

COMPLAINTS AND APPEALS POLICY AND PROCEDURE

Document Title	Complaints and Appeals Policy and Procedure Standards for RTOs 2025- Outcome Standards 2.7 (Feedback and Complaints) and 2.8 (Appeals)
Approval Date	12/01/2026
Next Review Date	12/01/2027 or following a significant change
Applies To	All Staff, Contractors, Trainers, Assessors, Marketing staff and any Third Party

Document History

Version	Date	Summary of Change	Approved By
1.0	12/01/2026	Reviewed and updated to align with the Standards for Registered Training Organisations (RTOs) 2025 (effective 1 July 2025) — added explicit references to Outcome Standards 2.7 and 2.8; removed reliance on the superseded fixed 60-day mandate and reframed timeframes as Asuria's own reasonable service commitments; added informal/formal complaint process detail, independent review no/low-cost confirmation, and continuous improvement requirements; corrected external mediator details	Compliance

Policy

The complaints and appeals process outlined in this document applies to all current, former, and prospective participants in any course offered by Asuria, and to any other relevant stakeholders involved in course administration, such as employers, schools, host employers, or placement hosts.

Despite Asuria's best efforts to deliver satisfactory services to its participants, complaints may occasionally occur that need formal resolution. This procedure allows participants to raise issues related to a complaint or appeal concerning academic or non-academic matters, and aims to achieve resolutions that satisfy all parties, in line with the principles of natural justice and procedural fairness. There is no charge for the complaints process; where a matter is escalated to an external review or appeals channel, Asuria will ensure the participant has access to that avenue at no or low cost to them.

The same procedure applies where a third party is providing training or other services on Asuria's behalf a complaint or appeal about a third party is handled by Asuria in the same way as a complaint about Asuria's own staff.

1. Regulatory Basis

This policy gives effect to Asuria's obligations under the Standards for Registered Training Organisations (RTOs) 2025 (the 2025 Standards), specifically:

- Standard 2.7 (Feedback and Complaints) — Asuria operates a complaints management system that allows feedback and complaints about Asuria, any third party, and any person it employs or contracts; affords all

parties procedural fairness; identifies reasonable timeframes for responding to and resolving complaints; and provides avenues for further action where a complaint is not resolved.

- Standard 2.8 (Appeals) — Asuria operates an appeals management system that allows participants to appeal decisions of Asuria, a third party, or a person Asuria employs or contracts, where that decision adversely affects them; affords all parties procedural fairness; specifies reasonable timeframes for actioning appeals; and provides avenues for review by an independent party, at the appellant's request, at no or low cost to the appellant.

2. Complaints Procedure

Any existing, previous or prospective participant, or third party, may submit a formal complaint to Asuria with the reasonable expectation that it will be treated with integrity and privacy. Complaints may be resolved through an informal or a formal process.

2.1 Informal Process

- Wherever appropriate, a participant is encouraged to raise a concern directly with the staff member, trainer, or assessor involved, or with their manager, as the fastest way to resolve a minor or straightforward issue.
- Staff receiving an informal complaint will listen to the concern, attempt to resolve it on the spot or within a short timeframe, and record the substance of the complaint and its outcome including complaints raised verbally or during a routine conversation in the CA&I Reporting Register.
- If the matter cannot be resolved informally or the participant prefers, they may lodge a formal complaint at any time.

2.2 Formal Process

- A formal complaint can be lodged in writing via feedback@asuria.com.au
- Asuria will acknowledge receipt of the complaint and begin assessing it within a reasonable timeframe, consistent with Section 1.
- All parties to the complaint including any third party or staff member the complaint concerns will be given the opportunity to respond before a decision is made.
- The complaint and its outcome, including reasons for the decision, will be documented in the CA&I Reporting Register and communicated in writing to all parties.
- Where a participant is not satisfied with the outcome, they will be advised of further avenues available to them, including an internal appeal (Section 3) or external review (Section 4).
- If a complaint (including any review process) will take **more than 60 days** to finalise, the participant will receive written correspondence explaining the delay and will be kept updated on progress.

3. Assessment and Decision Appeal Process

All participants have the right to appeal assessment decisions, and other decisions Asuria makes that adversely affect them, where reasonable grounds can be established.

- To activate the appeals process, the participant completes an 'Appeals Form', clearly stating why they feel the decision is unfair. The complainant must complete this form themselves.
- The form is available on our website at www.asuria.com.au (under Complaints & Appeals Policy), or by requesting it via feedback@asuria.com.au. Processing of all formally lodged appeals will begin within of Asuria receiving the appeal form.
- The Manager may organise a meeting with all parties involved and attempt to reach a resolution where appropriate. The participant has the right to appoint an independent nominee to attend all discussions.
- If an appeal (including any review process) will take more than **60 days** to finalise, the participant will receive written correspondence explaining the delay and will be kept updated on progress.
- The outcome of every appeal, and the reasons for it, are documented in the CA&I Reporting Register and used by Asuria to inform continuous improvement (see Section 5).

The areas in which a participant may appeal a decision made by Asuria include:

Appealing a Decision About	Process
Assessment outcome	• Notify your Assessor in the first instance and try to resolve the issue, or seek re-assessment, informally. The Assessor may re-assess the participant to ensure a fair and equitable decision and will complete a written report on the re-assessment for the Manager; the matter is entered into the CA&I Reporting Register. • If still unsatisfied, lodge an appeal by completing the Appeals Form, outlining the reasons for the appeal. • The Manager may confirm the original assessment decision or arrange re-assessment by a third party another assessor appointed by Asuria. • The participant is notified in writing of the outcome, with reasons. If not satisfied, they are offered the option of external review (Section 4); Asuria proceeds with that referral once the participant confirms they wish to proceed.
A decision made after Asuria has already dealt with a complaint in the first instance	• If not satisfied with the resolution, lodge an appeal and notify Asuria in writing within 20 working days, commencing three days after the date of the written communication of the decision or outcome. Clearly outline the grounds of the appeal on the Appeal Form and attach any supporting documentation. • The participant is notified in writing of the outcome, with reasons. If not satisfied, they are offered the option of external review (Section 4); Asuria proceeds with that referral once the participant confirms they wish to proceed.
An Asuria-initiated deferral, suspension, or cancellation decision	• If not satisfied with the resolution, lodge an appeal and notify Asuria in writing within 20 working days, commencing three days after the date of the written communication of the decision or outcome. Clearly outline the grounds of the appeal on the Appeal Form and attach any supporting documentation. • The participant is notified in writing of the outcome, with reasons. If not satisfied, they are offered the option of external review (Section 4); Asuria proceeds with that referral once the participant confirms they wish to proceed.

4. Dispute Resolution and External Independent Review

If a complaint or appeal cannot be resolved to a stakeholder's satisfaction through Asuria's internal process, this section sets out the preferred process for resolving the dispute. Asuria seeks to follow best practice to avoid, manage and resolve disputes.

Dispute resolution is how disputes are brought to an end through a negotiated outcome, a mediated outcome, or an arbitrated outcome. Asuria will assist stakeholders seeking to resolve disputes within the bounds of this policy through advice, information, and, where relevant, assistance accessing mediation. Asuria will always seek to resolve a dispute with a stakeholder at the earliest and most informal stage possible.

Where it is not possible to resolve a dispute through informal or formal negotiation or mediation, Asuria will assist the participant to access an appropriate independent service to formally conciliate and make recommendations for resolution, consistent with Standard 2.8's requirement that this avenue be available at no or low cost to the participant.

External Independent / Third-Party Mediators

If a participant disagrees with the outcome of an internal appeal, they can request review through an external independent mediator or regulator, including:

- **National Training Complaints Hotline** — 13 38 73 (a free referral service operated by the Department of Employment and Workplace Relations, which will direct a complaint to the most appropriate authority).
- **Dispute Settlement Centre of Victoria (DSCV)** — free mediation service, part of the Victorian Department of Government Services. Ph: 1300 372 888. Web: disputes.vic.gov.au.
- **NSW Fair Trading** — Ph: 13 32 20. Web: fairtrading.nsw.gov.au.
- **Consumer Protection WA** — Gordon Stephenson House, 140 William Street, Perth. Ph: 1300 30 40 54.
- **Consumer, Building and Occupational Services (Tasmania)** — Department of Justice, PO Box 56, Rosny Park TAS 7018. Ph: 1300 65 44 99. Email: cbosinfo@justice.tas.gov.au.
- **Australian Skills Quality Authority (ASQA)** — GPO Box 9928, Brisbane QLD 4001. Ph: 1300 701 801. Web: asqa.gov.au/complaints.
- Participants in Queensland, South Australia, the Northern Territory or the ACT can be referred to their state or territory fair trading or consumer affairs agency, or directly to the National Training Complaints Hotline above.

Asuria periodically checks these external contact details remain current, as agency names, numbers and addresses can change.

Where a decision or outcome from an external mediator is in favour of the participant, Asuria will follow the required action and recommendation from the third-party mediator to satisfy the participant's appeal as soon as practicable.

5. Continuous Improvement

Consistent with Standards 2.7 and 2.8, Asuria uses the outcomes of complaints and appeals not just individual case resolutions to inform continuous improvement. The Compliance Manager reviews entries in the CA&I Reporting Register periodically to identify trends, and opportunities to improve training, assessment, or administrative practices.

6. Who's Responsible for What

Role	Responsibility
Staff / Trainer / Assessor	Receives and attempts to resolve informal complaints in the first instance; records complaints and outcomes in the CA&I Reporting Register; escalates unresolved matters.
RTO Program Manager	Oversees formal complaints and appeals; convenes meetings between parties; decides on re-assessment or third-party assessor referral; notifies participants in writing of outcomes; assists participants to access external review.
Participant / Complainant	Raises concerns as early as practicable; completes the Complaints or Appeals Form with clear grounds and supporting documentation; may appoint an independent nominee to attend discussions.
Compliance Manager	Monitors trends in the CA&I Reporting Register for continuous improvement; ensures external review avenues remain current and accessible at no or low cost; oversees compliance with Standards 2.7 and 2.8.

7. Records

Every complaint and appeal, including informal matters, is recorded in the CA&I Reporting Register together with its outcome and the reasons for the decision. Records are retained in accordance with Asuria's Records Management Policy and made available to ASQA on request.