

Appeals Handling Policy and Procedure

Relevant standard: *Standards for Registered Training Organisations (RTOs) 2015, Clauses 6.2, 6.3, 6.4, 6.5 and 6.6.*

Policy version number 1.0

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Applied Education & Training is committed to providing a fair and transparent appeals handling process.

Definitions

Appeal : An appeal is an application by a learner for reconsideration of an unfavourable decision or finding during their time with Applied Education & Training. An appeal must be made in writing and specify the particulars of the decision or finding in dispute. Appeals must be lodged within twenty-eight (28) working days of the decision or finding being informed to the learner.

Appellant: A person lodging an appeal.

It is important to note that a learner may appeal any decision made by Applied Education & Training or a third-party providing services on Applied Education & Training's behalf. Contrary to the popular belief that appeal relates only to assessment decisions, appeals can relate to administrative decisions that Applied Education & Training may make. Examples of this include an appeal of a decision to deny a refund or to deny an application for credit transfer. As the process for handling assessment appeals compared with an appeal of an administrative decision is slightly different, this difference has been catered for within this policy with adjusted processes for both situations.

Who does this policy apply to?

This policy applies to and may involve issues concerning the conduct of:

- Applied Education & Training as an organisation, its trainers, assessors or other staff;
- Third party services provided on behalf of Applied Education & Training, its trainers, assessors or other staff; or
- A learner of Applied Education & Training

Throughout this policy we refer to the person making an appeal as simply the appellant.

Early Resolution of Appeals

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should be resolved at the time they occur between the persons involved. It is often the case that the learner's decision to make an appeal can be avoided by proper communication and consultation with learners at the time a decision is made.

Relationship to Continuous Improvement

Frequently, the appeals handling process will expose weakness in the training and assessment or administrative system that can flow into the continuous improvement system as opportunities for improvement. This outcome of appeals handling is very positive and should be actively applied by all persons involved. It is for this reason that appeals received from stakeholders should be seen in a positive light and as opportunities for improvement.

Making an Appeal

An appeal may be received by Applied Education & Training in writing using the specified form within twenty-eight (28) working days of the decision or finding being informed to the person.

To appeal a decision, the person is required to complete the Applied Education & Training – Request for an Appeal of a Decision form. This form is available via our website. The completed Request for an Appeal form must be submitted to the Student Support Manager electronically via the following contact details:

info@appli.edu.au

If a person seeking an appeal has any difficulty assessing the required form or submitting the appeal to Applied Education & Training, they are advised to contact Applied Education & Training immediately at the following phone number:

Sharon Luhr

Student Support Manager

02 9264 3474

A written record of all appeals will be kept by Applied Education & Training including all details of lodgement, response and resolution. The appeals register within the Complaints and Appeals section of the student management system will be used to record the details of the appeal and to maintain a chronological journal of events during the appeal handling process. Records relating to appeal handling must be stored securely to prevent access to unauthorised personnel.

The appeal is referred to the Chief Executive Officer; then the Chief Executive Officer reviews the appeal and determines if re-assessment, investigation or consultation is required or if the matter can be solved internally.

Appeals are to be handled in the strictest of confidence. No Applied Education & Training representative shall disclose information to any person without the permission of the Applied Education & Training Chief Executive Officer. A decision to release information to third parties can only be made after the appellant has given permission for this to occur. This permission should be given using the Information Release Form.

Communicating the Appeals Handling Policy and Procedure

The appeals handling policy and procedure must be:

- Publicly available on the Applied Education & Training Website
- Integrated into the Applied Education & Training Learner Handbook
- Included in the Applied Education & Training Policy and Procedure Handbook

Appeals Handling Timeframe

Written acknowledgement by Applied Education & Training **no later than 24 hours** from the time the appeal is received. This acknowledgement is intended to provide the appellant assurance that Applied Education & Training has received the appeal and will review the relevant issues and provide a response as soon as practical. The acknowledgement must inform the person that they will receive a written response.

The handling of an appeal must commence within **seven (7) working days** of the lodgement of the appeal and all reasonable measures are taken to finalise the process as soon as practicable.

A written response must be provided to the appellant within **fourteen (14) working days** of the lodgement of the appeal, including details of the reasons for the outcome.

Where an appellant is not satisfied with the handling of the appeal by the Applied Education & Training, a body or person from an independent third party can be requested to review the appeal. The third-party is required to respond with their recommendations within **fourteen (14) working days** of their review being requested.

Appeals must be lodged within **twenty-eight (28) working days** of the decision or finding being informed to the person. An appeal must be submitted using the Applied Education & Training – Request for an Appeal of a Decision form.

As a benchmark, the Applied Education & Training should attempt to resolve appeals as soon as possible. A timeframe to resolve an appeal within **thirty (30) calendar days** is considered acceptable and in the best interest of the Applied Education & Training and the appellant.

An appellant should also be provided with regular updates to inform them of the process of the appeal handling. Updates should be provided to the appellant at a minimum of **two (2) weekly intervals**.

Appeals must be resolved to a final outcome within **sixty (60) calendar days** of the appeal being initially received. Where the Applied Education & Training Chief Executive Officer considers that more than 60 calendar days are required to process and finalise the appeal, the Chief Executive Officer must inform the appellant in writing, including reasons why more than 60 calendar days are required.

Principles of Natural Justice and Procedural Fairness

An appellant will be provided an opportunity to formally present his or her case at no cost. Each appellant may be accompanied and/or assisted by a support person at any relevant meeting. The principles of Natural Justice and Procedural Fairness must be incorporated into every stage of the appeals handling process to ensure that decision-making is fair and reasonable. Natural justice must be observed when it affects the rights, interests or legitimate expectations of individuals. The following principles are to be applied:

- **Chief Executive Officer bias:** Where the Chief Executive Officer of Applied Education & Training feels that they may have bias or there is a perception of bias process or where the person making the appellant is not satisfied with how the matter has been handled, the appellant will be referred directly to an independent third-party for consideration and response. This means that the appellant is entitled to have their appeal heard by a person that is without bias and may not be affected by the decision. The decision must be made on logical evidence and the decision-maker must take account of relevant considerations, must act for a proper purpose and must not take into account irrelevant considerations.

- **Third Party Review:** Where the appellant is not satisfied with the handling of the matter by Applied Education & Training, they have the opportunity for a body or person that is independent of Applied Education & Training to review his or her appeal following the internal completion of the appeal handling process. Before a person seeks a review by an independent third party, they are requested to first allow Applied Education & Training to fully consider the nature of the appeal and to respond to the person in writing. If after this has occurred, the person is not satisfied with the outcome, they have the right to seek a review by an independent third party. To request a review by an independent third party, the appellant should inform the Student Support Manager of their request who will initiate the process with the Chief Executive Officer.

In these circumstances, the Applied Education & Training Chief Executive Officer will advise an appropriate party independent of Applied Education & Training to review the appeal outcome (and its subsequent handling) and provide advice to Applied Education & Training in regards to the recommended outcomes. The independent third-party is required to respond with their recommendations within **fourteen (14) working days** of their review being requested. This advice will be accepted by Applied Education & Training as final, advised to the person making an appeal in writing and implemented without prejudice.

Where the Applied Education & Training appoints or engages an appropriate independent person to review an appeal the Applied Education & Training will meet the full cost to facilitate the independent review.

Unresolved Appeals

Once the appeals handling process has concluded, where the person seeking an appeal of a decision remains not satisfied with the outcome of the appeals handling procedure, the person must be advised that they have the right to refer the matter to any external authority/agency that may be relevant to their appeal. The following external agencies are nominated in the first instance as relevant points of referral the person may consider:

- In relation to consumer related issues, the person may refer their complaint to the **Office of Fair Trading** via the [website](#) or by phoning 13 32 20
- In relation to the delivery of training and assessment services, the person may refer their complaint to the **National Training Complaints Service** via the [website](#) or by phoning 13 38 73 .
- In relation to matters relating to privacy, the person may refer their complaint to the **Office of the Australian Information Commissioner** via the [website](#) or by phoning 1300 363 992

This guidance is also communicated to learners within the Learner Handbook and also within the publicly available policies and procedures on the Applied Education & Training website. It is expected that the agencies above will investigate the person's concerns and contact Applied Education & Training for information. External agencies will typically request a copy of any record of how the appeal was handled from the person. Applied Education & Training will ensure that the person is provided with a written response that they may use for this purpose.

Applied Education & Training will cooperate fully with agencies such as the National Training Complaints Service, the Office of Fair Trading or ASQA that may investigate the handling of an appeal. Applied Education & Training considers that it would be extremely unlikely that an appeal is not able to be resolved quickly within Applied Education & Training internal arrangements.

Record Management of Appeals Records

Records relating to appeals will be presented in two formats. There will be electronic records in the form of email correspondence and other documents which are communicated electronically and hard copy records which are submitted by the appellant or generated by Applied Education & Training. There is also a record of the appeal maintained within the Complaints and Appeals section of the student management system. This includes the details about the appeal and a diary log which records the progress of the appeal handling and closure. This record also records identified opportunities for improvement that result from appeals handling.

All records regardless of their format will be saved in a digital format into a secure folder located on the Applied Education & Training file storage. Each file will be clearly labelled with the document title or subject and the date of which the document was received or generated. This folder must only be accessible to persons authorised by the Chief Executive Officer. Records stored on the student management system are to be accessible only to administrators and managers.

To ensure records are maintained in a safe and suitable condition, the following actions apply:

- Records must be kept securely to prevent them being accessed by any non-authorised personnel.
- Records must be kept confidential to safeguard information and to protect the privacy of complainants.
- Records must be kept to avoid damage by fire, flood, termites or any other pests.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site.

Period of retention of Appeals Records

Applied Education & Training will retain records relating to appeals handling for a minimum of five (5) years.

Destruction of Appeals Records

The Applied Education & Training Chief Executive Officer is the only person who can authorise (in writing) the destruction of appeals handling records. Records are only to be authorised for destruction after the retention period has lapsed. Documents identified for destruction are to be shredded before being recycled.

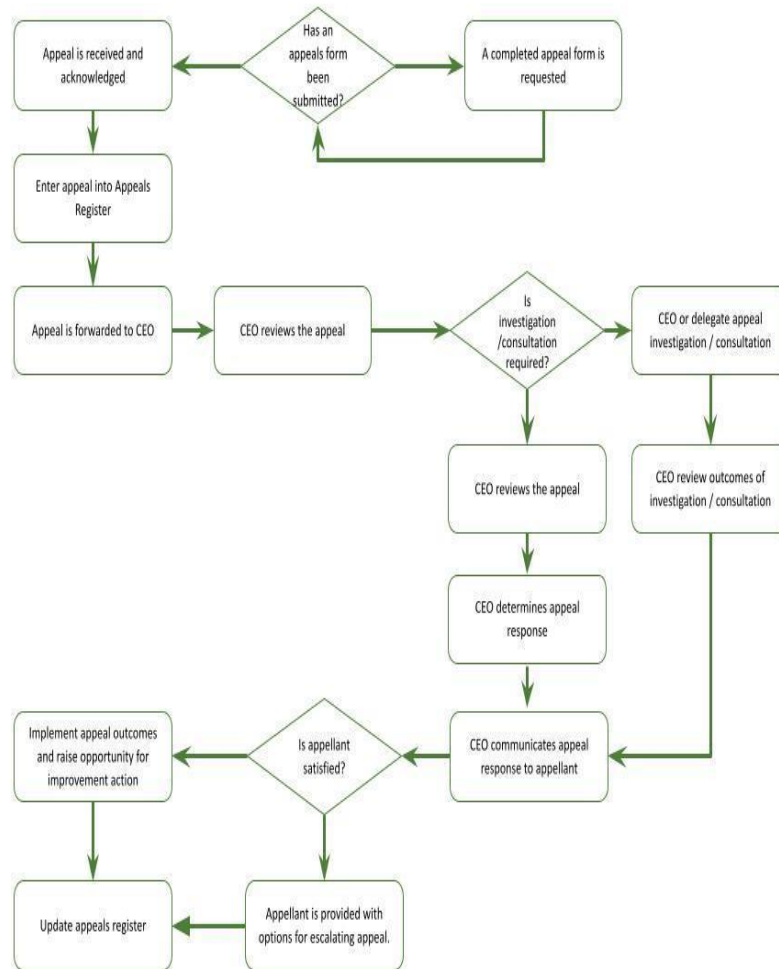
Appeals Handling Procedure

Applied Education & Training will apply the following procedure to its appeals handling:

- a) An appeal must be received in writing using the Request an Appeal of a Decision form. Appeals must be lodged within twenty-eight (28) working days of the decision or finding being informed by the person.
- b) The appellant must be provided with a written acknowledgement as soon as possible and no later than 24 hours from the time the appeal is received using the appeals written acknowledgment email template. The acknowledgement must inform the appellant that they will receive a written response within 14 days to explain the appeals handling process and the person's rights and obligations.
- c) The appeal must be entered into the complaints and appeals register. The complaints and appeals register identifies the appellant, relation with Applied Education & Training, nature of appeal, findings/outcomes, any links with the Continuous Improvement report and the dates received & closed. Prior to entering the appeals form into the register, check if the person has not already submitted an appeal, if it is accurately recorded or if it has been recorded as a subsequent contact.
- d) The appeal is forwarded to the Chief Executive Office for review. The Chief Executive Officer will determine if the appeal requires further investigation or consultation (administrative appeal) or if the appellant should be offered re-assessment with the option of additional training (assessment appeal).
- e) The Chief Executive Officer reviews the outcomes of the investigation/consultation and determines the appeal response within an acceptable time frame. The Chief Executive Officer uses the appeals response letter template to advise the appellant of the findings and outcomes.

- f) Applied Education & Training shall maintain the enrolment of the appellant during the appeals handling process.
- g) Decisions or outcomes of the appeals handling process that are found in favour of the learner shall be implemented immediately. If this is an assessment appeal, the candidate may agree to additional training whereby Applied Education & Training must provide this to the candidate and re-assessment must be completed. If the candidate is deemed not competent after re-assessment, they must meet with the Applied Education & Training Chief Executive Officer to discuss the assessment process and outcome.
- h) The appellant is entitled to be heard with access to all relevant information and with the right of reply ensuring natural justice and procedural fairness is applied at every stage of the appeals process. If the appellant is dissatisfied with the appeal decision, they are to be referred to the complaints handling process.
- i) Applied Education & Training must request written acknowledgement from the appellant once the appeal has been determined.
- j) Appeals handling procedures should conclude with an analysis of the circumstances to identify any opportunities for improvement.
- k) The appellant must be accurately updated and recorded in the Complaints and Appeals Register.

Administrative Appeals Handling Process



Assessment Appeals Handling Process

