

## PR7.2 Complaint Appeals Procedure

<b>Responsible Officer</b>	Head of Policy Regulation and Audit			
<b>Functional Owner</b>	Manager, Complaints Resolution			
<b>QAS Owner</b>	Quality Manager			
<b>Version</b>	<b>Approved by</b>	<b>Endorsed by</b>	<b>Effective date</b>	<b>Review date</b>
1	Chief Learning Officer September 2016	Chief learning Officer September 2016	October 2016	January 2017
<b>Version History</b>	V1: March 2016 The content of this procedure comes from PR7.1 Complaints Procedure V1: Sept 2016 New procedure from PR7.1 included in new template			

### Scope

<b>Course Type</b>	All
<b>RTOs:</b>	Open Colleges Pty Ltd (90796) Integrated Care and Management Training Pty Ltd (90197) College of Fashion Design (3798)
<b>Partner RTOs:</b>	Yes

#### Communication:

All Policies, Procedures, Forms and Guidelines are loaded into the Quality Management System (QMS) in Open Colleges' Quality Space located in SharePoint. This will automatically update documents in all locations.

Changes will be communicated to all staff via Firefly Chatter.

### Purpose

The purpose of this procedure is to ensure all complaint appeals relating to courses, student experiences and general operations of the business are fully investigated and decisions made according to the principles of natural justice.

### Scope

The scope of this procedure starts when a complainant is dissatisfied by the resolution of their complaint and lodges a complaint appeal. It includes interactions with Resolution Institute Student Mediation Scheme.

This procedure ends when a complaint appeal is reported and any relevant outcomes are implemented.

## Procedure

**Responsibility key:** **ACC** = Appeals & Complaints Committee, **CO** = Complaints Officer, **MCR** = Manager, Complaints Resolution, **RP**= Review Panel

Step	Action	Responsibility	Comments
1	Receive and acknowledge in writing a complaint appeal	CO	Refer to additional notes in item 1 <b>SLA 2 days</b>
2	Investigate complaint appeal	CO	Refer to additional notes in item 2
3	Review the complaint appeal case and proposed outcome	ACC, CO	Refer to additional notes in item 3a 3b
4	Advise the student of resolution. End point or continue	CO	Refer to additional notes in item 4a 4b <b>Goal SLA of 20 days</b>
5	Address external review case from the Resolution Institute	MCR	Refer to additional notes in item 5a
	Address external review case from external bodies	MCR	Refer to additional notes in item 5b
6	Provide fortnightly report and implement improvements	MCR, RP	Refer to additional notes in item 6a 6b

## Additional notes

Item	Step	Information
1	1	On receiving a complaint appeal, the Complaints Officer will: <ul style="list-style-type: none"> <li>a. Acknowledge receipt of the complaint appeal in writing within 2 business days of receipt;</li> <li>b. Provide the complainant with a Case Number;</li> <li>c. Log the complaint appeal case in Firefly;</li> <li>d. Obtain any additional information from the complainant (if required)</li> <li>e. Acknowledge receipt of the complaint appeal in writing within 2 business days of lodgement <ul style="list-style-type: none"> <li>f. Obtain any additional information regarding the complaint appeal</li> <li>g. Collate all relevant information and present the complaint appeal to the Appeals &amp; Complaints Committee</li> </ul> </li> </ul>
2	2	In investigating the complaint appeal, the Complaints Officer will: <ul style="list-style-type: none"> <li>a. Review the initial complaint case relative to the appeal information provided;</li> <li>b. Reference application of relevant Open Colleges Policy and Procedure in the original complaint case;</li> <li>c. Review evidence across Open Colleges records including but not limited to student records in OpenSpace and Firefly, phone records, CallMiner and internal review records;</li> <li>d. Consult with other Open Colleges staff from relevant business units as required to source relevant evidence, advice and approvals in order to propose an appropriate outcome</li> </ul>
3	3a	The Complaints Officer will collate all relevant case information and present the matter to the Appeals and Complaints Committee.

		The Appeals and Complaints Committee meet on an informal basis as required case by case, records of the relevant case meeting are recorded against the case in Firefly. The committee do not keep formal meeting minutes.
3	3b	<p>The ACC will review the complaint appeal and may request additional information from the student prior to determining a resolution.</p> <p>The ACC will either confirm the proposed resolution or advise the Complaints Officer of an alternate resolution to be implemented.</p> <p>In the event the investigation exceeds 20 days, the Complaints Officer will ensure the student is regularly updated on the progress of their complaint.</p>
4	4a	<p>The Complaints Officer will provide the resolution to the complainant in writing, by email on behalf of the ACC and record the outcome of the complaint appeal within the case records in Firefly.</p> <p>The outcome provided in writing will include details of decisions made, reasons for the decisions, the complainants right for an external review and details of the process to engage with the Resolution Institute Student Mediation Scheme (including notice that fees are payable to the Resolution Institute).</p> <p>Where a complaint appeal is upheld or issues have been identified, the Complaints Officer will:</p> <ol style="list-style-type: none"> <li>a. Log any corrective issues on to the Corrective Action Register</li> <li>b. Log required improvements on the Continuous Improvement Register</li> <li>c. Provide feedback to appropriate managers where the complaint relates to OC staff</li> </ol> <p>If the student is satisfied with the resolution step 5 does not apply.</p>
4	4b	Open Colleges endeavours to provide complainants with an outcome for their complaint appeal case within 20 days of receipt. In the event the investigation exceeds 20 days, the Complaints Officer will ensure the complainant is regularly updated on the progress of their complaint appeal.
5	5a	<p>Where a student is unsatisfied with the outcome of the complaint appeal, they may request an external review be undertaken via the Resolution Institute Student Mediation Scheme.</p> <p>On receiving notification from the Resolution Institute, the Manager, Complaints Resolution (or delegate) will:</p> <ol style="list-style-type: none"> <li>a. Acknowledge receipt of the review request with the Resolution Institute within 2 business days of lodgement</li> <li>b. Obtain any additional information from the Resolution Institute regarding the review case</li> <li>c. Collate all relevant information and present the review details to the ACC</li> <li>d. Provide the Resolution Institute with any requested information/responses;</li> <li>e. Liaise with the Resolution Institute in relation to the scheduling and details of any mediation sessions</li> </ol> <p>Where action is to be taken by Open Colleges, the Manager, Complaints Resolution (or delegate) will:</p> <ol style="list-style-type: none"> <li>a. Record details of the mediation within the complaint case in Firefly</li> <li>b. Implement any agreed actions in the event the mediation results in a changed outcome</li> <li>c. Log any non-compliance issues on to the Corrective Action Register</li> <li>d. Log required improvements on the Continuous Improvement Register</li> </ol>

5	5b	<p>Where Open Colleges receives correspondence from external bodies relating to complaints, the Manager, Complaints Resolution will refer the matter to the Complaints Officer for management as a Complaint Appeal.</p> <p>The Complaints Officer will manage the case in line with the Complaint Appeal Procedure (PR7.2).</p> <p>When receiving correspondence from external bodies there will be no receipt of acknowledgement directly to a student and communication will be made directly with the external body unless contact with a student is required.</p>
6	6a	<p>The Manager, Complaints Resolution will report to the Review Panel on complaints, complaint appeals and any external review cases.</p>
	6b	<p>The Review Panel review trends emerging from complaints and implement improvements directly where necessary.</p>

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