

COMPLAINTS AND APPEALS POLICY

1. PURPOSE

This Policy outlines how SLSWA RTO 51104 manages complaints and appeals to ensure they are handled fairly, transparently and in accordance with the principles of natural justice and procedural fairness.

SLSWA is committed to:

- Providing a safe and respectful environment
- Resolving concerns promptly and objectively
- Ensuring procedural fairness
- Maintaining confidentiality
- Using feedback to support continuous improvement

This Policy aligns with the Standards for RTOs 2025 (WA) and forms part of SLSWA's Governance & Risk Management Framework.

2. SCOPE

This Policy applies to:

- Learners
- Staff
- Trainers and assessors
- Third Party and Auspice partners
- Clients and other stakeholders

It covers:

- Complaints about services, staff, trainers or learners
- Appeals against assessment decisions
- Appeals against complaint outcomes

3. PRINCIPLES

All complaints and appeals are managed in accordance with:

- Principles of natural justice and procedural fairness
- Confidentiality
- Protection from victimisation
- Timely resolution

Complainants and respondents are entitled to:

- Be heard
- Present evidence
- Receive written outcomes
- Access an internal review process

4. TYPES OF MATTERS

4.1 Complaints

A complaint may relate to:

- Training delivery
- Assessment practices
- Learner conduct
- Staff conduct
- Administrative services
- Third Party or Auspice delivery

4.2 Appeals

An appeal may relate to:

- An assessment decision
- A complaint outcome
- An administrative decision affecting a learner

5. LODGING A COMPLAINT OR APPEAL

Complaints and appeals must:

- Be submitted in writing
- Clearly outline the issue
- Include relevant supporting information

Learners requiring assistance to submit a complaint may seek support from SLSWA staff.

Complaints should be lodged as soon as practicable and generally within three (3) months of the event giving rise to the complaint.

Assessment appeals should be lodged within 21 days of receiving the assessment outcome.

6. RESOLUTION PROCESS

SLSWA aims to resolve concerns at the lowest appropriate level.

Step 1 – Informal Resolution

Where appropriate, concerns should first be raised with:

- The Trainer/Assessor; or
- Relevant operational staff

Many issues can be resolved quickly at this level.

Step 2 – Formal Review

If unresolved, a formal written complaint or appeal will be reviewed by an appropriately delegated officer who was not directly involved in the original decision.

The review process includes:

- Acknowledgement within 5 business days
- Investigation of the matter

- Opportunity for all parties to respond
- Objective review of evidence

A written outcome will normally be provided within 30 calendar days.

If additional time is required, the complainant or appellant will be informed in writing with reasons for the delay.

Outcomes and actions arising from complaint or appeal investigations may be recorded in the RTO 51104 – Risk & Improvement Register where systemic issues are identified.

7. ASSESSMENT APPEALS

Where a learner disputes an assessment outcome:

- The learner may request reassessment
- A different assessor may review the evidence (where appropriate)
- One reassessment opportunity during the course is provided at no additional cost

Appeals against assessment decisions will not incur additional cost where the original assessment process is found to be deficient.

If unresolved, the formal complaint process may be initiated.

8. EXTERNAL ESCALATION

If a complainant or appellant remains dissatisfied after internal processes are exhausted, they may contact:

- The National Training Complaints Hotline – 13 38 73
- The relevant VET Regulator – Training Accreditation Council (TAC WA)

SLSWA will cooperate fully with any regulatory investigation.

9. RECORDKEEPING

SLSWA retains records of:

- Complaint or appeal submissions
- Acknowledgements
- Investigation documentation
- Final outcomes
- Corrective actions (where applicable)

Records are managed in accordance with the Data & Records Management Procedure.

Where systemic issues are identified, actions are recorded in the RTO 51104 – Risk & Improvement Register.

10. CONTINUOUS IMPROVEMENT

Complaint and appeal outcomes are monitored to identify trends and systemic issues.

Findings may inform:

- Trainer professional development
- Validation and assessment monitoring activities
- Policy or procedure updates
- Risk mitigation strategies