

## **POLICY ON COMPLAINTS AND APPEALS**

### **POLICY NO. P2017-01**

#### **BACKGROUND**

The Standards for Registered Training Organisations 2015, under Standard 6 indicate:

*Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.*

Standard 6 also contains 6 clauses related to managing complaints and appeals.

#### **DEFINITIONS AND ACRONYMS**

Learner	<i>Any person who has enrolled to complete in a course, unit of competency or qualification as provided by FutureWest Institute.</i>
NVR	National VET Regulator <i>The regulator for FutureWest Institute is the Australian Skills Quality Authority (ASQA).</i>
SOA	Statement of Attainment <i>A statement of attainment is issued to a learner when one or more units from a VET qualification or an accredited short course has been completed.</i>
Third Party	<i>Any other persons or organisations engaged by FutureWest Institute to deliver training and/or assessment of training products within the scope of registration, or provides education and support services, or provides recruitment of prospective learners on its behalf.</i>
Independent Third Party	<i>A third party person independent of the RTO engaged by FutureWest Institute to review the complaint/appeal processes where these fail to resolve the complaint or appeal.</i>

#### **APPLICATION OF THE POLICY**

This policy applies to all staff and third party contractors of FutureWest Institute and the learners and organisational clients of whom FutureWest Institute provides training services. Training in which this policy applies includes, but is not limited to:

1. PUAPE018A Control a Level 2 Incident
2. PUAPE022A Manage Logistics for a Level 2 Incident
3. PUAPE023A Manage Operations for a Level 2 Incident
4. PUAPE025A Manage Planning for a Level 2 Incident
5. PUA60112 Advanced Diploma of Public Safety (Emergency Management)
6. 22202VIC Course in AIIMS

## **OBJECTIVE**

The purpose of this policy is to describe the complaints and appeals process for learners, organisational clients and third party persons.

## **PRINCIPLES**

FutureWest Institute is committed to providing a service which delivers effective training and assessment of nationally accredited qualifications, courses and units of competency. FutureWest Institute believes in continuously improving their services at all times through consultation, liaison and feedback with learners, employers and trainers and assessors.

## **POLICY**

1. Learners, organisational clients and trainers/assessors are welcomed to make complaints, appeals and grievances. Complaints can be made which involves allegations of conduct of:
  - a. the RTO, its trainers, assessors or other staff
  - b. a third party providing services on the RTO's behalf, its trainers, assessors or other staff or
  - c. a learner of the RTO.
2. Complaints can be academic or non-academic in nature, such as but not limited to content of training, method or result of assessment, and access to facilities or resources.
3. Appeals can be lodged with FutureWest Institute for a review of decisions, including assessment decisions made by trainers and/or assessors.
4. All complaints, appeals and grievances will be treated in the strictest confidence.
5. If the RTO considers the complaint/appeal requires more than 60 calendar days to process and resolve, FutureWest Institute will:
  - a. Contact the complainant/appellant through face to face or phone communication and discuss the reasons and processes for why more than 60 calendar days are required to process and resolve the complaint/appeal;
  - b. This will be followed up by confirming in writing, either through email or postal mail to the complainant or appellant, the reasons why more than 60 calendar days are required and the likely steps required to process and resolve the situation;

- 
- c. Regularly update the complainant or appellant every 14 days (or earlier if significant progress has occurred) on the progress of the matter in writing, either through email or postal mail, until resolution.
  - d. Regularly update the complainant or appellant every 21 days (or earlier if significant progress has occurred) on the progress of the matter verbally through face to face or phone communication.
  - e. Once a decision has been made regarding the complaint/appeal, the complainant/appealant will be contacted through face to face or phone communication, and be informed of the outcome of that decision. This will be followed with written communication, either through email or postal mail to confirm the processes undertaken and the decision/s made regarding the original matter.
6. All complaints and appeals will be recorded for reference and quality improvement measures in the FutureWest Institute Complaints Register as well as the FutureWest Institute Continuous Improvement Register (in PowerPro).
  7. All learners will be informed of the National Training Complaints Hotline on 13 38 73 and the national regulator Australian Skills Quality Authority (ASQA) on their website [www.asqa.gov.au](http://www.asqa.gov.au) in their Learner Handbook should they wish to make complaints to external bodies.
  8. This policy intention is communicated to learners, organisational clients, and third party members in the relevant course Learner Handbook and on the FutureWest website.

## PROCEDURE FOR COMPLAINTS AND APPEALS

1. Complaints and appeals must be made in writing to a FutureWest Institute Director to either [james@futurewest.com.au](mailto:james@futurewest.com.au) or [ming@futurewest.com.au](mailto:ming@futurewest.com.au) or sent to PO Box 176, FLOREAT WA 6014.
2. FutureWest Institute will acknowledge in writing within 2 business days when a complaint or an appeal has been made in writing, and aims to resolve them within a timeframe of 21 business days thereafter.
3. On receipt of the appeal or complaint in writing, the Director Training and Development will, either by face-to-face, phone, email or other written communication, contact the complainant/appealant to discuss the nature of the complaint or appeal.
4. Director Training and Development will review all relevant assessment documents and related documents (if applicable) pertaining to the nature of the complaint/appeal.
5. Director Training and Development will discuss the matter with the assessor (if applicable) or the person/s in question.
6. Director Training and Development will make a decision regarding the complaint or appeal. If the matter is related to an appeal, this may result in maintaining the original assessment decision, amendment of the original assessment decision or opportunity for re-training and subsequent re-assessment.

7. Director Training and Development will inform the complainant or appellant of the outcome of the decision in writing within 5 working days of the decision being made.
9. If the complaint or appeal cannot be resolved satisfactorily by FutureWest Institute, a third party independent of the RTO will be engaged. The third party member will meet Clause 1.11 of the Standards, and hold the qualification and/or unit of competency in question. The independent third party will be provided all relevant information including but not limited to:
  - a. Assessment documents
  - b. Written communication thus far with the appellant
  - c. Written communication thus far with the assessor
  - d. Written communication thus far with any other staff members or persons.
10. The independent third party member will be provided 14 calendar days to conduct the review and provide a decision to the Director Training and Development. This decision will be final.
11. The complainant or appellant will be informed of this final decision in writing within 5 working days of the independent third party decision being made.
12. If a third party independent of the RTO is engaged, then all identifying information of the complainant or appellant and the assessor (if applicable) will be removed prior to engagement.
13. FutureWest Institute will keep a record of three (3) available third party members independent of the RTO who may be engaged for these matters.

## **RELATED DOCUMENTS**

The Standards for Registered Training Organisations 2015  
Learner Handbook

## **REVIEW DATE**

Creation date: 2 June 2015

Effective date: 2 June 2015

Review date: 1 March 2017

Reviewed and effective from: 22 May 2017



**James Thomson**  
**DIRECTOR TRAINING AND DEVELOPMENT**  
**FUTUREWEST INSTITUTE**