

Policy – Complaints and Appeals

Navitas Professional
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Document

Document I.D.	NP-01.01-06P Complaints and Appeals Policy
Responsibility	National Operations Manager, NP
Initial Issue Date	27 October 2015

Version Control

Issue Date:	Summary of Changes	Review Date
27 October 2015	Initial document, v1.0	27 October 2017
26 February 2016	Update position titles, change student to participant, v1.1	27 October 2017
10 October 2016	Inclusion of education and migration agents as third parties, v1.2	27 October 2017
24 October 2016	Update state contact details, v1.3	27 October 2017
31/01/2017	Update state contact details for TAS & NT, v1.4	27 October 2017
1 February 2018	Change of Business Unit name; update in line with review, v1.5	1 February 2020
15 May 2018	Update external arbiter, v1.6	1 February 2020
4 June 2018	Update external review, v1.7	1 February 2020
15 November 2018	Move to TickIt, update State details, v2.0	1 February 2020

1 Purpose and Scope

The purpose of the Complaints and Appeals Policy is to ensure that all participant complaints and appeals are dealt with in a timely and constructive manner, with impartiality, observing the principles of natural justice and procedural fairness by informing those involved of the allegations, providing those involved an opportunity to present their side of the matter and operating in a fair and unbiased way and at no cost to the participant.

This policy applies to:

- all formal and informal complaints received by Navitas Professional.
- all participants currently enrolled in Navitas Professional's (NP) programs and is applicable to all complaints and appeals, including assessment decisions, involving:
 - the conduct of the Registered Training Organisation (RTO), its trainers, assessors or other staff;
 - a third party providing services on the RTO's behalf including education and migration agents, its trainers, assessors or other staff; or
 - a learner of the RTO.

2 Policy

NP is committed to providing participants the best possible environment in which to study. NP recognises, however, that on occasion there may be instances of dissatisfaction and acknowledges that the causes must be addressed and rectified promptly. In such instances, NP invites feedback from the dissatisfied party so that a resolution can be found and as an opportunity to consolidate the feedback into a review and improvement of NP's policies and practices. This policy is made available to all participants via the NP website.

A complaints and appeals process has been developed for covering decisions made for or on behalf of NP and is detailed in Section 3.

Navitas Professional's internal complaints and appeals process:

- requires a written record if the complaint or appeal cannot be resolved informally;
- provides a participant with the opportunity to formally present their case at no cost;
- ensures if the participant is not satisfied with the result or conduct of the internal complaint handling and appeals process, the provider will advise the participant of his or her right to access the external appeals process at minimal or no cost;
- provides a written statement of the outcome, including details and reasons for the decision;
- allows the participant to be assisted or accompanied by a support person; and
- requires that processes begin within 10 working days of NP receiving the formal written lodgement of the complaint or appeal.

Navitas Professional will maintain the participant's enrolment while the complaints and appeals process is ongoing.

In the first instance, the participant is encouraged to attempt to resolve their complaint with the appropriate person or staff member. The following table provides details of the responsibility of various staff members to assist them in resolving their complaint.

Refer to Appendix A for a list of administrative position holders in each State.

Problem or Assistance with	Who can help?
A class	The class trainer State Operations Manager/State Team Leader
Attendance/absences	State Administration Team State Operations Manager/State Team Leader
Internship	Internship Placement Coordinator State Operations Manager/State Team Leader
Course Progress	The class trainer
Certificates	State Administration Team
Course Extension / Change	State Administration Team
Any other problem	State Administration Team

2.1 Receiving complaints or appeals

- 2.1.1 NP will receive written complaints from participants utilising the Complaints and Appeals e-Form available on the web at: <http://navitas-internships.com/apply/policy-documents/>.
- 2.1.2 Once a complaint or appeal is received, the Complaints and Appeals e-form will generate a pdf copy for the complainant's /appellant's records.
- 2.1.3 NP will endeavor to resolve all complaints and appeals in a timely and efficient manner not exceeding 60 days. If the complaint or appeal exceeds 60 days NP will inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and provide regular updates, in writing, to the complainant or appellant on the progress of the matter.
- 2.1.4 There is no cost to the initiator to utilise NP's complaints and appeal procedure.

2.2 Investigation

- 2.2.1 The investigation of complaints and appeals will include a process of verification to ensure there is justification for the complaint. The difference between an allegation and a substantiated claim needs to be clear and all parties must be given full opportunity to provide their view of the matter under investigation.
- 2.2.2 All complaints will be investigated thoroughly and dealt with in an effective and timely manner. The principles of natural justice and procedural fairness will apply at all times.
- 2.2.3 During the investigation of complaints and appeals, State Operations Managers/State Team Leaders and the Curriculum & Learning Manager will liaise with the National Operations Manager who will record the complaint or appeal within the electronic complaints handling system (TickIt) and upload any relevant documents relating to the outcome to the participant's electronic complaint file.
- 2.2.4 Privacy, confidentiality and anonymity will be maintained throughout the complaints and appeals process unless otherwise negotiated with the stakeholders of this process.
- 2.2.5 At any point throughout the complaints and appeals process the initiator of the complaint or appeal may be accompanied and assisted by a third party nominee if desired.

2.3 Resolution of complaint or appeal

- 2.3.1 Formal communication regarding the outcome of the investigation will be provided to the complainant or appellant in due course.
- 2.3.2 NP will identify the potential cause of the complaint or appeal and will take appropriate action to eliminate or mitigate the likelihood of reoccurrence.

2.4 Unresolved complaints or appeals

- 2.4.1 Where the complainant is not satisfied with the resolution provided, they may appeal in the first instance to the National Operations Manager. Upon review and to avoid any potential or perceived conflicts of interest, the National Operations Manager may escalate to the Director, NP.
- 2.4.2 Should the complainant or appellant remain dissatisfied the complaint or appeal may be externally reviewed, at the request of the complainant or appellant, by an appropriate party independent of NP, the complainant or appellant.

3 Procedure

- Step 1. Participant attempts to resolve complaint informally. If resolved – process ends; if not resolved – proceed to Step 2.
- Step 2. Participant accesses Complaints and Appeals e-form from website. Participant formally presents their case in detail on the Complaints and Appeals e-form.
- Step 3. Complaints Triage Officer forwards complaint to State Operations Manager for investigation. State Operations Manager will inform those involved of the allegations, providing an opportunity for all parties to present their side of the matter and operating in a fair and unbiased way.
- Step 4. Complaints Triage Officer informs complainant of progress in their case and advises that participant is able to be assisted or accompanied by a support person throughout the process.
- Step 5. State Operations Manager to consult with Curriculum & Learning Manager regarding nature of problem: Curriculum & Learning Manager to handle complaints relating to course content and assessment decisions; State Operations Manager to handle all other complaints.
- Step 6. Within 10 working days of lodgement of Complaint, State Operations Manager to investigate complaint and provide suggested resolution.
- Step 7. Participant to be advised of resolution including details and reasons for decision.
- Step 8. If participant satisfied – process ends. If participant dissatisfied, State Operations Manager to record case as open and escalate to appeal (Level 2 in TickIt)
- Step 9. National Operations Manager acknowledges receipt of appeal in writing and advised that participant is able to be assisted or accompanied by a support person throughout the process.

- Step 10. National Operations Manager will inform those involved of the allegations, providing an opportunity for all parties to present their side of the matter and operating in a fair and unbiased way.
- Step 11. Within 10 working days of lodgement of Complaint, National Operations Manager to investigate appeal and convene an appeals committee to allow the appellant to present their case. The appeal committee shall comprise:
- a. National Operations Manager (Chair);
 - b. Three NP Management members ideally from different states.
- Step 12. The Appeals committee shall hear the appellant case and form a recommendation
- Step 13. The National Operations Manager will present the Appeals Committee recommendation to the Director, NP to provide suggested resolution.
- Step 14. Participant advised of Appeal Outcome including details and reasons for the decision.
- Step 15. Participant satisfied with outcome – process ends. If the Participant is dissatisfied with outcome, they may then refer the matter to an external third party for independent review.
- Step 16. If the process extends beyond 60 days, participant is to be informed of reasons why more than 60 days have been required and will provide regular updates to the participant on the progress of the complaint or appeal.
- Step 17. Outcome reported to Management Review Meeting to recommend strategies to mitigate reoccurrence and to reduce risk of similar complaints occurring.

4 Responsibilities

- The **Director, NP** is accountable for the ongoing development, approval, implementation, awareness and effectiveness of this Policy and the supporting processes and documentation.
- The **Curriculum & Learning Manager, NP, National Operations Manager, NP** and **State Operations Managers, NP** are responsible for ensuring that all team members are aware of this Policy and their responsibilities defined herein.
- **NP employees** are responsible for being aware of and complying with this Policy.

5 Definitions

Unless the contrary intention is expressed in this Policy, the following words (when used in this policy) have the meaning set out below:

- **Appeal** – An appeal is defined as a request to review a decision that has been made on an appellant
- **Complaint** – A complaint is defined as an individual's expression of dissatisfaction with an aspect of NP's services and activities, including both academic and non-academic matters.
- **Complaints Triage Officer** – Person assigned to first assess a complaint and direct to applicable manager for processing. Current Triage Officers: National Operations Coordinator or National Operations Manager

6 Review

This document is reviewed every 2 years by the relevant manager to ensure alignment to appropriate strategic direction and its continued relevance to Navitas Professional's current and planned operations.

The next scheduled review of this document is listed in the Version Control section on Page 1.

7 Records

All records in relation to this policy will be managed as follows

Record type	Responsible	Location	Retention
Complaints/Appeal Record	National Operations Manager	Complaints and Appeals Register	7 years
Complaint/Appeal Supporting Documentation	National Operations Manager	TickIt	7 years

8 Related documents

- Complaints and Appeals e-Form at <https://navitas.tod.net.au/incidents/new/b6ca57c1108ffc6197deaa93886994d7>
- Complaints and Appeals Record within TickIt

Appendix A

Managerial and Administrative Position Holders by State

NSW		
State Operations Manager	Darren O'Connell	Darren.O'Connell@navitas.com
State Administration Officer	Louise Barcenas	sydneyadmin@navitas-internships.com
VIC		
State Operations Manager	Terry Patriarca	Terry.Patriarca@navitas.com
State Administration Officer	Noelia Fiocca	melbourneadmin@navitas-internships.com
QLD		
State Operations Manager	Jo Edmonds	Jo.Edmonds@navitas.com
State Administration Officer	Elaine Kimmins	brisbaneadmin@navitas-internships.com
WA		
State Operations Manager	Brenton Thom	Brenton.Thom@navitas.com
State Administration Officer	Ke Li	perthadmin@navitas-internships.com
SA		
State Operations Manager	Ben Mayne	Ben.Mayne@navitas.com
State Administration Officer	Jo Witherspoon	adelaideadmin@navitas-internships.com
TAS		
State Operations Manager	Ben Mayne	Ben.Mayne@navitas.com
State Administration Officer	Nina Cooper	hobartadmin@navitas-internships.com
NT		
State Team Leader	Robyn Connell	darwinadmin@navitas-internships.com
ACT		
State Team Leader	Arjun Mathilakath	canberraadmin@navitas-internships.com