

# FEEDBACK, COMPLAINTS AND APPEALS POLICY

QUALITY AREA 2 – VET STUDENT  
SUPPORT

# FEEDBACK, COMPLAINTS AND APPEALS POLICY

---

<b>PURPOSE</b>	<b>2</b>
<b>SCOPE</b>	<b>2</b>
<b>POLICY STATEMENT</b>	<b>2</b>
<b>POLICY IMPLEMENTATION</b>	<b>11</b>
<b>ACCOUNTABILITY</b>	<b>11</b>
<b>MONITORING</b>	<b>12</b>
<b>REGULATORY REQUIREMENTS</b>	<b>12</b>
<b>RELATED DOCUMENTS</b>	<b>13</b>
<b>DEFINITIONS</b>	<b>13</b>

---

## **PURPOSE**

The purpose of this policy is to outline Upskill U Pty Ltd's commitment to managing feedback, complaints, and appeals in a manner that upholds integrity, transparency, and accountability. This policy ensures that all feedback—whether positive, negative, formal, or informal - is acknowledged, responded to appropriately, and used to inform ongoing quality improvement and self-assurance processes.

This policy supports compliance with the National Vocational Education and Training Regulator (Outcome Standards for NVR Registered Training Organisations) (referred to herein as the Outcome Standards), by embedding fair, accessible, and responsive mechanisms for resolving concerns and promoting stakeholder engagement.

Upskill U Pty Ltd recognises that feedback, complaints, and appeals are not only a right of all stakeholders, but a valuable opportunity to enhance service delivery, training and assessment practices, and organisational performance.

---

## **SCOPE**

This policy applies to:

- Students and prospective students
  - Trainers, assessors, and staff
  - Employers, industry representatives, and third parties
  - Any other stakeholder engaged with Upskill U Pty Ltd
- 

## **POLICY STATEMENT**

---

This policy reinforces the Upskill U Pty Ltd's responsibility to provide a safe, inclusive, and responsive environment for all stakeholders.

This policy aims to:

- Provide accessible and fair procedures for managing feedback, complaints, and appeals.
  - Ensure timely and equitable resolution of concerns and disputes.
  - Treat all feedback, complaints and appeals as opportunities to improve the quality and effectiveness of services and training delivery.
  - Support the RTO's self-assurance system by using all received feedback and appeals data to inform strategic decisions, mitigate risk, and drive continuous improvement across all areas of operation, including governance, training, assessment, and student support.
  - Embed ethical, respectful, and evidence-based practices into all aspects of the RTO's engagement with learners, staff, employers, and third parties.
- 

## FEEDBACK, COMPLAINTS AND APPEALS

Upskill U Pty Ltd will ensure that this policy is publicly available and accessible to prospective and current students.

Feedback, complaints and appeals can relate to any aspect of practices and decisions of Upskill U Pty Ltd, any related third parties, any person employed or contracts by the organisation including Trainers and Assessors, administrative staff or Management.

All documentation relating to feedback, complaints and appeals will be retained for audit and continuous improvement purposes.

Feedback, complaints and appeals can be made either formally or informally. All Feedback, complaints and appeals will be captured and recorded within the RTO Register:

- **Informal methods:** May include communication of feedback or complaints via verbal communication, general email communication, web enquiries, social media posts or comments.
  - **Formal methods:** Raising a complaint or providing specific feedback through a formal/scheduled discussion, raised during meetings, lodging a complaint or appeal or submitting feedback using the Feedback Form and Complaints and Appeal Form, submitting written communication expressly raising the feedback, complaint or appeal.
- 

## PROCEDURAL FAIRNESS AND NATURAL JUSTICE

Student confidentiality will always be maintained in accordance with Australian law. At all times, the principles of procedural fairness and natural justice will be upheld. These include:

- Ensuring all parties involved in a complaint or appeal are fully informed of the nature of the complaint.
  - Providing both parties with a fair and reasonable opportunity to present their case, with adequate time to prepare.
  - Conducting investigations and resolution processes in a timely, impartial, and transparent manner, free from bias or conflict of interest.
-

- Allowing the participant to continue their training without disadvantage or penalty while the complaint or appeal is being resolved.
- Stakeholders are fully informed about how their feedback, complaint or appeal will be handled.
- Any person named in feedback, complaint or appeal will be given an opportunity to respond (if appropriate).
- Investigations and reviews will be conducted impartially and without delay.
- No stakeholder will be penalised or disadvantaged for providing feedback, raising a complaint or making an appeal.

Procedural fairness and natural justice ensure decisions are made equitably and respectfully. Further guidance can be obtained from the Ombudsman's office in the relevant state or territory, or online at [www.ombudsman.gov.au](http://www.ombudsman.gov.au).

---

## COMPLAINTS AND GRIEVANCES

Upskill U Pty Ltd treats complaints and appeals from staff, partner organisations, participants, and other parties very seriously and will deal with these in an effective and timely manner.

Upskill U Pty Ltd typically aims to resolve all complaints within three weeks.

Upskill U Pty Ltd will act upon any substantiated complaints or appeals. These will be recorded within Upskill U Pty Ltd's Quality Management System and will lead where appropriate to continuous improvement activities.

In the first instance that a person or organisation wishes to make a complaint about an aspect of our service delivery, they should consult their trainer and assessor, customer service staff or Upskill U Pty Ltd's Chief Executive Officer. Employers, contractors or third parties should contact Upskill U Pty Ltd's Chief Executive Officer.

The trainer/assessor should be the first point of contact for students. The aim of this first contact is to resolve the issue quickly.

If the students' complaint is about the trainer/assessor, or if the student is uncomfortable discussing this issue with the trainer/assessor, then they should contact Upskill U Pty Ltd's Chief Executive Officer.

Should the complaint not be resolved in the first instance, then the complainant is requested to formally lodge a complaint or appeal by completing either the Complaints and Appeals Form. These forms are available from Upskill U Pty Ltd's Student Support or located [INSERT HYPERLINK](#).

The complainant can take the form away to complete, but this should be returned within 48 hours so the matter can be promptly investigated using the Complaints Investigation Checklist.

Should the complaint be about Upskill U Pty Ltd's CEO, either in their role as a trainer/assessor or in their role as Upskill U Pty Ltd's CEO, then the Student Support Officer is able to receive and process the complaint.

This formal complaint will be entered on our Complaints Register for tracking purposes. This is the responsibility of Upskill U Pty Ltd's CEO, the receipt of the Complaint or Appeal will be formally acknowledged within one business day, in writing by Upskill U Pty Ltd's CEO.

Should the nature of the complaint refer to criminal matters or where the welfare of people is in danger, Upskill U Pty Ltd will, with the permission of the person making the complaint, seek assistance from other authorities such as the police, legal representative, or other parties as appropriate.

Upskill U Pty Ltd will ensure that the student's academic progress will remain unimpeded by their complaint or appeal.

Upon receipt of the formal complaint, Upskill U Pty Ltd's CEO will be responsible for resolving the issue. This will involve at least a formal interview with the student, the trainer, and Upskill U Pty Ltd's CEO, if appropriate.

Should the issue still not be resolved to the student's satisfaction, Upskill U Pty Ltd will make arrangements for an independent third party to resolve the issue and outline any costs that may be involved with this to the student. The student will be given the opportunity to formally present their case. The time frame for this process may vary but should take no longer than 14 days.

All parties involved will receive a written statement of the outcomes, including reasons for the decision within the 14-day period.

If the process is taking longer than 60 days from the complaint or appeal being received, the student will be notified in writing of the reason for the delay and kept informed about all progress.

If the student is still not satisfied with the outcome, they may take their complaint to the appropriate State/Territory Ombudsman (see External Authorities and Further Escalation below for details).

The Australian Skills Quality Authority (ASQA) accepts complaints about training providers such as Upskill U Pty Ltd from all members of the community. ASQA takes a risk-assessment approach to student complaints, which allows them to focus on risks to the quality of vocational education and training in Australia.

ASQA is not a consumer protection agency and cannot act as an advocate for individual students. However, ASQA highly values complaints about training providers—all complaints are used as intelligence to inform regulatory activities.

For more information on how ASQA handles complaints, refer to ASQA's policy on managing complaints about training providers.

#### [Managing complaints about training providers](#)

A further option available to students and organisations is the National Training Complaints Hotline. This number is 13 38 73 and is staffed Monday - Friday, 8 am to 6 pm nationally. More details on the National Complaints Hotline can be found at <http://www.education.gov.au/NTCH>.

---

## **FEEDBACK**

Upskill U Pty Ltd values feedback from all stakeholders and recognises it as essential to maintaining quality training and assessment services. Feedback assists in identifying areas for improvement, celebrating success, and supporting our commitment to continuous improvement and self-assurance.

Upskill U Pty Ltd encourages feedback on any aspect of our service delivery, including training and assessment, enrolment, support services, facilities, marketing practices, or administrative processes.

Feedback can be submitted through multiple channels, including:

- Feedback forms (paper or online)
- End-of-course surveys

- Email or phone communication with staff
- Verbal feedback to trainers, assessors, or administration staff
- Scheduled reviews with employers or partners
- Anonymous feedback boxes (if applicable)
- Third party reports or meetings

Students are encouraged to provide feedback at any stage of their training and assessment. Trainers and assessors will regularly remind students that their input is welcomed and valuable.

All Upskill U Pty Ltd staff are responsible for promoting and facilitating a culture of open, honest, and respectful feedback.

Where possible, feedback should first be provided directly to the relevant staff member (e.g., trainer or assessor) so the matter can be resolved informally and promptly. If the student or stakeholder feels uncomfortable doing so, or the feedback relates to broader RTO practices, it should be directed to the CEO or Student Support.

All feedback received will be:

- Logged into the Feedback Register by the CEO or delegated officer.
- Reviewed for immediate risks or improvement opportunities.
- Triaged based on significance and potential impact.
- Actioned and, where necessary, escalated for resolution and follow-up.

Where feedback indicates a need for urgent attention (e.g., related to student safety, non-compliance, or reputational risk), Upskill U Pty Ltd will respond immediately and may engage external authorities where appropriate.

Confidentiality will be maintained in accordance with privacy laws, and sensitive feedback will only be shared on a need-to-know basis.

Where feedback results in a decision or action by Upskill U Pty Ltd:

- The person providing the feedback (where identified) will receive a formal acknowledgment within one business day.
- Actions taken as a result of the feedback will be recorded in the Continuous Improvement Register.
- A written summary of outcomes will be provided within 14 days, where applicable.
- If outcomes cannot be provided within this timeframe, the stakeholder will be informed of the reason for the delay and updated regularly.

Upskill U Pty Ltd is committed to empowering students and all stakeholders to provide feedback by:

- Ensuring information about providing feedback is publicly available on [website](#) and within the Student Handbook.
- Ensuring all students know they can speak to their Trainer/Assessor, the CEO, or Student Support at any time.
- Providing accessible, easy-to-complete feedback forms.
- Offering language, literacy or digital support if students require assistance to provide feedback.

No student will be penalised for offering feedback in good faith, and their learning or assessment progress will not be negatively affected.

---

## APPEALS

In rare circumstances, the participant may object to decisions made by Upskill U Pty Ltd, including enrolment rejections and assessment outcomes, and wish to appeal these decisions.

### ENROLMENT REJECTION APPEAL

*(Note: Other circumstances may also apply and be considered on a case-by-case basis)*

A prospective student may appeal an enrolment rejection if they believe the decision was made unfairly, in error, or without due consideration. Possible grounds include:

- The prospective student met all published entry requirements but was incorrectly deemed ineligible.
- The prospective student's application was incomplete or misinterpreted, despite sufficient documentation being submitted.
- The decision was based on incorrect or outdated information.
- The prospective student believes reasonable adjustments or support were not considered (e.g., due to disability or LLN&D needs).
- The prospective student was not provided with sufficient explanation or opportunity to clarify or supply additional evidence before the rejection.
- The rejection was inconsistent with the Upskill U Pty Ltd's Equal Opportunity and Inclusion Policy.
- The prospective student believes the decision was influenced by bias, discrimination, or procedural error.
- All enrolment rejection appeals will be reviewed under the principles of procedural fairness and natural justice, and students will be notified of outcomes in writing.

### DECISION APPEALS (INCLUDING ASSESSMENT OUTCOMES)

In rare circumstances, the participant may object to decisions made by Upskill U Pty Ltd, including assessment outcomes, and wish to appeal these decisions.

Possible grounds for an Assessment appeal could be (and others are possible):

- The correct response was provided however, the response was marked incorrect in error
- The material assessed was not covered in the learning materials
- The response provided by the participant was the response provided in class
- Or any other reason.

In the case of the Assessment appeal, the participant will follow the same basic steps as outlined in the complaint and appeal section.

- Discuss the issue with your trainer and seek their opinion.
- If you are still dissatisfied, complete the appeals form and submit it to Upskill U Pty Ltd's CEO, who will:
  - provide written receipt of your case within one business day,

- Review your case, and if desired, you will be able to present your case to Upskill U Pty Ltd's CEO. Upskill U Pty Ltd's CEO will review your case with you and provide you with a written response, including the reasons for the response.
- At all times, the participant is to be kept updated as to the progress and resolution of the matter.

Irrelevant of the process undertaken to resolve the matter, the appellant will be provided with a formal written statement of the resolution of the complaint or appeal, and this will state the reasons for the decision.

At all times will we keep our participants informed of the progress of their complaint and appeal; should this process take longer than sixty (60) days, we will keep the participant informed of these reasons through written correspondence.

---

## **DISCIPLINE**

If a trainer, assessor or staff member is unhappy or dissatisfied with the behaviour or performance of a student, the trainer/assessor has the authority to:

- Warn the student that their behaviour is unsuitable, or
- Ask a student to leave the class without refund or acceptance into another course, or
- Immediately cancel the class.

Upskill U Pty Ltd has a zero-tolerance policy towards illegal drugs. Any person found to be in possession or under the influence of illegal drugs will be asked to leave the premises.

Anybody found to be under the influence of drugs or alcohol that will adversely affect their performance will be asked to leave the premises.

In some cases, prescription drugs will affect your performance, and students are to discuss this with their trainer/assessor prior to course commencement.

Cheating or plagiarism (copying of someone else's work) will not be tolerated and will result in the participant's assessment being dismissed. Please refer to Academic Integrity Policy.

We expect that our staff will maintain a professional and ethical working relationship with all other staff, management, and participants. Any breach of our Code of Conduct will be discussed with the staff member and Upskill U Pty Ltd CEO, and the appropriate action will be taken.

If a participant wishes to express a complaint in relation to the disciplinary action taken, they have the opportunity to follow our complaints procedure.

---

## **FEEDBACK COLLECTION AND REVIEW PROCEDURE**

### **1. COLLECTION METHODS**

Feedback may be collected through:

- Formal Feedback Forms (available online or via email)
-

- Student surveys at course commencement, midpoint, and completion
- Verbal feedback provided by staff
- Feedback from employers and industry partners
- Social media and online reviews (monitored for trends)
- Informal conversations logged into the feedback register

## **2. LOGGING AND STORAGE**

- All feedback (positive, neutral, or negative) must be logged into the Upskill U Pty Ltd's Feedback Register.
- Staff who receive verbal or informal feedback are required to record it using the internal feedback log.
- Feedback relating to compliance, safety, training quality, or staff conduct must be escalated to the CEO.

## **3. REVIEW PROCESS**

- Feedback is reviewed monthly by the CEO and senior management.
  - Trends or recurring issues are identified and included in the Continuous Improvement Register.
  - Feedback outcomes are documented and actions tracked.
- 

## **COMPLAINTS AND APPEAL PROCEDURE**

### **1. INITIAL RESOLUTION**

- Participants should first raise concerns with the relevant trainer or staff member.
- If unresolved or inappropriate to raise with that person, the issue should be directed to the CEO.

### **2. FORMAL LODGEMENT**

- If the issue remains unresolved, a formal Complaints and Appeals Form must be completed and submitted to the CEO.
- Complaints must be acknowledged within one business day and resolved ideally within three weeks.

### **3. INVESTIGATION AND RESPONSE**

- Investigation includes interviews with relevant parties.
- All parties are provided the opportunity to present their case (Natural Justice).
- If required, an independent third party will be appointed to assist resolution within 14 days.
- Participants will not be penalised or disadvantaged during the process.

### **4. RESOLUTION AND RECORDKEEPING**

- All outcomes are provided in writing and logged in the Complaints and Appeals Register.
  - If the process exceeds 60 days, participants will be informed of reasons for the delay.
-

## CONTINUOUS IMPROVEMENT AND SELF-ASSURANCE INTEGRATION

All complaints, appeals, and feedback, whether resolved informally or formally, are:

- Reviewed at monthly management meetings.
- Tracked in a Continuous Improvement Register.
- Analysed for risks, non-compliance, and opportunities for improvement.
- Used to inform updates to training and assessment strategies, staff development plans, third-party arrangements, and student support services.

The Chief Executive Officer is responsible for ensuring that:

- Feedback and complaint data feeds into the self-assurance system.
- Quality indicators and student feedback outcomes are monitored.
- Audit readiness is maintained through documented review cycles.

---

## EXTERNAL AUTHORITIES AND FURTHER ESCALATION

Students may escalate unresolved complaints to:

- ASQA ([www.asqa.gov.au](http://www.asqa.gov.au))
- National Training Complaints Hotline at 13 38 73

## TRAINING OMBUDSMAN CONTACTS

STATES AND TERRITORIES	CONTACT DETAILS
QUEENSLAND	<ul style="list-style-type: none"><li>• <b>Office:</b> Queensland Training Ombudsman</li><li>• <b>Website:</b> <a href="http://www.trainingombudsman.qld.gov.au">www.trainingombudsman.qld.gov.au</a></li><li>• <b>Phone:</b> 1800 773 048</li><li>• <b>Email:</b> <a href="mailto:info@trainingombudsman.qld.gov.au">info@trainingombudsman.qld.gov.au</a></li></ul>
NEW SOUTH WALES	<ul style="list-style-type: none"><li>• <b>Office:</b> NSW Ombudsman (covers education and training)</li><li>• <b>Website:</b> <a href="http://www.ombo.nsw.gov.au">www.ombo.nsw.gov.au</a></li><li>• <b>Phone:</b> 1800 451 524</li><li>• <b>Email:</b> <a href="mailto:nswombo@ombo.nsw.gov.au">nswombo@ombo.nsw.gov.au</a></li></ul>
AUSTRALIAN CAPITAL TERRITORY (ACT)	<ul style="list-style-type: none"><li>• <b>Office:</b> ACT Ombudsman</li><li>• <b>Website:</b> <a href="http://www.ombudsman.act.gov.au">www.ombudsman.act.gov.au</a></li><li>• <b>Phone:</b> 1300 362 072</li><li>• <b>Email:</b> <a href="mailto:ombudsman@ombudsman.gov.au">ombudsman@ombudsman.gov.au</a></li></ul>

## POLICY IMPLEMENTATION

The implementation of this policy is supported by:

- Staff induction and training on feedback, complaints and appeals requirements
- Internal audits and validation activities
- Stakeholder feedback
- Version control and quality assurance mechanisms

Compliance with this policy will be reviewed at least annually, as part of [Upskill U Pty Ltd's](#) quality assurance cycle, in alignment with our Self-Assurance Schedule.

---

## ACCOUNTABILITY

The following table outlines the key roles within the organisation and their specific responsibilities in relation to the implementation, monitoring, and continuous improvement of this policy. Each role is accountable for ensuring the policy is upheld in practice and integrated effectively into relevant operational and compliance processes.

ROLES	RESPONSIBILITIES
Chief Executive Officer	<ul style="list-style-type: none"><li>• Oversee the implementation and compliance of this policy.</li><li>• Acknowledge and manage all formal complaints and appeals.</li><li>• Ensure timely resolution of issues and maintain records in the Feedback, Complaints and Appeals Register.</li><li>• Initiate continuous improvement actions arising from feedback or complaint outcomes.</li><li>• Lead review of trends and risks for self-assurance reporting.</li></ul>
Trainers & Assessors	<ul style="list-style-type: none"><li>• Act as the first point of contact for informal feedback or concerns raised by students.</li><li>• Attempt to resolve issues informally where appropriate.</li><li>• Record and escalate unresolved feedback or complaints to the CEO.</li><li>• Encourage and promote a safe and supportive environment for open feedback.</li><li>• Provide access to Feedback and Complaint and Appeal Forms.</li><li>• Assist students in lodging formal complaints or appeals.</li><li>• Maintain confidentiality and support procedural fairness.</li><li>• Notify the CEO of complaints received and assist in case management if required.</li></ul>

Management Team	<ul style="list-style-type: none"> <li>• Maintain the Feedback, Complaints and Appeals Registers.</li> <li>• Monitor trends and ensure follow-through on actions in the Continuous Improvement Register.</li> <li>• Support internal audits and data analysis for self-assurance purposes.</li> </ul>
Students and Stakeholders	<ul style="list-style-type: none"> <li>• Provide honest and constructive feedback.</li> <li>• Raise concerns respectfully and follow the procedures outlined.</li> <li>• Submit complaints or appeals promptly and engage with resolution processes in good faith.</li> <li>• Follow the Code of Conduct.</li> </ul>

## MONITORING

The Accountable Officer is responsible for ensuring Policy Instruments are reviewed, normally on a five-year cycle from the date they came into effect or the date of the last review. An earlier review of the Policy Instrument may be initiated if significant regulatory changes occur or a need identified. A Policy Instrument under review remains in force until the revised Policy Instrument is approved.

POLICY INFORMATION	
Accountable Officer	Sarah Nicholson, CEO
Date Effective	04/07/2025
Review Date	04/07/2030
Version Number	1

## REGULATORY FRAMEWORK

This policy has been developed with reference to a range of legislative instruments, standards, guidelines, and regulatory principles that govern our operations as an RTO. These frameworks ensure that we operate with integrity, upholds quality training and assessment practices, and meets our legal obligations to students, regulators, and the broader community.

The following documents underpin the principles and practices outlined in this policy and should be considered in its application:

- [AQF Qualifications Issuance Policy](#)
- [Competition and Consumer Act 2010](#)
- [National Vocational Education and Training Regulator \(Data Provision Requirements\) Instrument 2020](#)
- [National Vocational Education and Training Regulator \(Outcome Standards for Registered Training Organisations\) Instrument 2025](#)
- [National Vocational Education and Training Regulator Act 2011](#)

- [National Vocational Education and Training Regulator Regulations 2011](#)
  - [Privacy Act 1988](#)
  - [Work Health and Safety Act 2011](#)
- 

## RELATED DOCUMENTS

For a complete and centralised list of interconnected documents - including associated policies, procedures, forms, and checklist - please refer to the Dependency Matrix located within the Quality Manual. This matrix has been designed to support consistency, version control, and alignment across the broader compliance framework.

---

## DEFINITIONS

To ensure consistency and clarity across all policies, procedures, and supporting documents, Upskill U Pty Ltd maintains a centralised Definitions Library, located within the Quality Manual. This resource contains standardised definitions of key terms and acronyms commonly used throughout our quality management system and compliance framework. All documents should be read in conjunction with the Definitions Library to support accurate interpretation and application of terminology. Where a term is used within this policy and is not explicitly defined herein, it should be understood according to its definition in the Definitions Library. The Definitions Library is reviewed and maintained regularly to reflect changes to legislation, regulatory standards, and sector-specific terminology. Any suggestions for additions or amendments to the Definitions Library should be directed to the Chief Executive Officer for consideration as part of our continuous improvement practices.