

# COMPLAINTS POLICY

## 1. PURPOSE

To make all members and clients aware of their right to make a complaint against any decision or fact that has affected their experience with AIM WA.

The Institute, through the application of its Complaints Policy, will develop and maintain an effective, timely, fair and equitable complaint handling system which is easily accessible.

## 2. SCOPE:

This policy applies to all members and clients of AIM WA or anyone, who through the provision of services, is associated with the Institute.

Clients of the AIM WA RTO (National Provider No: 0058) have certain rights and obligations. Students have the right to a quality of training that meets the standards, regulations and requirement set down by the Australian Skills Quality Authority (ASQA) and under any government-subsidised training program they are enrolled in. They also must be informed about the collection of their personal information and be able to review and correct that information, and be able to access the Institute's complaints process.

Member and client obligations include: providing accurate information to the training provider; and behaving in a responsible and ethical manner.

The complaint handling system will address any expression of dissatisfaction with any aspect of the Institute's services and activities, including both academic and non-academic matters.

All stakeholders including potential and past members and clients may use the AIM WA Complaints Policy if they are dissatisfied with any aspect at the Institute. Use of the Institute's Complaints Policy does not limit a complainant's other legal avenues or rights.

This Policy will be made available to the public through publication on the Institute's website.

## 3. DEFINITIONS:

**Complaints** arise when a client is not satisfied with an aspect of our product or service and requests action to be taken to resolve the matter.

**Respondent** refers to a person of whom a complaint has been made against.

**'Natural justice'** generally requires that:

- all decisions are made fairly and without bias
- all issues are heard and all investigations are made to determine the truth of a situation
- all participants of a dispute have the opportunity to state their case, offer evidence and put forward their defence

- all participants involved in a situation are kept informed of any allegations made and the progress of the dispute situation
- all participants of a dispute situation have access to appropriate representation.

## 4. REFERENCES:

[Standards for Registered Training Organisations \(RTOs\) 2015](#)

*Complaint/Grievance Form*

*Handling feedback and complaints (Internal Process Flow Chart)*

*Appeals Policy*

## 5. POLICY:

- 5.1 Complaints should be actioned and resolved promptly, objectively and with sensitivity and in complete confidentiality.
- 5.2 The views of each complainant and respondent are to be respected and no party to a complaint is to be discriminated against or victimised.
- 5.3 The complaint handling system should include a systematic follow up process to implement positive steps to prevent valid complaints from recurring; and promote opportunities for improvement.
- 5.4 The principles of natural justice should be applied to ensure fairness and justice for all parties; and a solid basis for arriving at fair, impartial and independent decisions. This will include the complainant and respondent having an opportunity to fully present their case.
- 5.5 An informal process to resolve concerns is to be offered in the first instance to encourage AIM WA team members and members/clients to respond to and resolve complaints quickly. A formal complaints process is also detailed in this document.
- 5.6 Regardless of whether a complaint is informally or formally raised it will be appropriately actioned in accordance with this policy.
- 5.7 Written records of each formal complaint, investigation and its outcome will be retained. A full explanation for decisions and actions taken as part of the process will be provided to the complainant; and corrective actions are to be implemented as soon as practical.
- 5.8 Where a complaint relates to an assessment decision, the process for lodging an appeal should be followed.
- 5.9 Where safety issues are the subject of a complaint, the complaint is to be handled by the OHS Committee.

## 6. PROCEDURE

Informal feedback is welcomed by all AIM WA team members – with a view to implementing any continuous improvements arising from the feedback as appropriate.

Where matters cannot be resolved or require escalation the formal complaints process should be followed. Complaints can be lodged and initiated by an AIM WA team member or by a Member or client.

### PROCESS FOR LODGING A FORMAL COMPLAINT

1. In the first instance, you are encouraged to use the informal feedback process.
2. Formal Complaints are to be made in writing with a heading “Formal Complaint”

We recommend that you:

- provide a description of the issue including relevant facts and dates
  - gather any documents or other supporting evidence
  - let us know how you would like the complaint to be resolved.
3. Receipt of Formal Complaints will be acknowledged within 2 business days. Acknowledgement will give an indicative timeframe for investigation and we will keep you informed of our progress.

### INVESTIGATING A FORMAL COMPLAINT

1. The relevant manager will be responsible for full investigation into Formal Complaints.
2. Where the Manager determines they are not the most suitable person to undertake the investigation; or they are not impartial; or the grievance is about their behaviour, the investigation is to be referred to a suitable officer.
3. The investigation process will:
  - seek to verify the information;
  - determine any compliance or legal positions (and if necessary seek a formal legal opinion) and ensure appropriate authorities are involved;
  - allow the complainant and respondent an opportunity to fully present their case;
  - where necessary, or requested, involve meetings on Institute premises with the complainant or respondent;
  - be recorded in writing; and
  - undertake any other activities appropriate to the purpose of fully investigating the Complaint.
4. Wherever practical, we will endeavour to finalise all investigations within 10 working days of receipt of a complaint. Updates on progress of the investigation process will be provided to the complainant on a weekly basis.

### OUTCOMES TO A FORMAL COMPLAINT

1. After thorough investigation the Manager will advise the complainant (and respondent if applicable) in writing of the decision and an explanation of the rationale for the decision.
2. Written records of the Complaint are to be retained in the Institute Complaints Register.
3. Improvement opportunities arising from feedback or complaints are to be identified and implemented as soon as practicable.

4. If the matter relates to provision of services by the RTO, and the complainant is not satisfied with the outcome of the complaint, the decision can be appealed by contacting, in writing, the Chief Executive Officer.

Following this, a complaint can be escalated to the [National Training Complaints Hotline](#) if it is not resolved within 4 weeks.