cannot be resolved in house will be heard by an independent person or panel that is mutually agreed upon • Each appellant: <ul style="list-style-type: none"> ○ Has the opportunity to formally present his or her case ○ Is given a written statement of the appeals outcomes, including reasons for the decision. <p>Output Written Appeal</p> <p>Responsibility CEO</p>	<p>Tools & Templates</p> <ul style="list-style-type: none"> • <i>Daysafe Complaints / Appeals Form</i> • <i>Daysafe Complaints & Appeals Register</i>
<p>The appeal for re-assessment is proven</p>	<p>If an appeal for re-assessment is proven Daysafe Pty Ltd will make all necessary arrangements to conduct the re-assessment of the student at a time that is mutually convenient for all parties concerned.</p> <p>However, this must not take place within 14 days of original assessment.</p> <p>Output Reassessment</p> <p>Responsibility CEO Trainer & Assessor</p>	<p>Tools & Templates</p> <ul style="list-style-type: none"> •
<p>Appeal not proven</p>	<p>If the appeal is not proven and the student is not satisfied with the resolution of the appeal, they can seek further assistance from ASQA.</p> <p>Output Advice sought from ASQA</p>	<p>Tools & Templates</p> <ul style="list-style-type: none"> •

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Responsibility	CEO	
Review	All appeals are reviewed at our management meetings and if appropriate will result in a continuous improvements action.	Tools & Templates <ul style="list-style-type: none"> • <i>Daysafe Template-Management Meeting-Agenda</i>
Output	Continuous Improvement Action	
Responsibility	CEO	
Key Performance Indicator:	The effectiveness of this P&P will be measured by the number of appeals and complaint resolved without the intervention of an independent adjudicator	

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