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**ASQA: Standard 6.1, 6.2, 6.3, 6.4, 6.5, 8.5**  
**Contact: [enquiries@northernaustraliatraining.com.au](mailto:enquiries@northernaustraliatraining.com.au)**

## Complaints and Appeals Policy

### Principles

NATA Complaints and Appeals Policy is designed to address:

Standard 6.1, that NATA 'has a complaints policy to manage and respond to allegations involving the conduct of NATA, its trainers, assessors or other staff or a learner at NATA

Standard 6.2, that NATA 'has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf'.

Standard 6.3, that NATA's 'complaints policy and appeals policy:

- ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process
- are publicly available
- set out the procedure for making a complaint or requesting an appeal
- ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable, and
- provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Standard 6.4, 'Where NATA considers more than 60 calendar days are required to process and finalise the complaint or appeal, NATA informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required, and regularly updates the complainant or appellant on the progress of the matter.

Standard 6.5, NATA 'securely maintains records of all complaints and appeals and their outcomes, and identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

Standard 8.5, NATA 'complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations'.

NATA Objective 2, to 'focus on learner needs for a high quality learning experience'.

### Authorisation

Annette Bould  
Policy and Compliance Manager  
Northern Australia Training and Assessment

### Related Documents

- Risk Management, Privacy, Access and Equity Brochures, Student Enrolment, Insurance and Claims Management

### **Policy**

NATA does not tolerate unfair treatment or offensive behaviour.

NATA recognises that it is the right of each staff member, candidate and trainer and assessor to work and learn without being subject to unfair or offensive treatment.

NATA recognises its students have the right to appeal assessment decisions which they believe may be challenged.

NATA considers that legislative standards prescribed under Commonwealth and Territory Acts establish its minimum standards of behaviour.

NATA has the utmost respect to privacy and confidentiality, only de-identified information from this process may be used for quality improvement purposes by NATA management.

The complainant/appellant and respondent is not victimised or discriminated against in any of the stages set out in this policy.

This policy is applicable in two situations:

- Complaints – includes complaints:
  - In relation to information NATA holds about the student,
  - About NATA administration,
  - In regard to the actions of NATA employee, contractor, student or client.
  - Also includes claims made under insurance policies NATA holds.
  
- Appeals – where the appeal is about student progress, training, assessment, and learning materials

At Schedule 1, NATA states its views on discrimination and harassment, which falls under the scope of this policy

NATA imposes no costs to the client or student in its Complaints and Appeals process.

### **Complaints**

NATA ensures that all complaints are treated seriously and promptly with sensitivity and complete confidentiality.

Complainants have the right to determine how to have a complaint treated, have support or representation throughout the process, and the option to discontinue a complaint at any time.

All complaints are recorded in writing with de-identified details of the appeals and outcome kept for quality management purposes.

Respondents to complaints have the right select a support person during any investigation procedures, to representation and advise throughout the process and to respond fully to any formal allegations made.

There is no presumption of guilt and no determination made until a full investigation has been completed.

All employees, students and trainers and assessors have the right to seek the assistance of the relevant tribunal or legislative body to assist them in the resolution of any concerns.

### ***Appeals***

Assessments carried out by NATA are fair to the student and compliant with AQF requirements. Appeals are about student progress, training, assessment and learning materials used in their course of study.

NATA recognises that it is its duty to ensure its students are aware of their rights regarding assessments made by NATA Assessors.

All appeals are dealt with by NATA in a prompt and systematic manner. Appeals are recorded in writing with de-identified details of the appeals and outcome kept for quality management purposes.

### **Procedure**

#### ***Complaints and Appeals***

The first stage of a complaint or appeal is to bring the matter to the attention of the NATA Trainer and Assessor or to make an enquiry through the NATA website. All efforts will be directed to resolving the complaint at this first stage.

For appeals, TA examines all relevant training and assessment records, verifies the evidence with AQF requirements and arranges for a written decision, including the reasons for that decision, to be sent to the appellant within a week. NATA notes that courses on its scope of registration with a licensing outcome have regard to the NT Worksafe timeframe for lodgement of applications within 60 days. Any alteration to the appellant's assessment is confirmed by TA and sent to the appellant the next working day.

If a suitable resolution is unable to be reached within 2 working days, the following procedural information is given to the appellant.

A complaint or appeal needs to be lodged in writing within 12 days of the incident or assessment decision.

Written complaints may be emailed to [enquiries@northernaustraliatraining.com.au](mailto:enquiries@northernaustraliatraining.com.au) or sent to:

Policy and Compliance Manager,  
NATA,  
GPO Box 37069  
Winnellie NT 0821.

NATA Policy and Compliance Manager (PC), records the complaint or appeal in writing and holds its record on NATA's Complaints or Appeals file. NATA acknowledges receipt of the complaint or appeal within 24 hours.

The second stage in this process is for PC to contact all parties to the complaint or appeal and make suitable arrangements to have the complaint arbitrated or the assessment decision/s reviewed. This happens within 14

working days of the acknowledgement of the written complaint.

NATA arranges for a written decision, including the reasons for that decision, from this hearing to be sent, by PC to all parties to the complaint within a suitable timeframe.

Complainants and appellants are also informed of the above and for information, supplied links to ASQA's website <http://www.asqa.gov.au/complaints/complaints.html>.

A complainant or appellant may at any time during this process withdraw their complaint or appeal by writing to the Policy and Compliance Manager, stating their intent to withdraw.

### ***Independent Third Party Dispute Resolution Service***

If a complainant or appellant is not satisfied with NATA's written response, and they may require an independent review, NATA nominates the Community Justice Centre at Darwin Local Court to hear and decide on a review.

Community Justice Centre  
Level 1  
Darwin Local Court  
Nicholas Place  
Darwin 0801  
Phone: 1800 000 473  
[cjc@nt.gov.au](mailto:cjc@nt.gov.au)

***Schedule 1: NATA Statement on Discrimination and Harassment***

NATA is fully committed to its obligations to eliminate discrimination and harassment in the workplace and learning environment. NATA will not tolerate discrimination or harassment under any circumstances.

NATA recognises it is the right of staff members, trainers and assessors and students to be able to attend work and to perform their duties or to learn without being subjected to any form of discrimination or harassment. Equally it is the obligation and responsibility of everyone at NATA to ensure that the NATA workplace and learning environment is free from discrimination and harassment.

Discrimination in employment is specifically prohibited. The responsibility lies with all at NATA to ensure that discrimination or victimisation does not occur.

Harassment does not have any legitimate learning or workplace function. The responsibility lies with management, employees and/or contractors to ensure that harassment does not occur.

NATA considers that legislative obligations under the Acts establish its minimum standards of behaviour. The principles set out in this policy are intended to apply to any learning or work-related context, including courses, conferences, work functions, social events and business trips.

NATA strongly encourages any employee, contractor or student who feels they have been harassed to take action, preferably by making it clear that such behaviour is unwelcome and offensive.

Any reports of harassment will be treated seriously and promptly with sensitivity and complete confidentiality. Complainants have the right to determine how to have a complaint treated, have support or representation throughout the process, and the option to discontinue a complaint at any stage of the process.

The alleged harasser will be given the right to have a support person during any investigation procedures, to representation and advice throughout the process and to respond fully to any formal allegations made. There will be no presumptions of guilt and no determination made until a full investigation has been completed.

No employee, staff member or student will be treated unfairly as a result of complaining of discrimination or harassment. Disciplinary action may be taken against anyone who victimises or retaliates against a person who has complained of discrimination or harassment, or against any person who has been alleged to be a harasser.

All employees, staff and students reserve the right to seek the assistance of the relevant tribunal or legislative body to assist them in the resolution of any concerns.

The result of a breach of this policy is disciplinary action, where the severity of the case will determine the acceptable resolution.

Procedures for Complaints regarding discrimination and harassment are found at NATA Complaints and Appeals Policy.