

## COMPLAINTS AND/OR APPEALS RECORD

The purpose of this record is to ensure all aspects complaints and/or appeals are recorded, processed and reported. Complaints and/or appeals may come from various sources i.e. stakeholders, learners, clients and/or trainers and assessors.

Generally, appeals are normally associated with the learner who has doubts about the reliability and the fairness off the assessment they have undertaken and wishes to discuss options to ensure they have a fair go.

It is generally accepted that best practice occurs when a complaint and/or appeal can be resolved in the first instance by the assessor and/or supervisor, this is the preferred option. However, if a solution cannot be found, adhering to the Complaints and Appeals Policy and Procedure advises the complainant and/or appellant in conjunction with a Regional Skills Training staff member, their right to access further investigations into the issue.

|                                                          |          |          |  |
|----------------------------------------------------------|----------|----------|--|
| <b>Name of Complainant/Appellant</b>                     |          |          |  |
| <b>Date of Initial Meeting</b>                           |          |          |  |
| <b>Training Program Enrolled</b>                         |          |          |  |
| <b>Complaint    or    Appeal    (please circle)</b>      |          |          |  |
| <b>Focus of Complaint and/or Appeal</b>                  | <b>Y</b> | <b>N</b> |  |
| <i>Training and Assessment Delivery Complaint</i>        |          |          |  |
| <i>Assessment Appeal</i>                                 |          |          |  |
| <i>Access and Equity</i>                                 |          |          |  |
| <i>Safety Issue</i>                                      |          |          |  |
| <i>Trainer and/or Assessor</i>                           |          |          |  |
| <i>Issuance of Qualification/Statement of Attainment</i> |          |          |  |
| <i>Other (Please specify)</i>                            |          |          |  |

**Provide detailed description of complaint and/or appeal (attach supporting documents):**

|                 |           |                 |                        |  |                    |
|-----------------|-----------|-----------------|------------------------|--|--------------------|
| <i>Document</i> | Procedure | <i>Subject</i>  | Complaints and Appeals |  | <b>Page 1 of 3</b> |
| <i>Version</i>  | 1         | <i>Revision</i> | 1 <sup>st</sup> Issue  |  |                    |
| <i>Location</i> |           | <i>Dates</i>    | 04/11/2014             |  |                    |

|                                                                                                            |            |           |             |
|------------------------------------------------------------------------------------------------------------|------------|-----------|-------------|
|                                                                                                            |            |           |             |
|                                                                                                            | <b>Yes</b> | <b>No</b> | <b>Date</b> |
| Has the complainant/appellant been to the trainer, assessor or relevant staff member to discuss the issue? |            |           |             |
| If not, why not?                                                                                           |            |           |             |
| Manager to investigate complaint and/or appeal and recommend appropriate action within 20 working days.    |            |           |             |
| If the complaint and/or appeal has been resolved, sign off.                                                |            |           |             |
| If about a person, CEO or Manager to inform the person to seek their views.                                |            |           |             |
| If the complaint and/or appeal has been resolved, sign off.                                                |            |           |             |
| Manager to organise mediation if required.                                                                 |            |           |             |
| Manager to inform complainant and/or appellant of outcomes of mediation within 5 working days.             |            |           |             |
| If the complaint and/or appeal has been resolved, sign off.                                                |            |           |             |

|                 |           |                       |                           |            |                    |
|-----------------|-----------|-----------------------|---------------------------|------------|--------------------|
| <i>Document</i> | Procedure | <i>Subject</i>        | Complaints and/or appeals |            | <b>Page 2 of 3</b> |
| <i>Version</i>  | 2         | <i>Revision Dates</i> | 1 <sup>st</sup> Issue     | 01/01/2012 |                    |

|                                                                                                                                                                                      | Yes | No | Date |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|------|
| If complaint and/or appeal still unresolved, complainant and/or appellant to write to CEO within 10 days of mediation outcomes.                                                      |     |    |      |
| CEO to give all relevant parties opportunity to present their case.                                                                                                                  |     |    |      |
| Outcome in writing to complainant and/or appellant within 10 working days and other affected personnel.                                                                              |     |    |      |
| If the complaint and/or appeal has been resolved, sign off.                                                                                                                          |     |    |      |
| If complaint and/or appeal is unresolved, identify an outside party agreeable to all parties to complete an investigation with all parties agreeing to abide by the recommendations. |     |    |      |
| All relevant data recorded on file and copy forwarded to Administration.                                                                                                             |     |    |      |

|                                                  |  |
|--------------------------------------------------|--|
| <b>Signature of Office Manager</b>               |  |
| <b>Signature of Complainant and/or Appellant</b> |  |
| <b>Date of Resolution</b>                        |  |