



Approvals

	Name	Position
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Amendment record

Updated to include current information and contact details. Updated to new CMS Objective Template.

1. Purpose

This procedure ensures that complaints and appeals about the RTO’s operations or results of training or assessment, including any third party providing services on behalf of MTM RTO, are addressed collaboratively, efficiently and effectively.

2. Scope

This procedure applies to complaints and appeals of an individual learner or other person, including any third party.

3. Roles and responsibilities

Complainant/Appellant	Lodge a formal or informal appeal or complaint.
MTM RTO Assessor	Resolution of complaint/appeal at an informal level
Metro Academy Manager	Investigation and resolution of complaint.
RTO Manager	Procedure Document Author, investigation, resolution and/or final sign-off of complaint.
Head of Metro Academy	Procedure Document Endorser, investigation and resolution of complaint.
RTO CEO	Procedure Document Approver.
Third Party Mediator	Complaint/appeal investigation and resolution.
External Complaint Agencies	Complaint/appeal investigation and resolution.

4. Process

4.1. Informing Clients of the Complaints and Appeals Process

4.1.1. Information relating to the MTM RTO’s complaints and appeals process is accessible to learners via this procedure, the Learner Information Handbook and the Metro Academy website.

4.2. Confidentiality

4.2.1. The MTM RTO expects that all persons involved in a complaint or appeal process to maintain confidentiality at all times and only discuss the complaint or appeal with those persons directly involved in the management and resolution of the complaint or appeal.



4.3. Grounds for Complaint or Appeal

- 4.3.1. A complaint may include, but is not limited to a grievance in relation to;
- Marketing and advertising material
 - Course advice and enrolment
 - Fees and charges
 - Recognition of prior learning
 - Student support services
 - Program delivery
 - Learning resources
 - Changes to agreed services
 - Trainers, assessors, other learners and third parties
 - Personal safety
 - Issuing of credentials.
- 4.3.2. An appeal may include, but is not limited to;
- Assessment decisions
 - Learner progress and progress decisions
 - Outcomes of a complaint.
- 4.3.3. If a person feels that they have grounds for a complaint or appeal then they may bring this to the attention of the RTO.

4.4. Complaint or Appeal Process

- 4.4.1. The MTM RTO will firstly try to address a complaint or appeal informally at the lowest possible level (for example, by the trainer, assessor or Training Manager). This may include discussions and general mediation between parties to resolve the issue.
- Where a learner wishes to appeal an assessment decision, it is preferred they notify the assessor in the first instance. Where appropriate, the assessor may decide to re-assess the learner to ensure a fair and equitable decision is gained.
- 4.4.2. If the informal process is unsuccessful, the learner can submit a formal complaint or appeal.
- 4.4.3. Formal complaints and appeals must be lodged in writing, preferably using the A4293 RTO Complaint and Appeal Form. The following details must be included:
- Personal details; full legal name, date of birth, email address and mobile number
 - Description/nature of complaint/appeal; including date, time, location and people involved
 - Steps the learner has taken to resolve the issue
 - Desired outcome/resolution
 - Signature and date of submission.
- 4.4.4. All formal complaints and appeals should be addressed to the RTO Manager and submitted to rtomanager@metrotrains.com.au
- 4.4.5. The RTO Manager will record the formal complaint or appeal in the RTO Complaints and Appeals Register and refer the matter to the relevant Metro Academy Manager to commence resolution action. If the Metro Academy Manager is directly involved in the original determination being appealed or a party to the complaint or appeal, the matter will be reviewed by the RTO Manager.
- 4.4.6. The relevant Metro Academy Manager or RTO Manager will review the complaint or appeal and attempt resolution within 10 working days of the RTO Manager receiving the complaint or appeal. If the complaint or appeal is resolved to the satisfaction of all parties, the Metro Academy Manager or RTO Manager will record the



outcome in the applicable section of the A4293 RTO Complaint and Appeal Form. If completed by the Metro Academy Manager, the form must be forwarded to the RTO Manager.

4.4.7. If no resolution is reached within 10 working days, the complaint or appeal will be referred to the Head of Metro Academy for review and investigation. The Head of Metro Academy will aim to complete their review and investigation within 15 working days. The Head of Metro Academy will record the outcome in the applicable section of the A4293 RTO Complaint and Appeal Form and forward to the RTO Manager.

4.5. Outcome of Complaint or Appeal

- 4.5.1. The RTO Manager will provide the person making the complaint or appeal a formal response in writing. The response will detail the complaint or appeal outcome, including reasons for the decision.
- 4.5.2. If more than 60 calendar days from receipt are required to review and investigate the complaint or appeal, the RTO Manager will:
 - a) Inform the person making the complaint or appeal in writing, including reasons why more than 60 calendar days are required
 - b) Provide weekly progress updates to the person making the complaint or appeal.
- 4.5.3. If a complaint or appeal is not resolved to the satisfaction of both parties, the person making the complaint or appeal may request to refer the matter to a third party for mediation. The third party mediator will be a person who is employed by the Dispute Settlement Centre of Victoria (www.disputes.vic.gov.au). There are generally no costs associated with this service however any costs incurred will be the responsibility of the learner.
- 4.5.4. MTM at all times will endeavour to resolve any issues the learner may have. All complaints/appeals and their outcomes will be recorded in the RTO Complaints and Appeals Register. Information from this register will be used by the RTO to improve the quality of its services and reduce customer complaints/appeals.

4.6. External Complaints Agencies

- 4.6.1. A learner or other person may make a complaint against the RTO directly to ASQA only after exhausting the MTM RTO's internal procedures. Complaints can be lodged via <https://asqaconnect.asqa.gov.au/>.
- 4.6.2. Alternatively, learners (or other person) may make a complaint direct to the National Training Complaints Hotline. The National Training Complaints Hotline is accessible on 13 38 73 (Monday to Friday from 8am to 6pm nationally) or at www.dewr.gov.au/national-training-complaints-hotline.

4.7. Identification and Correction of Potential Causes

- 4.7.1. The RTO Manager will monitor its operations for potential causes of complaints and appeals through:
 - a) Learner course evaluation forms
 - b) Staff course evaluation forms
 - c) Internal self-assessment audits
 - d) External audits
 - e) Other informal feedback mechanisms.
- 4.7.2. Any corrective or improvement actions identified will be managed in accordance with the RTO continuous improvement procedure.

5. Abbreviations

ASQA	Australian Skills Quality Authority
MTM	Metro Trains Melbourne



RTO	Registered Training Organisation
VET	Vocational Education and Training

6. Definitions

Appeal	Request for reconsideration or review of a decision. For e.g. assessment result.
Complaint	The formal expression of a grievance. The act of saying or writing that you are unhappy or dissatisfied with something or someone. For e.g. a complaint about another person's behaviour.
Mediation	A dispute resolution process where the parties attempt to reach a mutually agreeable solution with the assistance of a neutral third party.

7. Records management

- 7.1. Complaints and appeals, including determined outcomes will be recorded in the RTO Complaints and Appeals Register, an Excel document, maintained by the RTO Manager, and stored in a secure Teams Folder.
- 7.2. Electronic copies of all documentation (emails, forms etc.) will be securely saved and maintained by the RTO Manager, and stored in a secure Teams Folder. Access to these files is limited solely to the RTO.
- 7.3. Records and correspondence will be retained in accordance with document A985 Records Management Procedure, the requirements of ASQA and any applicable state or national law.

8. Document hierarchy

8.1. Parent document

A4931 Metro Academy Operations Manual (MAOM).

8.2. Subordinate documents

A4293 RTO Complaint and Appeal Form.

RTO Complaints and Appeals Register.

9. References

A985 Records Management Procedure.

A7738 Code of Conduct.

Standards for Registered Training Organisations 2015:

Standard Two	Clause 2.2(b)
Standard Five	Clause 5.2(d)
Standard Six	Clauses 6.1, 6.2, 6.3, 6.4, 6.5



10. Appendices

10.1. RTO Complaints and Appeals Process

Step 1	Complaint or Appeal raised (Informal)
• Review	Reviewed at the lowest possible level (e.g. trainer, assessor or Training Managers)
• Resolved?	If no resolution, proceed to Step 2
Step 2	Complaint or Appeal raised (Formal)
• Submit	Complainant/Appellant submits formal complaint or appeal in writing to RTO Manager <ul style="list-style-type: none"> • Preferably on the A4293 RTO Complaint and Appeal Form
• Review	RTO Manager reviews the complaint or appeal and refers to relevant Metro Academy Manager for resolution within 10 working days Where the Metro Academy Manager is directly involved in the complaint or appeal the RTO Manager attempts to resolve the complaint within 10 working days
• Resolved?	If no resolution, proceed to Step 3
Step 3	Complaint or Appeal referred to Head of Metro Academy
• Review	Head of Metro Academy reviews the complaint or appeal and attempts to resolve within 15 working days
• Conciliation	The Head of Metro Academy will ensure that as far as is reasonably practicable, the complainant/appellant is satisfied with the outcome
• Resolved?	If no resolution, proceed to Step 4
Step 4	Complaint or Appeal referred to External Agency
• Refer	Complainant/appellant may request to refer the matter to a third party for mediation
• Third Party	The Third Party will be a person who is employed by the Dispute Settlement Centre of Victoria (www.disputes.vic.gov.au)
• Costs	Any costs incurred will be the responsibility of the learner
• Resolution	Outcomes of the mediation are final