

Complaints and Appeals Policy

United Transport Solutions understands its obligation to protect the rights of students and is committed to managing and responding to allegations involving the conduct of our marketing, administration and training and assessment processes, trainers, assessors or other staff or students and third parties who deliver or market or recruit on our behalf. All complaints and Appeals will be treated as an opportunity for improvement and will be contribute to our Quality Assurance systems.

We also understand our obligation to manage requests for a review of decisions, including assessment decisions made by ourselves or a third party providing services on our behalf.

Procedure

UTS will ensure that the Complaints and Appeals Process is accessible, transparent, fair and equitable and that any complaint or appeal is treated in a timely manner as follows.

Students are informed of the Complaints and Appeals Process on our website and in our Student Handbook.

Confidentiality is maintained throughout the processes outlined below.

The Complaints Process

1. Students are encouraged in the first instance to talk to the person involved; this might be the Trainer/Assessor, member of staff or another student. The Trainer/Assessor will make of notes of the concern and follow up with the CEO.
2. If the problem continues or is not easy to resolve informally a meeting with the CEO is arranged. This meeting can be face to face or by phone and students can elect to have a representative present. A record of the meeting is kept including the grievance and the agreed proposed solution. Any investigation of matters raised is followed up and a response made within an agreed time-frame. Both parties are to sign this record of the meeting.
3. If the student is not satisfied with the above actions a written grievance can be made. A Complaints Form is available in the Student Handbook or on the website. In this instance, the complaint will by the handled by an appointed panel of three members.
4. If the matter is still unresolved, an independent mediation body will be assigned to examine the matter. This party will be independent of the RTO and the complainant or appellant and their selection will be managed by the CEO with the mutual agreement of the complainant. The written decision of this body will be final and will be made within 60 days of the complaint first being submitted. If the 60 day target cannot be met the complainant will be informed in writing giving reasons why more time is required and will then be given regular updates on the progress of the matter.

The Assessment Appeals Process

UTS will consider all appeals against assessment decisions as documented below.

- Students are encouraged in the first instance to talk to the assessor who made the assessment decision within one week of receiving the result. Students are entitled to two attempts at assessment so in most cases the matter can be resolved by the Assessor providing feedback and a resubmission or reattempt organised at a mutually convenient time.
- If the outcome is not resolved, then the assessment will be remarked by another, fully qualified, Assessor. This should be completed within 14 days of receiving the appeal.
- If the student is still not satisfied with the assessment outcome, the appeal should be put in writing within 7 days using the Appeals Form which is available in the Student Handbook and on the website.
- On receipt of the Appeals Form a meeting with the CEO is arranged. This meeting can be face to face or by phone and students can elect to have a representative present. A record of the meeting is kept including the reasons for appeal and the agreed proposed solution. Any investigation of matters raised is followed up and a response made within an agreed time-frame. Both parties are to sign this record of the meeting.
- If the matter is still unresolved, a mutually agreed, independent mediation body will be assigned to examine the matter. The written decision of this body will be final and will be made within 60 days of the Complaint first being submitted. If the 60 day target cannot be met the complainant will be informed in writing giving reasons why more time is required and will then be given regular updates on the progress of the matter.

Complaints and Appeals: Alternative Contacts

If in the instance of an Appeal or Complaint not being resolved by the above processes, the student will also be informed that there are other avenues of complaint. These include:

- [NSW Department of Fair Trading](#) for complaints regarding non-training issues such as disputes over refunds or charges.
- The Australian Skills Quality Authority (ASQA) is the national regulator with regard to training and assessment delivery. They handle complaints that relate directly to RTO's providing training and assessment processes that do not meet the Standards for Registered Training Organisations 2015. Details of their Complaints Process are available on their [website](#).
- Complaints to do with Smart and Skilled should be directed to:
Phone: 1300 772 104
Email: enquiries@smartandskilled.nsw.gov.au
Online: [enquiry/complaints form](#)
- [WorkCover](#) is the point of contact for any Work Health and Safety issue, they can be emailed on: contact@workcover.nsw.gov.au

Record Keeping

All Complaints and Appeals will be treated as confidential. They will be recorded in the Complaints and Appeals Register with records of all communications and formal decisions attached. In the case of Assessment Appeal, copies of the Assessment, Outcome Results Records, and assessor feedback will also be kept. Copies will also be kept on the student file.

Monitoring and Improvements

All complaints and appeals are used for to inform our Quality Assurance Process. All Complaints and Appeals are discussed at Staff and Management Meetings and processes are developed and implemented to mitigate the risk of future complaint or appeals.

Evidence

The following will be retained as evidence of compliance with Standard 6, Clause 6.1 – 6.6

- Submitted Complaints and Appeals Forms
- Signed records of meetings with complainant/appellant
- Minutes of meetings with any related personnel or students
- Relevant Management Meeting Minutes

Related Policies

- Consumer Protection Policy
- Privacy Policy
- Record Keeping Policy
- Access and Equity Policy
- Training and Assessment Policy

Supporting Documents

- VET Compliance Manager Position Description
- CEO Position Description
- Trainers and Assessors Position Description

Records and Forms

Complaints and Appeals Form

References

[NVR Standards for RTO's 2015](#)

[ASQA Users Guide to the Standard 6, Clauses 6.1 -6.6](#)