

# Client Complaint and Grievance

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## Version Control

Current Version: Number	Current Version: Date	Date of Next Review	Previous Version
3	01/11/2017	1/11/2019	2

## Change History

Date	Version	Author	Revision Description
1/11/2017	3	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	2	MJ Satterthwaite	Currency review; new branding
25/03/2014	1	Mel Christiansen	Created and issued for primary release

## Approval

Document reviewed by	Document authorised by	Approved for publishing
Joanne Viegas	MJ Satterthwaite	1/11/2017

## Policy Statement

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All incidents, complaints or grievances evolving from the delivery of a customised client initiative made by a client against an RTO Agent or RTO Management must be resolved within thirty (30) working days of notification of the incident/grievance. If stakeholders to the incident, complaint or grievance are unable to meet due to operational demands, an extension may be agreed to by all stakeholders. The RTO Management will keep a Continuous Improvement Register and meeting minutes which documents all information pertaining to the incident, complaint or grievance and its resolution. Any substantiated issues will be reviewed as part of the continuous improvement procedure of the RTO.

## Purpose

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Scope Vision is committed to providing a quality learning experience to all learners. If a client wishes to notify the RTO of an incident, complaint, or grievance evolving from the delivery of a customised client initiative, this policy and procedure highlights the methodologies which will be enacted to proactively resolve the incident/grievance.

Please note:

- This policy does not address assessment outcome appeals which are covered by the Appeals Policy and Procedure
- This policy does not address learner complaints and grievances which are covered by the Complaint and Grievance Policy
- In the case where the client and the learner are the same person, both this policy and the Complaint and Grievance Policy and Procedure may be applicable depending upon the nature of the complaint or grievance.

## Scope

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Scope Vision has a fair and equitable process for dealing with an incident, complaint or grievance. The RTO aims to create an environment where learner and client' views are valued. Any client wishing to make a complaint or grievance against an RTO Agent, RTO Management, or process shall have access to the client complaints and grievance procedure. A client may lodge a complaint or grievance in the following areas: administrative issues; other personal issues or areas of misconduct. The RTO Management may be notified of a client complaint or grievance via the Client Report, RTO Agent(s)/Management and direct communication from the client.

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**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 delivered 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"> <li>- the course units</li> <li>- underpinning course requirements such as language, literacy and numeracy requirements</li> </ul>

Term	Definition
	<ul style="list-style-type: none"> <li>- course delivery and assessment methods</li> <li>- appeals, grievance and complaint process of the RTO</li> <li>- fees, charges and refund information pertaining to the course</li> <li>- availability of qualification pathways</li> <li>- logistical information</li> <li>- RTO contact details</li> </ul>
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"> <li>- set out the requirements that an organisation must meet to be a registered training organisation (RTO);</li> <li>- 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</li> <li>- ensure RTOs operate ethically with due consideration of learners' and enterprises' needs</li> </ul>

### RTO Management

- Ratifies Scope Vision Client 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 Client 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 Client 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, clients 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 RTO Management in writing of all circumstances surrounding the issue or concern
- Ensure that RTO Management is aware of any formal complaints which may be pending
- Participate in the complaint and grievance resolution process as directed by RTO Management

### Client

- Ensure that they are familiar with the RTO policy and procedure pertaining to complaints and grievances
- Advise the RTO in writing of their concerns; 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 clients' views are valued. Any client wishing to make a complaint or grievance against an RTO Agent, employee, or process shall have access to the complaints and grievance procedure. All complaints raised will be treated with integrity and privacy. A client 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

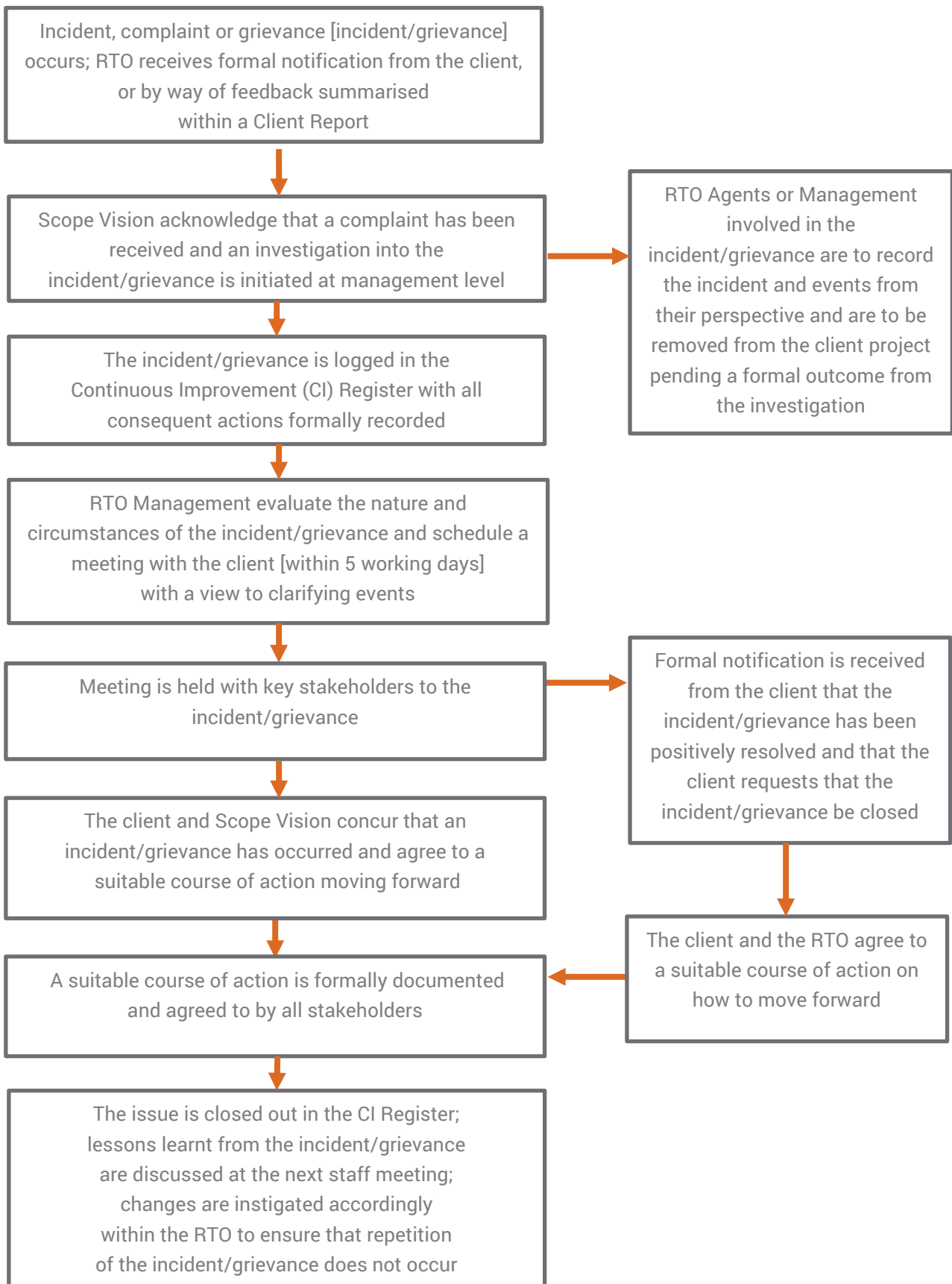
All reasonable attempts will be made to resolve any identified issues in an informal manner. This may include offering advice, general discussion, and mediation. All RTO Agents are authorised to proactively resolve client issues as they arise. It is recommended that training and assessment related issues 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 client issues are not successful, the following procedure must be followed:

1. Feedback is received by RTO Management via client direct communication or an RTO generated Client Report that an incident or grievance has occurred.
2. RTO Agent(s) or Management involved in the incident or grievance are to formally record the events of the incident or grievance for use within the impending investigation.
3. RTO Management is to log the incident or grievance in the Continuous Improvement Register and is required to formally record all consequent actions.
4. RTO Management is to review internal records and RTO documentation relating to the incident or grievance and agree to suitable options for resolution in line with this Policy and Procedure.
5. RTO Agent(s) involved in the incident or grievance may be temporarily removed from the client contract or project whilst the investigation is pending. This is at discretion of RTO Management.
6. RTO Management is to request to meet with the client within five (5) working days of the incident or grievance with the view to clarifying and documenting events. The purpose of the initial meeting is to explore with the client if further investigation is required.

7. If the client does not find further investigation necessary, they may notify the RTO that the incident or grievance has been positively resolved and request that the incident or grievance be closed.
8. If the client does request an investigation, but then oversees a positive resolution, or discovers no incident or grievance is warranted, the client may request that the complaint be closed without further action.
9. If the client agrees to further investigation with the RTO and finds that an incident or grievance has occurred a resolution must be agreed to and a possible course of action\* documented.
10. Possible courses of action available to stakeholders:
  - a. The client requests that the original contract be upheld and that the RTO Agent(s) or Management be reinstated to the contract; and the RTO agrees to this request unconditionally;
  - b. The client requests that the original contract be upheld and that the RTO Agent(s) or Management be reinstated to the contract; and the RTO agrees with conditions placed on the contract established through discussions with all parties concerned
  - c. The client requests that an alternative RTO Agent be appointed to the contract; and the RTO agrees to this request
  - d. The RTO contracts an Independent Third Party to assist in moderating an agreeable outcome for all stakeholders.
11. The issue once resolved and formalised is to be closed out in the Continuous Improvement Register. Lessons learned from the incident are discussed at the next staff meeting and changes are implemented accordingly.
12. Documentation from the client acknowledging the achieved outcome is to be gathered and collated with the incidence/grievance documentation.





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### Responsibilities throughout the procedure

#### RTO Agent

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

#### Client

- Advise RTO Management of complaint, grievance, or incident
- 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 complaint in accordance with the process outlined
- Arrange a meeting with the client 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

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### Associated Documents

- Client Reports
- 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

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### 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.