

1. PURPOSE OF POLICY & PROCEDURE

To provide a framework to ensure all complaints, appeals and compliments are received, acknowledged, recorded, and resolved (where applicable) in a way that contributes to a supportive, collaborative and transparent environment according to regulatory requirements within the Outcome Standards for RTOs and relevant state based funding contracts.

2. SCOPE

This policy and procedure applies to genU meaning: Karingal St Laurence Ltd and related bodies corporate, associations and trusts.

This policy applies to all Activ Pathways workers involved in receiving and responding to complaints, appeals and compliments for Activ Pathways.

3. POLICY and PROCEDURE

3.1. Background

In accordance with the requirements within the Outcome Standards for RTOs, Activ Pathways ensures complaints and appeals are recorded, acknowledged and handled fairly, efficiently and effectively.

Activ Pathways provides a process whereby complaints may be made in relation to the conduct of:

- Activ Pathways, its trainers, assessors or other staff
- a third-party providing services on behalf of Activ Pathways, its trainers, assessors or other staff, or
- another student of Activ Pathways.

Activ Pathways also provides students with an appeals process which enables them to request a review of a decision made by Activ Pathways, including (but not limited to) assessment decisions, decisions relating to applications for Credit Transfers or RPL, decisions resulting from reports of general or academic misconduct and refund requests.

Activ Pathways ensures that:

- When dealing with complaints and appeals the principles of natural justice and procedural fairness are always adopted by:
 - Informing those involved of the allegations,
 - Providing those involved with the opportunity to present their side of the matter, and
 - Managing complaints and appeals in a fair and unbiased manner
 - A copy of this policy and procedure is publicly available on the Activ Pathways website and summarised in the Student Handbook
 - Its process/procedure for lodging a complaint or appeal is clearly always outlined and available to students.
 - Complaints and appeals are always acknowledged in writing.
 - Complaints and appeals are finalised in a timely manner and any delays are avoided.
- If at any stage it appears that a formal complaint or appeal will take more than 60 days

in total to finalise (including the review process), parties will be notified in writing and informed of the reasons for the expected delay.

- Students can have their complaint or appeal reviewed by an independent party.

Activ Pathways will also respond to and co-operate with any complaints handling mechanism or process established by the VET Regulator and state-based funding body where applicable.

3.1.1 Compliments

Activ Pathways will provide mechanisms for stakeholders to make compliments. All compliments will be recorded and shared with relevant staff.

3.2. Informing students of their rights

All students will be provided with information about the complaints, appeals and compliments process before entering into an agreement to enrol with Activ Pathways. They will be provided with a copy of the Student Handbook (which summarises these processes) and are required to acknowledge that they have read and understood this document upon accepting their enrolment offer. Students are also directed to the electronic version of Activ Pathways' Complaints, Appeals and Compliments Policy and Procedure as well as Activ Pathways' Complaints and Appeals Form located on Activ Pathways website during the pre-enrolment process and again during course induction.

If a complaint, or concern regarding a decision made by Activ Pathways, is raised verbally with an Activ Pathways staff member, the student should be directed to the abovementioned documents and helped with understanding and carrying out any of the steps within the complaints and appeals process.

3.3 Complaints and appeals process

3.3.1. Informal complain / appeal stage

Students are encouraged to raise any concerns/issues in an informal manner with their Trainer, Coordinator and/or any other relevant Activ Pathways staff member as soon as they arise. If a student disagrees with a decision that has been made by Activ Pathways, they should raise their concerns verbally with the decision maker.

If appropriate, an informal meeting may be arranged to allow sufficient opportunity to discuss the concern/issue and if possible, reach a resolution promptly.

If the concern/issue is in relation to an assessment decision the Assessor shall provide the student with further clarification of how they arrived at the assessment result. Where the student has not already exhausted reassessment opportunities, arrangements may be made for a reassessment, as per Activ Pathways Assessment and Reassessment Procedure.

If the student is not satisfied that the concern/issue has been resolved during this informal stage or feels the issue is of a serious nature, they are encouraged to lodge a formal complaint or appeal.

3.3.2. Formal complaint or appeal stage – lodging a formal complaint/appeal

All formal complaints must be made in writing. A student (or carer/guardian of the student) can make a formal complaint or request an appeal by taking the following steps:

Step 1: Obtain a Complaints and Appeals Form available via Activ Pathways website

Step 2: Complete Activ Pathways' Complaints and Appeals Form.

Complaint – Select 'Make a formal complaint' and complete all relevant sections.

Appeal – Select either 'Appeal – Assessment Result' or 'Appeal – Other decision' and complete all relevant sections.

A formal complaint must be made within 14 business days of the event/circumstance that is the subject of the complaint (unless delayed by steps taken to resolve the issue informally). An appeal must be made within 14 business days of the student being informed of the decision/result that they wish to appeal.

If required, the complainant/appellant can seek assistance from a Activ Pathways staff member to complete the Complaints and Appeals Form. Alternatively, the complainant/appellant may complete the form with the assistance of a support person.

Step 3: The completed Complaints and Appeals Form must be emailed to activpathwaysfeedback@genu.org.au with the subject line stating 'Complaint' or 'Appeal'.

Step 4: Administrators of the activpathwaysfeedback@genu.org.au inbox will acknowledge receipt of the complaint or appeal within 3 business days and pass on to the relevant Training Manager for follow up and add complaint details to the complaints register.

3.3.3. Formal complaint or appeal stage – receiving and recording complaint/appeal

On receipt, the relevant Training Manager must determine whether the complaint/appeal is:

- Of a 'critical' nature – substance of the complaint/appeal involves allegations that present a serious risk to a person or Activ Pathways reputation,
- Involves an alleged criminal action,
- Contravenes Activ Pathways Code of Conduct, policies, procedures and/or work instructions,
- Highlights an 'incident', or
- Involves an accusation against another person.

If any of the above points apply, the Training Manager must take the appropriate steps as detailed in Activ Pathways Compliments and Complaints Procedure.

The Training Manager must also notify all relevant parties of the allegation (where applicable).

3.3.4. Formal complaint or appeal stage – investigation and determination of outcome

To gather all relevant information, the complainant/appellant, relevant Activ Pathways staff member(s) and other parties (where applicable), will be interviewed separately by the Training Manager. If the complainant/appellant agrees, and it is considered both appropriate and beneficial, a meeting may also be arranged for all parties to discuss the complaint/appeal.

The complainant/appellant may arrange for a support person to accompany them during any meetings/interviews held during the formal complaints/appeals stage.

In the case of an appeal against an assessment decision, the Training Manager may appoint a 2nd Assessor to carry out a reassessment. Costs associated with this reassessment will be met by Activ Pathways. Please Note: An assessment task can only be reassessed once by a different assessor (a 3rd Assessor will not be appointed).

The Training Manager must inform the complainant/appellant of the decision/outcome either in writing or verbally within 14 calendar days of the formal complaint/appeal being received. They must then record the outcome and date communicated to complainant/appellant on the complaints and appeals form.

Where a delay occurs, the Training Manager must advise the complainant/appellant in writing of the reasons for the delay and provide regular written progress updates until a decision is reached.

3.3.5. Internal Review

If the complainant/appellant is dissatisfied with the decision/outcome arising from a formal complaint or appeal they can request an 'internal review'. by completing a new Complaints and Appeals Form and selecting 'request internal review of formal complaint/appeal outcome'. The form must be submitted via activpathwaysfeedback@genu.org.au with the subject line called 'Internal Review Request', within 14 calendar days of being informed of the complaint/appeal outcome.

The administrator of activpathwaysfeedback@genu.org.au will acknowledge a request for an internal review in a reply email to the complainant/appellant within 3 business days and advise the Head of Learning Design and Experience of the requirement to convene a panel.

The Head of Learning Design and Experience will appoint a complaints/appeals panel, consisting of at least two Activ Pathways Managers, and provide all previous documentation relating to the complaint, to conduct a thorough review of the outcome determined during the formal complaint or appeal stage.

In most cases the Head of Learning Design and Experience - will be on the panel. Where the complaint or appeal is of a more serious nature the panel may consist of the General Manager Education & Training and another senior leader from Activ Pathways.

Parties will be interviewed separately, each having the opportunity to present their case before the panel. The complainant/appellant may wish to bring a support person to any meetings/appointments held during the internal review.

In the case of an appeal of an assessment result, if a 2nd assessor was engaged during the formal appeal stage, the purpose of an internal review will not be to make another

determination as to what the assessment result should be, but rather to consider whether the correct process was followed.

The complainant/appellant will be informed of the outcome of the internal review (in writing) within 14 calendar days of the Head of Learning Design and Experience receiving the Complaints and Appeals Form. If a delay occurs the complainant/appellant will be notified in writing of the reasons, and provided with regular written updates until a decision is reached.

3.3.6. External review of appeal

If the complainant/appellant is unsatisfied with the outcome of an internal review, they may request that the appeal be reviewed by an independent party. A request for an external review must be lodged in writing to the General Manager Education & Training within 5 calendar days of the complainant/appellant being informed of the internal review outcome.

The General Manager Education & Training shall acknowledge the request in writing within 3 business days and appoint a third party who is independent of both Activ Pathways and the complainant/appellant, such as a mediator provided by the Australian Mediation Association. The cost of the initial session will be paid by Activ Pathways. All further costs incurred through mediation will be payable by the complainant/appellant. Please note: VET Regulator will not act as an independent third party.

The process for the external review will be determined by the independent third party. On receipt of the outcome, Activ Pathways must inform the complainant/appellant in writing and implement the decision immediately.

3.4. Grievances affecting on the job trainees and students on work placement

Where a trainee, or student on work placement, has a grievance with an employer, they are encouraged to attempt to resolve the issue through informal discussions with the employer. If the issue is not resolved, the trainee/student should inform the relevant Training Coordinator who will contact the employer to discuss the matter with a view to achieving a resolution.

The Training Coordinator may arrange a meeting between the parties and/or suggest that the matter be dealt with through the employer's internal policies and procedures. If the issue is still not resolved and there is a direct impact on learning outcomes, the Training Coordinator should consult with the relevant Training Manager to identify alternative options for addressing the issue.

If the student/trainee is not satisfied that the issue has been dealt with appropriately and/or a solution is not reached, they may raise a formal complaint through the process outlined above.

3.5. Finalising Complaints and Appeals

The relevant manager must complete remaining sections of the Complaints and Appeals Form and submit all completed records and supplementary evidence to activpathwaysfeedback@genu.org.au

All documentation relating to a complaint or appeal must be retained and submitted to activpathwaysfeedback@genu.org.au including:

- Activ Pathways Complaints and Appeals Form
- Written acknowledgement of complaint or appeal
- Written reports of decisions/outcomes reached
- Correspondence to and from complainant/appellant
- Meeting details and notes / meeting minutes
- Proposed activities for resolutions
- Any signed agreements made

The administrator of activpathwaysfeedback@genu.org.au will record outcomes/decisions (including internal and external review outcomes) in Activ Pathways' Complaints, Appeals and Compliments Register and save all forms and supplementary evidence into relevant Complaints Appeals Compliments folder.

Please see Activ Pathways Compliments and Complaints Procedure for further detail regarding information that must be maintained in relation to complaints/appeals.

The abovementioned records will be held in a secure Complaints and Appeals folder.

3.6. Receiving and recording compliments

Activ Pathways staff in receipt of compliments (written or verbal) must forward details of the compliment to activpathwaysfeedback@genu.org.au. These will be recorded in the Activ Pathways Complaints, Appeals and Compliments Register. All compliments should be responded to verbally or in writing within 3 calendar days of receipt.

Training Managers will be forwarded the feedback and encouraged to share this with their teams at staff meetings and one-on-one catch-up sessions. Compliments should also be forwarded to the relevant staff member/s where possible in acknowledgement of their efforts by the Training Manager upon receipt.

3.7. Continuous Improvement Arising from Complaints, Appeals and Compliments

Any potential improvement to training strategies, learning materials, assessments or other systems/processes which arise from complaints, appeals or compliments are to be lodged in Active Pathway's continuous improvement portal by relevant Activ Pathways staff.

See Activ Pathways Continuous Improvement Procedure for further detail on how improvement requests are managed.

Complaints data is also reported regularly upon request to Executive Team and relevant organisation committees.

4. RESPONSIBILITY

Position	Responsibility
General Manager Education and Training	Ensure resources are in place to respond to complaints and appeals as per this policy and procedure Be aware of any funding and contractual requirements in relation to complaints and to ensure these requirements are met (these must be recorded as per Activ Pathways Compliance Procedure) Participate in Internal Reviews as required Respond to requests for External Reviews as required

Position	Responsibility
Head of Learning Design and Experience	Ensure all records of complaints are maintained per this policy and procedure and leading team who have operational responsibility to respond to complaints and compliments Provide training opportunities on complaint handling to relevant employees Ensure clear avenues to complain are accessible available to clients and other stakeholders
Training Managers / Manager	Investigate and respond to all complaints received and triaged to them for response Ensure all relevant complaints records and updated and stored according to this policy and procedure
Student Success Coach and Retention Coordinator	Administer the Activ Pathways feedback inbox and respond to all feedback per guidance in this policy and procedure Maintain up to date register of complaints, appeals and compliments with records from resolution received from investigation managers
All Activ Pathways employees	Inform students of how to lodge a complaint, appeal or compliment Pass on feedback received from students to complaints team for action

5. RELATED DOCUMENTS

6.1. Parent Policy

- [genU Complaints and Appeals Foundational Policy and Procedure](#)

6.2. Other Related Policies and Procedures

- [Activ Pathways Assessment System Procedure](#)
- [Activ Pathways Assessment and Reassessment Procedure](#)

6. LEGISLATION AND RELATED REFERENCES

- National Vocational Education and Training Regulator Act 2011
- National Vocational Education and Training Regulator (Outcome Standards for Registered Training Organisations) Instrument 2025
- National Vocational Education and Training Regulator (Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements) Instrument 2025
- Vocational Education and Training Act 1996 (WA)
- Work Health and Safety Act 2011
- Disability Standards for Education 2005
- Privacy Act 1988 and National Privacy Principles (2001)
- Student Identifiers Act 2014 (Cth)

7. DEFINITIONS

Term	Definition
Appeal	A request by a student for a decision made by Activ Pathways to be reconsidered, including decisions about assessment. An appeal may be based on concerns about the fairness and/or accuracy of a decision
Complaint	An expression of dissatisfaction with a Activ Pathways action or service by a student (or a carer or guardian of a student).
Compliment	An expression of praise or regard for service received.
Student	For the purpose of this Policy and Procedure, students will include all current, prospective and previous students of Activ Pathways.

8. APPENDICES

Appendix	Summary
1	Complain and appeals process flow chart

9. RELATED RECORDS

Records must be maintained as per legal and contractual requirements. For guidance please refer to the [Records and Information Management Policy](#) and the [Records Retention and Disposal Schedule](#).

10. Appendix 1: Complaints and appeals flow chart

