

Signalling Strategic Taskforce Training Program

Complaints and Appeals Procedure

An MTR, John Holland and UGL Company

SIGNALLING STRATEGIC TASKFORCE TRAINING PROGRAM

COMPLAINTS AND APPEALS PROCEDURE

1. Purpose

This procedure ensures that complaints and appeals about training programs delivered by Metro Trains Australia Pty Ltd (MTA) or training assessment results, including any third-party providing services on behalf of MTA, are addressed collaboratively, efficiently, and effectively.

2. Scope

This procedure applies to complaints and appeals of an individual participant or other person, including any third party. This procedure relates to the delivery of non-Australian Qualifications Framework accredited training, assessment and credentials.

3. Roles and responsibilities

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| Complainant/Appellant | Lodge a formal or informal appeal or complaint. |
| MTA's Administration Officer | Complaint and escalation management. |
| MTA's Moderator and Assurance Manager | Investigation, resolution and/or final sign-off of complaint. |
| MTA's Senior Consultant | Complaint/appeals escalation. |
| MTA Trainer/Assessor | Resolution of complaint/appeal at the first level of interaction between the participant and the Trainer or Assessor. |
| Third Party Mediator | Complaint/appeal investigation and resolution. |

4. Process

4.1. Informing Clients of the Complaints and Appeals Process

Information relating to the MTA's complaints and appeals process is accessible to participants via this procedure.

4.2. Confidentiality

MTA expects that all persons involved in a complaint or appeal process, always maintain confidentiality 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

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
- Student support services
- Program delivery
- Learning resources
- Changes to agreed services
- Trainers, Assessors, other participants and third parties
- Personal safety
- Issuing of competencies.

An appeal may include, but is not limited to:

- Assessment decisions
- Participant progress and progress decisions
- Outcomes of a complaint.

If a person feels that they have grounds for a complaint or appeal, then they may bring this to the attention of MTA.

4.4. Complaint or Appeal Process

MTA will firstly try to address a complaint or appeal at the first level of interaction between the participant and the Trainer or Assessor. This may include discussions and general mediation between parties to resolve the issue.

Where a participant wishes to appeal an assessment outcome, they must notify the Assessor on the day of assessment. Where appropriate, the Assessor may re-assess the participant in accordance with the process outlined below, to ensure a fair and equitable decision is gained.

On the day of assessment:

- Participants will be given one attempt at the Safety Critical Knowledge Assessment questions and must attain a 100% pass mark.

- If the participant achieves a 'Not Satisfactory' for the Safety Critical questions they must enrol, and pay, for the next available 'Initial Course'.
- If the participant achieves a 'Satisfactory' for the Safety Critical questions the participant completes the remaining Knowledge Assessment questions.
- Participants will be given two attempts at the remaining Knowledge Assessment questions to attain a 90% pass mark.
- If the participant achieves a 'Not Satisfactory' for the Knowledge Assessment, they will not be permitted to undertake the Practical Assessment (where applicable) and must enrol and pay, for the next available 'Initial Course'.
- If the participant achieves a 'Satisfactory' for the Knowledge Assessment they can complete the Practical Assessment.
- Participants will be given two attempts at the Practical Assessment to attain a 90% pass mark.
- If the participant achieves a 'Not Satisfactory' for the Practical Assessment, they must arrange for a reassessment of the Practical Assessment at a pro rata rate of the 'Initial Course' fee.

If the above process is unsuccessful, the participant can submit a formal complaint or appeal. Formal complaints or appeals must be lodged within 10 business days of assessment outcome or an incident occurring.

Formal complaints and appeals must be lodged in writing. 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 participant has taken to resolve the issue
- Desired outcome/resolution
- Signature and date of submission.

All formal complaints and appeals should be addressed to MTA's Administration Officer and submitted to training@metrotrainsau.com. Wherever possible complaints will be acknowledged in writing within 10 business days of receipt by MTA's Administration Officer.

MTA's Administration Officer or delegate will record the formal complaint or appeal in the Signalling Strategic Taskforce Training Program Complaints and Appeals Register and refer the matter to MTA's Moderator and Assurance Manager to

commence resolution action.

The principles of natural justice and procedural fairness are adopted at every stage of the complaint or appeal process by: informing those involved of allegations; providing those involved an opportunity to present their side of the matter and ensuring the process operates in a fair and unbiased way.

MTA's Moderator and Assurance Manager will review the complaint or appeal and attempt resolution within 60 calendar days of receiving the complaint or appeal. If further time is needed to resolve the complaint this will be communicated to the appellant/complainant. If the complaint or appeal is resolved to the satisfaction of all parties, MTA's Moderator and Assurance Manager will send a copy of the outcome correspondence to MTA's Administration Officer.

If no resolution is reached between all parties, the complaint or appeal will be referred to MTA's Senior Consultant for review and investigation. MTA's Senior Consultant may appoint a delegate not directly involved in the original determination to review the complaint/appeal. MTA's Senior Consultant or delegate will aim to complete their review and investigation within 60 calendar days. If further time is needed to resolve the complaint this will be communicated to the appellant/complainant. MTA's Senior Consultant will send a copy of the outcome correspondence to MTA's Administration Officer.

4.5. Outcome of Complaint or Appeal

MTA will provide the person making the complaint or appeal a formal response in writing within 14 days of the resolution. The response will detail the complaint or appeal outcome, including reasons for the decision.

If more than 60 calendar days from receipt are required to review and investigate the complaint or appeal, MTA's Administration Officer will:

- Inform the person making the complaint or appeal in writing, including reasons why more than 60 calendar days are required
- Provide weekly progress updates to the person making the complaint or appeal.

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 participant.

MTA at all times will endeavour to resolve any issues the participant may have. All complaints/appeals and their outcomes will be recorded in the Signalling Strategic

Taskforce Training Program Complaints and Appeals Register. Information from this register will be used by the MTA to improve the quality of its services and reduce customer complaints/appeals.

4.6. Identification and Correction of Potential Causes

MTA managers will monitor its operations for potential causes of complaints and appeals through:

- Participant course evaluation forms
- Staff course evaluation forms
- Internal self-assessment audits
- External audits
- Other informal feedback mechanisms.

Any corrective or improvement actions identified will be managed in accordance with MTA continuous improvement processes.

5. Definitions

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| Appeal | Request for reconsideration or review of a decision. For e.g. assessment result. |
| Assessment Only Pathway | For participants who already hold an applicable Network Job Role. Refer to Participant Entry Requirements for specific requirements. |
| Assessor | An assessor for a Signaling Strategic Taskforce Training Course. |
| 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. |
| Initial Pathway | For participants who hold the applicable National Job Role and wish to progress to the applicable MTM/V/Line Network Job Role. Refer to Participant Entry Requirements for specific requirements. |
| Trainer | A trainer delivering a Signaling Strategic Taskforce Training Course. |

6. Records management

Complaints and appeals, including determined outcomes will be recorded in the Signalling Strategic Taskforce Training Program Complaints and Appeals Register, an Excel document, maintained by MTA and stored in a secure Microsoft Teams Folder.

Electronic copies of all documentation (emails, forms etc.) will be securely saved and maintained by MTA and stored in a secure Microsoft Teams Folder. Access to these files is limited solely to MTA.

Records and correspondence will be retained in accordance with the Retention, Disposal and Destruction Policy (L3-RIW-POL-214), the requirements of ASQA and any applicable state or national law.

7. References

- Signalling Strategic Taskforce Training Program Complaints and Appeals Register;
- L3-RIW-POL-214 Retention, Disposal and Destruction Policy;
- L1-MTA-MAN-001 - MTA Code of Conduct for Trainers and Assessors