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PURPOSE

- 1 The purpose of this process is to manage all feedback, complaints and appeals that are associated with the delivery of any programs or courses by the RTO in accordance with the Standards for Registered Training Organisations' 2015 and the Private Training Establishment Rules 2013.

SCOPE

- 2 This process applies to all participants accessing training and assessment services provided by the RTO / TEO across Australia and New Zealand.
- 3 The exact requirements of this procedure must be implemented as defined. Deviation from this procedure is only permissible where the stated criteria can be fulfilled and the deviation is approved by the Document Sponsor.
- 4 Approvals shall be via email and maintained as a record with all other document approvals, refer to Document Control Procedure

DEFINITIONS

- 5 BTS: Broadspectrum Training Services
- 6 RTO: Registered Training Organisation (Australian)
- 7 TEO: Tertiary Educational Organisation (New Zealand)
- 8 ASQA: Australian Skills Quality Authority
- 9 NZQA: New Zealand Quality Authority
- 10 WTA: Workplace Trainer and Assessor: Someone who holds recognised and current training and assessment qualifications

PROCESS

- 11 Informal Complaint: Students who have concerns relating to the delivery of training and/or assessment, the RTO, trainers/assessors, RTO staff or another learner should firstly discuss the matter with the relevant trainer/assessor or staff member (as appropriate). If the concern is unable to be resolved the student may lodge a Formal Complaint.
- 12 Formal Complaint: Learners may lodge a formal complaint at any stage.



- a. The complainant will be required to complete the Complaints and Appeals Statement, which may be requested from any staff member and provided to learners.
- b. The complainant is required to submit the completed Complaints and Appeals Statement to BTS by:
 - Post: Industry Training Manager (ANZ), Broadspectrum Training Services, 371 Taylor Street, Toowoomba, QLD, 4350
 - Email: Industry Training Manager (ANZ) - RTO@broadspectrum.com
- c. The Complaint will be reviewed by the Industry Training Manager (ANZ), (if the complaint is about the Industry Training Manager (ANZ) it will be reviewed by a Director).
- d. A confirmation of receipt will be sent to the complainant and a show cause letter will be sent to the person to whom the complaint refers to.
- e. All parties to the complaint will have the opportunity to address the complaint or respond to the allegation/s.
- f. The Industry Training Manager (ANZ), will assess all information and make a decision based on all available information – after taking into account the complaint and responses and any other investigation which may take place.
- g. The Industry Training Manager (ANZ) will write to all parties involved setting out the decision and reasons for decisions.
- h. If any party is not satisfied with the outcome of the decision, they may appeal the decision and ask for a review of the decision. Decision appeals will be reviewed by a Director.
 - If the complainant is still not satisfied with the outcome of the decision they may ask for a review of the decision by an independent mediator as outlined below or may complain directly to the Australian Skills Quality Authority or New Zealand Quality Authority (details below).

External Authorities

- If a complainant is still dissatisfied or is unsatisfied with the fairness of the process they have the right to lodge a complaint externally with an appropriate agency or body such as one of those listed below;

Australian Skills Quality Authority (ASQA)

Contact: T: 1300 701 801 E: enquiries@asqa.gov.au W: www.asqa.gov.au

New Zealand Quality Authority

<http://www.nzqa.govt.nz/about-us/make-a-complaint/make-a-complaint-about-a-provider/>

The Complaints Officer
Quality Assurance Division
P O Box 160
Wellington 6140
T: 0800 697 296 (NZ Only)

**Department of Training and Education QLD**Contact: T: 1300 369 935 W: <https://det.qld.gov.au/>

- 13** All participants undertaking training and assessment have the opportunity to provide feedback both negative and positive as well as appeal an assessment outcome if they feel disadvantaged by the assessment decision.
- 14** As part of this process participants are advised of their rights and responsibilities within this context both at enrolment stage and when pre-assessment discussions occur.
- 15** Learners who feel they have been assessed unfairly should discuss with the assessor directly. If the matter is not resolved satisfactorily, it should be taken to the Training Team Leader in an attempt to resolve the issue at this level. Should the learner still be dissatisfied, they have the right to lodge an Assessment Result Appeal.
- 16** The learner is the only person who can lodge an assessment result appeal.
 - a. The learner is required to complete the Complaints and Appeals Statement, which may be requested from any staff member and provided to learners.
 - b. The learner is required to submit the completed Complaints and Appeals Statement to BroadSpectrum Training Services by:
 - Post: Industry Training Manager, 371 Taylor Street, Toowoomba QLD 4350
 - Email: Industry Training Manager: RTO@broadpectrum.com
- 17** BroadSpectrum Training Services will strive to resolve any Assessment Result Appeals within 28 working days of lodgment. Students will be notified of the outcome.

Assessment Result Appeals will be reviewed against the Principles of Assessment and the Rules of Evidence. Assessment Result Appeals must be lodged within 1 month of assessment.
- 18** Where evidence exists that an incorrect assessment decision may have been made the Training Team Leaders will return the assessment documentation to the relevant WTA for review of result.
- 19** If the outcome remains unresolved the Training Team Leader will convene the appeals panel within five working days, where the facts of the situation are presented and a resolution identified.
- 20** Administration personnel will be advised of the outcome whether upheld or successful and the result will be recorded. The Industry Training Manager (ANZ) will then inform the participant in writing of the appeals outcome.



APPEALS PANEL

- 21** As part of the appeals process BVTs shall establish a panel to review all feedback and appeals that cannot be resolved.
- 22** The appeals panel shall include personnel with relevant subject matter expertise. Generally the following persons:
 - a. Industry Training Manager (ANZ);
 - b. Training Team Leaders ;
 - c. Workplace Trainer and Assessor(s) that meets requirements of the Australian Skills Quality Authority.

RELATED DOCUMENTS

- EWF-4035-TR-12301 Complaints and Appeals Statement
- EWF-4035-TR-12302 Hearing Compliant Appeal

DOCUMENT CONTROL AND APPROVAL

Sponsor

- **National Industry Training Manager**

This document has been reviewed and is approved for release:



Signature:

Print Name: Michael Dickenson

Date: 22 November 2016

Stake Holders

- RTO Manager
- RTO Team Leaders
- RTO Administration Officers

Amendments in this Release

Summary of amendments in this release includes:

Section	Summary
All	Updated to include definitions and the inclusion of the New Zealand TEO and position title changes. Removed responsibilities section as this exists within the Process section. Rebranded to Broadspectrum Training Services

Build History Status

Date	Author	Summary
14 March 2013	Matt McClymont	OSP Consolidation
09 April 2013	Matthew McClymont	Internal ASQA self-assessment audit
09 September 2013	Michelle Lotz	Amended team responsibilities and titles
09 February 2016	Michael Dickenson	Periodic Review
22 November 2016	Jill Keen Michael Dickenson	Compliance Review
30 th May 2017	Michael Dickenson	Periodic Review