

Complaints and Appeals Procedure

The purpose of this procedure is to ensure the effective management and processing of complaints and/or appeals. 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 of 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, accessing the process below enables the complainant and/or appellant in conjunction with a TSA staff member the right to access further investigations into the issue and ensures all aspects of the issue are recorded, processed and reported.

Name of Complainant/Appellant				
Date of Initial Meeting				
Training Program Enrolled in				
Please indicate if this is a Complaint or Appeal	Complaint	<input type="checkbox"/>	Appeal	<input type="checkbox"/>
Focus of Complaint and/or Appeal				
<i>Training and Assessment Delivery Complaint</i>			<input type="checkbox"/>	
<i>Assessment Appeal</i>			<input type="checkbox"/>	
<i>Access and Equity</i>			<input type="checkbox"/>	
<i>Safety Issue</i>			<input type="checkbox"/>	
<i>Trainer and/or Assessor</i>			<input type="checkbox"/>	
<i>Issuance of Qualification/Statement of Attainment</i>			<input type="checkbox"/>	
<i>Other (Please specify)</i>				

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

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There is no text or other markings on the paper.

	Yes	No	Date
Has the complainant/appellant been to the trainer, assessor or relevant staff member to discuss the issue?	<input type="checkbox"/>	<input type="checkbox"/>	

If not, why not?

MEDIATION

<Position 1> to investigate complaint and/or appeal and recommend appropriate action.

- If the complaint is about a staff member, <Position 1> to inform the staff member to seek their point of view.
- If it is an appeal, <Position 1> to arrange for a review of the assessment by a suitably qualified person other than the original assessor.
- <Position 1> to give all relevant parties the opportunity to present their case.

Complainant/Appellant to be advised of the outcome in writing within 10 working days of receiving the complaint/appeal.

If the complaint and/or appeal has been resolved, sign off below and attach all documents to this

procedure and file in the complaints file.

If the complaint and/or appeal has NOT been resolved continue to the Independent Arbitration section.

The above complaint / appeal has been resolved and all parties notified.

Signed by:

<Position 1>

Date

Complainant/Appellant

Date

Independent Arbitration

If complaint and/or appeal is still unresolved, complainant and/or appellant to write to <Position 1> within 10 days of mediation outcomes.

<Position 1> will organise an independent arbiter agreed to by all parties. All parties will agree to abide by the outcomes and recommendations of the independent arbiter.

Note: The arbiter can either be single person or a panel, depending on the nature of the complaint/appeal.

All parties will be advised of the outcome in writing within 5 working days of the decision by the independent arbiter.

All relevant data recorded in the complaints register.

We the undersigned agree to the outcome of the review by the independent arbiter.

Signature of <Position 1>	
Signature of Complainant and/or Appellant	
Date of Resolution	
Complaint Number	

Should the process of dealing with a complaint take longer than 60 days (this may occur if an independent person is not available immediately) then TSA will advise all parties to the complaint in writing the reasons for the delay along with the expected completion date of the process.

All complaints will be reviewed and any requirement(s) for change to a TSA policy, procedure or form a change request procedure will be completed as per the Continuous Improvement Procedure.

This includes instances where a complaint is not upheld, so that TSA can put into place actions to avoid the repeat of such an appeal or complaint.

MONITORING THE APPLICATION OF THIS PROCEDURE

DEVELOPERS

If, for any reason you do not follow this procedure by either skipping steps or adding extra steps (this may occur due to a particular course or learner cohort), it is important you record these changes by using the Change Request Form so that [Company Name] can review the input and where appropriate adjust this procedure so that our practices are in line with our procedures using the Continuous Improvement Procedure.

MANAGERS/CEO

Regularly review the practices of the organisation and where procedures need to be updated to better reflect these practices use the Continuous Improvement Procedure to initiate the process for change (if change is required).