

Complaints Procedure

1. Aim

The aim of the Complaints Procedure is to satisfy the requirements of the aim, purpose, scope and guiding principles which forms the Complaints Policy

2. Purpose

The purpose of the Complaints procedure is to detail how the procedure demonstrates that the requirements of the aim, purpose, scope and guiding principles of the Complaints Policy have been met.

3. Scope

The scope of the Complaints Procedure is relevant to all prospective and current learners, relevant stakeholders of AVANTE and also the following nominated staff who hold the responsibility for ensuring the aim, purpose, scope and guiding principles of the Complaints Policy are met:

- **Compliance Officer**
- **Director**
- **Trainers & Assessors**
- **All AVANTE staff**

4. Related documents

The following related documents are to be used in conjunction with the Complaints Procedure

- **Assessment tool template**
- **Assessor Guide template**
- **AVANTE website:** avante.edu.au
- **Complaints Policy**
- **Complaints lodgement form**
- **Complaints folder**
- **Complaints Progress form**
- **Continuous Improvement Register**
- **Continuous Improvement Procedure**
- **Document Control Register**
- **External Mediator Details:** iHR Australia 1300 884 687 or as advised by Director
- **Individual Weekly Report**
- **job Description Templates**
- **Learner and Training Participation Plan template**
- **Legislation Compliance Policy**
- **Legislation Compliance Procedure**
- **Monthly Website Review Checklist**
- **Privacy Act 1988**
- **Principles of Natural Justice**
- **Record Management Policy**
- **Resource Development Procedure**
- **Staff Code of Conduct**
- **Staff Induction Manual**
- **Training and Assessment Strategy template**
- **Unit Delivery Guide template**
- **Version and Document Control Procedure**
- **Standards for Registered Training Organisations (SRTOs2015)**
- **Current calendar year VET Funding Contract**

5. Procedure

STEP 1 – Complaints Process is made Publicly Available			
No.	Who	Actions	Related Documents
1.1	Compliance Officer	a) Compliance Officer must ensure the Complaints Policy , Complaints Procedure for lodging a complaint and Complaints Lodgement Form is publicly available on the AVANTE website and available on campus. b) Compliance Officer must use the Monthly Website Review Checklist to verify that the complaints process and supporting documents are published on the AVANTE website and that the versions published are the current documents as per the Quality Management System and Document Control Register .	AVANTE website: <i>www.avante.edu.au</i> Monthly Website Review Checklist Document Control Register
1.2	Compliance Officer	a) Compliance Officer will ensure the Complaints process is made publicly available across all assessment templates including: Training and Assessment Strategy, Assessment tool, Assessor Guide, Learner and Training Participation Plan, Unit Delivery Guide and any other document used within the AVANTE assessment system which is appropriate to reference the Complaints process. b) The Compliance Officer must complete this check when undertaking the compliance check for all documents developed for training and assessment services in accordance with the Version and Document Control Procedure and Resource Development Procedure .	Training and Assessment Strategy template Assessment tool template Assessor Guide template Learner and Training Participation Plan template Unit Delivery Guide template Version and Document Control Procedure Resource Development Procedure
1.3	Compliance Officer In-House Training Manager	a) The Compliance Officer must make sure the Complaints Process is made available through references within the Staff Code of Conduct, Staff Induction Manual, job Description Templates to ensure all new staff are directed to the Complaints Process and are informed of their rights and responsibilities under the Complaints Policy and this Procedure. b) The Compliance Officer will ensure the Staff Code of Conduct, Staff Induction Manual, job Description Templates incorporates the complaints process through its annual compliance check of all policies, procedures and supporting documents contained within the Quality Management System as per the Legislation Compliance Procedure and Version and Document Control Procedure .	Staff Code of Conduct Staff Induction Manual job Description Templates Legislation Compliance Procedure Version and Document Control Procedure In-House Training Policy In-House Training Procedure In-House Training Schedule

		<p>c) The Complaints Process must be embedded in the In-House Training Schedule by the In-House Training Manager to ensure all staff with refresher training on the Complaints Policy and Procedure</p> <p>d) Where a change has been made to the Complaints Policy and Complaints Procedure, the Compliance Officer must inform the In-House Training Manager and form an action plan to conduct in-house training to address the change and be able to train staff in the revised policy and procedure in accordance with the In-House Training Policy and In-House Training Procedure.</p>	
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STEP 2- Meeting Legislation, Regulatory and Contractual Agreement Requirements

No.	Who	Actions	Related Documents
2.1	Compliance Officer	<p>a) The Compliance Officer must review all legislation, regulations and contractual agreements on an annual basis to determine if a need to change the Complaints Policy and underlining procedure is required from an external factor. Review must include:</p> <ul style="list-style-type: none"> • Standards for Registered Training Organisations (SRTOs2015) • Current calendar year VET Funding Contract • Privacy Act 1988 <p>b) The Compliance Officer must review the above as per the requirements and steps outlined in the Legislation Compliance Policy and Legislation Compliance Procedure.</p> <p>c) Further to the annual review, the Compliance Officer must review the Complaints Policy and Procedure in accordance with the Principles of Natural Justice to ensure the Principles of Natural Justice have been adopted through the procedure.</p>	<p>Standards for Registered Training Organisations (SRTOs2015)</p> <p>Current calendar year VET Funding Contract</p> <p>Privacy Act 1988</p> <p>Legislation Compliance Procedure</p> <p>Legislation Compliance Policy</p> <p>Principles of natural Justice</p>

2.2	Compliance Officer	<p>a) In the event, there is a change to one of the above-named legislation, regulation, contractual agreements in step 2.1 which has impacted on the Complaints Policy and procedure, the Compliance Officer must develop an action plan to incorporate the change to ensure the Complaints Policy remains relevant for compliance purposes and is done so in accordance with Legislation Compliance Policy and Legislation Compliance Procedure.</p> <p>b) Where a change has been made due to this event the In-House Training Manager must follow the steps as outlined in STEP 1, 1.3.</p>	<p>Standards for Registered Training Organisations (SRTOs2015) Current calendar year VET Funding Contract Privacy Act 1988 Legislation Compliance Procedure Legislation Compliance Policy Principles of natural Justice</p>
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STEP 3 – Informal Complaint

No.	Who	Actions	Related Documents
3.1	Complainant	a) Raises the concern with AVANTE staff.	
3.2	Staff	a) Attempt to resolve the complaint immediately.	
3.3	Staff	<p>a) If the matter is successfully resolved, complete the Individual Weekly Report with the informal complaint details and submit to the Compliance Officer for processing.</p> <p>b) Compliance Officer to collate related informal complaint details and submit to the Director on a weekly basis for review and to identify Continuous Improvement initiatives (if relevant) (refer to Continuous Improvement Procedure)</p> <p>c) If the matter is not resolved, advise learner of their right to make a formal complaint referring them to the Complaints policy.</p> <p>d) Provide/direct learner with access to the Complaints Lodgement Form.</p>	<p>Individual Weekly Report Continuous Improvement Procedure Complaints Policy Complaints Lodgement Form</p>

STEP 4 – Lodgement of Complaint

No.	Who	Actions	Related Documents
4.1	Complainant	a) Lodges a complaint in writing using the “Complaints Lodgement form”.	Complaints Lodgement form

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		<p>b) Complaint Lodgement Form can be submitted as follows:</p> <p>Post: Attention Compliance Officer, Unit 3/ 49-51 Horne St Sunbury VIC 3429</p> <p>Email: resolutions@avante.edu.au attention to the Compliance Officer</p> <p>In person: Unit 3/ 49-51 Horne St Sunbury VIC 3429 request to see Compliance Officer</p> <p>c) Submits within seven (7) days of the date of the issue.</p> <p>**Where a Complaint Lodgement form is received in excess of seven (7) days, seek approval from the Director to acknowledge complaint.</p>	
4.2	Compliance Officer	<p>a) On receipt of the Complaint Lodgement Form acknowledge, in writing, to the complainant that the form has been received within two (2) working days, this may be via email, letter or fax.</p> <p>b) Provide the complainant with further information about the complaints process and next step involved.</p> <p>c) Keep all documentation in a Complaints file, which will remain in place until the complaint is resolved. After which time all complaints documentation will be placed in a confidential Complaints Folder.</p> <p>**Ensure the Complaints file is stored securely and is not easily accessible by any other staff or individual. Complaints Folder should be only accessible to the Director and Compliance Officer.</p>	<p>Complaints Lodgement Form Complaints folder</p>
4.3	Compliance Officer	<p>a) Enter details of complaint into Complaints Register.</p> <p>b) Note actions on Complaints Lodgement Form.</p> <p>c) Notify Director of receipt of complaint.</p> <p>d) Print and commence Complaints Progress Form.</p>	<p>Complaints Register Complaints Lodgement Form & Complaints Progress Form</p>

STEP 5 – Complaint Review and Resolution Process- STAGE ONE

No.	Who	Actions
5.1	Compliance Officer	<p>a) Implement appropriate resolution techniques to resolve the issue promptly to the mutual satisfaction of all parties.</p> <p>b) Inform any respondent(s) (if applicable) by letter, that a complaint has been received. This letter will be forwarded within two (2) working days of receipt of the original formal complaint.</p>

5.2	Compliance Officer	<ul style="list-style-type: none"> a) Review, investigate and mediate to resolve the complaint within fourteen (14) days. Actions which may be taken include, but are not limited to: <ul style="list-style-type: none"> i. Discussing the facts of the complaint with the complainant. ii. Where appropriate and applicable, discuss the complaint with the respondent giving details of the complaint and complainant, giving cause to procedural fairness. iii. Where appropriate and applicable, encourage and facilitate the disputants to engage in mediation on an informal level. iv. Interview all parties individually, including any witnesses. v. Conduct interviews privately and confidentially. vi. Where applicable, report the outcome of the meeting with the respondent to the complainant. vii. Seek preferred outcome from each of the parties. viii. Review any relevant policies and procedures related to the complaint. 	Complaints Progress form
5.3	Compliance Officer	<ul style="list-style-type: none"> a) Determine a resolution to resolve the complaint, within AVANTE Quality Management System. b) Seek approval from Director on resolution outcome. Director may suggest alternate recommendations for resolution outcome. c) Advise all parties of the outcome of the complaint in writing, within seven (7) working days. 	Complaints Progress form
5.4	Compliance Officer	<ul style="list-style-type: none"> a) In the event the complaint resolution takes longer than sixty (60) calendar days, inform the complainant in writing including reasons why more than 60 days is required. b) Provide regular updates to the complainant on the progress of the resolution. 	Complaints Progress form
5.5	Compliance Officer	<ul style="list-style-type: none"> a) Confirm all parties are satisfied with the outcome of the complaint. b) If complainant is dissatisfied with outcome, advise the complainant of their right to escalate the complaint through STEP 6- Complaint Review and Resolution Process STAGE TWO. c) Note actions on Complaints Progress Form. 	Complaints Progress form
STEP 6- Complaint Review and Resolution Process STAGE TWO			
6.1	Director Complainant	<ul style="list-style-type: none"> a) Compliance Officer to organise a meeting between the Director and complainant 	Complaints Progress form

	Compliance Officer	<ul style="list-style-type: none"> b) Compliance Officer to provide the Director with the complaint file to refer to prior to the Meeting. c) Director to meet with complainant to resolve complaint. d) Director to advise outcome to the Compliance Officer to update records of the complaint, e) Director to advise outcome of complaint to the Complainant and all respondents. <p>**If the Complainant is dissatisfied with the outcome, advise the complainants right to escalate the complaint to STEP 8 External Mediation Process STAGE THREE.</p>	
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STEP 7 – Finalising the Complaint

No.	Who	Actions	Related Documents
7.1	Compliance Officer	<ul style="list-style-type: none"> a) Complete all necessary documentation including the Complaints Progress form, noting actions and outcomes of the complaints review and resolution process. b) Place all documentation in the Complaints folder. 	Complaints Progress form Complaints folder Record Management Policy
7.2	Compliance Officer	<ul style="list-style-type: none"> a) Enter details of complaint outcome into Complaints Register. b) Note actions on and complete the Complaints Progress Form. 	Complaints Register Complaints Progress form
7.3	Director	<ul style="list-style-type: none"> a) Ensure that the issue, policy and procedures relating to any substantiated complaint is reviewed and progressed through continuous improvement processes, as appropriate. Refer to Step 8. 	Continuous Improvement Policy Continuous Improvement Procedure

STEP 8 –External Mediator Process STAGE THREE

No.	Who	Actions	Related Documents
8.1	Compliance Officer Complainant	<ul style="list-style-type: none"> a) Advise the Complainant of the role of the External Mediation Representative. b) Inform the complainant of their options to access AVANTE’s recommended external mediation representative or the option to choose their own. c) Advise the complainant that AVANTE will bear the costs if the complainant chooses to access AVANTE’s nominated service and if they choose their own service that they will bear the costs associated to them for that service. 	
8.2	Compliance Officer	<ul style="list-style-type: none"> d) Contact and engage the External Mediator (unless complainant chooses their own) for a review of the complaint, providing all relevant documentation. e) Cooperate with External Mediator for a review of the complaint. 	External Mediator Details: iHR Australia 1300884687 or as advised by Director
8.3	External Mediator	<ul style="list-style-type: none"> a) Review, investigate and mediate the complaint with all relevant parties and make a ruling. b) Prepare a formal written report on the investigation, providing a copy to both Director AVANTE and complainant. c) AVANTE will abide by any resolutions as recommended by the External Mediator and will finalise the resolutions 	

		within ten (10) working days of the recommendations been made.	
8.4	Compliance Officer	a) Once the complaint outcome is finalised, go to Step 5, 5.3 c and follow the steps to finalise the complaint outcome and documents.	

STEP 9 – Continuous Improvement

No.	Who	Actions	Related Documents
9.1	Director	a) Director to review Complaints Register . b) Director to discuss complaint details and outcome in the next Management Review Meetings and to implement Continuous Improvement Initiatives. c) Continuous Improvement Initiatives to be recorded on the Continuous Improvement Register .	Complaints register Continuous Improvement Policy Continuous Improvement Register Continuous Improvement Procedure