

PURPOSE

This Policy outlines the principles of managing Assessment Appeals in a fair, consistent, confidential, timely and equitable manner as well as addressing the Regulatory requirements relating to Assessment Appeals established under the Vocational, Education and Training (VET) Quality Framework, including the Standards for Registered Training Organisations, 2015 (RTOs).

SCOPE

Assessment Appeals include:

- (a) An Appeal of an internal assessment result;
- (b) How an assessment was conducted, including who conducted it; and
- (c) An Appeal of the outcome of an assessment of evidence provided for recognition of prior learning (RPL).

AUTHORITY & PRINCIPLES

This Policy has been developed in consideration of the best available advice and guidance, in compliance with key legislation, and the following principles:

- (a) Assessment Appeals made to Dementia Australia (DA) are managed in accordance with the principles of natural justice and procedural fairness and addressed in a prompt, objective, transparent and consistent manner;
- (b) Assessment Appeals must be managed in accordance with the RTO Assessment Appeals Policy and Procedure.
- (c) Assessors and Students involved in an Assessment Appeal must be treated with respect, confidentiality and privacy and any written records of Appeal-related discussions and interactions by DA should be made and kept within confidential files of the RTO Manager.
- (d) Once a decision has been made, the Student must be advised of the Appeal outcome, in writing, and the process for having the decision formally reviewed.

This Policy and Procedure is aligned with DA's:

- (a) COR.105 Feedback and Complaints Management Policy and Procedure; and
- (b) COR.101 Policy, Procedure and Form Management Policy and Procedure.

DEFINITIONS

Terms used in this Policy are defined as:

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| Assessment Appeal / Appeal | A formal process enacted when a Student does not agree with a judgment made by an Assessor in the context of VET. |
| Assessor | A person who has the training and assessment credential(s) in compliance with Australian Skills Quality Authority (ASQA) requirements, from time-to-time. |
| Candidate/Student | A student or prospective student undertaking vocational education and training delivered by DA. |
| Employee | Anyone with a contract of employment with DA for a paid activity. |
| RTO Manager | The position responsible for ensuring Dementia Australia's ongoing compliance to the standards and conditions under the VET Quality Framework. |

1. POLICY

- 1.1 **Where appropriate and practicable**, the Candidate should first approach the Assessor concerned, within 30 days of receiving the assessment result.
- 1.2 **Where the outcome is not satisfactory to the Candidate**, the RTO Manager should be contacted, in writing or verbally, setting out:
 - 1.2.1 The circumstances surrounding the issue giving rise to the Assessment Appeal.

- 1.2.2 Who was involved?
 - 1.2.3 The reasons why an Assessment Appeal is being lodged.
 - 1.2.4 Any relevant evidence including dates and documentation.
 - 1.2.5 The name of any witnesses who could support the Assessment Appeal.
- 1.3 **A Candidate lodging an Assessment Appeal, and Assessor(s)**, will not be treated unfairly or victimised because of an Appeal; nor will they be coerced or intimidated in any way.

2. PROCEDURE

- 2.1 **All Assessment Appeals** are to be emailed, in the first instance, to quality@dementia.org.au as soon as practicable after receipt, copying the relevant Manager, where it will be recorded and processed in accordance with the **Feedback and Complaints Management Policy and Procedure**.
- 2.2 **The RTO Manager will consider the Assessment Appeal** and the Candidate will be notified, in writing, of the outcome and the reason for the decision within 14 days.
- 2.3 **If the Candidate is not satisfied with the outcome**, the Assessment Appeal will be referred to an independent person, who is agreed to by both parties, and the Candidate will have an opportunity to formally present their case.
- 2.4 **Where DA considers the Assessment Appeal** (which may take 60 days to process and finalise):
- 2.4.1 The Candidate making the Assessment Appeal will be regularly updated; and
 - 2.4.2 In the event that the Assessment Appeal exceeds 60 days, the Candidate will be informed, in writing, of the reason for the delay.
- 2.5 **In the event the Candidate is not satisfied with the outcome of the Assessment Appeal**, they will be informed that they can make a complaint by accessing the ASQA website:
<https://www.asqa.gov.au/>

RESPONSIBILITY

| ROLE | RESPONSIBILITIES |
|----------------------|---|
| CEO | <ul style="list-style-type: none"> a) Building an organisational culture where all people are treated with respect, fairness and ethical in dealings with all employees and Candidates; b) Ensuring DA meets industry standards for complaints management; c) Fostering an environment where complaints are encouraged, reported, and investigated and the outcomes incorporated into continual improvement activities; and d) Ensuring Employees have the required skills to effectively manage complaints. |
| Executive Team | <ul style="list-style-type: none"> a) Overseeing management of the Feedback and Complaints Management Policy and Procedure, including monitoring trends and identifying areas for improvement and documenting the process used to resolve a complaint, including an Assessment Appeal, and ensuring that any documentation in their possession remains confidential; and, in relation to Assessment Appeals, is forwarded to the RTO Manager and kept in a secure place; and b) Protecting Employees, Volunteers and Contractors from victimisation, harassment or discrimination and appropriately dealing with any detrimental act or omission associated with the raising of an Appeal Assessment. |
| Managers/Supervisors | <ul style="list-style-type: none"> a) Ensuring Employees and Candidates are encouraged and supported to raise complaints; and b) Employees are contributing to a positive resolution process. |

| ROLE | RESPONSIBILITIES |
|--------------|---|
| Quality Team | a) Maintain and monitor a Feedback and Complaints Register and identify opportunities for continuous improvement resulting from outcomes of complaint and incident investigation; b) Overseeing the maintenance of complaint improvement logs, including regular trend monitoring and provide regular reporting; and c) Maintain the P&P Register, comprising all approved Policies, Procedures and Forms with associated content available via DA's intranet: DAISI. |

DOCUMENT HISTORY

2.14.2 RTO Assessment Appeals Policy and Procedure (VIC)

Associated Policies:

2.14.5 Learner Support Policy and Procedure (VIC)

2.16.3 National Recognition, Recognition of Prior Learning and Credit Transfer Policy and Procedure (VIC)

E-version Overrides Printed Version