

LP003 Improvement Opportunities and Complaints (IOC) Procedure

1. Purpose

To continuously improve Institute operations by acting on improvement opportunities and complaints.

Every effort should be made to action suggestions and resolve complaints informally before commencing this procedure. A commitment that an idea, action or suggestion will be carried out or an appropriate apology made regarding a complaint can often save a great deal of time and trouble.

2. Scope

This procedure is to be used for any written suggestions, complaints, corrective and preventive audit actions (*whether on the appropriate form or by email, letter, report or transcribed from a telephone call*) and is available to all students and staff irrespective of their location, place of residence or study via the Wodonga Institute of TAFE (*WIOT*) website.

Where issues relating to harassment or discrimination are reported using this procedure, they will be referred to *CP013 Student Harassment, Discrimination and Conflict Resolution Procedure* or *PP043 Staff Dispute/Conflict Resolution Procedure*.

This procedure should not be used by staff to make complaints before exhausting all the usual avenues of communication such as face to face meetings, committees etc. as per *PP044 Staff Grievance Procedure*.

Wodonga TAFE will not victimise or discriminate against any complainant or respondent.

3. Scheduled Review Date

30 November 2012

4. References

LF004 Improvement Opportunities and Complaints (IOC) Investigation Form
CP013 Student Harassment, Discrimination and Conflict Resolution Procedure
PP043 Staff Dispute/Conflict Resolution Procedure
PP044 Staff Grievance Procedure
CP006 Student Grievance/Appeals Procedure
RP004 Quality Audit Procedure
RP009 Risk Management Procedure
IOC Register
Appendix 1: Work Instruction to TRIM an IOC Form

5. Definitions

See Wodonga TAFE glossary on StaffNet for current definitions. For the purpose of this procedure:

Corrective Action is action taken in the short term to address a problem or non-conformance.

Preventive Action is action taken (*often in the longer term*) that addresses the root cause of a problem or non-conformance to prevent its recurrence.

Principles of Natural Justice (*also termed Procedural Fairness*) have been identified by the Human Rights and Equal Opportunity Commission (*HREOC*) as:

- The person who is the subject of concern must know all the allegations in relation to their behaviour.
- They must have a full opportunity to put their case.
- All parties relevant to the issue must have the right to be heard.

- All relevant submissions and evidence must be considered.
- Matters that are not relevant must not be taken into account.
- The person who raises the concern must not have responsibility in establishing the process.
- The decision-maker must be fair and just.

Responsible Staff Member is the person that the IOC is issued to for investigation and completion. Typically this will be a Department Manager however it can also be their delegated nominee.

Root Cause Analysis is the process of determining the underlying reasons that an issue has arisen. It is important to investigate and identify the true root cause so that appropriate preventive action for that issue can be determined and implemented.

6. Procedure

Item	Action/Comment	Responsibility
1.	To capture any improvement opportunity such as a suggestion or complaint, <i>Have Your Say part of LF004 Improvement Opportunities and Complaints (IOC) Investigation Form</i> must be filled out and sent to the Quality Systems Support Officer (<i>within Continuous Improvement and Administration Services (CIAS)</i>) within one business day of being completed. Alternatively the IOC can be placed in one of the suggestion boxes located in: <ul style="list-style-type: none"> • Building A - Lower near Administration Services • Building A - Upper near Helpdesk • Building B - Upper near reception • Building C - Lower reception • Building G - Reception • Motorsports - Reception • National Industrial Skills Centre - Reception • Water, Land & Food - Reception • Timber Studies - Reception. 	Initiator/WIOT staff member acting for initiator
2.	On a daily basis the suggestion boxes will be checked and any completed forms delivered to the Quality Systems Support Officer within one business day for registering and distribution.	Delivery Team Leader Systems & Quality/Manager's Delegate
3.	Any complaint arriving at the Office of the CEO should be forwarded to one of the General Managers in the first instance.	Executive Officer
4.	Any areas of non compliance following an audit will be raised using the <i>LF004 Improvement Opportunities and Complaints (IOC) Investigation Form</i> as per <i>RP004 Quality Audit Procedure</i> .	Auditor
5.	Once the Have Your Say part of the IOC has been received, it is scanned and combined with the remaining <i>LF004 Improvement Opportunities and Complaints (IOC) Investigation Form</i> , registered in TRIM (<i>as per Appendix 1</i>) and entered on the IOC register, which is used to track the status. The IOC is reviewed by Manager CIAS before emailed to the relevant Department Manager for action. If the IOC has an OH&S implication, a copy of the IOC will be sent to the Health, Safety and Environment Officer in Workforce Planning and Development to liaise with the Department Manager.	Quality Systems Support Officer
6.	Within 10 working days after receiving the IOC, take all appropriate steps to resolve the issues raised and notify the initiator of the outcome (<i>corrective action</i>) ensuring that the Principles of Natural Justice are adhered to at all times. The initiator should be asked to "sign off" the corrective actions section of the	Responsible Staff Member

Item	Action/Comment	Responsibility
	<p>IOC to indicate their satisfaction with the outcome, however for initiators who are unable to do this an email or authorised record of telephone conversation will be sufficient records of approval.</p> <p>If the initiator is not satisfied and further resolution cannot achieve a satisfactory outcome, or the initiator is not available, the General Manager responsible for the area should be asked to "sign off" the corrective actions section of the IOC.</p>	
7.	If the initiator is unhappy with the outcome of the process, they may lodge a grievance using <i>CP006 Student Grievance/Appeals Procedure</i> or <i>PP044 Staff Grievance Procedure</i> .	Initiator
8.	<p>In addition to taking the corrective action above, it is a requirement to analyse the issue by completing the sections:</p> <ul style="list-style-type: none"> • Root Cause Analysis and • Preventive Action. <p>These actions must be recorded on the form, or attached to the form.</p> <p>Note: <i>It is not always possible to complete all actions required within the 10 day period however, the agreed action plans are to be documented onto (or attached to) the IOC so that it can be signed off and returned to the Quality Systems Support Officer within the 10 day period.</i></p>	Responsible Staff Member
9.	If the IOC is to be passed to other people for action or further action, the Quality Systems Support Officer must be notified so that the <i>Current Location</i> field in the relevant TRIM record (<i>and IOC register</i>) can be updated.	Responsible Staff Member
10.	Once the above steps have been completed, the IOC must be "signed off".	Department Manager
11.	The completed IOC, together with any supporting documentation and a copy of any written communication with the initiator must be returned to the Quality Systems Support Officer for processing.	Department Manager/General Manager
12.	<p>On receipt of the completed IOC and supporting documentation, the IOC will be:</p> <ol style="list-style-type: none"> 1. checked to ensure it has been completed correctly, signed off and that the information on the IOC matches the TRIM version; 2. additional supporting documentation will be scanned, combined with the original IOC, Trimmed and closed; 3. classified according to its risk to the Department or Institute as: <ul style="list-style-type: none"> • High - severe impact on quality of service provided and could have significant business consequences • Medium - some impact on quality of service provided resulting in a level of customer dissatisfaction • Low - little impact on quality of service provided and continuity of business operations or assets. 4. those IOCs that have a high or medium risk will be filed in a "verification" file until a follow up review has been performed by the Quality and Educational Compliance Team. Follow up reviews will be performed within 2 months of the IOC being returned; 5. where follow up has found that the documented corrective actions have been effective in addressing the original concern, the IOC will be removed from the Verification file by completing the Verification section of the IOC and including any necessary notes; 6. where follow up review identifies that the original cause of the IOC remains, i.e. the corrective actions were not implemented in a timely 	Quality Systems Support Officer

Item	Action/Comment	Responsibility
	manner or were ineffective, Manager CIAS will be consulted to determine if the IOC will be re-issued to the original recipient or if the IOC needs to be registered as an Institute Risk according to <i>RP009 Risk Management Procedure</i> .	
13.	The status of IOCs will be reported by email to General Managers and Department Managers (<i>1st week of each month</i>) and presented at the Teaching and Learning Committee and the Leadership Network Meeting. The report will include details of IOC's that: <ul style="list-style-type: none"> • are overdue for return • have been returned • have been verified as complete • were verified as in-effective and returned to Department Manager Any IOCs that are 2 weeks or more overdue for return will be reported by email to the appropriate General Manager.	Quality Systems Support Officer/Manager CIAS
14.	Department Managers will be notified of those IOC's that are still open after 10 working days and/or are 2 weeks or more overdue for return to ensure timely completion of the process.	General Managers

7. Record, Retention and Archiving

Record Title	Retention Requirement	Location of Storage/Archive/ Other Requirements
LF004 Improvement Opportunities and Complaints (IOC) Investigation Form	Depends on the nature of the complaint/improvement. Below are some examples:	
Complaints - Processes/Procedures	PROS 07/01, class 2.3.0	Temporary, destroy 7 yrs after action completed
Complaints (<i>result in changes to policy/procedure</i>)	PROS 07/01, class 2.3.2	Permanent - retain as State Archives
Complaints (<i>require detailed response on action, policy/procedure</i>)	PROS 07/01, class 2.3.3	Temporary, destroy 5 yrs after administrative use has concluded
Complaints (<i>standard responses</i>)	PROS 07/01, class 2.3.4	Temporary, destroy 2 yrs after administrative use has concluded
Privacy - Breaches Information Privacy Act 2000		
- <i>Complaints resolved externally</i>	PROS 07/01, class 9.9.1	Temporary, destroy 15 yrs after action concluded
- <i>Complaints resolved internally</i>	PROS 07/01, class 9.9.2	Temporary, destroy 7 yrs after action concluded
Student Complaints/Grievance/ Disciplinary Action (<i>complaint, interviews, correspondence, reports to committee</i>)		
- <i>Penalty</i>	PROS 02/01, class 9.1.0	Temporary, destroy 15 yrs following date of decision
- <i>No penalty</i>	PROS 02/01, class 9.2.0	Temporary, destroy 7 yrs following date of decision
Student Grievances - Not Proven	PROS 02/01, class 9.3.0	Temporary, destroy documentation (<i>not records of the Grievance Registrar</i>)
Student Accommodation -	PROS 02/01, class 16.2.0	Temporary, destroy 7 yrs from date of

Record Title	Retention Requirement	Location of Storage/Archive/ Other Requirements
Management (resident files, correspondence, complaints, requests for additional services)		last residence
IOC Register	Depends on the nature of complaints recorded. May require PROV Appraisal.	Permanent - retain as State Archives

8. Appendices

Appendix 1: Work Instruction to TRIM an IOC Form

9. Record of Revision

Date	Summary of change
November 2011	Minor updates due to scheduled review including: procedure put into template, additional suggestion boxes listed, work instruction updated and risk levels of IOC included which determines if the IOC needs to be verified.

Appendix 1: Work Instruction to TRIM an IOC Form

Register IOC in TRIM as follows:

1. Register the Record Type as "DOCUMENT-INTERNAL".*
2. Record Title - to commence with upper case initials "IOC" followed by a brief description of the subject of the IOC. The name of the initiator should be included (*if known*).
3. Document type - "FORM".*
4. Signatory - the responsible staff member.*
5. Date Created - the date the IOC was filled out.
6. Date Registered - the default ("today's date").*
7. Addressee - Department Manager, if known; if not known, one of the General Managers.*
8. Container Record is – "A1977".
9. Action - "IOC STEP 1 - TO MANAGER".*
10. Notes - provide a description with more detail and specific information of the IOC including name of initiator. If a complaint is made against a particular person or group of people, then the names of these individuals should not be included in the TRIM record title or notes.
11. Security Level "MANAGER".*
12. Access Control – View Access (relevant Department Manager and Edit Controller), Edit Access (Edit Controller).
13. Current Location - the name of the Department Manager/ General Manager the IOC is to be sent to.*
14. Save the Record.
15. Responsibility of - Same as in 12.*

*indicates TRIM options - drop down lists etc. should be used.