
Overview

This unit is about processing appeals by complainants against decisions made in response to complaints. It includes making an initial assessment of the appeal, gathering and reviewing relevant information, and making recommendations about whether an appeal should be upheld or not.

An appeal can include an expression of dissatisfaction with the judgement in a case of complaint.

There are three elements:

- 1 Process appeals received
- 2 Assess the grounds for appeals
- 3 Process decisions upon appeals

Target Group

This unit is for caseworkers whose responsibilities include processing appeals.

Performance criteria

Process appeals received

You must be able to:

- P1 review the papers received regarding new appeals, confirming that they are relevant to an appeal, and clarify any queries correctly with the relevant authority and/or complainant
- P2 enter available details accurately upon relevant records, in line with organisational requirements, and set up case files correctly
- P3 identify correctly where an appeal relates to an existing record, and in these cases, obtain all necessary materials from the relevant caseworker and reassign responsibilities correctly for processing the case
- P4 review the information provided and determine correctly whether there is sufficient to assess whether there are grounds for appeal
- P5 issue a prompt acknowledgement to the complainant where it is not possible to determine whether an appeal is justified, or where there do appear to be grounds for an appeal

Assess the grounds for appeals

You must be able to:

- P6 notify the relevant authority of the appeal, in line with the organisation's requirements and request all relevant further background information
- P7 check that appeals are received within the necessary timescale, in line with the organisation's requirements
- P8 establish, where the appeal has been delayed, the complainant's reason for the delay, and where you assess this to be inappropriate refer the appeal to the relevant person with a recommendation that it be judged to be out of time
- P9 assess correctly whether appeals fulfil the criteria for further consideration, referring cases promptly to the relevant person where you experience difficulty in accessing sufficient information to make an assessment
- P10 assess all information provided, including relevant witness statements and any exhibits or unused supporting documents, and determine whether there are inconsistencies, flaws or other reasons for upholding the appeal
- P11 make a fair and objective recommendation to the relevant person regarding whether the appeal should be upheld, along with relevant file notes and supporting rationale, including further recommendations arising as a consequence of the decision

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Process appeals against decisions made regarding complaints

Process decisions upon appeals

You must be able to:

- P12 notify all relevant parties, where the appeal is not upheld, of the reasons behind the decision, addressing the grounds for appeal identified
- P13 identify correctly the grounds, where an appeal is upheld, and prepare the relevant documentation, issuing these for signature by the relevant person, in line with the organisation's requirements
- P14 prepare letters for complainants correctly, containing all relevant information, and setting out the outcomes clearly, accurately and concisely
- P15 ensure that letters are signed correctly and issued, in line with the organisation's requirements
- P16 refer any further correspondence from complainants, in response to the decision regarding their appeal, promptly to the relevant person

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Process appeals against decisions made regarding complaints

Knowledge and understanding

You need to know and understand:

Process appeals received

- K1 what constitutes an 'appeal'
- K2 current organisational requirements, procedures and associated timescales for caseworkers when processing appeals against decisions regarding complaints
- K3 levels of responsibility of all parties involved in processing appeals, and those responsible for making key decisions
- K4 the requirements of relevant legislation and guidelines impacting upon the appeals procedures, relevant to your area of responsibility
- K5 the different forms, standard letters and minutes relating to progressing appeals, and when each is appropriate

Assess the grounds for appeals

You need to know and understand:

- K6 the criteria which must be satisfied for an appeal to be considered
- K7 the grounds upon which an appeal might be upheld
- K8 the documents and information required when assessing the grounds for an appeal
- K9 the importance of assessing whether allegations are substantiated or not, and the implications of civil action when deciding this
- K10 the different documents that might be used as evidence in investigations into complaints

Process decisions upon appeals

You need to know and understand:

- K11 the possible outcomes arising from appeals which are upheld and their implications for recommendations for consequent actions
- K12 the actions and possible responses to 'comeback' letters, or other forms of contact, from complainants following decisions upon their appeals

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Relevant occupations	Public Services; Government and Related Organisations; Public Service and Other Associate Professionals
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Suite	Caseworkers in the Justice Sector
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