

APPEALS PROCEDURE



Purpose

To provide all appeals of assessment and moderation with a fair and reasonable process. This procedure is linked to the Appeals Policy.

Rationale

To clearly identify the roles and responsibilities of the people involved in the process.

Accountability

- The CEO is accountable for the Appeal Procedure approval.
- Responsibility for managing, developing and/or reviewing this procedure can be delegated to other ITO staff.
- The National Moderator is responsible for managing the appeal process.

Review Date

This procedure is to be reviewed as part of the ITO Quality Management System Review.

Appeal of Assessment

Step One

The first priority is to seek to resolve concerns informally in the workplace.

1. The candidate is to notify the assessor of their concerns regarding an assessment decision, and arrange with the assessor a suitable time for discussing the matter.
2. The candidate and assessor are to discuss the concerns with the assessor providing information in a timely and professional manner.
3. The candidate may accept or reject the conclusions reached and the resulting assessment decisions taken by the assessor.
4. If the candidate does not accept the assessor's decision, the assessor is to ensure that the candidate is fully informed of the appeal process, cost, and the responsibilities of the candidate. The assessor is to provide the candidate with an ITO Appeal Form.

Step Two

Step two seeks to obtain an independent review of the assessment decision by way of a formal appeal.

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1. On receipt of an Appeal Form, the candidate completes it and advises the assessor that an appeal will be lodged with the ITO.
2. The assessor is to make a detailed written explanation on the Appeal Form, clearly stating:
 - a. what evidence has been considered (including verbal answers given in discussion with the candidate),
 - b. what assessment decision was made and
 - c. why the decision was made
 and sign it.
3. The assessor is to copy the form, retain the copy and return the original to the candidate who is then to sign the form and send it to the National Moderator.
4. The National Moderator will consider the evidence presented and will seek any additional verbal or written evidence considered necessary
5. The National Moderator makes a recommendation on the overall evidence received and advises the parties. A file note is to be kept on ITO files.
6. The National Moderator is to advise the parties in writing, and outline that either party may appeal directly to the CEO.
7. If the assessment decision is not acceptable to either party, the National Moderator will advise the CEO of the outcome of the investigation who will make a decision based on the evidence supplied. The CEO may request further information from any party.
8. The CEO's decision will be final and binding on all parties.
9. Where an appeal is upheld, the ITO will take immediate steps to implement any changes required.

Appeal of Moderation

1. If the moderation process does not act as a workforce development opportunity for an assessor or training provider, and they feel that an appeal is warranted, they may appeal a moderation decision.
2. An assessor or training provider with concerns over the process or outcome of moderation is to complete the Appeal form and submit it to the National Moderator.
3. The same process for assessment appeals (numbers 5-9 above).

Linked Documents

Appeals Policy

Assessment and Moderation Policy

Assessor Management

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Stakeholders

Candidates

Assessors

National Moderator

Regional or other moderators (if appropriate)

NZQA

CEO

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