APPEALS PROCEDURE

College of New South Wales Appeals Procedure	
PURPOSE	This process serves as the guide and reference document for the Appeals Handling of **College of New South Wales**. Changes to this procedure must only be made upon the approval of the **CEO**.
ROLE UNDERTAKING TASK	Training Team / Management
DOCUMENT UPDATE	June 2023

STEP 1 – Initial Review of Appeal		
No.	**Who**	**Actions**
1.1	**Student**	a. If the student is unhappy with the assessment decision they should first seek to discuss the decision and options with the Trainer and Assessor, to determine and fully understand the reasons for the decision.
1.2	**Trainer and Assessor**	b. With a view to resolving the matter, discuss with the Learner: 1) Give specific feedback on their performance, 2) Identify areas of improvement, and 3) Provide options to the learner such as further training and/or assessment. c. If the matter is successfully resolved, identify if there are areas of improvement and log any identified improvement opportunity in the Continuous Improvement Register. d. If the matter is not resolved, advise learner of their right to appeal the decision referring them to the **Complaints and Appeals Policy** in Moodle. e. Provide Learner with access to the **Appeals Lodgement Form.**
STEP 2 – Lodgement of Appeal		
No.	**Who**	**Actions**
2.1	**Student**	a. Lodge the appeal in writing using the **Appeals Lodgement Form** as soon as possible. b. Student will receive a confirmation email that the appeal was received and that the **College of New South Wales** staff will be in touch once the form is lodged.

2.2	**ADMIN STAFF**	c. Once the appeal is lodged, Admin Staff will receive an email notification that an appeal was lodged. d. Update the student record in the SMS by creating a note and nature of appeal.
2.3	**CEO / TRAINING MANAGER**	e. Once the appeal is lodged the **TRAINING MANAGER** will receive an email notifying that an appeal was lodged. f. Handle the appeal within 10 working days of the lodgement of the appeal. g. Conduct a participative review of the appeal lodged. h. If needed, assign stakeholder(s) / **College of New South Wales** staff independent to the appeal to resolve matters within timeframes.
STEP 3 – Processing the Appeal		
No.	**Who**	**Actions**
3.1	**TRAINING MANAGER / CEO / ASSIGNED STAFF**	a. Communicate with the appellant and request for additional evidence, if required. b. Aim to resolve the appeal as quickly as possible from the time action item was assigned or within timeframe specified by the **TRAINING MANAGER**. Actions which may be taken may include but are not limited to: 1) Review of the application form and supporting evidence. 2) Review of all assessment documentation and process. 3) Interview with the appellant to allow them the opportunity to formally state their claim. c. Determine the appeal outcome and provide an explanation to justify the decision. d. Communicate with the student every time actions are taken and decisions once appeal has been resolved. e. If the outcome involves re-assessment proceed to Step 4. f. If the outcome does not involve re-assessment proceed to Step 5.
STEP 4 – Conducting Re-Assessment		
No.	**Who**	**Actions**
4.1	**TRAINING MANAGER / CEO / Staff**	a. Arrange for the re-assessment and inform the appellant of the details in writing, in accordance with assessment processes. b. Update appeal register.

		c. The appellant has the option to nominate an independent observer to be present during the re-assessment. d. Conduct the re-assessment. e. Determine the assessment outcome against the competencies. f. Complete all relevant assessment documentation, notifying the appellant and the **TRAINING MANAGER** of the outcome, in writing. g. If the appellant refuses to be re-assessed or is dissatisfied with the result or the process of the appeal, the appellant may lodge an appeal with External Arbitrator. (*See Step 6*)
4.2	**ADMIN STAFF**	h. Update the learner file in the Learning Management System i. Place a copy of the re-assessment correspondence on the Learner file
STEP 5 – Finalising the Appeal		
No.	**Who**	**Actions**
5.1	**TRAINING MANAGER / CEO / ASSIGNED STAFF**	a. Supply the appellant with the appeals outcome in writing once outcomes are completed. b. Record all communication and documents related to the resolution actions in the Appeals Register. c. Assign the Admin Staff to update PRISMS. d. Lodge continuous improvement opportunities in the Continuous Improvement Register.
5.2	**ADMIN STAFF**	e. Advise the appellant of his/her right for an external appeal. Give the appellant an overview of the external appeal process and provide necessary contact details. f. If the appellant does not pursue an external appeal, update the student record in PRISMS with appeals resolution outcome. g. Place all documentation from appeals file onto student file.
5.3	**TRAINING MANAGER / CEO**	h. Monitor the learning environment to ensure that the behaviour/incident does not re-occur. i. Discuss appeals, action items and communications during Management Meeting or Continuous Improvement Meetings.

STEP 6 – Referral to External Arbitrator		
No.	**Who**	**Actions**
6.1	**TRAINING MANAGER / CEO / ASSIGNED STAFF / Student**	a. Contact and engage the External Arbitrator for a review of the appeal, providing all relevant documentation. b. Cooperate with External Arbitrator for a review of the appeal.
6.2	**External Arbitrator**	c. Review, investigate and mediate the appeal with all relevant parties and make a ruling. d. Prepare a formal written report on the investigation, providing a copy to both the CEO of **College of New South Wales** and complainant. **College of New South Wales** will abide by any resolutions as recommended by the External Arbitrator.
6.3	**TRAINING MANAGER / CEO / ASSIGNED STAFF**	e. If the appeal is upheld, abide to the resolution decided on and proceed to step 5.1. f. If not upheld, inform student in writing that the original decision is to stand and proceed to step 5.1.

VERSION CONTROL

Version Control Table			
Date	**Summary of Modifications**	**Modified By**	**Version**
21/02/2018	Document Creation	College of New South Wales	v. 1.0
12/06/2023	Review and amendment of contact details	College of New South Wales	V.1.1