

APPEAL PROCEDURE

Section	Procedure
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Appeals Procedure

Author	Position	Signature	Date

Approved by

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1. PURPOSE:

The purpose of this document is to describe the process and procedure to follow where a dispute arises from any assessment that took place on any learning that has been applied.

2. SCOPE:

The scope of this procedure will cover the appeals on assessments done, the moderation that follows and the investigatory panel that would provide a resolution on the outcome of the appeal.

3. REFERENCES:

None

4. DEFINITIONS:

None

5. PROCEDURE:

5.1 Stage One:

- a) Where the candidate disagrees with the assessment given (s)he must explain the reasons for this to the assessor concerned as soon as possible. In most circumstances this will be immediately after receiving the assessment decision.
- b) The assessor should consider the candidate's explanation and provide a response through:
 - a clear explanation or a repeat explanation of the assessment decision following a re-evaluation of the evidence
 - completion of Section 1 of the Candidate Appeal Form
 - amendment of the candidate's assessment record, if appropriate.
- c) This should take place as quickly as possible and within 3 working days.
- d) If the candidate agrees with the outcome at this stage then the appeal will not proceed any further.
- e) If the candidate is not happy with the outcome then the Appeal will proceed to Stage Two.

5.2 Stage 2:

- a) The assessor forwards to the Moderator (M) for the relevant section (i.e. mining) within 3 working days of Stage one:
 - the original assessment record and candidate evidence, where appropriate
 - the Candidate Appeal Form, with Section 1 completed
- b) The M will reconsider the assessment decision, normally involving an evaluation of:
 - the candidate's evidence and associated records
 - the assessor's rationale for the decision
 - the opinion of another assessor
 - the opinion of the candidate
- c) The M should complete Section 2 of the Candidate Appeal Form and provide the candidate with the reconsidered decision within 5 working days of receiving the appeal.
- d) Where the candidate remains unhappy with the reconsidered assessment decision, the Appeal must proceed to Stage Three.

5.3 Stage 3 - Investigatory Panel:

- a) If no resolution has been reached, the Stage Two Internal Verifier will forward details to the Unit Assessor (UA). These should include:
 - Candidate Appeal Form, appropriately completed
 - Assessment records
 - Any written comments from the IV (e.g. background details)
- b) The UA will then, within 10 working days, convene a panel comprising:
 - the UA
 - the Stage Two M
 - another assessor from the relevant discipline
- c) The panel will evaluate the situation and complete Section 3 of the Candidate Appeal Form and the candidate of its decision within 5 working days.
- d) If the candidate is still not satisfied with the outcome (s)he has the right to take the Appeal to the Appeals Panel.

5.4 Stage Four - Appeals Panel

- a) The UA will forward relevant details to the Group Assessor (GA) and these should include:
 - Candidate Appeal Form, appropriately completed, (including the reason for the decision of the Investigatory Panel)
 - assessment record sheets
 - written comments from the M (as supplied to Stage Three panel)

- b) The GA will convene, within 10 working days of notification, a panel comprising:
 - the GA or the appropriate senior post holder
 - the Stage Two M
 - the original assessor

The candidate should be invited to attend with a friend/colleague of the candidate if they wish. The panel will reconsider the assessment evidence, led by the GA.

- c) The panel must reach a decision and inform the candidate of the result within 5 days, in writing.

- d) The decision of the panel is final.

- e) Records of all appeals should be logged and made available as appropriate to:
 - the External Verifier
 - the quality assurance group with responsibility for assessment.

APPEAL AGAINST ASSESSMENT

UNIT STANDARD NAME: _____

UNIT STANDARD NUMBER: _____

NAME OF ASSESSOR: _____

NAME OF LEARNER: _____

DATE OF ASSESSMENT: _____

FINDING OF ORIGINAL ASSESSMENT:

REASON FOR APPEAL OF LEARNER:

SIGNATURE

DATE

PREFERRED MEDIATOR : _____

**CHECKLIST AND APPLICATION TO APPEAL
AGAINST UNFAIR ASSESSMENT**

Date of assessment: (mm/dd/yy) _____

Assessor: (Full name) _____

Name of candidate: _____

Skill assessed on: _____

Type of assessment: _____

Application received by: _____

STAGE 1

1.) Reason for/ details of appeal:

2.) Did the candidate explain the above to the assessor? YES / NO

3.) Did the assessor re-evaluate the evidence? YES / NO

4.) Was the assessment amended? YES / NO

*(THIS FORM SHOULD BE COMPLETED WITHIN 3 WORKING DAYS
AFTER THE APPEAL.)*

STAGE 2

- 1.) Date received by moderator: (mm/dd/yy) _____
- 2.) Original assessment record and candidate evidence received ? YES / NO
- 3.) Moderator assessment; decision involving:
- Candidate evidence
 - Assessor rationale
 - Opinion on the assessor
 - Opinion of candidate

(THE FINDING TOGETHER WITH A COPY OF THIS APPEAL FORM MUST BE HANDED TO THE LEARNER WITHIN 5 WORKING DAYS. IF LEARNER IS STILL UNHAPPY PROCEED TO STAGE 3)

STAGE 3

1. Internal verifier forward details to unit assessor.
Date received _____

2. Assessor records received ? YES / NO

3. Comments or background? YES / NO

4. Was a panel appointed by the verifier consisting of
Unit assessor YES / NO
Moderator of stage 2 YES / NO
Another assessor from a related discipline YES / NO

5. Outcome of appeal:

(CANDIDATE MUST BE INFORMED OF THE DECISION WITHIN 5 WORKING DAYS. SHOULD THE CANDIDATE BE UNHAPPY HE/SHE CAN APPEAL TO THE APPEAL PANEL).

