Workflow & HPRM User Manual

For Faculty Level Appeals Against Academic Decision Including Exclusion

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1 BACKGROUND AND AUDIENCE

HPRM (TRIM) is the backend of the University’s corporate recordkeeping system known as Records Online. It has been maintained by Archives and Records Management Services since 2000.

The system has been designed with the requirements drawn from the University of Sydney (Student Appeals against Academic Decisions) Rule 2006, with an aim to support the Student Affairs Unit (SAU) team, Faculty Administrators and other University staff members in case recordkeeping, streamlining the handling procedures and allowing for analytic reporting of case data.

This manual provides an overview of the recordkeeping system and the detailed instructions for the relevant University stakeholders to effectively use this system. The manual will be updated frequently and the latest version can be accessed via the Records Management Services website.

This manual will be of most use to:
1. Faculty Appeal Administrators
2. Faculty Appeal Academic Decision Makers
3. UoS Coordinators
2 SYSTEM REQUIREMENTS AND ACCESS

2.1 Software requirements

The online referral form and recordkeeping systems are powered by the HP Records Manager (HPRM or TRIM) native application.

If you are using a Mac, you may have to use the TRIM Citrix interface or Records Online web interface (see section 2.2 below).

Please contact the Records Online Help Desk at recordsonline@sydney.edu.au or 9036 9537 (x69537) if you require assistance or wish to have TRIM installed on your computer.

2.2 Web applications and systems access

The online appeal form and recordkeeping workflow system have been configured for use with Mozilla Firefox, Google Chrome, Edge and Internet Explorer.


Records related to individual cases, particularly those that have been concluded, can be accessed via TRIM or Records Online: https://recordsonline.sydney.edu.au/?utm_source=intranehome&utm_medium=web&utm_content=system -logins&utm_campaign=intranet.

2.3 Off-campus access: VPN

If you are working off-campus and outside of the University’s fixed network, you will need to be logged in to the University’s Virtual Private Network (VPN) in order to access the recordkeeping system and any documents held therein.

To download and install the VPN client to access the University network while working remotely, please see the information provided on the ICT website.

2.4 Records Online user accounts

Staff who require access to the appeals process need to have an active Records Online/TRIM user profile. If you are not already a registered Records Online user, please request access via:

1. Login to the Self Service Portal on the Staff Intranet using your Unikey.
2. Click the ICT Services hyperlink.
3. Click the Unikey and Account Management hyperlink.
5. Once the required fields have been completed, select Order Now to submit the request.

To be able to participate in the system, you will need to have a valid Records Online user account, and be in the member of the respective groups outlined in section 2.5 below.
2.5 Access controls

In order to maintain the security and confidentiality of case records, the following access controls have been established:

**Groups that have access to all case workflows and records**
1. People in *(Student Affairs or {WF - Appeal - <FACULTY CODE>})* - Consists of Student Affairs and staff from the associated faculty/school who will be responsible for submission of responses to the student’s appeal, as well as verification of the student’s faculty-level appeal status.

**Groups that only have access to student appeals workflows and associated documents**
1. *(WF - Appeal - <FACULTY CODE>)* Decision Makers - is a group charged with the responsibility of providing outcome decisions regarding the appeal.
2. *(WF – EI – UOS Coordinators)* is a group that consists of all UoS Coordinators, who may be involved with workflow steps associated with processing the appeal.

2.6 Retention of case records

The retention of case records is governed by the NSW State Records Act 1998: GA47-01.02.02 for Records relating to changes to assessment results as a result of moderation, re-marking or appeal by the student. These require all documentation related to workflow cases to be retained for a period of 7 years after the last action date. However, The University may wish to retain such records for a longer period if there is a compelling business requirement.
3 ADMINISTRATION OF CASE WORKFLOWS

3.1 Roles and system engagement

The following table provides an overview of key stakeholders, the functions they perform, and the way in which they engage with cases and the recordkeeping system.

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Engagement with system</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case initiators - Student</td>
<td>A student with a valid Unikey who has lodged an appeal using the TRIM web form.</td>
</tr>
<tr>
<td>Case initiators - Staff</td>
<td>A member of staff who is part of a restricted group with access to lodge an appeal on behalf of a student via the TRIM web form.</td>
</tr>
<tr>
<td>Faculty Appeal Administrator</td>
<td>Staff within the faculty or school associated with the appeal. They administer the responses to the student’s appeal, as well as handle notifications for outcomes.</td>
</tr>
<tr>
<td>Faculty Appeal Academic Decision Makers</td>
<td>Staff within the faculty or school responsible for making decisions regarding the appeal</td>
</tr>
<tr>
<td>EI UoS Coordinators</td>
<td>The Coordinator for the UoS (only relevant for Faculty Level Academic Appeals relating to a Unit of Study)</td>
</tr>
</tbody>
</table>

3.2 Type of Workflow and Appeals

<table>
<thead>
<tr>
<th>Workflow Type</th>
<th>Appeal Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Level Academic Appeals Relating to UOS</td>
<td>• My final mark and grade in a unit of study (FMG)</td>
</tr>
<tr>
<td></td>
<td>• My mark for a particular assessment task in a unit of study (MAT)</td>
</tr>
<tr>
<td>Faculty Level Academic Appeals Relating to Course</td>
<td>• The outcome of my DC application (ODC)</td>
</tr>
<tr>
<td></td>
<td>• A decision taken under the Academic Honesty in Coursework Policy 2015 and/or the Academic Honesty Procedures 2016 (EID)</td>
</tr>
<tr>
<td></td>
<td>• Exclusion from my degree / award course, i.e. Stage 3 Academic Progression outcome has been exclusion (EXD)</td>
</tr>
<tr>
<td></td>
<td>• Other (OTH)</td>
</tr>
</tbody>
</table>
3.3 Workflow Naming Conventions

<table>
<thead>
<tr>
<th>Category</th>
<th>Convention</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>My final mark and grade in a unit of study</td>
<td>FAA FMG &lt;UoS code&gt; &lt;Student SID&gt; &lt;Student Surname&gt; &lt;Student First name&gt; &lt;YYMMDDHHMM&gt;</td>
<td>FAA FMG BUSS5501 306186500 LUONG TIM 1905101305</td>
</tr>
<tr>
<td>My mark for a particular assessment task in a unit of study</td>
<td>FAA MAT &lt;UoS code&gt; &lt;Student SID&gt; &lt;Student Surname&gt; &lt;Student First name&gt; &lt;YYMMDDHHMM&gt;</td>
<td>FAA MAT BUSS5501 306186500 LUONG TIM 1905101305</td>
</tr>
<tr>
<td>The outcome of my DC application</td>
<td>FAA ODC &lt;Faculty&gt; &lt;Student SID&gt; &lt;Student Surname&gt; &lt;Student First name&gt; &lt;YYMMDDHHMM&gt;</td>
<td>FAA ODC Arts and Social Sciences 306186500 LUONG TIM 1905101305</td>
</tr>
<tr>
<td>A decision taken under the Academic Honesty in Coursework Policy 2015 and/or the Academic Honesty Procedures 2016</td>
<td>FAA EID &lt;Faculty&gt; &lt;Student SID&gt; &lt;Student Surname&gt; &lt;Student First name&gt; &lt;YYMMDDHHMM&gt;</td>
<td>FAA EID School of Business 306186500 LUONG TIM 1905101305</td>
</tr>
<tr>
<td>Exclusion from my degree / award course, i.e. Stage 3 Academic Progression outcome has been exclusion</td>
<td>FAA EXD &lt;Faculty&gt; &lt;Student SID&gt; &lt;Student Surname&gt; &lt;Student First name&gt; &lt;YYMMDDHHMM&gt;</td>
<td>FAA EXD Arts and Social Sciences 306186500 LUONG TIM 1905101305</td>
</tr>
<tr>
<td>Other</td>
<td>FAA OTH &lt;Faculty &lt;Student SID&gt; &lt;Student Surname&gt; &lt;Student First name&gt; &lt;YYMMDDHHMM&gt;</td>
<td>FAA OTH Arts and Social Sciences 306186500 LUONG TIM 1905101305</td>
</tr>
</tbody>
</table>

3.4 Case verification and outcomes

Each appeal case will be triaged and assessed with the following pathways and available outcomes which have been designed based on the University of Sydney (Student Appeals against Academic Decisions) Rule 2006:

Unit of Study Workflow:

<table>
<thead>
<tr>
<th>Pathway</th>
<th>Available case outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Level Academic Appeal Admin to assess the application</td>
<td>Out of time</td>
</tr>
<tr>
<td></td>
<td>Proceed</td>
</tr>
<tr>
<td></td>
<td>Withdrawn</td>
</tr>
<tr>
<td>Faculty Level Academic Appeal – Your comments Please</td>
<td>Resolution with decision maker exhausted</td>
</tr>
<tr>
<td></td>
<td>Resolution with decision maker</td>
</tr>
<tr>
<td>Admin to Collate Response</td>
<td>Appeal Not to proceed</td>
</tr>
<tr>
<td></td>
<td>Appeal to Proceed</td>
</tr>
<tr>
<td></td>
<td>Withdrawn</td>
</tr>
<tr>
<td>Faculty level Academic Appeal – Your decision required</td>
<td>Not upheld</td>
</tr>
<tr>
<td></td>
<td>Upheld</td>
</tr>
</tbody>
</table>
### Course Level Workflow:

<table>
<thead>
<tr>
<th>Pathway</th>
<th>Available case outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Level Academic Appeal</td>
<td>Incorrect Faculty</td>
</tr>
<tr>
<td>Admin to assess the application</td>
<td>Out of time</td>
</tr>
<tr>
<td></td>
<td>Proceed</td>
</tr>
<tr>
<td></td>
<td>Withdrawn</td>
</tr>
<tr>
<td>Faculty Level Academic Appeal –</td>
<td>Not upheld</td>
</tr>
<tr>
<td>Your comments Please</td>
<td>Upheld</td>
</tr>
</tbody>
</table>
### 3.5 Workflow actions by stakeholder and step

The following tables set out workflow steps to be completed by Faculty Appeal Administrators, Unit of Study Coordinators and Academic Decision Makers. Instructions specific to each step are provided in Section 4 of this manual.

**Faculty Level Academic Appeals Relating to UOS:**

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Faculty Level Academic Appeal Admin to assess the application (Faculty Appeal Administrator)</td>
</tr>
<tr>
<td>3</td>
<td>Action Required - Faculty level Academic Appeal - Your comments please (UoS Coordinator)</td>
</tr>
<tr>
<td>5</td>
<td>Action Required - your decision is required for an appeal against an academic decision (Academic Decision Maker)</td>
</tr>
<tr>
<td>5A</td>
<td>Not upheld - Faculty admin draft decision letter (Faculty Appeal Administrator)</td>
</tr>
<tr>
<td>5B</td>
<td>Upheld - Admin to prepare outcome letter (Faculty Appeal Administrator)</td>
</tr>
<tr>
<td>6</td>
<td>Faculty Level Appeal Outcome – This is an FYI only, no action required (UoS Coordinator)</td>
</tr>
</tbody>
</table>

**Faculty Level Academic Appeals Relating to Course:**

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Faculty Level Academic Appeal Admin to assess the application (Faculty Appeal Administrator)</td>
</tr>
<tr>
<td>3</td>
<td>Action Required – Faculty Level Academic Appeal – Your comments please (Academic Decision Maker)</td>
</tr>
<tr>
<td>3A/B</td>
<td>Upheld/Not upheld – Admin to prepare outcome letter (Faculty Appeal Administrator)</td>
</tr>
</tbody>
</table>
3.6 Workflow Maps

Faculty Level Appeal UOS

Faculty Level Appeal FACULTY DECISION
## Academic Decision Maker

### Appeal Types:
- My final mark and grade in a unit of study; and
- My mark for a particular assessment task in a unit

### Workflow Type:
Faculty Level Academic Appeals Relating to Unit of Study

### Activity Step Name:
5e Action Required – Faculty level Academic Appeal – Your decision

### Duration:
3 days

### Instructions:
Please review the student's appeal and any information provided by the original decision maker when making your decision in accordance with the Appeals Rule.

If your decision is to uphold the student's appeal, please click on the **Upheld** decision link below. Also provide any specific comments or reference to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If your decision is to not uphold the student's appeal, please click on the **Not upheld** decision link below. Please provide your reasons for not upholding the appeal and/or reference to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If you choose not to write your own appeal response to the student, the appeals officer will incorporate your comments and reasons in the formal outcome letter. If you wish to sign off on this letter, prior to its release to the student, please indicate this in your return email when you click the decision link.

### Example Email:

```
Dear Ceci,

Please do not forward this email to a non-University email account or person not directly involved in this matter.

Re: Faculty level Academic Appeal – Your decision required

We have received an appeal from Thanh Luong (SID: 5968026965) in relation to Unit of Study ANTH1001. Please see the appeal documents below attached submitted by the student.

Please review the student’s appeal and any information provided by the original decision maker when making your decision in accordance with the Appeals Rule.

If your decision is to uphold the student’s appeal, please click on the Upheld decision link below. Also provide any specific comments or reference to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If your decision is to not uphold the student’s appeal, please click on the Not upheld decision link below. Please provide your reasons for not upholding the appeal and/or reference to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If you choose not to write your own appeal response to the student, the appeals officer will incorporate your comments and reasons in the formal outcome letter. If you wish to sign off on this letter, prior to its release to the student, please indicate this in your return email when you click the decision link.

Regards
Appeals Officer
Arts and Social Sciences
```
Appeal Types:

- The outcome of my DC application;
- A decision taken under the Academic Honesty in Coursework Policy 2015 and/or the Academic Honesty Procedures 2016;
- Exclusion from my degree / award course, i.e. Stage 3 Academic Progression outcome has been exclusion;
- Other

Workflow Type: Faculty Level Academic Appeals Relating to Course

Activity Step Name: 3e Action Required – Faculty level Academic Appeal – Your decision

Duration: 3 days

Instructions:

You will receive an email with the following details:

Please review the student’s appeal and any information provided by the original decision maker when making your decision in accordance with the Appeals Rule.

If your decision is to uphold the student’s appeal, please click on the Upheld decision link below. Also provide any specific comments or reference to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If your decision is to not uphold the student’s appeal, please click on the Not upheld decision link below. Please provide your reasons for not upholding the appeal and/or reference to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If you choose not to write your own appeal response to the student, the appeals officer will incorporate your comments and reasons in the formal outcome letter. If you wish to sign off on this letter, prior to its release to the student, please indicate this in your return email when you click the decision link.
Example Email:

Dear Ceci,

Please do not forward this email to a non-University email account or person not directly involved in this matter.

Re: Faculty level Academic Appeal - Your decision required

We have received an appeal from TRIM Train One (SID: 559632665). Please see the appeal documents below/attached submitted by the student.

Please review the student’s appeal and any information provided by the original decision maker when making your decision in accordance with the Appeals Rule.

If your decision is to uphold the student’s appeal, please click on the Upheld decision link below. Also provide any specific comments or references to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If your decision is to not uphold the student’s appeal, please click on the Not upheld decision link below. Please provide your reasons for not upholding the appeal and/or reference to any policies or procedures that you wish to cite as part of your formal response to the student. If you wish to write the formal response yourself, please attach that document to the return email when you click the decision link.

If you choose not to write your own appeal response to the student, the appeals officer will incorporate your comments and reasons in the formal outcome letter. If you wish to sign off on this letter, prior to its release to the student, please indicate this in your return email when you click the decision link.

Regards

Appellate Officer
Arts and Social Sciences

<table>
<thead>
<tr>
<th>Action</th>
<th>Outcome Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not upheld</td>
<td>Not upheld -</td>
</tr>
<tr>
<td>Upheld</td>
<td>(Uploaded)</td>
</tr>
</tbody>
</table>

All documents associated with this workflow

<table>
<thead>
<tr>
<th>Record Name</th>
<th>Number</th>
<th>Type</th>
<th>Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appeal letter</td>
<td>DOC2019/199933</td>
<td>Document</td>
<td>DOCX</td>
</tr>
<tr>
<td>Decision letter</td>
<td>DOC2019/199934</td>
<td>Document</td>
<td>PDF</td>
</tr>
<tr>
<td>FAA OTH Business (Business School) 559632665 Train One TRIM 1065014149 Web Form</td>
<td>DOC2019/199932</td>
<td>Document</td>
<td>HTML</td>
</tr>
</tbody>
</table>

Workflow details

<table>
<thead>
<tr>
<th>Workflow Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>FAA OTH Business (Business School) 559632665 Train One TRIM 1065014149</td>
</tr>
<tr>
<td>Job Number</td>
<td>19/511</td>
</tr>
<tr>
<td>Date Created On</td>
<td>Wednesday, 26 June 2019 2:15 PM</td>
</tr>
<tr>
<td>Date Created By</td>
<td>RHMorgan Service Account</td>
</tr>
<tr>
<td>Date Due</td>
<td>Friday, 2 August 2019 2:36 PM</td>
</tr>
</tbody>
</table>

Activity details

<table>
<thead>
<tr>
<th>Activity Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>3 - Action Required - Faculty level Academic Appeal - Your decision</td>
</tr>
<tr>
<td>Date</td>
<td>Wednesday, 3 July 2019 2:32 PM</td>
</tr>
<tr>
<td>Original Assigned</td>
<td>[MF - Appeal - ARTS Decision Makers]</td>
</tr>
<tr>
<td>Current Assigned</td>
<td>Ceci Corrigan</td>
</tr>
</tbody>
</table>

Tips for Completion:
Completing assigned steps via Email or Workflow Portal

When you receive the email, please consult the instructions and indicate your decision by clicking the relevant decision link in the email (please do not ‘reply’ or ‘reply all’ as this is a system generated email. Clicking the decision link opens the appropriate return email).

If you have not actioned the task, you will receive a reminder email asking you to complete all outstanding tasks.

You may find it useful to set up a rule in your Outlook to ensure all emails related to Faculty Level Academic Appeals are filed together in one location, for ease of locating and actioning.

Click here for full instructions on setting up and managing rules in Outlook:
Create rule to file all emails from **UATrecordsonline@sydney.edu.au** to a new folder, named to identify Faculty Level Academic Appeals to action.

<table>
<thead>
<tr>
<th>To Complete Task Via Workflow Portal:</th>
<th>If you would prefer, you can log in to the Workflow Portal to identify all activities assigned to you for completion. You can open tasks allocated to you, review all related documentation, access any notes provided in relation to the appeal, and select a radio button to indicate your chosen outcome. Please see Section 5 of this manual for full instructions regarding logging into and working from the Workflow Portal.</th>
</tr>
</thead>
</table>
## 4.2 Unit of Study Coordinator

| Appeal Type: | • My final mark and grade in a unit of study; and  
|             | • My mark for a particular assessment task in a unit |
| Workflow Type: | Faculty Level Academic Appeals Relating to Unit of Study |
| Activity Step Name: | 3 Action Required – Faculty Level Academic Appeal – Your comments please |
| Duration: | 2 days |
| Instructions: | If the student has not attempted to raise their concerns in relation to the academic decision and you believe that this needs to be completed before lodging a Faculty appeal, please advise this by clicking the ‘Resolution with decision maker NOT exhausted’ decision link. Please also provide any comments in relation to this matter. The student will then be advised to contact you, in the first instance, to raise their concerns.  

If the student has raised their concerns in the first instance with you and you believe that this matter has been resolved, please click the ‘Resolution with decision maker exhausted’ decision link. The Associate Dean has requested that you provide any important information in relation to this appeal. Please describe how the original decision was made, and any supporting documentation or information that supports your decision. In addition, please refer to the special instructions below from the Faculty. |

### Example Email:

```
Dear [Name],

Please do not forward this email to a non-University email account or person not directly involved in this matter.

Re: Faculty level academic appeal — Information required about an academic decision

The Faculty/School has received an appeal from [Student Name] (ID: [Student ID]) against an academic decision made in relation to [Unit Code]. Please see the appeal documents below/attached submitted by the student.

Please attempt to respond to this email within two working days.

If the student has not attempted to raise these concerns in relation to the academic decision and you believe that this needs to be completed before lodging a Faculty appeal, please advise us by clicking the ‘Resolution with decision maker NOT exhausted’ decision link. Please also provide any comments in relation to this matter. The student will then be advised to contact you, in the first instance, to raise their concerns.

If the student has raised their concerns in the first instance with you and you believe that this matter has been resolved, please click the ‘Resolution with decision maker exhausted’ decision link. The Associate Dean has requested that you provide any important information in relation to this appeal. Please describe how the original decision was made, and any supporting documentation or information that supports your decision. In addition, please refer to the special instructions below from the Faculty.

Special Instructions: 

Regards

Appendix Office
Arts and Social Sciences
```

### Table: Outcome Description

<table>
<thead>
<tr>
<th>Decision</th>
<th>Outcome Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resolution with decision maker exhausted</td>
<td>Resolution with decision maker exhausted</td>
</tr>
<tr>
<td>Resolution with decision maker NOT exhausted</td>
<td>Resolution with decision maker NOT exhausted</td>
</tr>
</tbody>
</table>

### Table: Record Details

<table>
<thead>
<tr>
<th>Record Name</th>
<th>Number</th>
<th>Type</th>
<th>Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appeal letter</td>
<td>DOC2019/64927</td>
<td>Document</td>
<td>PDF</td>
</tr>
<tr>
<td>Decision letter</td>
<td>DOC2019/64928</td>
<td>Document</td>
<td>DOCX</td>
</tr>
<tr>
<td>FAO FADU ANTH1301 5992320666 Train One TRM 1985271725 Web Form</td>
<td>DOC2019/64925</td>
<td>Document</td>
<td>KTM</td>
</tr>
</tbody>
</table>

### Workflow Details

<table>
<thead>
<tr>
<th>Workflow Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workflow Name</td>
<td>Faculty Level Academic Appeals Relating to Unit of Study</td>
</tr>
<tr>
<td>Name</td>
<td>FAO FADU ANTH1301 5992320666</td>
</tr>
<tr>
<td>Job Number</td>
<td>19132</td>
</tr>
<tr>
<td>Date Created On</td>
<td>Thursday, 27 June 2019 11:26 AM</td>
</tr>
<tr>
<td>Date Created By</td>
<td>FAO FADU ANTH1301 5992320666</td>
</tr>
<tr>
<td>Date Edited</td>
<td>Tuesday, 16 July 2019 11:50 AM</td>
</tr>
</tbody>
</table>
### Activity Step Name:

**6e Faculty level appeal outcome – FYI (No action required)**

### Example Email:

Dear Cecie,

Please do not forward this email to a non-University email account or person not directly involved in this matter.

Re: Faculty level Academic Appeal – determination.

A determination has been made in relation to an appeal from TRIM Train One (SID: 598832655) against an academic decision made in BUS55001.

The outcome is Upheld.

Regards
Appeals Officer
Business (Business School)

### Instructions

This email is for your reference only, to advise the outcome of the appeal. There is no action for you to take.

### Tips for Completion:

**Completing assigned steps via Email or Workflow Portal**

**To Complete Task Via Email:**

When you receive the email, please consult the instructions and indicate your decision by clicking the relevant decision link in the email (please do not ‘reply’ or ‘reply all’ as this is a system generated email. Clicking the decision link opens the appropriate return email).

If you have not actioned the task, you will receive a reminder email asking you to complete all outstanding tasks.

You may find it useful to set up a rule in your Outlook to ensure all emails related to Faculty Level Academic Appeals are filed together in one location, for ease of locating and actioning.

Click here for full instructions on setting up and managing rules in Outlook:


Create rule to file all emails from UATrecordsonline@sydney.edu.au to a new folder, named to identify Faculty Level Academic Appeals to action.

**To Complete Task Via Workflow Portal:**

If you would prefer, you can log in to the Workflow Portal to identify all activities assigned to you for completion. You can open tasks allocated to you, review all related documentation, access any notes provided in relation to the appeal, and select a radio button to indicate your chosen outcome.

Please see Section 5 of this manual for full instructions regarding logging into and working from the Workflow Portal.
### 4.3 Faculty Level Appeal Administrator

| Appeal Type: | • My final mark and grade in a unit of study; and  
|             | • My mark for a particular assessment task in a unit |
| Workflow Type: | Faculty Level Academic Appeals Relating to Unit of Study |
| Activity Step Name: | 2 Faculty Level Academic Appeal Admin to assess the application |
| Duration: | 3 days |
| Instructions: | This step is accessed and completed via the Workflow Portal. Acquire and open the task.  
Check to confirm that the student has provided all necessary information to proceed with the assessment of the appeal.  
Check each document submitted, to ensure that it is accessible and relevant to the appeal.  
If further information from the student is required, please contact them via email for a request for further information. Once the student has responded to the request for further information, you MUST ensure that the complete communication has been uploaded on the workflow. If the student does not respond to your request, and you believe that you have followed up adequately, please proceed with the appeal in accordance with the Appeals Rule. Please upload all evidence of communication.  
For appeals lodged out of time:  
• If the student has sought prior approval for lodging an appeal out of time, please select proceed.  
• If the student’s appeal has been lodged out of time and they have not sought prior approval regardless of whether sufficient reasons for delay have been provided, please seek the approval from the Dean’s delegate for determination.  
• If the Dean’s delegate declines the appeal, click out of time  
• If the Dean’s delegate accepts the appeal, click proceed  
If the student has formally advised you that they no longer wish to proceed with the appeal, please click the withdrawn button. You MUST upload a copy of the communication onto the workflow BEFORE clicking withdrawn.  
If the appeal is to proceed, please nominate:  
• Step 3 to the UOS Coordinator who has made the original decision. If the student has provided any confidential documentation that they do not want the UOS Coordinator to see, please set the assignee to yourself to complete the next task;  
• Step 5 to the nominated academic who will be making a decision for this appeal (this is usually an Associate Dean or the Dean’s delegate); and  
• Step 6 to the UOS Coordinator who will be receiving the outcome of the appeal case.  
Provide any case-specific questions or information to be sent to the UOS Coordinator in the special instructions box. Please also indicate a deadline date for their response.  
Please always ensure that any communication that has occurred between the Faculty/School and the student outside the workflow, has been uploaded here.
### Activity Step Name: 4 Admin to collate response

**Duration:** 3 days

**Instructions:**

This step is accessed and completed via the Workflow Portal.

Please review the information provided by the student and original decision maker.

Should you feel more information is required for the Dean's delegate to make a decision, please contact the relevant person to seek further information/clarification.

You may choose to collate all the relevant documents into one single pdf file and upload this onto the workflow with the following label: 'SID Surname - Appeal Documents for consideration'

Once you click the **complete activity** button, this workflow will be assigned to the Dean's delegate for decision making.

### Activity Step Name: 5A Not upheld/ 5B Upheld – Admin to prepare outcome letter

**Duration:** 2 days

**Instructions:**

This step is accessed and completed via the Workflow Portal.

Review the decision and any comments/information provided by the Dean's delegate.

Open the **New or Ref Records** panel.

Select the appeal outcome letter template from the **select from template** menu.

Tick **flag as send allowed**.

Click **create new record with Case Data**.

Once the appeal outcome letter record is created in the workflow, you will need to edit the document in TRIM by clicking on the TRIM button next to the outcome letter record. When editing the outcome letter, please ensure that the correct Faculty/School details have been inserted.

Please send the draft outcome letter to the Dean’s delegate for their review and approval prior to completing this step. Once the approval has been provided via email, please upload a copy of the approval onto the workflow.

Ensure that the **flag to send** button is ticked on the final outcome letter that needs to be sent to the student. Please note that the letter will be sent as an attachment to an email, via the workflow.

Click on the **complete activity** to send the outcome to the student.

### Appeal Type:

- The outcome of my DC application;
- A decision taken under the [Academic Honesty in Coursework Policy 2015](#) and/or the [Academic Honesty Procedures 2016](#);
- Exclusion from my degree / award course, i.e. Stage 3 Academic Progression outcome has been exclusion;
- Other

### Workflow Type:

Faculty Level Academic Appeals Relating to Course

### Activity Step Name: 2 Faculty Level Academic Appeal Admin to assess the application

**Duration:** 2 days
Instructions: Check to confirm that the student has provided all necessary information to proceed with the assessment of the appeal.

Check each document submitted, to ensure that it is accessible and relevant to the appeal. If further information from the student is required, please contact them via email for a request for further information. Once the student has responded to the request for further information, you MUST ensure that the complete communication has been uploaded on the workflow. If the student does not respond to your request, and you believe that you have followed up adequately, please proceed with the appeal in accordance with the Appeals Rule. Please upload all evidence of communication.

If this appeal should be lodged with a different Faculty or School, please select the Incorrect Faculty button below. You must contact the student, prior to completing this step, to advise them of the correct Faculty that the appeal should be lodged with and the procedures. You may also choose to advise the correct Faculty of this.

For appeals lodged out of time:
  - If the student has sought prior approval for lodging an appeal out of time, please select proceed
  - If the student’s appeal has been lodged out of time and they have not sought prior approval regardless of whether sufficient reasons for delay have been provided, please seek the approval from the Dean’s delegate for determination
  - If the Dean’s delegate declines the appeal, click out of time
  - If the Dean’s delegate accepts the appeal, click proceed

If the student has formally advised you that they no longer wish to proceed with the appeal, please click the withdrawn button. You MUST upload a copy of the communication onto the workflow BEFORE clicking withdrawn.

If the appeal is to proceed, please nominate the academic who will be making a decision for this appeal (this is usually an Associate Dean or the Dean’s delegate).

For appeals against academic decisions relating to Educational Integrity, please nominate the Educational Integrity Coordinator (EIC) or the Nominated Academic (NA) that made the original decision.

Please always ensure that any communication that has occurred between the Faculty/School and the student outside the workflow, has been uploaded here.

<table>
<thead>
<tr>
<th>Activity Step Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>3A Upheld - admin to prepare outcome letter</td>
<td>Review the decision and any comments/information provided by the Dean's delegate. Open the New or Ref Records panel. Select the appeal outcome letter template from the select from template menu. Tick flag as send allowed. Click create new record with Case Data.</td>
</tr>
<tr>
<td>3B Not upheld – Admin to prepare outcome letter</td>
<td>Once the appeal outcome letter record is created in the workflow, you will need to edit the document in TRIM by clicking on the TRIM button next to the outcome letter record. When editing the outcome letter, please ensure that the correct Faculty/School details have been inserted. Please send the draft outcome letter to the Dean’s delegate for their review and approval prior to</td>
</tr>
</tbody>
</table>
completing this step. Once the approval has been provided via email, please upload a copy of the approval onto the workflow.

Ensure that the **flag to send** button is ticked on the final outcome letter that needs to be sent to the student. Please note that the letter will be sent as an attachment to an email, via the workflow.

Click on the **complete activity** to send the outcome to the student.

<table>
<thead>
<tr>
<th>Activity Step Name:</th>
<th>4 Admin to close appeal after appeal period expires</th>
</tr>
</thead>
<tbody>
<tr>
<td>Duration:</td>
<td>20 days</td>
</tr>
<tr>
<td>Instructions:</td>
<td>This is the last step of the workflow and is completed in the Workflow Portal. Please do not complete this step for 20 working days from the date that this task has been assigned. Once the student has been notified of their Faculty appeal outcome and further appeal rights, the student may lodge an appeal to the SAB within 15 working days of receiving the Faculty appeal outcome. Please do not action the outcome until this appeal period has been expired or a decision from the SAB has been communicated to the student and you.</td>
</tr>
<tr>
<td>Tips for Completion:</td>
<td>Completing assigned steps via Workflow Portal</td>
</tr>
<tr>
<td>To Complete Task Via Workflow Portal:</td>
<td>Please see Section 5 of this manual for full instructions regarding logging into and working from the Workflow Portal.</td>
</tr>
</tbody>
</table>
5 Working in the Workflow Portal

5.1 Important note for email task recipients

Faculty level appeal administrators are encouraged to access cases and complete their steps by way of the Workflow Portal. UOS Coordinators and Academic Decision makers will receive system generated emails sent directly to their staff accounts, with the ability to indicate decision choices via the email. Consequently, instructions for each mode of access are provided in section 2.2 of this manual.

5.2 Workflow login

Access to the workflow is available only to registered Records Online users and as set out in Section 2.5 above. Users will need to authenticate their access using their Unikey credentials.

The workflow portal can be accessed at the following address: https://recordsonline2.sydney.edu.au/WorkflowPortal/Content/InTrey.aspx.

We recommend that faculty administrators bookmark this link. Workflow users will also receive an email notification each day reminding them of the workflow items currently in their team and personal in-trays (see image below). The reminder email also includes a link to the workflow portal, which users can also use to access the workflow portal.
5.3 Workflow portal in-trays

Once users have logged in to the portal, they are taken to the In-Tray page of the workflow portal. Here, you will find the My Items and Team Items tabs, which are the two in-trays faculty administrators will be required to work with.

Please note that for this particular process, we are not using the suspension or delegation functions so you should not have any items under your Suspended Items or Delegated Items tabs.

Please note the following features in the Team Items in-tray in the following image:

1. It is recommended that you set the Limit Records to display 5000 items.
2. You may limit the display items only relating to the Faculty Level Academic Appeals Relating to UoS or Faculty Level Academic Appeals Relating to Course template – select it from the drop down menu.
3. The Search Text box enables you to limit the items displayed for a specific SID, Unit of Study or Job Number. To do so, type the value into the Search Text box and then click the Refresh button.
4. Click Select All to select all items in your My Items or Team Items in-trays.
5. Click Select All and then Acquire Selected to transfer all cases from the team in-tray to your own.
6. Click Clear All to deselect all items.
7. In-trays can be sorted by selected the column titles: Status, Priority, Activity Due, Activity Name, and Workflow Name.
8. The step each case is up to is listed in the Activity Name column. For example, new cases will be listed as 2 Faculty Level Academic Appeal Admin to assess the application.
9. Click Acquire/Open to open a case from the Team Items in-tray for immediate action or Acquire to transfer a single item to your My Items in-tray for action at a later time.

Please note the following features specific to the My Items in-tray in the following image:

1. Click Open to action the relevant step.
2. Click Select All and then Release Selected to return all cases to the Team Items in-tray.
3. Click Release to return individual cases to the Team Items in-tray.
4. Click Release Selected after selecting one or more check boxes in the far left-hand column of the My Items in-tray to release a specified set of cases to the Team Items in-tray.

5.4 Individual case workflow items

After you have elected to open a case, the individual workflow item page will be displayed (see image below). The elements faculty administrators will use most are as follows:

Click the INSTRUCTIONS tab will display detailed, step-by-step instructions for completing the tasks required at each stage of the workflow process.
There is an in-built DOCUMENT UPLOADER that enables you to attach more documentation to the workflow as the case progresses.
Click the Records within this Workflow arrow, which lists all documents associated with the case workflow. Please note the following in relation to the following image:

1. Select the ✉️ Flag so the respondent student will receive a formal letter as an attachment.
2. The icon indicates the file format of each of the workflow documents.
3. Select the " icon to open the document in the TRIM desktop application.
4. Select the " icon to open the documents in the web interface.
5. Select the " icon to disassociate a document with the workflow. Please note, though, that this only deletes the document from the workflow item. It will still be saved in the relevant case folder in TRIM.
6. At the bottom of the workflow item page as shown above, please note the following:
   6. **Assign Roles or People to the future steps** fields are included in most workflow steps to be completed by faculty administrators and are used to assign specific activities and email notifications to UoS Coordinators and Academic Decision Makers. Note, if a student requests that their UoS Coordinator not be involved in the appeal process, you can allocate the UoS Coordinator step to yourself to progress the appeal.
7. Click the Complete Allocation icon to complete the step/task.
The CREATE AND REFERENCE RECORDS tab stores approved letter templates that can be downloaded and subsequently modified before being sent to students from both within the system and on your PC.

The WORKFLOW NOTES tab provides an alternative way to add case notes within and between workflow steps. Please note:

1. Select the icon in the bottom right-hand side of the workflow item page to view the notes associated with a case in the workflow portal.
2. Add notes via the free-text box under Add Notes to Workflow.

5.5 Uploading documents to the workflow

To associate new documents with a case via the workflow portal:
1. Select Choose File (or Browse) and then the relevant document on your computer.
2. Name the document in the New Document Title field (this should be the same name as the file you are uploading).
4. Select the magnifying glass icon next to the draft letter and open the downloaded file.
5. Check that it is the correct document and free from errors. If you identify errors, repeat the previous steps taken when creating the letter.
5.6 Creating letters from approved templates

All letters sent to students must be saved according to the following naming convention:

(To be advised)

There are two ways to create and edit letters at each decision step in the process, either from templates stored in the workflow portal or that you may have saved on your hard drive.

Creating the draft letter from a stored workflow template
1. Choose the Create and Reference Records tab in the workflow portal.
2. Select the document template specified in the instructions for the step you are working on (2019 Template Appeals Outcome Test copy).
3. In the field New Documents Title, include the student's ID, name and the UOS code.

There are then two ways to edit the letter, either by way of a live edit in TRIM or on your desktop.

a) Editing the letter in HPRM:
1. Click the Create Document From Template button and open the downloaded file with the title 2019 Template Appeals Outcome Test copy.
2. Once HP Records Manager is open, right click this document and select Edit from the drop down menu.
3. Copy any relevant comments and information into the appropriate section of the template. Please also ensure you check the letter for errors, consistency of style, and clarity.
4. Once you are happy with the document, save and close the document in HP Records Manager, return to the workflow portal, and refresh the workflow page.

b) Editing the letter on your desktop:
1. Select the magnifying glass icon to the right of the new letter template saved to the workflow.
2. Open the downloaded template.
3. Copy any relevant comments and information into the appropriate section of the template. Please also ensure you check the letter for errors, consistency of style, and clarity.
4. Save the letter to your hard drive with the name given to it when it was downloaded (PDF format preferred but no essential).
5. Upload the letter to the workflow using the document uploader (instructions at 5.5 above).

Creating the draft letter from a template saved locally
1. Open the template saved on your hard drive.
2. Copy any relevant comments and information into the appropriate section of the template. Please also ensure you check the letter for errors, consistency of style, and clarity.
3. Save the letter to your hard drive with a title mirroring the title of the template (PDF format preferred but not essential).
4. Upload the letter to the workflow using the document uploader (instructions at 5.5 above).
6 SYSTEM SEARCHES AND REPORTS

6.1 Simple searches and generating reports in the workflow portal

The Enquiry function in the workflow portal offers a simple way of searching for one or more workflow items. To do so:

1. Click Enquiry in the top menu bar.
2. Set the Display Limit to above 200 items.
3. Select the Faculty Level Academic Appeals Relating to UoS or Faculty Level Academic Appeals Relating to Course template as the Workflow Template.
4. In the Workflow Title Filter, enter your faculty code to search all cases for your faculty and then use the Date Registered to the right to limit the search in a date range. You can also enter a SID within the Workflow Title Filter to search for cases relating to one student.
5. Tick Include completed workflow if appropriate.
6. Click the Search button to kick off a search.

7. Click the + button in front of the case to expand the workflow to show all activities.
8. Click **Report Viewer** button to generate a HTML table of the report (see first search image).

9. Click the **Export drop down menu** button to export and save the report to your computer.

### 6.2 Using saved searches in HPRM – all cases

Accessing saved searches within HPRM offers a simple way of searching for workflow cases lodged within your faculty. To do so:

1. Click **Tools** and select **Saved Searches**. You should be able to see a list of existing saved searches.

2. Click on the **saved search name column** to sort the saved searches by name in descending order. **Please Note:** Saved searches relating to workflows will all begin with the prefix ‘WF’.

3. Click on the ‘WF FLA Relating to Course and UOS <Faculty>’ saved search relating to your faculty. This search will return a result for all workflow cases lodged within your faculty (including completed cases).
6.3 Configuring view of Workflow search results

Setting the pre-set columns within HPRM will ensure your computer is adequately configured to fully engage with the workflow system and will allow you to collect meaningful and appropriate data for faculty reporting. To do so:

1. Search for a Workflow using the saved search (see section 6.2 for more details):

2. Once your search (or saved search) has returned results, right click on any of the workflow heading columns e.g. Name, select Format Columns (seen below).

3. Locate the following list of options (below) from the left hand pane Available Columns, and as you locate each option, click the Add button (in the centre of the screen) to add it to your default list of Displayed Columns (right hand pane).

- Job Number
- FlexSIS SID Number
- Name
- Date Registered
- Module Completed
- Date Completed
- Workflow Outcome
- Date Completed
4. Position and arrange your displayed columns as follows (using the **up** and **down** buttons located to the bottom of the window):

<table>
<thead>
<tr>
<th>Displayed Columns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Number</td>
</tr>
<tr>
<td>FlexSIS SID Number</td>
</tr>
<tr>
<td>Name</td>
</tr>
<tr>
<td>workflow:FlaggedDocNumbers</td>
</tr>
<tr>
<td>Date Registered</td>
</tr>
<tr>
<td>Module Completed</td>
</tr>
<tr>
<td>Date Completed</td>
</tr>
<tr>
<td>Workflow Outcome</td>
</tr>
<tr>
<td>Date Completed</td>
</tr>
</tbody>
</table>

5. Once you have arranged your columns, click the **OK** button to save the changes and close the window.

**Please Note:**

<table>
<thead>
<tr>
<th>Column Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Number</td>
<td>The Workflow Job Number e.g. 16/XXX.</td>
</tr>
<tr>
<td>FlexSIS SID Number</td>
<td>The Students SID.</td>
</tr>
<tr>
<td>Name</td>
<td>The Workflow Name including; Faculty, UOS Code, The Students SID, The Students full name, and a date and time stamp (when the case was lodged) – Year, Month, Day, Time (24hr).</td>
</tr>
<tr>
<td>Date Registered</td>
<td>The date and time the workflow was lodged.</td>
</tr>
<tr>
<td>Module Completed</td>
<td>The Additional Development Course run by the learning centre which the student has completed as a part of the Preliminary decision 'Additional Development and Resubmission'.</td>
</tr>
<tr>
<td>Date Completed</td>
<td>The date the student completed the required learning centre module.</td>
</tr>
<tr>
<td>Workflow Outcome</td>
<td>The case decision or final outcome for the workflow case.</td>
</tr>
<tr>
<td>Date Completed</td>
<td>The date the workflow case was completed.</td>
</tr>
</tbody>
</table>
6.4 Using saved searches in HPRM – case progress and activities

Searching for a workflow and displaying its current activity will allow you to determine (A) what activity step a workflow has progressed to and (B) who the current activity step is assigned to. To do so:

1. Search for a Workflow using the following saved search as relevant to your faculty:

2. Once your search has returned results, click once on the desired workflow, then right click and select Show Activities.

3. Click the Activity State column heading to sort the column and scroll through until you locate Started (or Ready to Start).
4. Click once to highlight the row (once you’ve located either of these activity states).

Note: This will assist in locating the current activity step in progress – see below for greater detail).

Note: If Activity State is not present within your preset columns, follow the same steps under section 6.3, and add Activity State to your preset columns.

Note: The Activity State column will tell you the nature of the step, including the following:

<table>
<thead>
<tr>
<th>Activity State</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Started</td>
<td>The activity step is in progress / has started.</td>
</tr>
<tr>
<td>Ready to Start</td>
<td>The activity step is in progress / has started.</td>
</tr>
<tr>
<td>Skipped</td>
<td>The activity step has been skipped.</td>
</tr>
<tr>
<td>Finally Completed</td>
<td>The activity step has been completed.</td>
</tr>
<tr>
<td>Not Ready to Start</td>
<td>The activity step is not yet ready to start.</td>
</tr>
</tbody>
</table>
(A) What activity step a workflow has progressed to:

5. With the Started (or Ready to start) Activity State row highlighted (as per section 6.3 above), scroll across to the Name column heading, to determine what activity step the workflow is currently at.

Note: As seen below, this workflow is currently sitting at activity step “2 Faculty Level Academic Appeal Admin to assess the application.”

(B) Who the current activity step is assigned to:

6. Again, with the Started (or Ready to start) Activity State highlighted (as per section 6.3 above) scroll across to the Assigned To column heading, to determine who the activity step is currently assigned to.

Note: As seen below, the workflow activity step is assigned to WF – Appeal - ARTS (who is responsible for completing this workflow step).

Overdue Activities:

7. Overdue activities can be identified by;
   a) The (red) icon (at the start of the activity step title – visible under the Name column) and,
   b) If the date under the Due Date column has passed.

Note: Activity step due dates are generated by the workflow system and should be referred to as a guide rather than an absolute deadline.

6.5 Searching for individual workflows

Searching for an individual workflow will allow you locate specific workflows lodged against a student or against a particular UOS code.

Searching for specific Workflows (either for a student or UOS code) will help you determine;
- What documents have been added to the workflow.
- The case initiator of the workflow.
- Specifics of the workflow i.e. attendance pattern, gender, whether they are a local/international student, etc.
- The final outcome or case determination of the workflow.
- Any specific penalties applied as a result of the case determination/final outcome.

To do so:

1. Use the shortcut Ctrl + W to open the search for workflow window.

Note: If this shortcut is not working, please navigate to Help then select Use Default Layout, then use the shortcut Ctrl + W again.

2. Within the Search for Workflows window, click on the Editor button and select Multi-field.
3. Ensure that the Template text box has Faculty Level Academic Appeals Relating To Course or Faculty Level Academic Appeals Relating to UOS is entered. (To select this template; Click the blue folder icon then select the relevant template then click OK).

4. To locate a workflow for a specific student, enter the student's SID within the Name text box as follows: *SID* e.g. *299900001*

   Note: To search for all cases relating to a specific UOS Code, type the UOS Code within the name text box instead of a SID e.g. *UOSC*

   The Workflow Dates tab can further refine your search to display workflows registered (or lodged) within a specific timeframe or on a particular date.
5. Click OK to display search results.

**Note:** If your search has not brought back the results you desired, hit the F7 key on your keyboard to refine your search and modify your searching criteria as necessary.

### 6.6 Viewing workflow records in HPRM

Viewing the associated records of a workflow, allows you to verify what has been uploaded to a workflow at any stage of the case. Furthermore, you can view and verify what letters and attachments have gone out to a student – see section 6.8 for more detail. To do so:

1. Search for workflow using Ctrl +W - see section 6.5 above for further detail.
2. Once you have located the workflow, (click once on the workflow to highlight it) and then right click and select **Show Records**.

3. All associated records including the initial web form submission will be displayed as follows.

**Note:** The web form or initiating document, will have the + next to the document icon.
6.7 Adding records after a workflow has been closed

Adding records (emails and documents) to a workflow once it has been closed off is important, as all correspondence and documentation (relating to a workflow case) must be filed within the workflow case folder. To do so follow procedure A or B below:

**A: Outlook and HPRM**

1. Search for the (recently closed) workflow (Ctrl + W) to establish the **record number** of the **workflow case folder**.
2. The case folder for this workflow can be determined by right clicking on the workflow (once it’s highlighted) and selecting **Show Records**.
3. The web form (or initiating document) and all documents associated to the workflow will be displayed.

   ![Table](image)

   **Note:** The web form (Initiating doc) has the + icon next to the document icon.

4. Click (and highlight) the web form, then right click and select **Navigation**, then select **Container Record**. This will take you to the **case folder** (seen below).

   ![Image](image)

5. **Copy the record number of the case folder.** (e.g. E19-875).

**Cataloguing an email and or attachments from Microsoft Outlook into HPRM (TRIM) case folder:**

**Note:** if you do not have the outlook add-in installed, please add the email/document to the case folder via **Records Online or HPRM**. If you require instructions for this, please contact Archives and Records Management Services.
6. Open Microsoft Outlook, and click the HP Records Manager tab within Outlook.

7. Click on the appropriate email (to be filed into the case folder), then click either the Catalogue or Catalogue attachment(s) only button.

Note: The Catalogue button will catalogue the email including any attachments, while Catalogue attachment(s) only will only catalogue the attachment(s) of an email and not the email itself.

8. Once you’ve clicked the appropriate outlook button, paste the case folder record number (which you copied in step 5) into the Container field (e.g. E19-875).

9. Click OK. The Email (Including any attachment(s), or just the attachment(s)) are now contained within the workflow case folder of the closed workflow.
B: Records Online

1. Open/log into records Online and then search for the students student file using Record Number.

2. Enter the students SID then click on the Containers search button.

3. Click View on the students student file.
4. Within the Record Properties page (of the student file), scroll down to the Contents Tab and locate the Workflow Case folder (highlighted in red).

5. Click View button on the student’s case file. The Record Properties (of the case folder) will then be displayed.

6. To add documents to the case folder, click the Add Document tab.

7. Please follow steps below:
   1. Enter a title for the document within the Title field text box.
   2. Select the document to upload from your desktop or share drive, using the Choose File button.
   3. Click the Upload the document and create a new Record button to upload document to case file.
   4. Once uploaded, you will be able to upload additional documents by clicking the Reset for another Upload button.
6.8 Checking documents attached to student notifications

Checking documents attached to student notifications, will allow you to verify that the correct and appropriate documents, instructions and notifications have been sent out to the student, (A).
Additionally, you will also be able to confirm that a student did receive an email notification with an attached letter, if doubts are ever raised by the student over this part of the procedure, (B).

To do so, please follow the steps below:

(A) What documents were ticked or checked for sending to the student (within the Workflow Portal)?

Note: This procedure will reveal the documents that were ticked/checked and sent out to a student at the last and most recently completed student letter step.

Please assume the following scenario for this procedure:

You have just completed step 5A Not upheld/ 5B Upheld – Admin to prepare outcome letter below, (or a similar step and have made sure to tick/check the student letter along with other supporting documentation) for sending out to the student (as seen below).

Note:
- Any documents with ticked/checked boxes will be sent out to the student once you complete the activity step.
- Student letters should verified and approved by the Faculty Academic Decision maker or offline from the workflow portal through email (before sending via the workflow portal).

1. Once your assigned activity step has been completed and the case has left your My Items, open up HPRM (TRIM) and search for the workflow case (Ctrl +W).
2. Locate your workflow (as seen below).

Right click on any of the workflows headings e.g. Name and select Format Columns (see section 6.3 for more detail regarding formatting the pre-set columns within HPRM).

3. Locate Workflow:FlaggedDocNumbers from the left hand pane (as seen below) and click the Add button (in the centre of the screen), to add it to you default list of HPRM columns.

4. Position and arrange your display columns as follows (using the up and down buttons located to the bottom of the window):

5. Once you have arranged your columns, click the OK button to save the changes and close the window.

6. Under the Workflow:FlaggedDocNumbers column heading, any document numbers showing will be what was last ticked/checked for sending to the student within the workflow portal.

(B) A student claims they did not receive the student email (with attachment/s) or the letter attachment within the student email.

Note: Emails sent out to students (from the workflow system) are saved back into the workflow case folder and workflow itself, which can be viewed within HPRM (TRIM) and within the Workflow Portal.

Note: If the student email/s are not contained within the case folder or workflow please contact Records Management Services.

1. Locate the student workflow within HRPM, right click on the workflow and select Show Records.
2. Locate and open the student email

Note: If multiple student emails are located, you will need to open the email/document and verify the sent date (and any attachments/decision letters) to ensure you are looking at the correct email/document).
3. **Open an email.** As seen below, the sent date, time, attached documents and student email address can be confirmed.

Selecting File, then Launch will natively open the email within Outlook.

![Email Attachment](image)

**Note:** This method is only available with HPRM (TRIM) installed naively on your PC. If you are a MAC user please contact Records Management Services for an alternative procedure.

4. **Double click the document attachments to open them and verify their contents.**

**Note:** If you require further clarification as to whether the student received, opened/viewed or deleted the email, please lodge a ticket within the ICT Self-Service portal and reference the HPRM document number (of the student email) and subject line (of the student email) to assist ICT with their investigation.
6.9 Generating complex reports in HPRM

Generating reports within HPRM (TRIM) allows you to produce specific reports capturing more information than is available within the Workflow Portal. To do so:

1. Launch HPRM (TRIM) from your desktop shortcut.
2. Use the shortcut Ctrl + W to launch the Search for Workflow dialogue box.

**Note:** if you do not immediately see the below search window, click Find Workflows from the Search menu and then select Multi-field from the Editor drop down list.

3. Enter your faculty code with an asterisk (*) at the beginning and end – e.g. *SCIE* to search for faculty specific cases or enter SID *299900001* (this is just a test SID) to search for cases relating to that student.
4. Select the Faculty Level Academic Appeals Relating To Course or Faculty Level Academic Appeals Relating to UOS.
5. Click on the **Workflow Dates** tab, and enter a **date range** for your search.

6. Click the **Additional Fields** tab. You can specify specific fields as filters. Double click on the field and set a value or searching criteria, click OK.
7. Click the **Filter** tab; you may filter the complete workflow items if you wish.

8. Click the **Sort** tab to sort how the results of the search will be displayed.

9. Click the **Results** tab to re-set the display fields and ordering of these fields.
10. Highlight fields on the left pane and click **Add** to add them to your display columns.
11. Highlight fields on the right pane and click **Remove** to remove them from your display columns.
12. Highlight fields on the right pane and click the **Up** or **Down** buttons to change the display fields order.
13. Click **OK** to execute the search, and view the search results.
Dear Title Surname

Apellant Outcome

I write regarding your recent appeal to the [Faculty Name] in relation to X in Semester X, 20XX. I have reviewed your appeal and conferred with the relevant Faculty staff. Your appeal is upheld/not upheld. The reasons for my decision are set out as follows:

**Chronology of events (Faculty's discretion)**

On DATE, you received your original decision

On DATE, you initiated a resolution with the decision-maker, x. The outcome of your resolution was…

On DATE, you consequently submitted an appeal to the [Faculty name]. In your appeal you claimed…

On DATE, the [Faculty name] confirmed receipt of your appeal by email (automated email sent when students lodge appeal).

**The relevant policy (Faculty's discretion)**

The excerpts below are from the policy that applied at the time of the original academic decision.

– Example

– The Coursework Policy 2014 states under Clause 61 – Assessment principles and their implementation:

  – (1) The following principles apply to assessment at the University.
  – (a) Assessment practices must advance student learning.
  – (b) Assessment practices must be communicated clearly to students and staff.
  – (c) Assessment practices must be valid and fair.
  – (d) Assessment practices must be continuously improved and updated.
(2) The University’s assessment principles will be implemented in accordance with the implementation statements set out in this policy.
(3) The procedures for operation of the implementation statements are set out in the Assessment Procedures 2011.

**Reasons for the appeal outcome**

I am satisfied that in determining the outcome of this appeal the [Faculty name] has acted in accordance with University rules, policies and procedures. If you believe that due academic process was not followed in the making of this academic decision, you have 15 working days to appeal to the Student Appeals Body from the date this letter is issued to you. Information on appealing to the SAB can be found online at: [https://sydney.edu.au/students/academic-appeals.htm](https://sydney.edu.au/students/academic-appeals.htm).

Please retain this letter for your records.

Yours sincerely

Title Name
Associate Dean, Faculty Name

cc. original decision-maker
7.2 Student Email Examples

Faculty Level Academic Appeal Relating to Unit of Study

1. Your Academic Application has been received (acknowledgement)

Your reference number is: DOC2019/161276

Please do not reply to this email.

Dear [Name],

We have received your appeal, in accordance with the University of Sydney (Student Appeals against Academic Decisions) Rule 2006 (as amended). It is important to continue attending classes and submitting assessments as per usual, during the appeals process.

Please note that if you have completed or are about to complete the requirements of your award course, you must contact the Graduations Office (email: audits.office@sydney.edu.au) to defer the conferral of your degree until a decision on your appeal has been finalised.

If you require assistance with the appeals process it is recommended that you seek advice from a caseworker at the Student Representative Council (if you are an undergraduate student) or the Sydney University Postgraduates Representative Association (if you are a postgraduate student). Your appeal is under consideration and you will be notified when an outcome has been determined.

Regards

Appeals Officer
Sydney Law School

2. as your appeal application outcome (out of time)

Your reference number is: DOC2019/161280

Please do not reply to this email.

Dear [Name],

In accordance with Clause 5.2 of the University of Sydney (Student Appeals against Academic Decisions) Rule 2006 (as amended), you were required to lodge an appeal to the Faculty within 20 working days of the resolution with the decision-maker.

You did not submit your appeal within this timeframe, nor did you seek an extension from the Faculty/School to submit a late appeal. You also did not provide sufficient reasons to demonstrate that extenuating circumstances hindered your ability to submit an appeal by the due date.

Please refer to the University website, for information pertaining to appeal rights at the University of Sydney: https://sydney.edu.au/students/academic-appeals.html.

Regards

Appeals Officer
Business (Business School)
2bs your appeal application outcome (withdrawn)

Your reference number is: DOC2019/161280

Please do not reply to this email.

Dear [Name]

You have informed us that you have decided to withdraw your appeal against an academic decision. As such, your appeal will now be closed.

Please refer to the University website, for information pertaining to appeal rights at the University of Sydney: https://sydney.edu.au/students/academic-appeals.html

Regards

Appellate Officer

Business (Business School)

2cs informal appeal not exhausted (Local resolution not exhausted)

Your reference number is: DOC2019/160420

Please do not reply to this email.

Dear [Name]

I refer to your appeal submitted to the Faculty.

It appears that you have not yet sought a resolution with the decision-maker, in accordance with University of Sydney (Student Appeals against Academic Decisions) Rule 2006 (as amended), (the Rule).

The University encourages all students to seek resolution with the decision-maker, as the first stage of the appeals process. You have 15 working days from when the academic decision was made to make an enquiry with the decision-maker, which may include your tutor, lecturer or unit of study coordinator. As such, please contact them via email to raise your concerns.

If your concerns cannot be resolved through resolution with the original decision-maker, the next stage is to submit a formal appeal to the relevant Faculty or administrative unit. A formal appeal needs to be submitted within 20 working days of receiving an outcome from your request for resolution, or the most recent decision made on the disputed decision.

If you require assistance with the appeals process it is recommended that you seek advice from a caseworker at the Student Representative Council (if you are an undergraduate student) or the Sydney University Postgraduate Representative Association (if you are a postgraduate student).

Please refer to the University website, for information pertaining to appeal rights at the University of Sydney: https://sydney.edu.au/students/academic-appeals.html

Regards

Appellate Officer

Business (Business School)
5s decision about your appeal (outcome)

Your reference number is: DOC2019/169926

Please do not reply to this email.

Dear [Name]

I refer to your appeal submitted to the Faculty/School.

A determination in relation to your appeal has been made, please find the outcome attached.

Consistent with University of Sydney (Student Appeals against Academic Decisions) Rule 2006 (as amended), please be advised that you may lodge a further appeal to the Student Appeals Body, if you believe that due process has not been followed in the determination of this appeal.

Please refer to the University website, for information pertaining to appeal rights at the University of Sydney: [https://sydney.edu.au/students/academic-appeals.html](https://sydney.edu.au/students/academic-appeals.html)

Regards

Appeals Officer

Arts and Social Sciences
Faculty Level Academic Appeal Relating to Course

1s Your Academic Application has been received (Acknowledgement)

Your reference number is: DOC2019/161006

Please do not reply to this email.

Dear [Name],

We have received your appeal, in accordance with the University of Sydney (Student Appeals against Academic Decisions) Rule 2006 (as amended).

It is important to continue attending classes and submitting assessments as per usual, during the appeals process.

Please note that if you have completed or are about to complete the requirements of your award course, you must contact the Graduations Office (email: gradoffice@sydney.edu.au) to defer the conferral of your degree until a decision on your appeal has been finalized.

If you require assistance with the appeals process it is recommended that you seek advice from a caseworker at the Student Representative Council (if you are an undergraduate student) or the Sydney University Postgraduate Representative Association (if you are a postgraduate student).

Your appeal is under consideration and you will be notified when an outcome has been determined.

Regards
Appeals Officer
Arts and Social Sciences

2as Out of time faculty appeal - email notification (out of time)

Your reference number is: DOC2019/161266

Please do not reply to this email.

Dear [Name],

In accordance with Clause 5.2 of the University of Sydney (Student Appeals against Academic Decisions) Rule 2006 (as amended), you were required to lodge an appeal to the Faculty within 20 working days of the resolution with the decision-maker.

You did not submit your appeal within this timeframe, nor did you seek an extension from the Faculty to submit a late appeal. You also did not provide sufficient reasons to demonstrate that extenuating circumstances hindered your ability to submit an appeal by the due date.

As such, the Faculty/School will not be accepting your appeal. Please refer to the University website, for further appeal rights: https://sydney.edu.au/students/academic-appeals.html.

Regards
Appeals Officer
Faculty of Engineering and Information Technologies
2bs You have withdrawn your appeal case (withdrawn)

Your reference number is: DOC2019/161266

Please do not reply to this email.

Dear [Redacted]

The Faculty/School has been advised that you have decided to withdraw your appeal against an academic decision. As such, the Faculty will now close your appeal.

Please refer to the University website, for information pertaining to appeal rights at the University of Sydney: [https://sydney.edu.au/students/academic-appeals.html](https://sydney.edu.au/students/academic-appeals.html).

Regards

Appeals Officer

Faculty of Engineering and Information Technologies

2ds Incorrect Faculty lodgement (Incorrect Faculty):

Your reference number is: DOC2019/161266

Please do not reply to this email.

Dear [Redacted]

You have lodged your appeal with the incorrect Faculty/School. Please refer to the University website, for information pertaining to appeal rights at the University of Sydney: [https://sydney.edu.au/students/academic-appeals.html](https://sydney.edu.au/students/academic-appeals.html).

Regards

Appeals Officer

Faculty of Engineering and Information Technologies

3s notifying student of outcome (Outcome):

Your reference number is: DOC2019/161266

Please do not reply to this email.

Dear [Redacted]

I refer to your appeal submitted to the Faculty/School.

A determination in relation to your appeal has been made, please find the outcome attached.

Consistent with [University of Sydney (Student Appeals against Academic Decisions) Rule 2006 (as amended)], please be advised that you may lodge a further appeal to the Student Appeals Body, if you believe that due academic process has not been followed in the determination of this appeal.

Please refer to the University website, for information pertaining to appeal rights at the University of Sydney: [https://sydney.edu.au/students/academic-appeals.html](https://sydney.edu.au/students/academic-appeals.html).

Regards

Appeals Officer

Faculty of Engineering and Information Technologies
### 7.3 Frequently Asked Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
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| How will I be notified of a new appeal?                                 | - Appeal Administrators will have the task in their workflow portal tray. The original appeal and all supporting documentation will be included.  
- UOS Coordinators and Academic Decision Makers will receive emails with all case information attached. Where they need to complete a task, they can click on the decision link within the email to complete the task. |
| How do UOS Coordinators and Academic Decision Makers complete tasks allocated to them? | - An email will be sent with all appeal information attached for review.  
- Where a decision is required, there are links that reflect each option. Clicking the chosen link opens a return email where additional comments and attachments can be uploaded  
- Once all attachments and information have been added, press send to update the workflow with your decision and attachments  
| Who can make an Academic Decision?                                      | As per 3.2.4 and 3.2.5 of the Appeals Rule                                                                                                                                                                                                                                    |
| Can the outcome letter templates be customised for each faculty?        | Yes, if you would like a customised template, please supply the details that you would like included as standard for your faculty                                                                                                                                               |
| Are the timeframes prescribed for each step mandatory?                  | The workflows have been designed to reflect policy that appeals will be processed within 10 working days. The system will not lock you out if you have not completed your step within the allocated timeframe, rather this is a guideline to work towards.                                           |
| Can we request changes to mandatory documents, process, instructions etc.? | Yes, Records Management will gather feedback for the first few months of the new appeal system, and conduct a consultation to determine what changes need to be made. Please email your feedback to [records.online@sydney.edu.au](mailto:records.online@sydney.edu.au). |
| Who can be given permission to lodge a form on behalf of a student?     | If students are no longer enrolled, they will not have access to lodge the appeal form. A nominated Appeal Administrator can lodge this form on their behalf if the faculty has agreed to accept the appeal. If your faculty does not have a nominated person with this access and it is required, please send your request in writing to [records.online@sydney.edu.au](mailto:records.online@sydney.edu.au). |
| What type of appeals can be submitted in ‘Other’?                       | The form has been left quite flexible at this stage. It may be used for appeals such as Candidature Variation. Records Management will monitor the types of appeals submitted through the ‘Other’ option to determine whether new appeal types should be added to the form. |
| **Will the appeal form be updated if the Appeals Rule changes?** | Yes, as the appeals rule is currently under review, it is likely that minor changes to appeal types will be required to reflect the new rule for all Academic appealable decisions. |
| **Who can assist if I have queries relating to this form?** | **Archives & Records Management Services**  
http://sydney.edu.au/arms  
recordsonline@sydney.edu.au  
+61 2 9036 9537 (x69537)  

**Student Affairs Unit**  
http://sydney.edu.au/student_affairs  
studentaffairs@sydney.edu.au  
+61 1800 793 864 |