

## RTO Appeals Policy and Procedure

### Purpose

The purpose of this policy is to outline the Centre of Professional Learning and Education's (CPL | 88148) approach to managing appeals of students. It provides a transparent approach for all appeals to be addressed in a fair, efficient and confidential manner.

Procedures in this policy outline the steps for handling appeals received from students, employees, third parties and stakeholders of the Centre of Professional Learning and Education's (CPL | 88148).

### Introduction

CPL is committed to providing fair, flexible, valid and reliable training and assessment services. Students may appeal an assessment decision or any other decision affecting their academic progress. CPL manages appeals or requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.

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This policy supports Clauses 6.2 – 6.4 of the Standards for Registered Training Organisations (RTO) 2015

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### Authorisation

The policy shall be issued and endorsed under the RTO Manager.

### Policy

Students may make an appeal about services provided or academic issues. Academic appeals refer to a decision that affects a student's academic progress or achievement. If a student wishes to appeal against the result of an assessment, CPL processes ensure appeals are treated seriously, investigated thoroughly, and dealt with according to the merit of the complaint on a case by case basis.

Appeals must be made in writing within ten (10) business days of receipt of the assessment result.

All records of appeals and the action taken regarding the appeal will be kept on file, both in the CPL Continuous Improvement Register and on the student's record within the Student Management System used by CPL.

Students may appeal an assessment decision based on one or more of the following:

- Mark or result is being disputed,
- Assessment did not comply with criteria published,
- Assessment did not comply with principals of assessment.

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All appeals will, where practicable, be finalised within 60 days from receipt of student initiation for appeal.

## Procedure

The appeals procedure outlined below ensures all appeals are treated fairly. Confidentiality, objective decision making and procedural fairness will be maintained at each stage of the process.

- The CPLE appeals process will be outlined to all students during the enrolment process. Information regarding this process is also outlined in the CPLE Student Handbook which is to be provided to students upon enrolment into their chosen qualification with CPLE.
- Students who are dissatisfied with any aspect of their assessment results should first discuss the matter with the CPLE trainer and assessor who issued the result.
- If the student still wishes to continue the appeal process after discussions with the trainer and assessor, an appeal must be made in writing within ten (10) business days of receipt of the assessment result.
- Appeals must be made in writing to CPLE via email [cple@commstatwork.org](mailto:cple@commstatwork.org) and addressed to the RTO Manager. The [RTO Appeals Form](#) is to be used for this process. Information to be submitted to CPLE by the student must contain the following information:
  - The personal details of the student: Full name, contact phone number and email,
  - The qualification the student is enrolled in,
  - Assessment item(s) being appealed (to include unit/module name and codes),
  - The trainer and assessor who issued the results being appealed,
  - Details of the appeal:
    - Reason for appeal / concern
    - Occurrences leading up to this submission: (Steps taken prior to submitting the formal appeal.)
    - Details of any other parties involved if applicable: (Include full name and position)
    - Outcomes the student is seeking from this process.
  - The student is to attach additional supporting documents to support their appeal.
- Once the written appeal has been received, the RTO Manager will consider the appeal in consultation with the CPLE trainer and assessor involved. The student may be contacted by the RTO Manager in order to source additional information around the nature of their appeal for the sake of decision making. After consideration, the decision may be made for another CPLE trainer and assessor to re-mark the assessment to moderate the assessment result. In such circumstances, CPLE will make necessary arrangements to conduct the re-assessment of the student at a time that is mutually convenient for all parties concerned.
- Students will be advised by the RTO Manager, of the result of the appeal in writing via email within fifteen (15) business days of receipt of appeal. Students are permitted to request a meeting or phone call for the sake of discussion with the RTO Manager.
- In the event students are not satisfied with the outcome of the RTO Managers assessment appeal decision, students have the right to request a third-party review of the situation. In such

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circumstances, the RTO Manager will inform the Chief Executive Officer for the sake of determining who the third party may be.

- All decision made during consultations between the RTO Manager and CEO will be relayed to the student in writing via email within ten (10) business days of the third party review request.
- The third party to review the appeals case must be agreed upon by all parties, with the student to bear any costs involved. If any fees or charges are incurred during this process, the student will be informed in writing via email, prior to engagement with the third party of the same informed decision making. Agreement from the student to pursue engagement with the third party, must be received in writing.
- Students will be updated weekly via email, of progress of third party review. Upon an outcome being achieved, the student will be informed by the RTO Manager in writing via email of the final decision.
- If the matter is unresolved after being reviewed by a third party or the student is not satisfied with the outcome, the student may be directed by the RTO Manager to contact:
  - Australian Skills Quality Authority (ASQA) through the Online Complaint Form.
  - Skills Canberra (STA) via [skills@act.gov.au](mailto:skills@act.gov.au)
  - National Training Complaints Hotline on 13 38 73.
- The decisions and outcomes communicated to the student will be recorded in the Student Management System used by CPLE. Assessment results which are upheld or varied will be recorded accordingly in the Learning Management System, used by CPLE.
- CPLE will be proactive in identifying potential causes of formal appeals and will take action to eliminate or mitigate the likelihood of a reoccurrence.
- CPLE will maintain the confidentiality of all formal appeals and decisions, only distributing information to parties who are required to know for the sake of compliance, resolution and record keeping.

## Definitions

**Appeal** Is an application by a student for reconsideration or review of an unfavourable decision or finding during training and/or assessment or investigation.

## Responsibilities

### Chief Executive Officer

- Ensuring that appeals are managed in a transparent manner in accordance with the principles of natural justice and procedural fairness.
- Offering independent review of decisions, where required.

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## RTO Manager

- Ensuring that the appeals process operate in a transparent manner in accordance with the principles of natural justice and procedural fairness.
- Considering independent review of decisions where required.
- Determining independent internal or external third parties to review complaint and appeal processes.
- Ensuring that appeals outcomes are used to inform continuous improvement strategies within RTO internal audit processes.
- Engaging in validation and moderation practices when and where required for the sake of benchmarking of assessment and consistency of practices.
- The accurate and timely documentation of appeals as outlined in this procedure
- Ensuring that students are fully informed of the RTO's policy and procedures for handling appeals.
- Assisting a student to resolve concerns directly and informally with parties involved in the first instance.
- Assisting a student to lodge a formal appeal in line with CPLE policy and procedure requirements.

## CPLE Employees:

- Conducting themselves in a manner consistent with CPLE Policies and Procedures to minimise the incidence of appeals.
- Engaging in validation and moderation practices when and where required for the sake of benchmarking of assessment and consistency of practices.
- The accurate and timely documentation of appeals as outlined in this procedure
- Ensuring that students are fully informed of the RTO's policy and procedures for handling appeals.
- Assisting a student to resolve concerns directly and informally with parties involved in the first instance.
- Assisting a student to lodge a formal appeal in line with CPLE policy and procedure requirements.

## Attachments & Forms

1. RTO Appeals Form

## References

1. ISO 9001:2015 Quality Management System
2. ISO 3100: 2018 Risk Management
3. ISO 45001: 2018 Occupational Health and Safety
4. AS ISO/IEC 27004:2018 Information Security Management
5. Standards for Registered Training Organisations (RTO's) 2015

## Document Contact

GRC Administration

P: (02) 6293 6500

E: [grc@commsatwork.org](mailto:grc@commsatwork.org)

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## Review Specifications

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Written/reviewed by	Authorised for release by	Version number	Signature of authorising person
Carla Scalia	Carla Scalia	3	Carla Scalia
VERSION HISTORY			
Version:	Date of Effect:	Brief Summary of Change:	
Version 3	15.11.2021	Re-development of policy and procedures.	

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