



TLRI: Appeals and/or complaints process

APPEALS AND COMPLAINTS POLICY AND PROCEDURE

To safeguard the integrity and transparency of the Initiative NZCER has established an appeals and complaints procedure.

- The **appeals procedure** is for appeals against decisions taken in relation to short-listing and funding.
- **The complaints procedure** would be invoked in situations where an organisation or individual had reason to believe that they had not been appropriately dealt with, or believed that NZCER in its role as co-ordinator through failure or omission had not acted properly.

Appeals and Complaints Procedure

Where an organisation or individual is aggrieved and believes grounds exist for an appeal or complaint they should signal their intent in writing to the Advisory Board of the Initiative within 10 working days of receipt of the funding decision, or of becoming aware of the problem. Alternatively within that time period they could approach the Director of NZCER with their appeal/complaint, and if this does not lead to a satisfactory resolution proceed with a written complaint. The Advisory Board would then appoint two members to deal with the appeal/complaint.

Appeals against funding decisions

The process may be used for appeals against decisions not to short-list in stage one, or not to fund stage two applications to the *Teaching Learning Research Initiative*. The appeals process is designed to be transparent, simple and clear to all parties.

There is no right to appeal against the requirements and the criteria set out for the selection of Expressions of Interest and for full proposals. Nor is there the right to appeal on the grounds of relative quality with other expressions of interest or full proposals from the same funding cycle. Nor is there a right to appeal against the appointment of panel members or others involved in the assessment process.

There is the right to appeal on the basis of due process not being followed, or where there is evidence that the decision was made without consideration of all relevant and available information. The appeal needs to be based on evidence that due process was not followed in the selection process, or that the selection panel did not consider all relevant and supplied information in making its decision not to short-list or to fund the proposal.

Complaints

The complaints process would be invoked in situations not covered by the appeals against decisions and which related to an organisation or individual believing that they had not been treated fairly, or that a conflict of interest existed which was not appropriately dealt with, or that NZCER in its co-ordination had through failure or omission not acted properly.

Handling appeals and complaints

On receipt of an appeal or complaint the Advisory Board would appoint two members to a sub-committee which would investigate and make a recommendation to the Advisory Board. If the appeals committee found in favour of the appellant in respect of short-listing or a funding decision then depending on appropriateness and funds being available one of the following may be recommended:

- Inclusion in the short-listing if funding still to be allocated
- Automatic inclusion in short-list in next funding cycle
- Funding in the next funding cycle.

In the case of a complaint remedial action is likely to take the form of changes, to one or more of the policies, procedures, and documentation of the Teaching Learning Research Initiative, to avoid a repetition of the action which gave rise to the complaint.