



Complaints & Appeals Policy, Process & Evidence

W-Inst PP017



Legislation & Standards

Element 2.7

The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.

Warner Institute complies with all the requirements of all relevant legislation in regards to the creation and implementation of this Complaints & Appeals Policy & Process.



Our Policy

Warner Institute is committed to providing participants with a positive educational experience so we encourage you to have your say and let us know if something isn't right for you.

As part of this commitment, we welcome any feedback that participants have whether good, great, or not-so-good! Your feedback may take the form of a complaint, a suggestion for improvement or notification of an error.

We'll always treat any complaint you make seriously, respectfully and it will be addressed in a confidential, impartial manner for all parties involved. We will respond with the appropriate rectification as necessary, and preserve your privacy. You can be reassured that you will not be adversely affected as a participant if you make a complaint.

If you need support through the complaint management process, please contact our Human Resources Manager here at Warner Institute on;

t: 03 95559100, or
e: people@warnerinstitute.com.au

This policy and process includes complaints and appeals regarding both;

- academic matters, and
- non-academic matters

Academic Matters

This includes all matters such as the enrolment process, student progress, training, assessment, curriculum and awards in a program.

Non-academic Matters

This includes all matters in relation to personal information that is held in relation to the student and issues such as bullying, harassment, vilification, discrimination, financial matters, fines and payments, application procedures, exclusions from events and facilities.



Accessibility, Communication & Publication

The creation and implementation of the Complaints & Appeals Policy and Process is designed to ensure that it is accessible, safe and transparent for students.

We will ensure that the Complaints & Appeals Policy and processes are communicated in writing to all Warner Institute students and employees via the relevant handbooks.

Additionally, the Complaints & Appeals Policy & Process is included in the Program Managers Handbook which is provided to them as part of their induction process.

The Complaints & Appeals Policy (W-Inst PP017) is published within the Participant Handbook (W-Inst Doc 001). Each student is given a copy of this handbook as a part of the information process prior to enrolment. Additionally, both the Handbook and the Complaints & Appeals Form (W-Inst. Form 008), are published on the Warner Institute website (warnerinstitute.com.au) to ensure easy access for all students and employees.

We will also ensure that the Policy and corresponding processes are discussed at student information sessions, induction to new program sessions to ensure students know they are encouraged to raise any concerns that may arise. A copy of the Complaints & Appeals Form (W-Inst. Form 008) is also included in the Participant Folder issued upon commencement of the program.

The Handbook and website provide students with contact details of;

Victorian Registration & Qualifications Authority (VRQA)

Phone: +61 3 9637 2806 (from 9.00 a.m. to 5.00 p.m. Monday to Friday), or
email: vrqa@edumail.vic.gov.au, or
Online: <http://www.vrqa.vic.gov.au/StateRegister/Public.aspx/LodgeComplaint>

Australian Government's National Training Complaints Hotline

Phone: 13 38 73, (Monday to Friday 8am-6pm nationally) or
email: skilling@education.gov.au

Victorian Equal Opportunity & Human Rights Commission

Phone: 1300 212 153 or
Online: <http://www.humanrightscommission.vic.gov.au/making-a-complaint>

Australian Human Rights Commission

Phone: 1300 656 419 or
Online: <https://www.humanrights.gov.au/complaint-information>

Consumer Affairs Victoria

Phone: 1300 55 81 81 (9:00 am to 5:00 pm Monday to Friday except public holidays) or
Online: <https://www.consumer.vic.gov.au/>

Translating & Interpreting Service (TIS)

Warner Institute is not a registered organisation with the Australian Government's Translating and Interpreting Service (TIS National) however any student can still access the service at their own cost. TIS provides immediate interpreting service 24 hours a day, every day of the year to any person in Australia who needs an interpreter. Call t: 131 450.



Complaints/Appeals addressed in a timely manner

Our process requires that any complaint or appeal be addressed and resolved in a timely manner with the complainant being kept fully informed of the status of the complaint/appeal. Sometimes expected timelines may vary owing to the complexity of the issues/concerns and geographic locations involved. Where this occurs, Warner Institute undertakes to keep the complainant fully informed regarding the alteration of the timeline.

Fees & Third Party Involvement

The complainant will have an opportunity to formally present their case, in writing or in person at no cost to them. Any person that is involved in the complaint can be accompanied and assisted by a third party at any relevant meeting.

Any fees that may be involved for an External Review will be communicated to the complainant by email prior to any arrangements being made.

Anonymous Complaints

Warner Institute will not normally act on anonymous complaints unless the issues raised are serious and sufficient information is provided to substantiate the allegations. Where an anonymous complaint involves serious matters, the Education Manager will review the matter with the Managing Director to ascertain what action(s) needs to be taken.

Four Stage Review

Our Complaints & Appeals policy and procedures have four stages to deal with complaints and appeals to reach resolution.

At each stage there will be direct communication with the complainant to ensure the complaint is fully understood and the student is informed of how their complaint will be responded to.



Stage 1: Informal Complaint

Resolving issues/concerns before they become a formal complaint. If complaints/appeals are raised in conversation, by phone, meetings or emails, where possible, non-formal attempts shall be made to discuss issues/appeals directly with the person(s) concerned to resolve the issue before the matter becomes a formal complaint. This may include seeking advice, discussions and general mediation in relation to the issue or the student's concerns.

Receipt of the complaint will be acknowledged in writing to the complainant within 2 business days and will outline who will be looking into the concern and what steps will be taken.

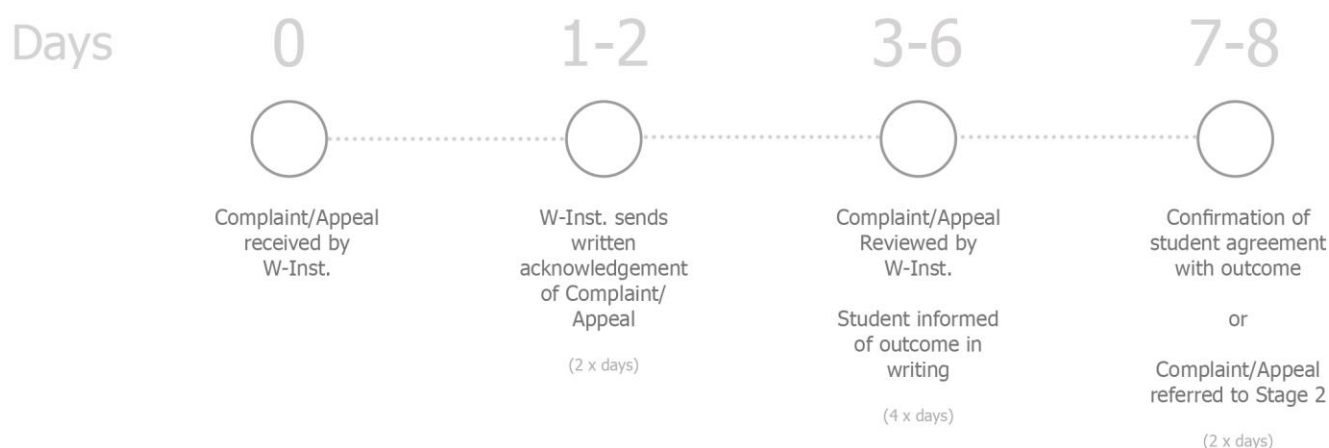
The investigations will continue over the next 4 business days and may include email, face to face discussions, telephone discussions by the relevant Warner Institute staff member, culminating with discussions with the complainant regarding the review's findings and a written report to the complainant outlining the mutually agreeable solution.

The complainant will be asked to provide Warner Institute staff member written confirmation of the acceptance of the outcome report or a request to escalate the complaint/appeal within 2 business days.

The Warner Institute staff member will document the complaint, actions taken, any agreed resolution or further action required in the Complaints & Appeals Register.

Indicative Timeline (8 x Business Days)

Stage 1: Informal Complaint





Stage 2: Formal complaint

If the matter cannot be resolved by the Stage 1 informal complaint process, a formal complaint/appeal addressed to the Education Manager is to be lodged by email or mail using the Complaints and Appeals Form (W-Inst Form 008) available on the Warner Institute website and/or by request via email/post.

The completed form will provide contact name and address of the complainant, nature and details of the complaint/appeal, date of the event which led to the complaint/appeal, and any relevant attachments.

The Education Manager will acknowledge receipt of the formal complaint in writing to the complainant within 2 business days and will organise time for discussions with the complainant to ensure that all relevant information is included and outline the steps that will be taken to investigate the issue/s raised.

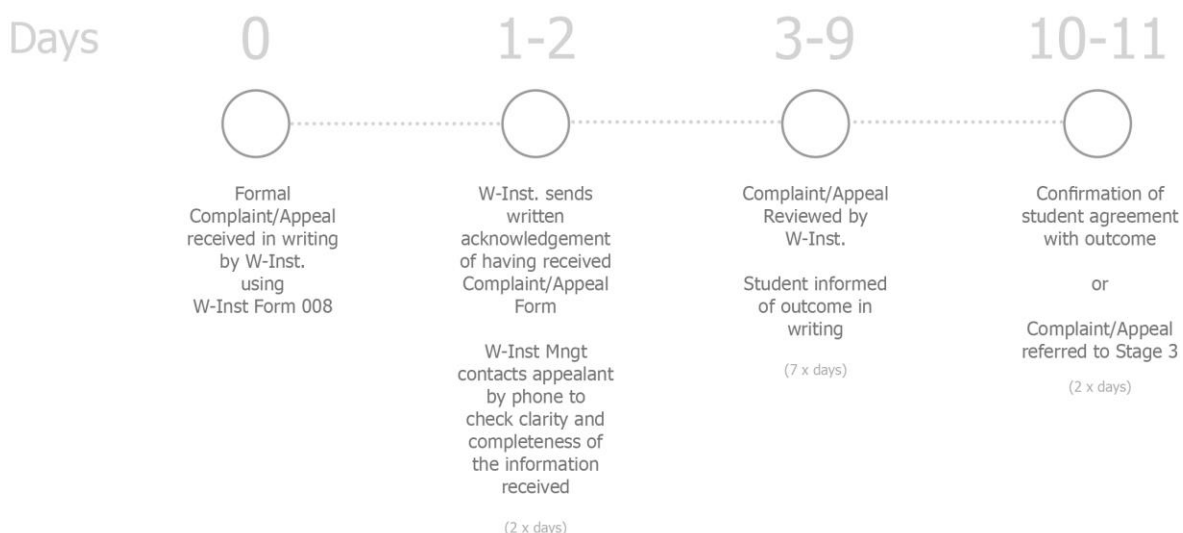
Within the next 7 business days the Education Manager will investigate the concerns and meet or speak by phone with the complainant in order to mutually determine an appropriate solution which will be confirmed in an outcome report to the complainant.

The complainant will be asked to provide Warner Institute staff member written confirmation of the agreed outcome in the report within 2 business days or a request to escalate the complaint/appeal.

The Warner Institute staff member will document the complaint, actions taken, any agreed resolution or further action required in the Complaints & Appeals Register and also note any corrective actions or continuous improvement items that will need to be implemented as a result of the investigations.

Indicative Timeline (11 x Business Days)

Stage 2: Formal Complaint





Stage 3: Escalated review

If the Stage 2 formal complaint process does not provide a mutually agreeable resolution, a formal appeal will be lodged with an independent Senior Manager of Warner Institute, most often the Managing Director for an Escalated review.

The Managing Director/Senior Manager will acknowledge receipt of the escalated complaint within 2 business days and contact the complainant to ensure all relevant information is included in the investigation and commence the process including any suggestions of how the complainant may feel the matter might be resolved.

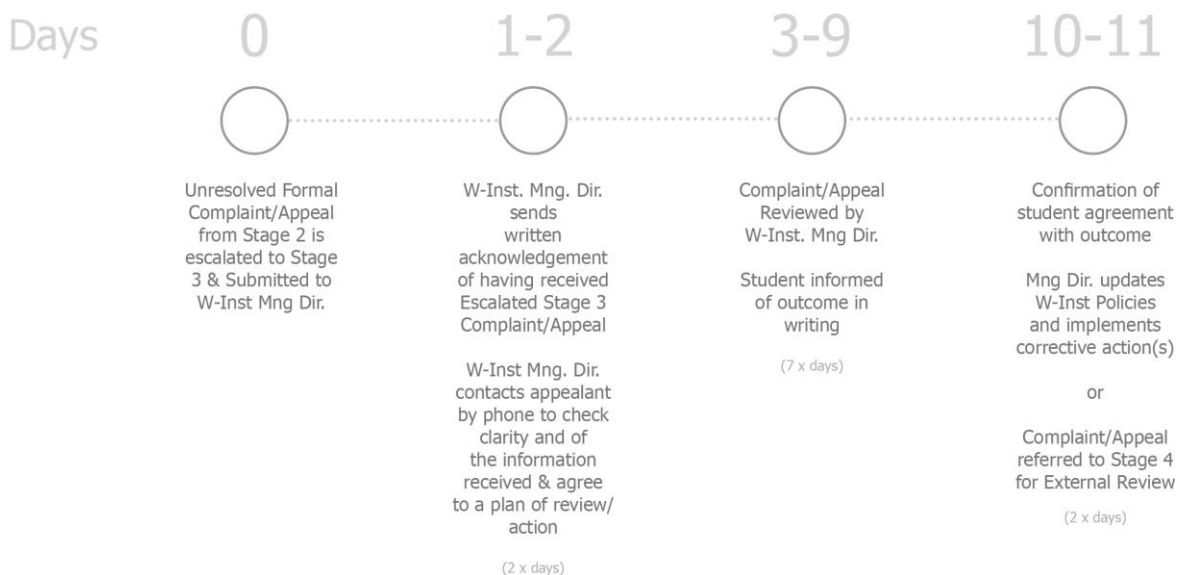
The investigation process will be conducted within 7 business days and the Managing Director/Senior Manager will then determine appropriate solution which will be discussed/negotiated with the complainant and then confirmed in writing to the complainant.

The complainant will be asked to provide Warner Institute staff member written confirmation of the agreed outcome in the report within 2 business days or a request to further escalate the complaint/appeal.

The Warner Institute staff member will document the complaint, actions taken, any agreed resolution or further action required in the Complaints & Appeals Register and also note any corrective actions or continuous improvement items that will need to be implemented as a result of the investigations.

Indicative Timeline (11 x Business Days)

Stage 3: Escalated Review





Stage 4: External review

If Warner Institute cannot resolve the complaint internally, they will seek the services of an appropriate government or independent party to assist in the resolution of the dispute. Warner Institute will acknowledge receipt of the escalated complaint by writing to the complainant within 2 business days from receiving the complaint with a choice of external review recommendations.

Appropriate bodies could include:

Dispute Settlement Centre of Victoria
4/456 Lonsdale Street, Melbourne Vic 3000
t: 1300 372 888
e: dscv@justice.vic.gov.au

or

an experienced VET consultant – selected on the basis of the dispute

or

a representative from Legal Aid

or

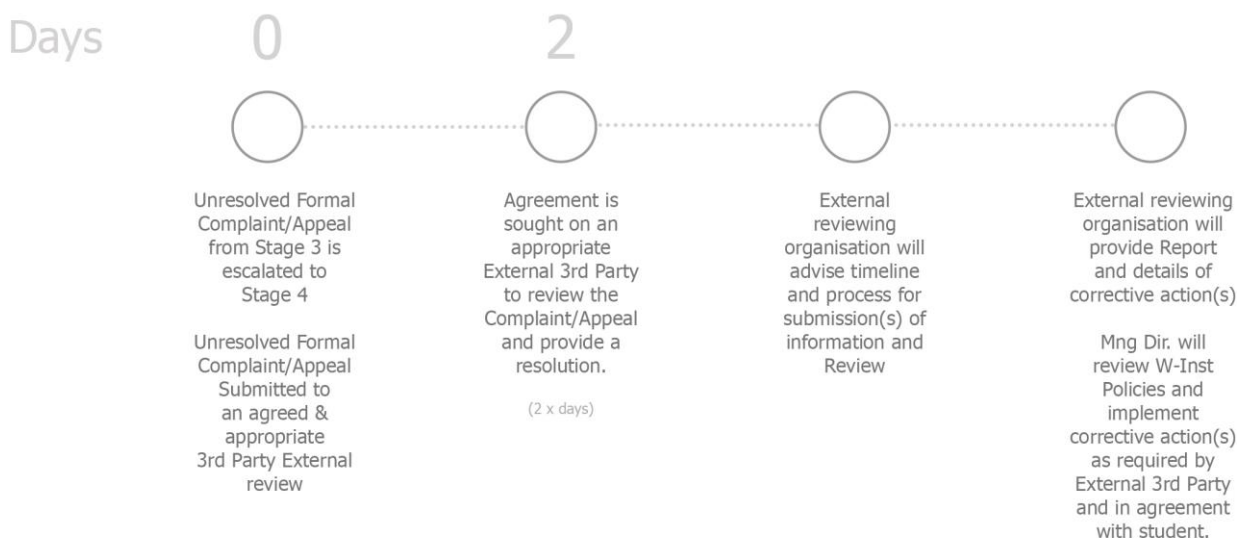
another mutually agreed and appropriate 3rd party organisation.

The Warner Institute staff member liaising with the External Reviewer will document the complaint, actions taken, any agreed resolution or further action required in the Complaints & Appeals Register and also note any corrective actions or continuous improvement items that will need to be implemented as a result of the investigations and/or findings.

If the student is not satisfied with the outcome of the complaint, the student may lodge a complaint with VRQA, Level 4 Casselden Place, 2 Lonsdale Street, Melbourne Vic 3000 Phone: +61 3 9637 2806 or other agencies such as Consumer Affairs Victoria, the Victorian Equal Opportunity and Human Rights Commission, The Australian Human Rights Commission and/or National Training Complaints Hotline.

Indicative Timeline

Stage 4: Formal Complaint: External Review





Documentation Summary

Any complaint and/or appeal made through the Informal Complaint process must be documented by the responsible Warner Institute employee in the Complaints and Appeals Register and as an event in VETtrak.

This can be a summary included in an email to the relevant Warner Institute Manager eg: Education Manager.

Any complaint and/or appeal made through the Formal Complaint or Escalated Review process must be documented using the Complaints & Appeals Form (W-Inst. Form 008) by the responsible Warner Institute employee. The Complaints & Appeals Register must be kept updated documenting actions taken and any outcomes.

We will ensure that the complainant or appellant is given a written statement of the outcome of the complaint and of any appeals, including details of escalations or outcomes.

All documentation must be recorded in both the Student's File and the Warner Institute Complaints & Appeals Register, ensuring that the records are treated as confidential. Any such records are kept for at least five years.

Privacy and Anonymity





All complaints and/or appeals will be treated as confidential and will not be disseminated in any way beyond those Warner Institute employees who have;

1. initially received the complaint
2. are involved in the matter and/or
3. whose involvement is required to resolve the matter

Where anonymity has been requested, it will be given, however the complainant must be notified that the need to protect their identity may impact on the level of the investigation and therefore its resolution.







1. Communicate Complaints & Appeals Policy and Process to students

No.	 Acheived how?	 Evidence	 Linked documents	 W-Inst. Person(s)
a.	Complaints & Appeals Policy is included in Participant (Student) Handbook provided to potential participants before enrolment & on website	W-Inst Doc 001 Participant Handbook W-Inst website	W-Inst Doc 001 warnerinstitute.com.au	Partnership Mngr / Marketing Mngr
b.	Complaints & Appeals summary included in Enrolment Form. Participant asked to confirm that they have read and understood the policy as the part of the enrolment process	W-Inst Form 018 Enrolment Form	W-Inst. Form 018	Partnership Mngr
c.	Complaints & Appeals Policy and Complaints/Appeals Form included in Induction Session	W-Inst Doc 006 Induction PowerPoint presentation	W-Inst. PP 017 W-Inst Form 008 W-Inst Doc 006	Program Mngr
d.	National Complaints Code A4 brochure included in Student Induction Materials & on website	W-Inst website	warnerinstitute.com.au	Administration / Marketing Mngr
e.	National Training Complaints Hotline details included in Participant (Student) Handbook & on website	W-Inst Doc 006 Induction PowerPoint presentation W-Inst website	W-Inst. Doc 006 warnerinstitute.com.au	Administration / Marketing Mngr







2. Communicate Complaints & Appeals Policy & Process to trainers & employees





No.	 Acheived how?	 Evidence	 Linked documents	 W-Inst. Person(s)
a.	Complaints & Appeals Policy is included in Program Manager Handbook provided to all trainers upon employment	W-Inst Doc 023 Program Manager Handbook	W-Inst PP017 W-Inst Doc 023	Education Mgr
b.	Complaints & Appeals Policy is included in Program Support Handbook provided to Program Support and Education Support employees upon employment	W-Inst Doc 021 Program Support Handbook	W-Inst PP017 W-Inst Doc 021	Program Support Education Support
c.	Complaints & Appeals Policy and Complaints & Appeals Form available to all employees on W-Inst. server and website	W-Inst Form 008 Complaints & Appeals Form W-Inst PP017 Complaints & Appeals Policy	W-Inst PP017 W-Inst Form 008 warnerinstitute.com.au	All Staff, Management & Contractors



3. Informal Complaint Process (Stage 1)





No.	 Achieved how?	 Evidence	 Linked documents	 W-Inst. Person(s)
a.	The timeline for the Informal Complaint Process is 8 business days. Warner Institute employee receives the complaint and/or appeal and agree to respond with a resolution within 8 business days.	notes	W-Inst PP017	Relevant W-Inst employee
b.	Within 2 business days, (i) Warner Institute employee to document conversation and email to Education Manager and/or other appropriate member(s) of management with details of the complaint and (ii) email acknowledgement of complaint to complainant.	email, notes, etc	W-Inst PP017	Relevant W-Inst employee / Education Mngr
c.	Within the next 4 business days, the Education Manager and/or other appropriate member(s) of management to review to investigate the complaint communicating with all relevant stakeholders and compiling all relevant information/data.	emails, VETtrak data, other documents & data, notes, etc	W-Inst PP017	Relevant W-Inst employee / Education Mngr
d.	Upon completion of the Investigative process and within the same 4 business days as defined in (c), the Education Manager and/or other appropriate member(s) of management to respond in writing with an approved course of action to resolve the matter.	email, Report	W-Inst PP017	Relevant W-Inst employee / Education Mngr
e.	Warner Institute Education Manager will then respond to complainant with the approved solution by phone and confirmed the proposed resolution in writing.	email, notes, etc	W-Inst PP017	Relevant W-Inst employee / Education Mngr



No.	 Acheived how?	 Evidence	 Linked documents	 W-Inst. Person(s)
f.	Within 2 business days. If the proposed resolution is agreed to as being satisfactory by the complainant, then their agreement to the resolution must be confirmed to the complainant by W-Inst. by email (if not already) and require their confirmation of same by reply email agreeing that the matter is resolved.	emails, notes	W-Inst PP017	Complainant Relevant W-Inst employee / Education Mngr
g.	If the proposed resolution is not agreed to being satisfactory by the complainant, then the process must be escalated to a Formal Complaint (Stage 2). This will be confirmed to the complainant by email with information about how to lodge a formal written complaint and including as attachments (i) the Complaint & Appeals Form and (ii) the Participant Handbook that includes the Complaints & Appeal Policy. The appropriate Warner Institute Manager(s) must be included as a 'cc' on this email.	email W-Inst Form 008 Complaints & Appeals Form W-Inst Doc 001 Participant Handbook	W-Inst PP017 W-Inst Form 008 W-Inst Doc 001	Relevant W-Inst employee / Education Mngr
h.	All email correspondence plus any other documentation must be added to the appropriate student file and included on the W-Inst. Complaints & Appeals Register and included in VETtrak as an event on the student file.	Student file, emails VETtrak W-Inst Reg 007 Complaints & Appeals Register	W-Inst PP017 W-Inst Reg 007	Education Manager / Program Support Manager



4. Formal Complaint Process (Stage 2)





No.	 Achieved how?	 Evidence	 Linked documents	 W-Inst. Person(s)
a.	The timeline for the Informal Complaint Process is 11 business days. Warner Institute employee receives the complaint and/or appeal and contacts complainant by phone and agrees to respond with a resolution within 11 business days. Complaint entered in Student's File on VETtrak as an event	VETtrak data W-Inst Form 008 Complaints & Appeals Form email, notes, etc	W-Inst PP017	Relevant W-Inst employee
b.	Within 2 business days, (i) Warner Institute employee to document conversation and email to Education Manager and/or other appropriate member(s) of management with details of the complaint and (ii) email acknowledgement of complaint to complainant confirming verbal agreement from to respond with a resolution within 11 business days.	W-Inst Form 008 Complaints & Appeals Form email, notes, etc	W-Inst PP017 W-Inst Form 008	Relevant W-Inst employee / Education Mngr
c.	Within the next 7 business days, the Education Manager and/or other appropriate member(s) of management to review and investigate the complaint communicating with all relevant stakeholders and compiling all relevant information/data.	emails, VETtrak data, other documents & data, notes, etc	W-Inst PP017	Relevant W-Inst employee / Education Mngr
d.	Upon completion of the Investigative process and within the same 7 business days as defined in (c), the Education Manager and/or other appropriate member(s) of management to respond in writing with an approved course of action to resolve the matter.	email, Report	W-Inst PP017	Relevant W-Inst employee / Education Mngr



e.	Within 2 business days. If the proposed resolution is agreed to as being satisfactory by the complainant, then their agreement to the resolution must be confirmed to the complainant by W-Inst. by email (if not already) and require their confirmation of same by reply email agreeing that the matter is resolved.	emails, notes, VETtrak	W-Inst PP017	Relevant W-Inst employee / Education Mngr
f.	If the proposed resolution is not agreed to be satisfactory by the complainant, then the process must be escalated to an Escalated Review (Stage 3) with all information compiled from this Stage 2 investigative process presented to the W-Inst Mng. Dir for review as per Stage 3 process.	All documents, data etc from investigation process W-Inst Form 008 Completed Complaints & Appeals Form	W-Inst PP017 W-Inst Form 008	Relevant W-Inst employee / Education Mngr
g.	All email correspondence plus any other documentation must be added to the appropriate student file and included on the W-Inst. Complaints & Appeals Register and included in VETtrak as an event on the student file.	Student file, emails VETtrak W-Inst Reg 007 Complaints & Appeals Register	W-Inst PP017 W-Inst Reg 007	Education Manager / Program Support Manager



5. Escalated Review Process (Stage 3)





No.	 Achieved how?	 Evidence	 Linked documents	 W-Inst. Person(s)
a.	The timeline for the Escalated Complaint Process is 11 business days. Warner Institute Mng. Dir. and/or appropriate member(s) of management receives the escalated complaint and/or appeal and contacts complainant by phone and agrees to respond with a resolution within 11 business days. Complaint details updated in Student's File on VETtrak	VETtrak data W-Inst Form 008 Complaints & Appeals Form email, notes, etc	W-Inst PP017	W-Inst Mng. Dir.
b.	Within 2 business days. Warner Institute Mng. Dir. or the relevant member to (i) contact the complainant and discuss process to date to clarify all details, and (ii) send email acknowledgement summarising the content of the discussion to complainant confirming to respond with a resolution within 11 business days.	email, notes, etc	W-Inst PP017	W-Inst Mng. Dir.
c.	Within 7 business days. Warner Institute Mng. Dir. and/or other appropriate Staff will review and further investigate all relevant material and may seek further evidence, arrange additional interviews/meetings and hold discussion with the complainant regarding possible resolution.	All documents, data etc from investigation process W-Inst Form 008 Completed Complaints & Appeals Form	W-Inst PP017 W-Inst Form 008	Managing Dir. / Education Mngr



d.	Within the same 7 business days as defined in (c), the Managing Director will also provide the complainant an outcome report including a proposed resolution by email requiring a written response (email) from the complainant.	email	W-Inst PP017	Managing Dir. / Education Mngr
e.	If the proposed resolution is agreed to as being satisfactory by the complainant, then the resolution must be confirmed by email by the complainant agreeing that the matter is resolved within 2 business days. Details to be updated in VETtrak and all materials relating to the matter to placed in student's file	email VETtrak Student file	W-Inst PP017	Managing Dir. / Education Mngr / Program Support Mngr / Administration
f.	If after all the previous steps have been undertaken and in good faith, the matter cannot be satisfactorily resolved, then an external and independent mediator will be recommended. Any fees that may result from undertaking this next step must be communicated to the complainant by email before it has been resolved to enlist a third party to resolve the matter.	email	W-Inst PP017	Managing Dir. / Education Mngr
g.	All email correspondence plus any other documentation must be added to the appropriate student file and included on the W-Inst. Complaints & Appeals Register	Student file VETtrak Complaints & Appeals Register	W-Inst PP017 W-Inst Reg 007	Education Manager / Administration







6. External Review Process (Stage 4)

No.	 Achieved how?	 Evidence	 Linked documents	 W-Inst. Person(s)
a.	If after all the previous steps have been undertaken and in good faith, the matter cannot be satisfactorily resolved, then an external and independent mediator will be recommended within 2 business days of receiving the escalated complaint.	Formal request letter to appropriate mediator, requesting their assistance	W-Inst PP017	Managing Dir. / Education Mngr
b.	The external or independent mediator will be selected from one of the following: <ul style="list-style-type: none"> • Disputes Reconciliation Council, Melbourne • A VET consultant selected based on the nature of the complaint • A representative from Legal Aid or another mutually agreed and appropriate 3rd Party The timeline for the external review will vary according to complexity of issues and availability of external reviewer	Contract or formal agreement with the external or independent mediator to act on behalf of the RTO and complainant.	W-Inst PP017	Managing Dir. / Education Mngr / Approved Independent 3 rd Party
c.	Warner Institute Education Manager will work with external Reviewer to support resolution of issue and then take advice regarding any feedback or continuous improvement or corrective action required.	External Reviewer's report	W-Inst PP017	Managing Director / Education Manager
d.	If a further appeal is required student will be referred to VRQA.			



7. Rectification

No.	 Acheived how?	 Evidence	 Linked documents	 W-Inst. Person(s)
a.	Education Manager will monitor the reporting of complaints received, actions taken and the operation of the complaints handling process. The complaints handling process will be reviewed annually referencing the entries recorded in the W-Inst. Complaints & Appeals register	W-Inst Reg 007 Complaints & Appeals Register	W-Inst PP017 W-Inst Reg 007	Education Mngr
b.	The Education Manager will recommend to the Managing Director in writing/discuss in Mgt Meeting or one-on-one meeting the appropriate preventative and corrective action(s) to be undertaken to eliminate the root causes of complaints and to improve the quality of our products, services and policies on an annual basis (or sooner) if required.	Submitted documentation email	W-Inst PP017	Managing Dir. / Education Mngr
c.	Implementation of all rectifications to be recorded in Continuous Improvement Register	W-Inst Reg 001 Continuous Improvement Register Relevant policies, etc	W-Inst Reg 001	



Warner Institute

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