

COMPLAINT & GRIEVANCE HANDLING PROCEDURE

1 Purpose

The purpose of this procedure is to provide guidance on the management and handling of a complaint or grievance to ensure procedural fairness and transparency for all persons/parties (Stakeholders) who have a direct relationship with the WesTrac Institute.

2 Scope

This procedure relates only to the training and service related activities provided by the WesTrac Institute and is applicable in the following situations where a complaint or grievance is lodged relating to:

- The WesTrac Institute as an organisation, including its trainers/assessors or other staff,
- A third party service provided on behalf of the WesTrac Institute, or
- A student enrolled and attending the WesTrac Institute or assigned third party service agent, or
- A decision, not assessment related, which has been made by the WesTrac Institute

Matters that involve alleged criminal or illegal activity are considered outside of scope and will be referred to relevant external agencies.

3. Procedure

A complaint or grievance may be received in any form (written, verbal) although persons seeking to make a complaint or raise a grievance are recommended to complete the [Complaint /Grievance and Assessment Appeal Form](#)

The following procedure will apply in the handling and management of complaint.

3.1. Lodging a Complaint or Grievance

In the first instance, the complainant is to attempt to resolve the issue/problem/concern with the relevant party. Where this remains unresolved the matter is to be escalated through the line management /organisational structure of the WesTrac Institute, by the complainant. The complainant is encouraged to complete the WesTrac Institutes complaint form when lodging the complaint. Where a complaint or grievance is lodged without a form, the details of the complaint/grievance will be captured using this form.

3.2. Managing the Complaint or Grievance

If the complainant is unable to resolve the issue/problem/concern and they have escalated the complaint/grievance, written acknowledgement of receipt of the complaint/grievance will be provided to the complainant. This acknowledgement is intended to provide the complainant assurance that the WesTrac Institute has received the complaint/grievance and will review the relevant issues and provide a response. The acknowledgement must inform the complainant that they will receive a written response on the status and/or outcome. Where the process of managing the complaint/grievance will take longer than fourteen (14) days, the extension of time must be approved by the WesTrac Institute Managers. The complainant will be advised and confirmation made in writing on this extend time.

Where a complaint/grievance is made about or involves allegations about another person, the WesTrac Institute is obliged to inform this person about this allegation and provide them the opportunity to respond and present information in response to the issues raised. This may be achieved through direct meetings or meeting/communication via an electronic means. WesTrac Institute must maintain a detailed record of these meetings in the form of a record

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of conversation. At all times information must be handled sensitively and treated in confidence. Persons involved in complaint or grievance should be reminded to treat each other with respect and conduct themselves in a professional and courteous manner.

Where a complaint/grievance is received by WesTrac Institute which involve allegations about alleged criminal conduct, WesTrac Institute are to recommend the person making the complaint refer the matter to the relevant State or Territory Police Service.

A complainant will be provided an opportunity to formally present his or her case at no cost, and they may be accompanied and/or assisted by a support person at any relevant meeting.

Whilst a complaint or grievance is being investigated it may be deemed appropriate that the involved party or parties are withheld from participating/delivering training. However this doesn't affect the individuals enrolment or employment status.

Complaints and grievances are to be handled in the strictest of confidence. A decision to release information to third parties can only be made after involved parties have given permission for this to occur. This permission should be given using the Information Release Form.

3.3. Timeframes

Written acknowledgement will be provided within forty eight (48) hours of receipt of the complaint or grievance.

Written response outlining the status and/or outcome of the lodged complaint/grievance will be provided within fourteen (14) days.

3.4. Reporting Outcomes

Decisions or outcomes will be reported to the appropriate stakeholder/s at the conclusion of the complaint & grievance handling processes.

Where opportunities for improvement have been identified during the complaint & grievance handling process they will be implemented immediately at the conclusion of the process. These are to be recorded utilising the WesTrac Continuous Improvement system.

Details of the complaint/grievance will be reported/recorded in the WesTrac Institutes complaints and appeals register.

3.5. Records and Recording

A written record of all complaints/grievances is to be kept by WesTrac Institute including all details of lodgement, response and resolution. The complaints and appeals register is to be used to record the details of the complaint/grievance and to maintain a chronological journal of events during the complaint & grievance handling process.

All records (hard and electronic) will be stored electronically in a secure folder to prevent them being accessed by any non-authorised personnel.

WesTrac Institute will retain records relating to the complaint/grievance for five (5) years, at which time they will be permanently destroyed. Authorisation to destroy these records must be obtained from the WesTrac Institute Managers. The destruction and approval is to be including in the Complaints and Assessment Appeals Register.

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3.6. Appealing Outcome or Unresolved Complaints

Where the complainant is not satisfied with the outcome or the complaint/grievance remains unresolved, the complainant may submit a request for review to the WesTrac Institute's Legally Responsible Person (LRP). The complainant must include all details with any outcomes provided with this submission. The LRP may choose to re-assign the complaint to the other WesTrac Institute's jurisdiction or engage a third party.

The WesTrac Institute will cooperate fully with agencies such as the National Training Complaints Service, the Office of Fair Trading or ASQA that may investigate the handling of a complaint. WesTrac Institute considers that it would be extremely unlikely that a complaint is not able to be resolved quickly within WesTrac Institute internal arrangements.

4 Further Information

All employees and contractors who require further information or need clarification of anything contained in this Procedure should contact the Training Manager

5 Accountabilities

Compliance to policy	All WesTrac Institute Employees and Students
Implementation & Review	WesTrac Institute Managers
Approval of Policy	General Manager – People and Performance
Monitoring	Compliance Advisor
Interpretation and Advice	WesTrac Institute Managers & Compliance Advisor

6 Related Documents

This Procedure should be read in conjunction with WesTrac Institute Policies & Procedures, along with WesTrac Institute Form and Documents.

This Procedure should be read in conjunction with the following legislative or compliance guidelines (if required):

Title	Description
Standards for RTO's 2015	ASQA has developed this Standards Guide to assist RTOs to understand their obligations under the revised <i>Standards for RTOs 2015</i> .
Smart and Skilled Contract Terms and Conditions	Funding contract terms and conditions for Training Services NSW

7 Definitions and Abbreviations

The following definitions and abbreviations are used throughout this Procedure:

Term	Definition
RTO	Registered Training Organisations
ASQA	Australian Skills Quality Authority
Smart and Skilled Contract Terms and Conditions	Funding contract terms and conditions for Training Services NSW

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Term	Definition
Support Person	A person who provides personal support. They don't provide or permitted represent the individual.
Decision	Relates to all decisions other than those in an assessment situation. These such instances are managed by the Assessment Appeal Policy and Procedure

Document Number	Title
PCD-NAT-INS-0023	Complaint & Grievance Policy
FTT-NAT-INS-0015	Complaint Grievance and Assessment Appeals Form
FTT-NAT-INS-0016	Complaint Grievance and Assessment Appeals Register

8 Definitions and Abbreviations

The following definitions and abbreviations are used throughout this Policy:

Term	Definition
RTO	Registered Training Organisations
ASQA	Australian Skills Quality Authority
Stakeholder	Any person/party with a direct interest in the training service provide by the WesTrac Institute

9 Document Amendment History

Revision	Date	Description	Prepared By	Reviewed By	Approved By
1.0	24/05/2017	Created, ready for review	RW	MM & SP	MM & SP