Complaints and Appeals Policy

1. Purpose

This policy and procedure is designed to ensure that complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

2. Policy Statement

Master Builders' Association of WA (RTO# 5101) ("the RTO") is committed to providing quality training and assessment products and services in compliance with the Standards for Registered Training Organisations (RTOs) 2015.

The RTO acknowledges that it cannot improve training and assessment services without having open and honest complaint, appeal and feedback mechanisms.

3. Compliance

This policy and procedure maps to the draft 2025 RTO Standards 2.7 (complaints) and 2.8 (appeals).

This policy and procedure should be read in conjunction with the TAC's Complaints Information (https://www.tac.wa.gov.au/Pages/complaints.aspx).

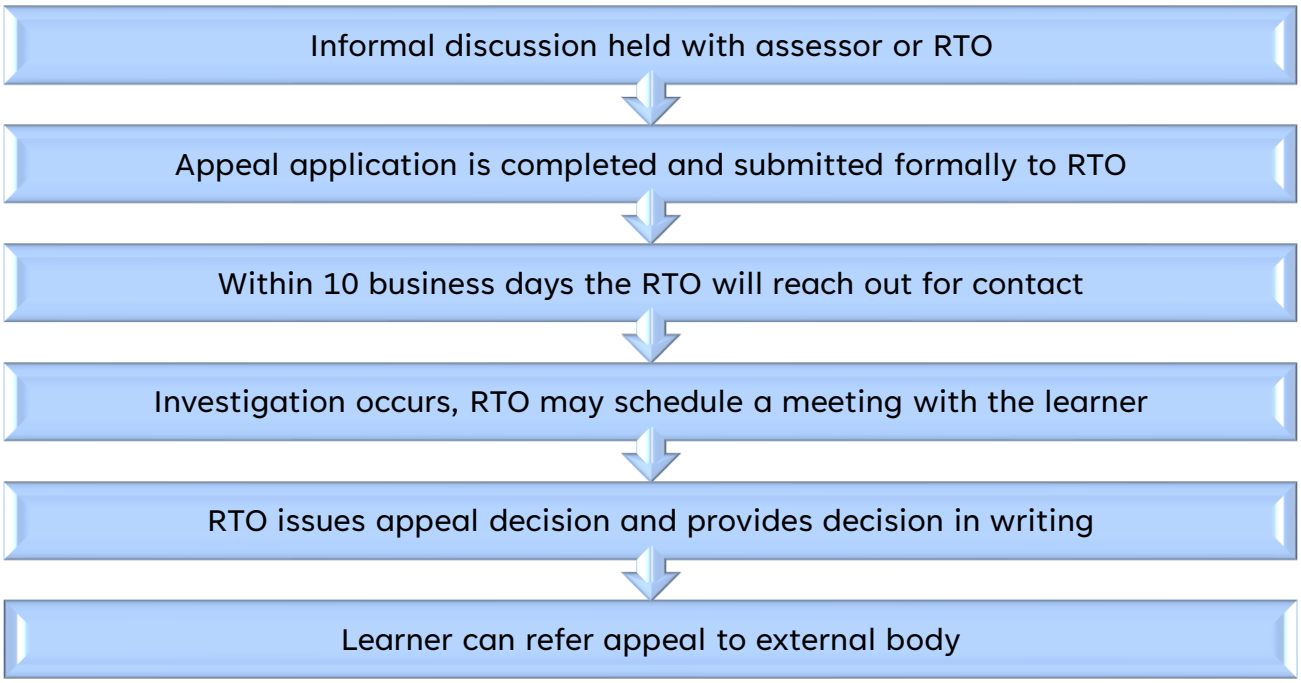
4. Definitions

Complaints refers to a complaint about the service, training and/or assessment.

Appeal refers to an appeal of an assessment outcome or appeal of a decision made by the RTO for example a determination of satisfactory or not yet satisfactory for an assessment or not yet competent or not competent for a unit of competency outcome.

Reasonable timeframe refers generally a reasonable timeframe for reviewing complaints and appeals is ten (10) working days (business days) unless mitigating circumstances apply (such as waiting on a response from an external organisation or person), in this case it will be communicated to the learner.

5. Appeals Process Overview



6. Managing Appeals

The initial appeal should be discussed informally with the staff person involved.

- If the matter is not resolved informally then the person may choose to lodge a formal appeal. This must be done in writing or by requesting Form from Administration which may be completed and submitted.
- A student may lodge an appeal within six (6) weeks of receiving their result of assessment or when provided feedback of an assessment.
- Generally the RTO will aim to have the appeal resolved and responded to within thirty (30) days.
- The appeal will be recorded on the Appeals Register and the Head of Training will make contact within a reasonable timeframe to arrange a meeting.
- The meeting will be between all parties in an attempt to find a resolution. If necessary, appealed assessments will be reassessed by an alternate trainer/assessor.
- The meeting will be documented with all outcomes and proposed resolutions being provided to all parties and actions immediately implemented.
- The Appeal will be recorded on a Register of Appeals for future reference and monitoring.
- If the student is not happy with this outcome, they will be referred to an external body where the matter can be dealt with independently.

7. Timeframes

- An appeal or complaint can be lodged within six weeks of the event.
- The Head of Training or Training Coordinator will make contact within ten (10) days to make a meeting appointment.
- Generally the RTO will aim to have the complaint resolved and responded to within thirty (30) days.
- Where the RTO considers it requires more than sixty (60) calendar days to process and finalise the complaint or appeal it will:
    - Inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
    - Regularly update the complainant or appellant on the progress of the matter.

8. Requirements throughout Appeals Process

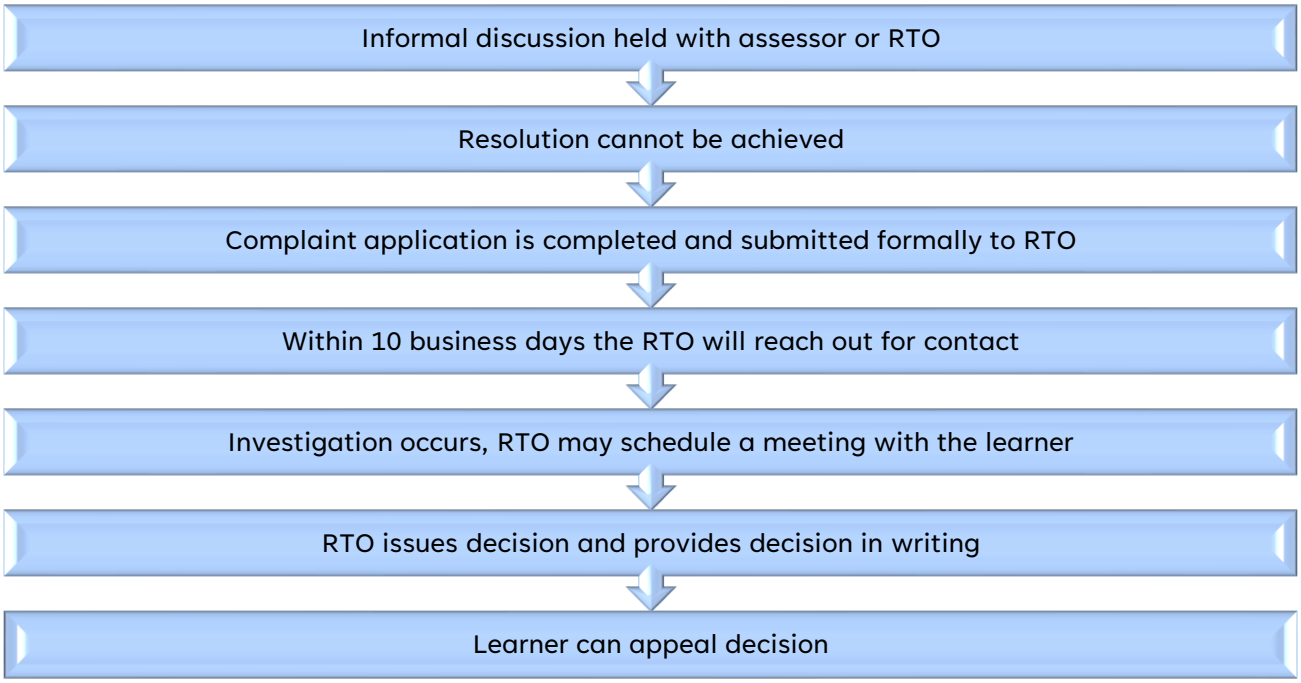
Throughout the Appeals Process, the student is required to continue to attend class, submit assessment and meet any other responsibilities as outlined in their enrolment with the RTO unless otherwise advised.

9. Appeals Contacts

First point of contact for an appeal is a general discussion with your trainer, if you do not get a resolution with your trainer, please proceed below.

Head of Training	Charlotte Sutton
Email	charlotte@mbawa.com
Phone	(08) 9476 9800

10. Complaints Process Overview



11. Managing Complaints

The initial complaint should be discussed informally with the staff person involved.

- If the matter is not resolved informally then the person may choose to lodge a formal complaint. This must be done in writing or by requesting Form from Administration which may be completed and submitted.
- The complaint will be recorded on the Complaint Register and the Head of Training will make contact within a reasonable timeframe to arrange a meeting.
- The meeting will be between all parties in an attempt to find a resolution.
- The meeting will be documented with all outcomes and proposed resolutions being provided to all parties and actions immediately implemented.
- The Complaint will be recorded on a Register of Complaints for future reference and monitoring.
- If the student is not happy with this outcome, they can appeal.
- Refer to the appeals process.

12. Costs Associate with Appeals

The RTO confirms that there are no costs associated with submitting a complaint or appeal.

13. Complaints Contacts

First point of contact for an appeal is a general discussion with your trainer, if you do not get a resolution with your trainer, please proceed below.

Head of Training	Charlotte Sutton
Email	charlotte@mbawa.com
Phone	(08) 9476 9800

The Head of Training may refer the management of the complaint to the Training Coordinator if appropriate.

14. Raising a Complaint to the Regulator

Where you are not satisfied with the outcome of your complaint or appeal, you can escalate the complaint to the national regulator, the Training Accreditation Council (TAC).

For information about how to make a complaint to Training Accreditation Council refer to https://www.wa.gov.au/service/education-and-training/vocational-education/complaints-against-registered-training-organisations

15. Record Maintenance

All documentation relating to an appeal or complaint will be loaded to the student's profile in the appropriate drive.

Complaints and appeals will be reviewed by the Head of Training to identify any potential causes of any complaint or appeal. Based on the review, action will take place that appropriately eliminates or mitigates the likelihood of any re-occurrence.

The RTO will maintain a register of complaints OR will ensure that all complaints are kept within the appropriate drive in a section where they can be easily collated and reviewed as part of the Continuous Improvement and Quality Management processes, refer to Continuous Improvement and Quality Management policy for more information.

16. Monitoring and Improvement

All complaints and appeals feed into the RTOs Continuous Improvement Policy and Procedure and form part of the information that feeds into the Quality Indicator Report which is submitted annually.

Policy Review

This policy will be reviewed each year and as a standing item, include details of the date it was reviewed and any changes.

- November 2022 - initial creation
- January 2024 – update and review in line with the new draft RTO Standards clarifying the difference between complaints and appeals.
- January 2025 – update in line with DEWR RTO Standards Policy Guidance.
- September 2026 – contextualised for MBWA (Roles, TAC etc.)

Policy Additions or Amendments

Separate to the mandated annual review, the policy may be varied at any time due to legislative changes or to fall in line with widely accepted best practices in the workplace. In the event of any changes, the policy will be updated, and relevant stakeholders advised.

Matthew Moran (CEO)

17. Policy in Practice: Ensuring a Positive Student Experience

This section describes what students can expect when engaging with the Complaints and Appeals process. It aims to provide transparency and ensure a supportive experience for all students.

1. Accessibility and Clarity

- **Clear Information:** Students can access easy-to-understand instructions about how to make a complaint or appeal through the RTO website, student handbook, or during orientation.
- **Supportive Guidance:** Dedicated staff are available to assist students in understanding the process and completing forms where needed.

2. Confidentiality and Respect

- **Private and Secure:** Complaints and appeals are handled with the utmost confidentiality, respecting the student's privacy and ensuring sensitive matters are addressed discreetly.
- **Fair Treatment:** Every student is treated with respect, and the process is impartial, ensuring no bias affects the outcomes.

3. Timely Response

- **Acknowledgment:** Complaints and appeals are acknowledged within ten (10) business days.
- **Swift Action:** The RTO endeavours to resolve issues within the stated timeframes (generally 10–30 business days) and will keep students informed of progress.

4. Resolution Process

- **Open Communication:** Students have the opportunity to present their case during meetings with staff, ensuring their concerns are fully heard.
- **Collaborative Approach:** The RTO aims to work collaboratively with students to find a fair and appropriate resolution.

5. Continuous Improvement

- **Feedback Utilisation:** Outcomes of complaints and appeals are reviewed to identify areas for improvement in training and assessment services.
- **Transparent Reporting:** Aggregate data from complaints and appeals is shared with staff and used to inform quality assurance initiatives.

18. Evidence of Policy in Practice

This section outlines the documentation and records maintained to ensure compliance with the Complaints and Appeals Policy and demonstrate its effective implementation.

1. Student Communication Records

- **Acknowledgment Letters:** Copies of acknowledgment emails or letters sent to students confirming receipt of their complaint or appeal.
- **Progress Updates:** Records of updates provided to students during the resolution process, including timelines and explanations for delays, if any.
- **Outcome Notifications:** Final outcome letters or emails provided to students, detailing the resolution and any next steps.

2. Supporting Evidence of Resolution

- **Meeting Notes:** Documentation of meetings held with students, trainers, assessors, or other staff involved in the resolution process.
- **Investigation Records:** Evidence of the steps taken to investigate and resolve the complaint or appeal, such as witness statements, emails, or other correspondence.
- **Assessment Reviews:** Records of reassessments conducted by independent trainers or assessors where applicable.

3. Continuous Improvement Records

- **Feedback Analysis:** Data and trends extracted from complaints and appeals, used to inform continuous improvement initiatives.
- **Improvement Action Plans:** Documentation of changes or actions implemented to address recurring issues identified through the complaints and appeals process.

4. External Review Documentation

- **External Escalation Records:** Documentation of cases referred to TAC and their outcomes.
- **Compliance Audit Reports:** Internal or external audit reports that include the review of complaints and appeals processes.

5. Archiving and Record-Keeping

- **Retention Policy:** Evidence of adherence to record-keeping requirements, including storage of all complaints and appeals records in the appropriate drive for the required timeframe.
- **Confidentiality Measures:** Proof that all documentation is stored securely and in compliance with privacy regulations.