



UPSKILLED

# Upskilled Complaints and Appeals Policy and Process

Version 3

Latest update: 1 November 2019

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## A. Complaints and Appeals Policy

### 1. Background

Upskilled acknowledges that complaints and feedback are all integral components for our continued and effective improvement as an RTO. We are committed to ensuring any type of feedback regarding the RTO (good or bad), its trainers, assessors or other staff is acknowledged, recorded, and considered, and will be actioned in a fair and timely manner.

Upskilled will also take all steps to ensure complainants feel empowered to lodge a complaint without fear of detriment or victimisation. The Upskilled Student Handbook also contains a reference to this policy and all students will be informed of the Complaints and Feedback Policy through the student induction process.

### 2. Scope

This policy covers Upskilled's procedure for handling student complaints and/or appeals (or those of other interested parties outside of Upskilled) regarding the provided services and conduct of the RTO, our trainers or staff. It also covers complaints and/or appeals of any third parties (if applicable) and their trainers and staff, as well as those regarding Upskilled students.

It will also outline the steps a student can take to ensure their complaints or appeals are actioned in a timely and fair manner, as well as providing additional and external resources as necessary.

This policy covers all appeals other than those for Assessments, which are covered in our Assessments and Appeals Policy.

### 3. Definitions

- 3.1. Upskilled Student Handbook: The handbook that is given to students, which contains summaries and links to all Upskilled policies and forms, as well as enrolment and other relevant information to help successfully navigate their studies with Upskilled.
- 3.2. Feedback Committee: An Upskilled committee that determines the procedure for collecting, storing and effectively actioning student feedback, including complaints and appeals in a fair, efficient and timely manner. This committee may consist of the RTO Manager, the General Manager of Operations, the Compliance Manager, and the Brand and Content Manager.
- 3.3. Complaint: Where a complainant submits a grievance in writing to Upskilled either using the defined Complaint or Appeals Form or other written format which clearly identifies the matter as a complaint.
- 3.4. Appeal: Where a complainant, who is unsatisfied with the outcome, submits a grievance in writing to Upskilled either using the defined Complaint or Appeals Form or other format which clearly identifies the matter as an unresolved complaint.

- 3.5. Issue: the matter that has been presented by the student that is the cause of the complaint or appeal.
- 3.6. ASQA: The Australian Skills Quality Authority is the national regulator for Australia's vocational education and training sector, which regulates Upskilled to ensure nationally approved quality standards are met.
- 3.7. CRM: stands for Customer Relationship Management system, which is our secure student records management system. This system, in addition to storing all student records, stores all complaints, appeals and other feedback, their responses and outcomes.
- 3.8. Feedback register: Upskilled's register of all student complaints, appeals and feedback on the CRM, managed by a Feedback Committee.

## 4. Timeframes

As there are many variables that can affect our response time, including the complexity of the issue, the availability of evidence and the resources required to adequately investigate the issue, it is not possible to give a definitive time-frame for when the matter will be resolved. However, the following guidelines will be followed by Upskilled to ensure the issue is dealt with in a timely manner:

- 4.1. Upskilled will endeavor to provide a written acknowledgement of receiving the complaint or appeal within two (2) business days.
- 4.2. Upskilled will endeavor to process and provide a determination or resolution to the issue within fifteen (15) business days of receiving the complaint or appeal.
- 4.3. Should the complaint or appeal require more than 60 days to process and finalise the issue, Upskilled shall inform the complainant in writing with the reasons why and will regularly update the complainant or appellant on the progress of the issue.
- 4.4. Upskilled will maintain the student's enrolment while the complaint or appeals handling process is ongoing.

## 5. Recording of Complaints or Appeals

- 5.1. All complaints and appeals will be recorded into our CRM, and where appropriate will lead to continuous improvement activities.
- 5.2. Upskilled will be proactive in identifying potential causes of complaints and appeals and will take action to eliminate or mitigate the likelihood of a reoccurrence.
- 5.3. The data entry responsibility for all Appeals, Complaints and Feedback related matters lies with our Feedback Committee.
- 5.4. Upskilled's register of all student complaints, appeals and feedback on our CRM, managed by the Feedback Committee is called the Feedback Register.
- 5.5. Student confidentiality will always be maintained.

## B. Complaints and Appeals Process

### 1. Process

- 1.1. Formal complaints must be submitted in writing to Student Support using the [Complaints and Appeals Form](#) which can be located at:
- 1.2. In the first instance that a student is unhappy or dissatisfied with an aspect of our service delivery, they should consult their trainer to quickly resolve the issue. If the issue is with the trainer, and the student feels that they would prefer not to approach the trainer, then they should contact Student Support to discuss the issue.
- 1.3. Should the complaint or appeal not be resolved in the first instance, then the student is requested to lodge a Formal Complaint or Appeal by completing the Complaints or Appeals form, and
  - a. emailing it to [studentsupport@upskilled.edu.au](mailto:studentsupport@upskilled.edu.au), or
  - b. by emailing their Trainer or Head of Faculty
- 1.4. This formal Complaint or Appeal will be entered into our Feedback Register which is maintained in our CRM for tracking and records purposes.
- 1.5. After review, the Head of Faculty can choose to escalate the appeal to a mutually agreeable independent person or panel.
- 1.6. The suitable independent person or panel will need to be agreed upon by both the student and Upskilled, with the cost to be borne by the student.
- 1.7. The suitable independent person or panel could include independent commercial mediators such as Leadr. Leadr costs and contact information can be requested via their website: <http://www.resolution.institute>
- 1.8. Engagement with any external assistance will be the responsibility of the Feedback Committee or by the RTO senior management.
- 1.9. The complainant or appellant will be provided with a formal written statement of the resolution of the complaint or appeal, and this will state the reasons for the decision.

### 2. Further Action

- 2.1. If the student is still not satisfied with the resolution of the complaint or appeal, the complainant may decide to refer the matter to the National Training Complaints Hotline on 13 38 73
- 2.2. The procedures set out in this policy does not limit the rights of individuals to act under Australia's Consumer Protection laws or pursue other legal remedies.

### 3. More information

Please contact us if you have any queries about the personal information that we hold about you or the way we handle that personal information. Our contact details for privacy queries are set out below.

**Operations Officer**

Upskilled Pty Ltd  
 Suite 2, Level 4  
 27 Christie Street  
 St Leonards, NSW 2065  
 Telephone: 1300 009 924

For online enquiries you can contact us [via email](#).

### 4. Changes to this Policy

We may amend this Policy from time to time. The current version of this Policy will be posted on our website.

Document Name	Version	Approved	Policy Owner	Effective	Review
Complaints and Appeals Policy	3	CEO	National RTO Manager	01.11.2019	30.10.2020
RTO	RTO 40734 Upskilled Pty. Ltd ABN 14 125 906 676				
Version History	V1 – Original Policy implemented 16.10.2017 V2 – Rebranding of this Complaints and Appeals Policy 19.09.2018 V3 – Significant changes to reflect current statutory requirements				