

ASSESSMENT APPEALS HANDLING PROCEDURE

1 Purpose

The purpose of this Procedure is to provide guidance on the management of an assessment appeal to ensure procedural fairness and transparency for students who are dissatisfied or disagree with an assessment outcome.

2 Scope

This procedure relates only to assessments which have been undertaken whilst enrolled in a training program/course at the WesTrac Institute and is applicable in the following situations:

- The judgement/outcome has been made incorrectly,
- The judgement did not follow procedural fairness
- The judgement was not made in accordance with the assessment plan, or
- The assessment event was conducted prior to the completion of training and/or not aligned to the requirements of the unit of competence

3 Procedure

An assessment appeal requires the appellant to follow a two stage process

- Initial Appeal (First Instance with assessor), then if unresolved
- Lodge an appeal

3.1 Initial Appeal (First Instance with assessor)

In the first instance, the appellant is to attempt to resolve the disputed assessment outcome with the assessor.

3.2 Lodging an Appeal

Where disputed assessment outcome remains unresolved the matter is to be escalated through the line management organisational structure of the WesTrac Institute, by the appellant. The appellant is required to complete the WesTrac Institute [Complaint Grievance and Assessment Appeal Form](#) when lodging the appeal.

3.3 Managing the Appeal

If the appellant is unable to resolve the issue/problem/concern and they have escalated the appeal by submitting the Complaint and Assessment Appeals Form, written acknowledgement of receipt of the appeal will be provided to the appellant. This acknowledgement is intended to provide the appellant assurance that the WesTrac Institute has received the appeal and will review the relevant issues and provide a response. The acknowledgement must inform the appellant that they will receive a written response on the status and/or outcome of the appeal. Where the process of managing the appeal will take longer than fourteen (14) days the extension of time must be approved by the WesTrac Institute Managers. The appellant will be advised and confirmations made in writing on this extend time.

The appellant will be provided an opportunity to formally present his or her case.

3.4 Timeframes

Written acknowledgement will be provided within forty eight (48) hours of receipt of the complaint.

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Written response outlining the status and/or outcome of the lodged complaint will be provided within fourteen (14) days.

3.5 Reporting Outcomes

Decisions or outcomes of the assessment appeal will be reported to the appellant at the conclusion of the assessment appeals handling process where opportunities for improvement have been identified during the appeal handling process they will be implemented immediately at the conclusion of the process. These are to be recorded utilising the WesTrac Continuous Improvement system.

Details of the complaint will be reported/recorded in the WesTrac Institutes complaints and appeals register [insert link].

3.6 Records and Recording

A written record of all lodged appeals is to be kept by WesTrac Institute including all details of lodgement, response and resolution. The complaints and appeals register is to be used to record the details of the appeal and to maintain a chronological journal of events during the appeal handling process.

All records (hard and electronic) will be stored electronically in a secure folder to prevent them being accessed by any non-authorized personnel.

WesTrac Institute will retain records relating to the complaint for five (5) years, at which time they will be permanently destroyed. Authorisation to destroy these records must be obtained from The WesTrac Institute Managers.

3.7 Appealing Appeal Outcome

Where the appellant is not satisfied with the outcome or the assessment appeal remains unresolved, the appellant may submit a request for review to the WesTrac Institute's Legally Responsible Person (LRP). The appellant must include all details with any outcomes provided with this submission. The LRP may choose to re-assign the appeal to the other WesTrac Institute's jurisdiction or engage a third a party.

3 Further Information

All employees and contractors who require further information or need clarification of anything contained in this Procedure should contact the WesTrac Institute Managers

4 Accountabilities

Compliance to Procedure	All WesTrac Institute Employees and students
Implementation & Review	WesTrac Institute Managers
Approval of Procedure	General Manager – People and Performance
Monitoring	Compliance Advisor
Interpretation and Advice	WesTrac Institute Managers & Compliance Advisor

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5 Related Documents

This Procedure should be read in conjunction with WesTrac Institute Policies & Procedures, along with WesTrac Institute Form and Documents.

This Procedure should be read in conjunction with the following legislative or compliance guidelines (if required):

Title	Description
Standards for RTO's 2015	ASQA has developed this Standards Guide to assist RTOs to understand their obligations under the revised <i>Standards for RTOs 2015</i> .
Smart and Skilled Contract Terms and Conditions	Funding contract terms and conditions for Training Services NSW

Document Number	Title
PCD-NAT-INS-0022	Assessment Appeals Handling Policy
FTT-NAT-INS-0015	Complaints / Grievance and Assessment Appeals Form
FTT-NAT-INS-0016	Complaints / Grievance and Assessment Appeals Register

6 Definitions and Abbreviations

The following definitions and abbreviations are used throughout this Procedure:

Term	Definition
RTO	Registered Training Organisations
ASQA	Australian Skills Quality Authority

7 Document Amendment History

Revision	Date	Description	Prepared By	Reviewed By	Approved By
1.0	24/05/2017	Created, ready for review	RW	MM & SP	MM & SP