

<b>Version History</b>	
<b>Document: Complaints &amp; Appeals Policy</b>	
<b>First Version Number: 05/07</b>	
<b>Code:</b>	
<b>Version #</b>	<b>Summary of changes made</b>
01/08	Removed "AQTF 2005 Standard 1.5 - Policies and procedures for dealing with customer complaints, grievances and appeals."
02/08	Hyperlinks removed
07/08	<p>Additions</p> <ul style="list-style-type: none"> <li>• Discussion with the relevant personnel about the complaint in an attempt to resolve the issue informally.</li> <li>• To resolve the issue informally the first point of contact will be Student Support Officer, who will identify the relevant personnel.</li> <li>• If the matter is unable to be resolved at this level, the complaint can be formalised by completing complaint/appeal form.</li> <li>• Each complainant or appellant has an opportunity to formally present his or her case at minimal or no cost to him or herself.</li> <li>• Each complainant or appellant has an opportunity to be accompanied and assisted by a support person at any relevant meetings.</li> <li>• Definitions Complaint, Appeal and Grounds of Appeal</li> </ul>
05/12	<p>Addition "Related NVR Standard SNR 16.7"</p> <p>Removed "AQTF 2007 Standard 2.6 – Complaints and appeals are addressed efficiently and effectively."</p>
07/12	Removed reference to ACPET

## 1. Purpose

This policy and procedure describes the Nova Institute of Technology's (NIT) approach to the handling of complaints and appeals and the process to be initiated by NIT to address these.

## 2. Related Standards

Related NVR Standard SNR 16.7

National Code Standard 8

## 3. Scope

This procedure applies to all persons enrolled with or seeking enrolment with NIT for the delivery of training and assessment services as well as those employed by, or contracted to the NIT for the delivery of training, conducting of assessments, administrative duties and/or provision of support services.

## 4. Responsible parties

The Principle Executive Officer (PEO) is responsible for the control and issue of this procedure.

## 5. Definitions

**Complaint:** Express dissatisfaction with an existing process, person, facility or service

**Appeal:** A formal request for reconsideration of a decision made on the basis of "Grounds for Appeal"

**Grounds for Appeal:** The reasons for appeal against the decision. Grounds are based on Compassionate or compelling circumstances. This means unusual or exceptional circumstances that are not part of daily life experience the following are Grounds that must be strictly addressed in an appeals process with supporting evidence provided:

- Serious illness or injury, where a medical certificate states that the student is unable to attend classes for a significant period of time
- If illness is psychological – must provide a psychologists report
- Bereavement of close family members such as parents or grandparents
- Major political upheaval or natural disaster in the home country requiring emergency travel
- A traumatic experience which could include involvement in, or witnessing a serious accident; and witnessing or being the victim of a serious crime

The following are not unusual or exceptional circumstances and are not grounds for appeal:

- Work-related pressures
- Daily life traumas and stresses
- Relationship difficulties and break ups
- Minor illnesses i.e. non life threatening

A complaint or Appeal is deemed to be dissatisfaction with the procedures, outcomes or the quality of service provided by NIT in relation to the following processes:

- course advice and enrolment
- training delivery
- competency assessment, including skills recognition processes
- overall academic progress
- non approval of transfer
- suspension and/or cancelation of enrolment
- issue of results, certificates and/or statements of attainment
- other activities associated with the delivery of training and assessment services
- Issues associated with personal safety, equity and access to or in the training and assessment environment.

A complaint or appeal is deemed to be a formal complaint or appeal when it is made in writing to the Principal Executive Officer, or informal if directed verbally and in confidence to the General Administration Manager.

## **6. Policy Statement**

This policy requires NIT to implement processes to deal with complaints in a constructive manner and to offer appeal processes where satisfactory resolution has not been achieved.

The effective handling of customer complaints is to be managed within the Quality System. All complaints are to be logged and the processes implemented to achieve resolution are to be documented. All actions/decision made in relation to the matter are also to be documented and feedback regarding the decision/resolution agreement forwarded in writing to relevant parties.

All students and staff who have dealings with NIT are to be advised of this policy and the processes available to resolve complaints. Materials/information provided on this matter must demonstrate the organisation's commitment to manage matters fairly and equitably and as efficiently as possible.

All reports of complaints arising through customer dissatisfaction with training and assessment products/services or relevant organisational operations are to be documented, forwarded and held by the PEO.

NIT must ensure through the implementation of its procedures that:

- Encourage complaints and appeals are resolved informally before formalizing a complaint
- All employees/contractors and prospective students will be provided with a copy of the complaints procedure.
- All complaints and appeals are to be heard by a person independent of the incident giving rise to the complaint.

- All disputes or complaints will be handled professionally and confidentially in order to achieve a satisfactory resolution.
- All parties will have a clear understanding of the steps involved in the complaints procedure.
- Each appellant/complainant will be provided with the opportunity to present his or her case at each stage of the process.
- All complaints will be managed fairly and equitably and as efficiently as possible.
- All discussions relating to complaints, grievances and appeals are to be recorded in writing and the appellant/complainant provided with a written statement of the outcomes, including reasons for the decision.
- NIT will provide trainers and/or students with details of external authorities that they may approach with respect to their complaint if required.
- This policy provides an avenue for most complaints to be addressed. However, in some cases, alternative measures may need to be explored.
- NIT will encourage the parties to approach a complaint with an open view and attempt to resolve issues through discussion and conciliation. Where a complaint cannot be resolved through discussion and conciliation.

## **COMPLAINTS or APPEAL PROCEDURES**

The complaints procedure requires a complainant to agree to:

- Discussion with the relevant personnel about the complaint in an attempt to resolve the issue informally.
- To resolve the issue informally the first point of contact will be Student Support Officer, who will identify the relevant personnel.
- If the matter is unable to be resolved at this level, the complaint can be formalized by completing complaint/appeal form.
- Each complainant or appellant has an opportunity to formally present his or her case at minimal or no cost to him or herself.
- Each complainant or appellant has an opportunity to be accompanied and assisted by a support person at any relevant meetings.  
(International students appealing against decisions to report them to DIAC have 20 working days in which to lodge their complaints) At this level the complainant should be given an opportunity to present his or her views in person to the PEO, in support of the appeal. The process commences within ten working days of the formal lodgment of the complaint or appeal. The outcome is to be reported and forwarded in writing to the complainant within seven days of the hearing.
- If the complaint is still unresolved, Principal will advise the student of his or her right to access external appeals process.
- All complaints that are substantiated must be dealt with within the Risk Management Policy as means to correct and improve the processes giving rise to complaints.

- Where the appeal is disallowed for international students or the student withdraw from the appeal process, if required NIT will report them to DIAC through PRISMS as soon as possible.
- If the student chooses to access the registered provider's complaints and appeals processes, Nova Institute will maintain the student's enrolment while the complaints and appeals process is ongoing.
- If the internal or any external complaint handling or appeal process results in a decision that supports the student, Nova Institute will immediately implement any decision and/or corrective and preventative actions required and advise the student of the outcome and all the relevant documents will be retained in the student file

### **Associated Documents**

Complaints and Appeals form  
Risk Management Policy