

Complaint and Grievance

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Version Control

Current Version: Number	Current Version: Date	Date of Next Review	Previous Version
11	01/11/2017	1/11/2019	10

Change History

Date	Version	Author	Revision Description
1/11/2017	11	Joanne Viegas	Updated in line with Standards for RTOs 2015. More in-depth information provided in procedure. Policy statement expanded. Definitions table updated.
23/03/2015	10	MJ Satterthwaite	Currency review; new branding
16/04/2014	9	MJ Satterthwaite	Updated following internal audit; amendments made to legislation section
25/03/2014	8	Mel Christiansen	Updated purpose of policy to exclude clients as client complaints and grievances now addressed in separate policy; added term clients to definitions table
09/09/2012	7	MJ Satterthwaite	Reviewed in line with AQTF requirements and updated according to current RTO operational practices
28/01/2009	6	MJ Satterthwaite	PDF version of document uploaded to website; policy now known as 4.2.
27/01/2009	5	Joanne Viegas	Flowchart reviewed, and corresponding forms updated in interactive on line format. Policy amended to reflect change in name Laidlaw to Viegas
12/04/2003	4	MJ Satterthwaite	Amended because of audit with Dr Docking 02/02/2004: Reviewed – no change required 21/10/2004: Reviewed – no change required 12/04/2005: Reviewed – no change required 10/01/2008: Reviewed – no change required
20/07/2002	3	Joanne Laidlaw	Layout and wording changes
10/12/2001	2	Joanne Laidlaw	Changed to landscape layout
01/01/2001	1	Joanne Laidlaw	Issued for primary release

Approval

Document reviewed by	Document authorised by	Approved for publishing
Joanne Viegas	MJ Satterthwaite	31/10/2017

Policy Statement

Scope Vision is committed to providing learners, staff and stakeholders the best possible environment in which to study or work. The organisation understands that on occasion, there may be instances of dissatisfaction and acknowledges that the cause(s) must be addressed and rectified promptly. In such instances, Scope Vision invites feedback from the dissatisfied party so that a resolution can be found and as an opportunity to consolidate the feedback into a review and improvement of the RTO's policies and practices. Scope Vision will address all complaints in a fair, constructive and timely manner. The complainant has the right for their complaint to be heard and for an impartial decision to be made at no cost to themselves. Complainants have the right to appeal a decision. This policy and associated procedure supports Scope Vision to provide a process for complaints and grievances to be heard and actioned. All complaints and grievances received by Scope Vision will be viewed as an opportunity for improvement.

All complaints and grievances will be resolved within thirty (30) working days of receiving the written advice. The RTO Management will keep a Continuous Improvement Register which documents all formal complaints and grievances, along with their resolution. Any substantiated issues will be reviewed as part of the continuous improvement procedure of Scope Vision.

Purpose

Scope Vision is committed to providing a quality learning experience to all learners enrolled with the RTO. If a learner has a complaint or grievance relating to the services of the RTO, this policy and procedure highlights the methodologies which will be enacted to proactively resolve the issue. The purpose of this policy is to provide a framework for dealing with complaints and grievances.

Please note:

1. This policy does not address assessment outcome appeals which are covered by the Appeals Policy and Procedure
2. This policy is restricted to complaints and grievances by learners and does not address a complaint or grievance by a client – these are covered by the Client Complaint and Grievance Policy and Procedure
3. In the case where the client and the learner are the same person, both this policy and that of the Client Complaint and Grievance Policy and Procedure may be applicable depending upon the nature of the complaint or grievance.

Scope

Scope Vision has a fair and equitable process for dealing with a complaint or grievance. The RTO aims to create an environment where learners' views are valued. Any learner wishing to make a complaint or grievance against an RTO Agent, employee, or process shall have access to the complaints and grievance procedure. A learner may lodge a complaint or grievance in the following areas: refunds; administrative issues; other personal issues or areas of misconduct

Compliance Requirements

Legislative Requirements

- WA Vocational Education and Training (VET) Act 1996 and Regulations (General) 2009
- Standards for VET Accredited Courses 2012
- Privacy Act 1988
- Privacy (Private Sector) Regulations 2001

Compliance Requirements

- Standards for RTOs 2015 – Standard 6.1-6.6

Audit Requirements

- RTO operational requirements pertaining to complaints or grievances must be captured and recorded within the Continuous Improvement Register

Definitions

Term	Definition
AQF	The Australian Qualifications Framework is the policy framework that defines all qualifications recognised nationally in post-compulsory education and training in Australia. The AQF comprises titles and guidelines that define each Qualification as well as the principle and protocols covering cross-sectoral qualification links and the issuing of Qualifications and Statements of Attainment
Assessment	The process of collecting evidence and making judgements on the nature and extent of progress towards the performance requirements set out in a standard, or a learning outcome, and at the appropriate point making the judgement as to whether competency has been achieved
Assessor	Any person engaged by the RTO to perform assessment activities pertaining to nationally recognised assessment
Client	A person or organisation (or representative) paying for the services of the RTO. It may be possible to be both a client and a learner
Complaint	Written notification of dissatisfaction with the services of the RTO
Continuous Improvement Register	Scope Master Task List – CI Register; the document used to capture all operational information including continuous improvement; client project plans; appeal register; grievance and complaint register
Grievance	Written notification of inappropriate conduct of an agent acting on behalf of the RTO
Independent Third Party	A recognised professional within the VET sector with no direct involvement in the training and assessment process within the RTO
Key Stakeholder	A person party to the services provided by the RTO; e.g. Learner, RTO, RTO Agent, or Client
Learner	Any person enrolled in nationally recognised training undertaking nationally recognised assessment; may also be known as a candidate for assessment; an individual who is receiving, responding to and processing information to acquire and develop competence; this incorporates the processes of preparing and presenting for assessment
Learning and Assessment Plan	Document issued by the RTO outlining the following: <ul style="list-style-type: none"> - the course units - underpinning course requirements such as language, literacy and numeracy requirements

Term	Definition
	<ul style="list-style-type: none"> - course delivery and assessment methods - appeals, grievance and complaint process of the RTO - fees, charges and refund information pertaining to the course - availability of qualification pathways - logistical information - RTO contact details
National Recognition	Recognition by an RTO of the AQF Qualifications and Statements of Attainment issued by all other RTOs, thereby enabling national recognition of the Qualifications and Statements of Attainment issued to any person
Qualification	Means a formal certification, issued by a relevant approved body, in recognition that a person has achieved learning outcomes or competencies relevant to identified individual, professional, industry or commercial needs
RTO	Registered Training Organisation: Scope Vision: RTO code: 4685
RTO Management	Maria-Jane Satterthwaite; Managing Director. Joanne Viegas; General Manager
RTO Agent	Includes trainers, assessors, contractors, administrators, or parties to formal partnership arrangements with Scope Vision
Standards for RTOs 2015	<p>The Standards under which the RTO is governed; their purpose is to:</p> <ul style="list-style-type: none"> - set out the requirements that an organisation must meet to be a registered training organisation (RTO); - ensure that training products delivered by RTOs meet the requirements of training packages or VET accredited courses, and have integrity for employment and further study; and - ensure RTOs operate ethically with due consideration of learners' and enterprises' needs

RTO Management

- Ratifies Scope Vision Complaint and Grievance Policies and Procedures
- Ratifies complaint and grievance resolution actions and decisions
- Mediates and consults in complaint and grievance resolution processes
- Implements and manages the Scope Vision Complaint and Grievance Policy and Procedure
- Liaises with an Independent Third-Party schedule mediation meetings; as required
- Takes responsibility for the overall maintenance of the Continuous Improvement Register including ensuring complaint and grievance resolutions, decision or actions are documented
- Takes responsibility for the education of RTO Agents regarding the Complaints and Grievance Policy and Procedure
- Initiates continuous improvement within the RTO through review of complaints and grievances
- Communicates all relevant changes and updates to RTO agents and learners as appropriate

RTO Agent

- Operate in accordance with the Scope Vision Complaint and Grievance Policy and Procedure
- Handle the complaint or grievance in the first instance, advising the RTO Management in writing of all circumstances surrounding the issue or concern
- Ensure that the RTO Management is aware of any formal complaints which may be pending
- Participate in the complaint and grievance resolution process as directed by the RTO Management

Learner

- Ensure that they are familiar with the RTO policy and procedure pertaining to complaints and grievances
- Complete and submit the Complaints and Grievance Notification Form to the RTO within 7 days of the issue arising or incident occurring
- Attend all mediation meetings as agreed to and scheduled with the RTO and Independent Third Party
- Accept that the documented decision of the Independent Third Party is the outcome agreed to by all parties

Complaints Procedure

Scope Vision has a fair and equitable process for dealing with a complaint or grievance. The RTO aims to create an environment where learners' views are valued. Any learner wishing to make a complaint or grievance against an RTO Agent or process shall have access to the complaints and grievance procedure. All complaints raised will be treated with integrity and privacy. A learner may lodge a complaint or grievance in the following areas: refunds; administrative issues; program delivery; personal safety; equity and access; other personal issues or areas of misconduct.

Procedure

All reasonable attempts will be made to resolve any identified issues in an informal manner. This may include offering advice, general discussion, and mediation. All RTO Agents are authorised to proactively resolve issues as they arise. It is recommended that training and assessment related issues be raised directly with the RTO Agent; administration or operational matters can be brought to the attention of RTO Management.

If initial attempts to resolve learner issues are not successful, the following procedure must be followed:

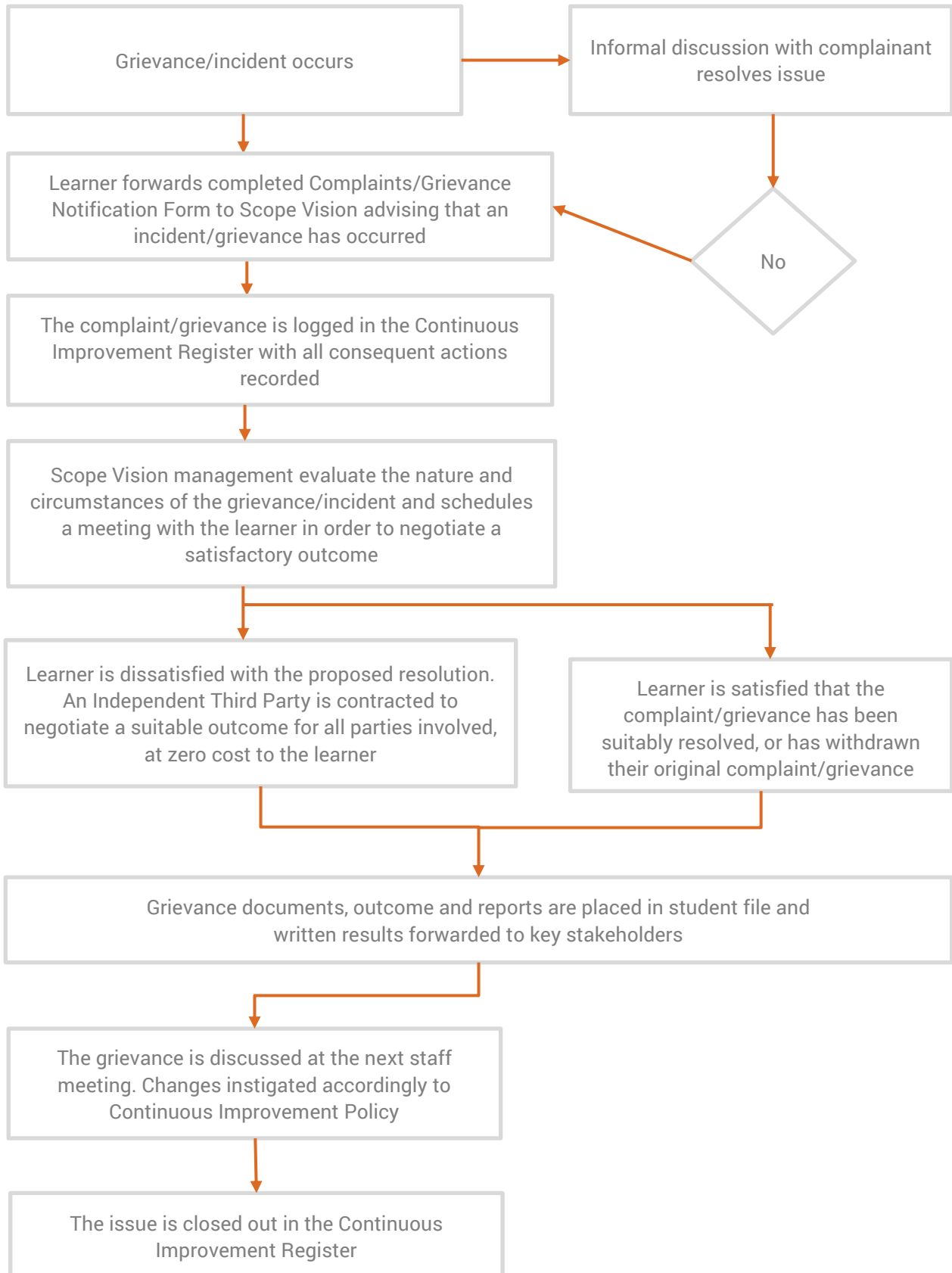
Steps to follow

1. Learner lodges a formal complaint by completing and submitting to the RTO a Complaint and Grievance Notification Form. This should be within seven (7) days of the incident occurring. The Complaint and Grievance Notification Form outlines the unit, course or qualification that the learner is undertaking, the nature of the complaint or grievance, all parties to the incident and any evidence put forward for consideration. Also specified, are the steps taken to attempt to resolve the issue and the actions they would like to see occur.
2. Upon receipt of the formal complaint the RTO Management logs the notification in the Continuous Improvement Register formally tracking all correspondence and outcomes related to the complaint. Complainants have the right to access advice and support from independent external agencies/persons at any point of the complaint process. Use of external services will be at the complainant's cost.
3. RTO Management reviews the information, making an appointment to meet with the learner within seven (7) days of receiving the formal notification. At this meeting the incident and evidence will be discussed with a view to negotiating a suitable outcome for all parties involved.
4. If the learner is not in agreement with the path of action suggested by the RTO, the RTO engages the services of an Independent Third Party to mediate interaction with the view to

achieving mutually agreed outcomes. The RTO pays all reasonable costs involved in negotiating a suitable outcome and result for all parties.

5. A record of all outcomes is appropriately documented with a copy of all correspondence forwarded to key stakeholders.
6. In closing out the Continuous Improvement Register entry relating to the complaint or grievance lodged, the RTO records if amendments to RTO policy or practices are required.

Flowchart



Responsibilities throughout the procedure

RTO Agent

- Liaise with learner regarding complaint or grievance advising RTO Management of any potential issues

Learner

- Complete and submit the Complaint and Grievance Notification Form
- Meet with RTO Management at a time agreed to by all parties

RTO Management

- Log the complaint or grievance in the Continuous Improvement Register/Complaint Register
- Investigate the appeal in accordance with the process outlined
- Arrange a meeting with the learner to negotiate an appropriate outcome
- Contract Independent Third Party, if required

Independent Third Party

- Review the evidence submitted by all parties agreeing on the course of action
- Document and report the outcome
- Mediate and attend meetings as required

Associated Documents

- Complaint and Grievance Notification Form
- Continuous Improvement Policy and Procedure
- Continuous Improvement Register
- Learning and Assessment Plan
- Records Management and Administration Policy and Procedure
- Risk Management Policy and Procedure
- Trainer and Assessor Position Description
- Training Accreditation Council Fact Sheet – RTO Complaints and Appeals

Feedback and Amendments

Formalised feedback review is carried out annually by the RTO Management. Any amendments to be made to this Policy and Procedure follow the Continuous Improvement Policy and Procedure and are recorded on the Continuous Improvement Register.