

## COMPLAINTS AND APPEALS PROCEDURE

## RELEVANT STANDARD(S):

<a href="#">Standards for Registered Training Organisations (RTOs) 2015</a>	<b>Standard 6 / Chapter 3 – Support and progression</b> <ul style="list-style-type: none"> <li>Clause 6.1-6.5</li> </ul>
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## Complaints and Appeals Procedure

<b>PURPOSE</b>	<p>This process serves as the guide and reference document for the Complaints and Appeals handling of MSM Training Group.</p> <p>Changes to this procedure must only be made upon the approval of the RTO Training Manager or CEO.</p>
<b>ROLE UNDERTAKING TASK</b>	Administration and Student Services / Training Team
<b>DOCUMENT UPDATE</b>	07/07/2023

## Complaints Handling Procedure

No.	Person/s Responsible	Steps to take
1	Complainant	<p>(1) Prior to lodging a formal complaint, complainants are encouraged to attempt informal resolution with the individuals involved:</p> <ul style="list-style-type: none"> <li>a. Privately between concerned parties</li> <li>b. With the help of the trainer</li> </ul> <p>(2) Where dispute cannot be resolved informally, lodge a formal complaint using the Complaints Lodgement Form. The Complaints Lodgement Form is available:</p> <ul style="list-style-type: none"> <li>a. Via the website</li> <li>b. Requested from any RTO staff</li> </ul> <p>(3) Complete the <b>Complaints Lodgement Form</b>.</p>
2	Administration and Student Services	<p><b>Receiving a formal complaint</b></p> <p>(1) Upon receiving the Complaints Lodgement Form response, reply to the complainant <i>in writing</i> via email. Acknowledge the receipt of the formal complaint and provide the processing timeframes.</p> <p>(2) Update the Complaints Register with relevant information.</p> <p>(3) Forward the formal complaint to the relevant personnel. If it is about:</p> <ul style="list-style-type: none"> <li>a. another student, forward it to the trainer.</li> <li>b. a trainer or assessor, forward it to the RTO Training Manager.</li> <li>c. the RTO's processes, forward it to the CEO.</li> </ul>

3	Person Responsible (Training Manager / CEO)	<p><b>Processing a formal complaint</b></p> <p>(1) Aim to resolve the formal complaint as quickly as possible and within 30 days from the time action item was assigned. Where appropriate and applicable, actions that may be taken include:</p> <ol style="list-style-type: none"> <li>Discuss the facts of the formal complaint with the complainant.</li> <li>Discuss the formal complaint with the respondent giving details about the formal complaint and complainant, giving cause to procedural fairness.</li> <li>Encourage and facilitate the disputants to engage in mediation in an informal level.</li> <li>Interview all parties individually, including any witnesses, privately and confidentially.</li> <li>Report the outcome of the meeting with the respondent to the complainant.</li> <li>Seek preferred outcome from each of the parties.</li> <li>Communicate with the student every time actions are taken and decisions once the formal complaint has been resolved.</li> <li>Facilitate a dispute resolution meeting with parties involved.</li> </ol> <p>(2) In the event that the complainant is dissatisfied with the result or conduct of the complaint handling, inform the complainant of their right to engage a third party / external arbitrator for a review of the complaints process (i.e. Training Ombudsman, Office of Fair Trading, Magistrate / Tribunal etc.). The complainant may recommend any Independent third party / external arbitrator who may facilitate a review. Where fees apply, this will be shouldered by the complainant.</p> <p>(3) Once resolution is finalised, document the details in an email sent to all parties involved. Send email with subject heading: 'Complaint Resolution'. Copy Student Services in the email.</p>
4	Administration and Student Services	<p><b>Closing a formal complaint</b></p> <p>(1) Upon receiving the 'Complaint Resolution' email, update the log in the Complaints and Appeals Register.</p> <p>(2) Where additional action items are required as a result of the formal complaint, implement action items and lodge the action items in the Continuous Improvement Register. Tag the action item as resulting from the Complaints and Appeals Process.</p> <p>(3) All fields MUST be completed. If additional information is required to fill out the Complaints and Appeals Register or the Continuous Improvement Register, follow-up with the Person Responsible (Trainer/RTO Training Manager/CEO). See Continuous Improvement Policy for more details.</p> <p>Change status on the Complaints and Appeals Register as 'closed' and file the document with the student's records.</p>

## Appeals Handling Procedure

No.	Person/s Responsible	Steps to take
1	Appellant	<p>(1) Prior to lodging a formal appeal, appellants are encouraged to attempt informal resolution with the individuals involved:</p> <ol style="list-style-type: none"> <li>Privately between concerned parties</li> <li>With the help of the trainer</li> </ol> <p>(2) Where appeal cannot be resolved informally, lodge a formal appeal using the Appeals Lodgement Form. The Appeals Lodgement Form is available:</p> <ol style="list-style-type: none"> <li>Via the website</li> <li>Requested from any RTO staff</li> </ol> <p>(3) Complete the <b>Appeals Lodgement Form</b>.</p>
2	Administration and Student Services	<p><b>Receiving a formal appeal</b></p> <p>(1) Upon receiving the Appeals Lodgement Form response, reply to the appellant <i>in writing</i> via email. Acknowledge the receipt of the formal appeal and provide the processing timeframes.</p> <p>(2) Update the Appeals Register with relevant information.</p> <p>(3) Forward the formal appeal to the relevant personnel. If it is about:</p> <ol style="list-style-type: none"> <li>the outcome of an assessment, forward it to the RTO Training Manager.</li> <li>the outcome from the initial complaint, forward it to the CEO.</li> <li>other decisions made by the RTO, forward it to the CEO.</li> </ol>
3	Person Responsible (Training Manager / CEO)	<p><b>Processing an formal appeal</b></p> <p>(1) Aim to resolve the formal appeal as quickly as possible and within 30 days from the time action item was assigned. Where appropriate and applicable, actions that may be taken include, but are not limited to:</p> <ol style="list-style-type: none"> <li>Discuss the facts of the formal appeal with the appellant.</li> <li>Review all assessment documentation and process.</li> <li>Conduct a re-assessment.</li> <li>Encourage and facilitate the disputants to engage in mediation on an informal level.</li> <li>Interview all parties individually, including any witnesses, privately and confidentially.</li> <li>Report the outcome of the meeting with the respondent to the appellant.</li> <li>Seek preferred outcome from each party involved.</li> <li>Communicate with all parties involved every time actions are taken and decisions once the appeal has been resolved.</li> <li>Facilitate a dispute resolution meeting with parties involved.</li> </ol>

		<p>(2) In the event that the appellant is dissatisfied with the result or conduct of the process, advise the appellant that they have the right to engage a third party / external arbitrator for a review of the appeals process (i.e. Training Ombudsman, Office of Fair Trading, Magistrate / Tribunal etc.). The appellant may recommend any Independent third party / external arbitrator who may facilitate a review. Where fees apply, this will be shouldered by the appellant.</p> <p>(3) Once resolution is finalised, document the details in an email sent to all parties involved. Send email with subject heading: 'Appeal Resolution'. Copy Student Services in the email.</p>
4	Administration and Student Services	<p><b>Closing a formal appeal</b></p> <p>(1) Upon receiving the 'Appeal Resolution' email, update the log in the Complaints and Appeals Register.</p> <p>(2) Where additional action items are required as a result of the formal appeal, implement action items and lodge the action items in the Continuous Improvement Register. Tag the action item as resulting from the Complaints and Appeals Process.</p> <p>(3) All fields <b>MUST</b> be completed. If additional information is required to fill out the Complaints and Appeals Register or the Continuous Improvement Register, follow-up with the Person Responsible (Trainer/RTO Training Manager/CEO). See Continuous Improvement Policy for more details.</p> <p>Change status on the Complaints and Appeals Register as 'closed' and file the document with the student's records.</p>

VERSION CONTROL

Version Control Table					
Date	Summary of Modifications	Modified by	Version	Date of Implementation	Next Review Date
23/09/2024	Document creation	360RTO Solutions	v. 1.0	23/09/2024	22/09/2025

RTO INFORMATION

RTO INFORMATION	
Document Name	Complaints and Appeals Procedure v1.0
RTO/Company Name	MSM Training Group
ABN	89 665 076 602
RTO Code	#46318
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