

POLICY NUMBER: **MAT004**

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NAME: **Complaints and Appeals Policy and Procedure**

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APPROVED BY: RTO Director

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Date of Next Review: 30 Sep 2020

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## **SECTION 1 – INTRODUCTION**

### **PURPOSE**

Medical Administration Training Pty Ltd (MAT) through the application of its Complaints and Appeals policy will develop and maintain an effective, timely, fair and equitable complaint / appeal handling system guidelines to ensure that complaints and appeals of students can be resolved in accordance with the principles of natural justice, which is easily accessible to students and offered at no charge.

### **SCOPE**

The complaints/appeal handling system will address any expression of dissatisfaction with any aspect of the RTO's services and activities, including both academic and non-academic matters, including but not restricted to:

- The quality of training delivery and assessment
- Student support and materials
- Fees and payment instalments;
- Enrolment and eligibility to enrol;
- Academic issues, including course content, student progress and assessment results and the non-award of a qualification;
- Privacy issues, the handling of personal information and access to personal records;
- Concerns about bullying, harassment, intimidation or discrimination;
- Student disciplinary actions taken; and
- Administrative or customer service issues.

All stakeholders including potential and past students and clients may use the RTO's Complaints and Appeals Policy if they are dissatisfied with any aspect at the RTO. Use of the RTO's Complaints and appeals Policy does not limit a complainant's other legal avenues or rights.

### **DEFINITIONS**

**Natural Justice** is concerned with ensuring procedural fairness:

- Decisions and processes should be free from bias.
- All parties have the right to be heard.
- The respondent has a right to know of what s/he is accused.
- All parties are told the decision and the reasons for the decision.

## **SECTION 2 POLICY**

1. An informal process to resolve concerns is to be offered in the first instance to encourage staff and students to report any concerns immediately. However a formal system is to be in place for those that do not wish to follow the informal process.
2. All formal complaints must be in writing via use of the MAT Complaints and Appeals form, addressed to MAT management and submitted either via post or email.
3. All Complaints will be acknowledged in writing within 3 business days of receipt and should be actioned and resolved promptly, objectively and with sensitivity and in complete confidentiality.
4. Regardless of whether a complaint is informally or formally raised it will be appropriately actioned in accordance with this policy.
5. The views of each complainant and respondent are to be respected and no party to a grievance is to be discriminated against or victimised.
6. The complaints/appeals handling system should include a systematic follow up process to implement positive steps to prevent valid grievances from recurring; and promote opportunities for improvement.
7. The principles of natural justice should be applied to ensure fairness and justice for all parties; and a solid basis for arriving at fair, impartial and independent decisions. This will include the complainant and respondent having an opportunity to fully present their case and having the opportunity to be accompanied and assisted by a support person at any meetings.
8. Written records of each complaint, investigation and its outcome will be retained. A full explanation for decisions and actions taken as part of the process will be provided to the complainant; and corrective actions agreed to are to be implemented as soon as practical. As provided for under the RTO Privacy & Personal Information Policy, the complainant will be given access to any requested documents.
9. All complaints/appeals will be processed and finalised by Medical Administration Training Pty Ltd within no more than 60 calendar days.
10. All complaints substantiated by the complaints/appeals procedure will be reviewed as part of the MAT continuous improvement procedure
11. Medical Administration Training Pty Ltd will maintain a complaints register to document the course of action and resolution of all formal complaints
12. An external review option will be offered to students; with each party bearing the costs of using this system. Use of the external review process does not limit a complainant's other legal avenues or rights
13. A copy of this Policy is available to all students and staff via the Medical Administration Training Pty Ltd website. The information will also contain details of external authorities that they may approach.

## **ROLES AND RESPONSIBILITIES**

The Director of Medical Administration Training Pty Ltd is responsible for ensuring compliance with this policy.

**SECTION 3 – PROCEDURE**

Should a student, client, staff member or other persons have a complaint or appeal, the following steps are to be followed:

**Informal Complaint (or feedback)**

No.	Who	Actions
	<b>Client - Complainant</b>	a) The initial stage of any complaint shall be for the client to communicate directly with the person involved e.g. administration staff, trainer) to try and resolve the issue verbally. b) If no resolution is reached, the client should discuss the issue / complaint with the RTO Director to see if it can be resolved. c) Client(s) dissatisfied with the response to the informal feedback or complaint may initiate a formal complaint. d) Documentation of the decision to be entered into the Student Management System.

**Formal Complaint Procedure**

**STEP 1 – Make the complaint in writing.**

No.	Who	Actions
1.1	<b>Client - Complainant</b>	The informal complaint procedure should be used first. If still no resolution the client should put the following information relating to the complaint or appeal in writing using Medical Administration Training's complaints and appeals form. <ul style="list-style-type: none"> <li>• description of the complaint or appeal</li> <li>• state whether they wish to formally present their case</li> <li>• steps taken to deal with the complaint or appeal</li> <li>• what they would like to happen to fix the problem and prevent it from happening again.</li> </ul> e) All complaints should be posted to Medical Administration Training PO Box 2145, Strathpine Q 4500 or emailed to <a href="mailto:info@medtrain.com.au">info@medtrain.com.au</a>

**STEP 2 – Acknowledge receipt of complaint and commence process.**

No.	Who	Actions
1.2	<b>RTO Manager</b>	a) Provide receipt of the complaint to the complainant within three (3) business days. b) The formal complaint or appeal will be noted in MAT complaints register c) Commence the complaints and appeals process within five (5) business days of receipt of the written complaint. All reasonable measures must be taken to finalise the process as soon as practicable and within twenty (20) business days if possible. d) All complaints/appeals will be processed and finalised by Medical Administration Training Pty Ltd within no more than 60 calendar days.

## Formal Complaint Procedure

### STEP 3 – Investigate and review the complaint.

No.	Who	Actions
1.3	<b>RTO Manager</b>	<ul style="list-style-type: none"> <li>a) Upon receiving the complaint, the Manager may request further details from the complainant. This may be sought by written or verbal request or by face-to-face interview with the complaint and/or respondent(s).</li> <li>b) When such clarification occurs in a face-to-face interview, the persons being interviewed may have another person accompany them.</li> <li>c) Investigation into the matter will take place to ensure MAT has accurate, complete and relevant information.</li> <li>d) The Manager will review the information and decide on the appropriate actions to be taken.</li> <li>e) If the matter is particularly complex it should be escalated to the RTO Director.</li> </ul>

### STEP 4 – Recommend resolution and provide report to complainant.

No.	Who	Actions
1.4	<b>RTO Manager</b>	<ul style="list-style-type: none"> <li>a) The Manager will endeavour to resolve the complaint. Within twenty (20) business days, MAT will provide a written report to the complainant on the steps taken to address the complaint and will include their recommendations and reason for their decision.</li> <li>b) The report will further advise the complainant of their right to access the internal appeals process if they are not satisfied with the outcome of the formal complaint.</li> <li>c) Documentation of the outcome to be entered in the student management system.</li> </ul>

## Internal Appeal Procedure

### STEP 1 – Escalate complaint – lodge appeal to Director for review.

No.	Who	Actions
	<b>Director</b>	<ul style="list-style-type: none"> <li>a) If the complainant is dissatisfied with the outcome, they may lodge an appeal with the Director</li> <li>b) Where possible such consultations should take the form of face-to-face interviews. The complainant or the respondent may ask another person to accompany them to these interviews.</li> <li>c) Following the consultation, the Director (or nominee) will provide a written report to the complainant within ten (10) business days, advising the further steps taken to address the complaint, including the reasons for the decision.</li> <li>d) The report will further advise the complainant of their right to access the external appeals process if they are not satisfied with the outcome of their internal appeal.</li> <li>e) Documentation to be entered into the Student Management system.</li> </ul>

## External Appeal Procedure

### STEP 1 – Using a third party to resolve issue

No.	Who	Actions
	<b>Complainant/Director /External Mediator</b>	<p>a) Should the issue still not be resolved to the client's satisfaction, the Medical Administration Training Pty Ltd will make arrangements for an independent third party to resolve the issue and outline any costs that may be involved with this to the client. The client will be given the opportunity to formally present his or her case. The time frame for this process may vary but should take no longer than 14 days.</p> <p>b) All parties involved will receive a written statement of the outcomes, including reasons for the decision within the 14 day period. If the process is taking longer than 60 days from the complaint or appeal being received the student will be notified in writing of the reason for the delay and kept informed about all progress.</p> <p>c) If the student is still not happy with external mediation, he / she may take his / her complaint to the VET Regulator.</p>

## External Review

### STEP 1 – If not satisfied with outcome, refer to complaint to external body.

No.	Who	Actions
	<b>Client - Complainant</b>	<p>If a student is still dissatisfied with the process or decision the following free options are available</p> <p>All students can register a complaint with the National Training Complaints Hotline by:</p> <p>Phone: 13 38 73.</p> <p>Email: <a href="mailto:skilling@education.gov.au">skilling@education.gov.au</a></p> <p>OR</p> <p>Australian Skills Quality Authority</p> <p>Phone: 1300 701 801</p> <p>Web Form: <a href="http://www.asqa.gov.au">www.asqa.gov.au</a></p> <p>Post: GPO Box 9928, Melbourne, VIC, 3001</p> <p>OR</p> <p>Contact the Training Ombudsman in your state</p>

**Lodging an appeal**

**Appealing a decision**

No.	Who	Actions
	<b>Client - Complainant</b>	<p>All students have the right to appeal decisions made by Medical Administration Training Pty Ltd (MAT). The formal appeal should be made in writing using MAT's Complaints and Appeals form. The areas in which a student may appeal a decision made by MAT may include:</p> <ul style="list-style-type: none"> <li>• <b>Assessment Decisions</b> – where a student wishes to appeal an assessment decision they are required to notify their assessor in the first instance. Where appropriate the assessor may decide to re-assess the student or have a third party re-assess the student to ensure a fair and equitable decision is gained. Outcomes will be provided to the student in writing outlining the reasons why competency was or was not granted. Any third party re-assessment decisions will be final. Appeals must be lodged with MAT within 30 calendar days of assessment decision.</li> <li>• <b>Deferral, suspension, or cancellation</b> decisions made in relation to the student's enrolment – Appeal must be lodged with MAT within 30 calendar days of decision</li> <li>• <b>Any other conclusion/decisions</b> that is made after a complaint has been dealt with by MAT in the first instance must be lodged with MAT within 30 days of decision.</li> </ul>

**Records of Complaints and Appeals and their outcomes Procedure**

**STEP 1 – Record complaint and outcome.**

No.	Who	Actions
	<b>Director</b>	<ol style="list-style-type: none"> <li>Written records of each complaint, investigation and its outcome will be retained</li> <li>Following the complaint, appropriate actions will be taken by MAT to prevent the problem from recurring through it Continuous Improvement policy and procedures.</li> <li>The RTO Manager will log the complaint details and outcome on MAT complaints and Appeals Register for review by the Director.</li> </ol>

**SECTION 4 – GOVERNANCE**

**RELATED DOCUMENTATION**

Name and Link
Privacy and Personal Information Policy
Continuous Improvement Policy
Student Handbook
Complaints and Appeals form
Complaints and Appeals Register
Continuous Improvement Register

**RESPONSIBILITY**

<b>Policy administrator</b>	RTO Manager
<b>Approving Person</b>	RTO Director

**CHANGE HISTORY**

Version	Review date	Approved by	Description of Modifications
1	30-Mar-2013	A. McFillin	Original Document
2	07-Oct-2016	A. McFillin	Major wording revision and update
3	28-Feb-2018	A. McFillin	Added documentation of decision to be entered into the student management system
4	21-Nov-2019	A. McFillin	Reviewed and updated branding