



Assessment Appeals Procedures

STEP 1 – Initial Review of Appeal

No.	Who	Actions
1.1	Client	a) If the client is unhappy with the assessment decision they should first seek to discuss the decision and options with the Assessor, to determine and fully understand the reasons for the decision.
1.2	Assessor	a) With a view to resolving the matter, discuss with the client: give specific feedback on their performance, identify areas of improvement, and provide options to the client such as further training and/or assessment.
1.3	Assessor	a) If the matter is successfully resolved, complete the “ Appeals Lodgement Form ” and submit to Admin for processing. b) If the matter is not resolved, advise client of their right to appeal the decision referring them to the Appeals policy and provide client with access to the Appeals Lodgement Form .
1.4	Admin	a) Enter details of Appeal into Student Management system (SMS) b) Enter details of Appeal into Appeals Register . c) Note actions on “ Appeals Lodgement Form ”. d) File “ Appeals Lodgement Form ” (if appeal resolved) onto Client file.

STEP 2 – Lodgement of Appeal

No.	Who	Actions
2.1	Client	a) Lodges an appeal in writing using the “ Appeals Lodgement form ”. b) Submits within seven (7) days of the date of assessment result notification. c) The Appeals lodgement form must clearly state the grounds for appeal and should include sufficient evidence to support the claim.
2.2	Admin	a) Enter details of Appeal into Student Management system (SMS) b) Enter details of Appeal into Appeals Register . c) Note actions on “ Appeals Lodgement Form ”. d) Print and commence “ Appeals Progress Form ”. e) Provide all documentation to Compliance Manager for action.
2.3	Compliance Manager	a) On receipt of the appeals application, acknowledges receipt of the claim, in writing, to the appellant within two working days, this may be via email, letter or fax. b) Keep all documentation in the Appeals file, which will remain in place until the appeal is resolved. After which time all appeal documentation will be placed on the Client file.

STEP 3 – Processing the Appeal

No.	Who	Actions
3.1	Compliance Manager	a) Nominates, within five working days, an independent assessor or panel to review the appeal and make a determination. b) Advise the appellant in writing of the name of the independent Assessor or panel.



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3.2	Compliance Manager / Independent Assessor	<ul style="list-style-type: none"> a) Appeals claim is reviewed and investigated which includes: <ul style="list-style-type: none"> i. A review of the application form and supporting evidence. ii. A review of all assessment documentation and process. iii. An interview with the appellant to allow them the opportunity to formally state their claim. iv. An interview with the Assessor.
		<ul style="list-style-type: none"> b) Determine the appeal outcome, and provide an explanation to justify their decision. c) The independent assessor /panel will advise the Compliance Manager of the appeals outcome, in writing, within 5 working days. d) Note actions on “Appeals Progress Form”. e) If the outcome involves re-assessment, go to Step 4.

STEP 4 – Conduct Re-Assessment

No.	Who	Actions
4.1	Compliance Manager	<ul style="list-style-type: none"> a) Arrange for the appellant to be re-assessed and inform the appellant of the details regarding the re-assessment, in writing, in accordance with assessment processes. b) Place a copy of the re-assessment correspondence on the Client file. c) If the appellant is dissatisfied with the result or the process of the appeal, the appellant may lodge a complaint with External Arbitrator. d) If appellant refuses to be reassessed, the progress of the appeal to the External Arbitrator is at the discretion of the Appellant.
4.2	Independent Assessor	<ul style="list-style-type: none"> a) The appellant has the option to nominate an independent observer to be present during the re-assessment. b) Conduct the re-assessment. c) Determine the assessment outcome against the competencies. d) Complete all relevant assessment documentation, (in accordance with the Assessment policy) notifying the appellant and the Compliance Manager of the outcome, in writing

STEP 5 – Finalising the Appeal

No.	Who	Actions
5.1	Compliance Manager	<ul style="list-style-type: none"> a) Supply the appellant with the appeals outcome in writing within 2 working days b) Inform the parent(s)/legal custodian(s) of the student if the student is younger than 18 years of age
5.2	Compliance Manager	<ul style="list-style-type: none"> a) If the appeal is upheld, and if Platinum Institute Australia is satisfied with the outcome: <ul style="list-style-type: none"> i. Finalise the appeals documentation, place all documentation in the client’s appeals file. ii. Complete documentation for the issuance of a Statement of Attainment or qualifications (as appropriate). iii. The appeals file is closed, and provided to Admin. b) If the appeal is upheld and if Platinum Institute Australia is NOT satisfied with the outcome, progress with Appeal with the External Arbitrator. c) Note actions on “Appeals Progress Form”.



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5.3	Compliance Manager	<ul style="list-style-type: none"> a) If the Appeal is rejected notify the appellant in writing that the original decision/judgement is to stand. b) Inform the parent(s)/legal custodian(s) of the student if the student is younger than 18 years of age c) Client continues to progress through the usual Assessment process. d) Note actions on “Appeals Progress Form”.
5.4	Compliance Manager	<ul style="list-style-type: none"> a) If client is dissatisfied with outcome, advise the client of their right to further progress the appeal through the External Arbitrator. (See to Step 6) b) Note actions on “Appeals Progress Form”.
5.5	Admin	<ul style="list-style-type: none"> a) Enter details of Appeal outcome into Student Management system (SMS) b) Enter details of Appeal outcome into Appeals Register. c) Note actions on and complete the “Appeals Progress Form”. d) The client is provided a refund of the appeals fee if appeal is upheld. Follow refunds policy and procedures. e) Place all documentation from Appeals file onto Client file.
5.6	Compliance Manager	<ul style="list-style-type: none"> a) Ensure that the assessment tools, policy and procedures relating to any substantiated Appeal is reviewed and progressed through continuous improvement processes, as appropriate

STEP 6 – Referral to External Arbitrator

No.	Who	Actions
6.1	Compliance Manager or Client	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> a) Review, investigate and mediate the complaint with all relevant parties and make a ruling. b) Platinum Institute Australia will abide by any resolutions as recommended by the External Arbitrator.
6.3	Compliance Manager	<ul style="list-style-type: none"> a) If the Appeal is Upheld, go to Step 5.2
6.4	Compliance Manager	<ul style="list-style-type: none"> a) If the Appeal is rejected notify the appellant in writing that the original decision/judgement is to stand. b) Inform the parent(s)/legal custodian(s) of the student if the student is younger than 18 years of age c) Client continues to progress through the usual Assessment process. d) Go to Step 5.3.