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Mana Tohu Mātauranga o Aotearoa  
New Zealand Qualifications Authority

**Final version** for Board Chair signature for the purposes of section 452(1)(m) of the Education and Training Act 2020.

For NZQA Board: .....

A handwritten signature in black ink, appearing to be 'J. Lee', is written over the signature line.

Date:..... 14 Dec 2022 .....

## **NZQA Assessment Rules for Schools, TEOs assessing against Achievement Standards, and Candidates 2023**

# NZQA Assessment Rules for Schools, TEOs assessing against Achievement Standards, and Candidates 2023

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## 1. Authority, scope, application, commencement, and revocation

- a. These Rules, called the *NZQA Assessment Rules for Schools, TEOs assessing against Achievement Standards, and Candidates 2023*, are made under section 452(1)(m) of the Education and Training Act 2020 and cover all internal and external assessment carried out in relevant Schools and Tertiary Education Organisations (TEOs) assessing against Achievement Standards with Consent to Assess.
- b. The principles of fairness, validity and transparency of assessment practice for all Candidates are fundamental to the administration of qualifications and New Zealand Scholarship in Schools and underpin these Rules.
- c. These Rules specify general requirements for internal and external assessment, and particular processes, for:
  - i. the National Certificate of Educational Achievement (NCEA) at Levels 1, 2 and 3 that are listed on the NZQCF and Standards within those NCEA qualifications that are listed on the Directory:
  - ii. New Zealand Scholarship:
  - iii. New Zealand University Entrance.
- d. Schools carry out Internal and External Assessment for the purposes of paragraph 1.c.i - iii above, TEOs carry out Internal and External Assessment of Achievement Standards for the purposes of paragraph 1.c.i, and NZQA carries out External Assessment for the purposes of paragraph 1.c.i - iii above.
- e. These Rules should be read alongside:
  - i. the Consent to Assess Rules, which set out the quality management system requirements for relevant Schools; and
  - ii. the following documents that set out for Schools and TEOs specific requirements for assessment:
    - A. the [Consent and Moderation requirements](#)
    - B. the wording of the [Assessment Standard](#)
    - C. the Conditions of Assessment
    - D. the Assessment Specifications.
- f. These Rules are effective from 1 February 2023 and replace the following Rules which are revoked:
  - i. Assessment (including Examination) Rules for Schools with Consent to Assess 2022:
  - ii. Assessment (including Examination) Rules for Tertiary Education Organisations with Consent to Assess Entering Candidates for Achievement Standards 2022:
  - iii. Assessment (including Examination) Rules for Home-Schooled Students 2022.

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## 2. Definitions

In these Rules, unless the context otherwise requires:

**Academic year** is the time from the start of a school year until the published final date for reporting results for that year.

**Achievement Standard** means a standard that is derived from the achievement objectives of the New Zealand Curriculum and Te Marautanga o Aotearoa and developed by the Ministry of Education, and for the purposes of these Rules as they apply to TEOs also includes NCEA Co-requisite Standards.

**Act** means the [Education and Training Act 2020](#).

**Administrative Guidelines** refers to the published assessment related processes for Schools, TEOs, Candidates and NZQA.

**Applicable credits** means:

- a. Credits recorded on a Candidate's Record of Achievement;
- b. Candidate learning recognition credits;
- c. Credit equivalents gained through Credit Inclusion.

**Assessment Opportunity** refers to an instance where a Candidate is given an opportunity to be assessed against a Standard.

**Assessment Requirements** include the Assessment Standard, the Assessment Specifications, the Conditions of Assessment, and the Consent and Moderation Requirements ([CMRs](#)) [available on the NZQA website](#).

**Assessment Specifications** are the assessment parameters for each externally assessed Standard, which are published in December annually and updated by 31 March the following year, where necessary.

**Assessment Standard** means a Standard listed on the [Directory](#) that is not a skill Standard.

**Authenticity or authentic** is the assurance that the evidence submitted for assessment by a learner is their own, with the evidence being free of plagiarism, and any inclusion of work from another source acknowledged and appropriately referenced.

**Candidate** means a student entered for assessment against Standards on the Directory and/or [New Zealand Scholarship performance standards](#).

**Candidate Breaches of External Assessment** are described in [clause 3.1 of Schedule 5](#).

**Candidate learning recognition credits** means, in relation to a Candidate enrolled in a School in 2020 – 2022, credits that were awarded to that Candidate for the purposes of recognising the disruption to teaching, learning and assessment due to staff and student absences resulting from the impact of Covid-19 and other winter illnesses.

**Conditions of Assessment** are the assessment parameters [published for each internally assessed standard by the Ministry of Education](#).

**Consent to Assess** is the consent granted to an institution under section 449 of the Act.

**Consent to Assess Rules** means rules made under section 452 of the Act for the purposes of Consent to Assess.

**Credit** in the context of the credit value of a qualification, micro-credential or Standard, represents 10 notional learning hours for one credit.

**Credit equivalents gained through Credit inclusion** are described in [clause 7.4](#) of Schedule 1.

**Derived Grade** is a quality assured external assessment result provided by a School or TEO for an approved Candidate, the process for which is set out in [Schedule 2](#).

**Directory** means the **Directory of Assessment and Skill Standards** provided for in section 437 of the Act.

**Entry** refers to the information that Schools and TEOs send to NZQA indicating the Standards that a Candidate is enrolled in and is being assessed against.

**External Assessment** refers to the form of assessment of an activity (*such as an examination*) where the activity is developed and specified by NZQA, taken under specified conditions, and assessed by NZQA appointed panels.

**Internal Assessment** refers to the assessment or evaluation of Candidates' knowledge and skills by their teachers in their School or TEO.

**Moderation** is the process by which NZQA quality assures the assessment judgements of school and TEO assessment of internal standards to ensure that they are consistent nationally.

**NCEA Co-requisite standards** are the Te Reo Matatini me te Pāngarau | Literacy and Numeracy standards listed on the Directory.

**Nominee** means a staff member nominated by a School Principal, or nominated and appointed by a TEO, [under rule 3](#).

**NZQA** means the New Zealand Qualifications Authority as continued under section 430 of the Act.

**NZQCF** means the **New Zealand Qualifications and Credentials Framework** provided for in section 436 of the Act.

**Plagiarism** is where a Candidate has copied or paraphrased another person's work and has presented it as the Candidate's own work without full acknowledgement.

**Principal's Nominee** is a staff member nominated by the Principal of a School [under rule 3](#).

**Publish** means to make available on the [NZQA website](#).

**Qualification** means a qualification listed on the NZQCF.

**Record of Achievement** means an individual student's transcript of standards credited to the student, the credit value of the standards, and National or New Zealand Qualifications completed by the student, maintained by NZQA.

**Result** is the outcome of assessment of a student against a Standard as reported on a Candidate's Record of Achievement.

**school** means any relevant school (as defined in section 10(1) of the Act).

**School** means any relevant school (as defined in section 10(1) of the Act) with Consent to Assess.

**Special Assessment Conditions (SAC)** are NZQA approved assessment entitlements, provided to Candidates for recognised learning, behavioural or medical needs, the process for which is set out in [Schedule 3](#).

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**Standard** means:

- a. for Schools, any standard listed on the [Directory](#), or a [New Zealand Scholarship](#) performance standard;
- b. For TEOs, any Achievement Standard listed on the [Directory](#).

**TEO or Tertiary Education Organisation** means an institution within the meaning of that term in section 10(1) and (5) of the Act.

**University Entrance** means the common educational standard established under section 434 of the Act (or its predecessor section) as a prerequisite for entrance to university for people who have not attained the age of 20 years.

**Vocational Pathway** is a certification recognising a student's achievement in specific 'sector-related' Standards.

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## 3. Nominees of Schools and TEOs

- a. A School Principal must nominate a staff member to act as the Principal's Nominee who is responsible for ensuring that the School meets the requirements of:
  - i. the Consent to Assess Rules that apply to Schools;
  - ii. these Rules.
- b. A TEO must nominate and appoint a staff member, to act on its behalf, who is responsible for ensuring that the TEO meets the requirements of these Rules and any relevant requirements of the Consent to Assess Rules that relate to the TEO's assessment against Achievement Standards.

## 4. Candidate Eligibility for Assessment

- a. A Candidate is eligible to be assessed against a Standard if the Candidate:
  - i. has an Entry from a School forwarded to NZQA;
  - ii. is enrolled at a TEO and has had their Entry from the TEO and the relevant fees for the Standards concerned forwarded to NZQA;
  - iii. is assessed by a School, TEO, or (for external assessment) NZQA;
  - iv. meets any eligibility criteria specified in the Standard concerned; and
  - v. has not been disqualified by NZQA from being assessed against the Standard.
- b. NZQA may allow a person to be entered for assessment against a Standard despite the person not meeting the eligibility criteria above if the situation justifies it and the person agrees to the content of paragraph a. of [Rule 5](#).
- d. A Candidate is not eligible for assessment against a Standard if prevented from doing so under the Candidate Breaches of External Assessment (see [Schedule 5](#)).

## 5. Entry conditions

- a. Once entered for assessment it is a condition that the Candidate:
  - i. is subject to these Rules and all Assessment Requirements; and
  - ii. permits, for educational purposes, NZQA access to and use of the material produced by the Candidate (for example as published exemplars to illustrate grade boundaries).
- b. Candidates entering a New Zealand Scholarship award must be enrolled in a school in the year of the Entry.
- c. Upon Entry for a New Zealand Scholarship award, in addition to the condition in paragraph a. of this rule 5, it is also a condition that the Candidate meets any eligibility criteria specified for the award.

## 6. Assessment Requirements

Schools and TEOs must assess Candidates in accordance with the Assessment Requirements.

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## 7. Special Assessment Conditions

- a. Candidates who have Special Assessment Condition entitlements approved by NZQA must be provided with these entitlements by Schools and TEOs for internal and external assessment in accordance with the Assessment Requirements and the process in [Schedule 3](#).

## 8. Extended Opportunities for Internally Assessed Standards

- a. Schools and TEOs may offer Candidates a maximum of one further Assessment Opportunity for the Candidate to improve their grade against an internally assessed Standard within an academic year:
  - i. where manageable;
  - ii. after further learning has taken place; and
  - iii. using a different assessment.
- b. Schools and TEOs may, under the following circumstances, offer Candidates one resubmission per Assessment Opportunity where the Candidate did not achieve the standard:
  - i. the assessor judges the Candidate has made a minor error or omission limited to specific aspects of the assessment that the Candidate can discover and correct on their own; and
  - ii. the result of the resubmission is limited to an Achieved grade.

## 9. Conditions for reporting and recording results

- a. Schools and TEOs must report to NZQA all internal assessment results for Candidates, including Not Achieved where adequate opportunity to be assessed has been made available.
- b. Schools and TEOs must report the highest grade achieved where Candidates have more than one result for an Assessment Standard.
- c. Where the evidence submitted is authentic and the Candidate's conduct in the assessment meets the Assessment Requirements, NZQA will record the Results of internal and external assessment results.
- d. NZQA will record a result from a Derived Grade on a Candidate's Record of Achievement based on quality assured Standard specific evidence provided by the School or TEO.
- e. Candidates qualify for attainment of Qualifications and Awards for NCEA and New Zealand Scholarship as set out in [Schedule 1](#).

## 10. Application of Administrative Guidelines

- a. NZQA will use its Administrative Guidelines for the following administrative processes:
  - Change of examination centre
  - Examination centre
  - Examination clashes
  - External assessment
  - Internal and external assessment of home-schooled students.
  - International students overseas
  - Reviews and Reconsiderations
  - Translation of examination papers or answers.

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- b. NZQA will also use its Administrative guidelines when Schools, TEOs, and/or Candidates are dissatisfied with any decision made in relation to the processes listed in Rule 10.a above.
- c. NZQA will amend an assessment result or a decision about an assessment entitlement, where a review or reconsideration identifies the need, or an appeal is upheld.

## **11. Processes for Candidate entitlements, Moderation, and Candidate Breaches of External Assessment**

The following processes are set out in the stated Schedules for them:

- a. Schedule 2 for Candidate Derived Grades:
- b. Schedule 3 for Candidate Special Assessment Conditions:
- c. Schedule 4 for Moderation Processes:
- d. Schedule 5 for Candidate Breaches of External Assessment.

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## Schedule 1

### Qualifications and Awards for NCEA and New Zealand Scholarship

NZQA is the awarding body for:

- NCEA qualifications and for associated endorsements for secondary learners:
- University Entrance:
- Vocational Pathways:
- New Zealand Scholarships.

This Schedule details the requirements associated with the awarding processes.

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#### 1. National Certificate of Educational Achievement Level 1, 2 or 3

- a. The award of the Level 1 NCEA Qualification to a Candidate is based on a minimum of 80 Applicable Credits at Level 1 or higher, and of those minimum 80 Credits the Candidate must have:
  - i. in literacy achieved either:
    - A. 10 Credits from the [specified literacy Achievement Standards](#) published on the NZQA website; or
    - B. 10 Credits from the [literacy Assessment standards](#) published on the NZQA website; or

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- C. 10 Credits from unit standards 32403 and 32405 or 32414; and
- ii. in numeracy achieved either:
  - A. 10 Credits from the [specified numeracy Achievement Standards](#) for published on the NZQA website; or
  - B. 10 Credits from the [numeracy Assessment standards](#) (published on the NZQA website); or
  - C. 10 Credits from unit standards 32406 or 32412.
- b. When calculating the Level 1 NCEA literacy and numeracy achievements, where credits from a standard contribute towards both, the Credits will be counted towards both the literacy and the numeracy achievements but the Credits that contribute towards both will be counted only once for the purposes of the minimum 80 Credits achievement.
- c. The award of the Level 2 NCEA Qualification to a Candidate is based on a minimum of 80 Applicable Credits at Level 1 or higher, and:
  - i. of those minimum 80 Credits the Candidate must have achieved a minimum of 60 credits at Level 2 or higher: and
  - ii. the Candidate must have met the Level 1 NCEA Literacy and Numeracy requirements.
- d. The award of the Level 3 NCEA Qualification to a Candidate is based on a minimum of 80 Applicable Credits at Level 2 or higher, and:
  - i. of those minimum 80 Credits the Candidate must have achieved 60 Credits at Level 3 or higher: and
  - ii. the Candidate must have met the Level 1 NCEA Literacy and Numeracy requirements.

## 2. NCEA Certificate and Course Endorsements

### 2.1. NCEA Certificate Endorsement

- a. Endorsement of NCEA certificates is based on Credits on a Candidate's Record of Achievement.
- b. Where a Candidate qualifies for Excellence or Merit endorsement only the highest eligible NCEA Certificate endorsement from the following list will be recognised on the Certificate awarding the NCEA Qualification:
  - NCEA Level 3 Excellence
  - NCEA Level 3 Merit
  - NCEA Level 2 Excellence
  - NCEA Level 2 Merit
  - NCEA Level 1 Excellence
  - NCEA Level 1 Merit.
- c. An **Excellence endorsement** of an NCEA certificate is issued to Candidates who have achieved **50 or more Credits** from Standards with a grade of Excellence at the same or higher Level as the NCEA Certificate being endorsed.
- d. A **Merit endorsement** of an NCEA certificate is issued to Candidates who have achieved **50 or more Credits** from Standards with a grade of either Merit or Excellence at the same or higher Level as the NCEA Certificate being endorsed.
- e. Where a Candidate qualifies for a NCEA Certificate at more than one Level in January of a year, each of those Certificates will be checked for endorsement.

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- f. A Candidate may apply for NCEA Certificate endorsement in a year after the year the Candidate received an NCEA Certificate, where the Candidate achieves the required 50 or more Credits at either Excellence or Merit at the Level of that NCEA Certificate.

## 2.2. NCEA Course Endorsement

- a. A Course eligible for Course endorsement at Excellence or Merit or Achieved is a programme of assessment for a Candidate at Levels 1, 2 or 3 undertaken within one academic year which:
- consists of Assessment Standards.
  - follows [NZQA guidelines](#) and is notified to NZQA; and
  - meets the assessment requirements in paragraph 2.2 b. below.
- b. Subject to the exemptions in paragraph 2.2.d below, for the purposes of paragraph 2.2.a.iii above, the approved programme of assessment must contain a minimum of 14 Credits from Assessment Standards, with:
- a minimum of three of those Credits from internally assessed standards; and
  - a minimum of three of those Credits from externally assessed standards.
- c. The Course endorsement is gained at the Level of the lowest standard making up the eligible 14 Credits. Subject to the exemptions in paragraph 2.2.d. below, NZQA will grant a Candidate a Course endorsement of:
- Excellence** where a Candidate achieves 14 or more Credits from standards within the Course with a grade of Excellence, including at least three of those Credits from internal standards and three of those Credits from external standards:
  - Merit** where a Candidate achieves 14 or more Credits from the assessment within the Course at Merit or Excellence, including at least three of those Credits from internal standards and three of those Credits from external standards:
  - Achieved** where a Candidate achieves 14 or more Credits from the assessment within the Course at Achieved, Merit or Excellence, including at least three of those Credits from internal standards and three of those Credits from external standards.
- d. The following exemptions from the internal and external credit requirements for Course endorsement are applicable:
- there is no requirement for 3 Credits from:
    - externally assessed standards for Courses where all the standards are from any of the following subject area:
      - Physical Education:
      - Religious Studies:
      - New Zealand Sign Language.
    - externally assessed standards where there are no external standards within a domain of Te Marautanga o Aotearoa curriculum:
    - internally assessed standards where all the standards are at level 3 and from the subject area of Visual Arts where the Candidate has achieved a single 14 Credit externally assessed standard within the Course:
    - externally assessed standards where the Candidate has achieved 14 Credits from internally assessed standards from the subject area of Visual Arts within the Course.

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- e. The Credits recorded on a Candidate's Record of Achievement for a particular standard are eligible to be used only once towards a single Course endorsement for the year in which the credits were gained.
- f. A Candidate is eligible for only one endorsement for each Course.
- g. A Course endorsement is recognised on the Candidate's Record of Achievement.

## 3. University Entrance

### 3.1. New Zealand University Entrance Minimum Requirements

- a. A Candidate will have met the minimum requirements for entrance to a university in New Zealand if the Candidate has obtained at least:
  - i. NCEA Level 3; and
  - ii. 14 Credits in three of the [Approved subjects](#) published on the NZQA website: and
  - iii. a minimum of 10 literacy Credits at Level 2 or above from the list of [Literacy requirements for University Entrance](#) (published on the NZQA website) made up of 5 Credits in reading and 5 Credits in writing: and
  - iv. a minimum of 10 numeracy Credits at Level 1 or above from the [Level 1 numeracy Achievement Standard list](#) (published on the NZQA website), or achievement of all three numeracy unit standards (26623, 26626, 26627), or achievement in calendar years 2022 or 2023 of numeracy unit standard 32406 or te Pāngarau unit standard 32412.
- b. Credits for the minimum requirements may be accumulated over more than one year.
- c. Where two or more Assessment Standards assess the same learning outcome and are used for the minimum requirements, they are [mutually exclusive for the University Entrance award](#).

### 3.2. University Entrance Recognition

- a. A Candidate who meets the minimum requirements set out in clause 3.1 above will have University Entrance recognised on the Candidate's Record of Achievement.

## 4. Vocational Pathways

- a. NZQA will recognise a Candidate's achievement of a Vocational Pathway based on Applicable Credits.
- b. Vocational Pathways are recognised on the Candidate's Record of Achievement.

## 5. Credit exclusions when determining qualification or award eligibility

- a. Where different Standards assess the same learning outcome, those Standards are specified in the [Exclusions list](#).
- b. Standards on the Exclusions List are mutually exclusive for the purposes of determining the award of NCEA Certificates, NCEA Certificate endorsements, Course endorsements, other school qualifications, University Entrance and Vocational Pathways.

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- c. Standards recorded multiple times on a Candidate's New Zealand Record of Achievement are mutually exclusive for the purposes of determining the award of NCEA Certificates, NCEA Certificate endorsements, Course endorsements, University Entrance and Vocational Pathways.
- d. From the mutually exclusive Standards, the Standard with the best outcome for the student for each circumstance will be used for determining the award of NCEA Certificates, NCEA Certificate endorsement, Course endorsement, University Entrance and Vocational Pathways.

## 6. New Zealand Scholarship

### 6.1. Publication and inapplicability to University Entrance

- a. NZQA publishes the list of New Zealand Scholarship subjects annually.
- b. New Zealand Scholarship results do not contribute towards the University Entrance.

### 6.2. Monetary Awards

- a. The New Zealand Scholarship Monetary Awards are available to eligible Candidates with an entry from a school forwarded to NZQA, and comprise:

<b>Premier Award</b>	<ul style="list-style-type: none"><li>○ For the very top 7 to 12 Candidates. The minimum eligibility required to be considered for this award is achievement of at least three Scholarships at "Outstanding" level in the same year. The number of recipients for this award is restricted and achieving the minimum requirement will not guarantee an award.</li><li>○ \$10,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.</li></ul>
<b>Outstanding Scholar Award</b>	<ul style="list-style-type: none"><li>○ For the next 40-60 top Candidates. The minimum eligibility requirement to be considered for this award is achievement of three Scholarships including at least two at "Outstanding" level in the same year, or more than three Scholarships including at least one at "Outstanding" level in the same year. The number of recipients for this award is restricted and achieving the minimum requirement will not guarantee an award.</li><li>○ \$5,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.</li></ul>
<b>Scholarship Award</b>	<ul style="list-style-type: none"><li>○ For Candidates who achieve New Zealand Scholarship in three or more subjects in the same year and for Candidates who achieve two Scholarships at "Outstanding" level in the same year.</li><li>○ \$2,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.</li></ul>
<b>Top Subject Scholar Award</b>	<ul style="list-style-type: none"><li>○ For the top Candidate in each one of the New Zealand Scholarship subjects.</li><li>○ \$2,000 each year for up to three years for as long as the recipient maintains at least a 'B' grade average each year of their tertiary study.</li></ul>

<b>Single Subject Awards</b>	<ul style="list-style-type: none"><li>○ For Candidates who achieve New Zealand Scholarship in one or more subjects.</li><li>○ A 'one-off' award of \$500 per subject, for up to two subjects, (maximum payment \$1000).</li></ul>
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- b. The Prime Minister's Award for Academic Excellence is awarded to the Candidate with the best results in New Zealand Scholarship. The Candidate will be a Premier Award recipient and for the purposes of assessing the best results consideration will be given to the number of subjects achieved at "Outstanding" level, the number of additional Scholarships achieved, and the ranking of Candidates within individual subjects.

### 6.3 Payment of monetary award

- a. For recipients of all New Zealand Scholarship awards:
- i. the recipient must be enrolled in tertiary study in New Zealand (at least 0.4 Equivalent full-time student (EFTs)) with an institution which holds accreditation under section 441 of the Act to provide one or more approved programmes, and must allow use of their name and school for publicity about their success:
  - ii. Single Subject Awards are paid only in the first year of tertiary study in New Zealand:
  - iii. for awards with second or subsequent year payments, recipients must maintain at least a 'B' grade average during each year of their tertiary study in New Zealand with an accredited provider to qualify for payment in the following year:
  - iv. note that Studylink has separate requirements relating to payment of New Zealand Scholarship Awards.
- b. Monetary awards for New Zealand Scholarship cannot be accumulated except as specified below.
- c. Where a Candidate meets the criteria for more than one monetary award, he or she will receive only the award of the highest monetary value, except where a Candidate receives a Top Subject Scholar Award and in addition achieves a Single Subject Award in a different subject, in which case he or she will receive the Top Subject Scholar Award and a maximum of one \$500 Single Subject Award.
- d. The monetary amounts for the Premier Award, Outstanding Scholar Award and Scholarship Award are available only for results obtained within the year of entry. Results cannot be aggregated over more than one year.
- e. Candidates must notify NZQA through their Learner Login of their intention to accept an award by 15 January of the year following the year they receive their result.
- f. NZQA must be notified annually of a recipient's intention to defer a monetary award. Recipients of monetary awards may annually defer receiving the award for up to four consecutive years after they leave school.
- g. A Candidate who defers an award because they are still at school and gains:
- i. an award in the same subject in more than one year will only receive one monetary award being the highest value award achieved:
  - ii. a Single Subject Award in one subject in a year and in a second subject in another year is eligible for two one-off awards of \$500 if the student is

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enrolled in tertiary study as outlined in Rule 7.2.1b.i up to the maximum payment of \$1000 for Single Subject Awards:

- iii. a Single Subject Award in one subject in a year, but fails to gain a Single Subject Award in the same subject in another year, will still be eligible to be paid for the award gained:
- iv. a Single Subject Award in one or two subjects and the Scholarship Award in three or more subjects in another year is eligible only for the Scholarship Award in the three or more subjects:
- v. a Top Subject Scholar Award in the same subject in two different years will receive payment for one Top Subject Scholar Award only:
- vi. a Top Subject Scholar Award in a subject in a year and a Single Subject Award in a second subject in another year, or vice versa, will receive both awards.

## 7. Release of School results

### 7.1 Results

- a. NZQA will release via the Learner Login before 1 February of the year following assessment:
  - i. School Candidate results for Standards assessed:
  - ii. Candidate learning recognition credits:
  - iii. Credit equivalents gained through Credit inclusion.
- b. NZQA will release School Candidate results via the Learner Login for New Zealand Scholarship subjects before 1 March of the year following assessment.
- c. NZQA may set alternative dates for the release of results to Candidates in extenuating circumstances.
- d. Results release, Records of Achievement, and certificates will be in a form determined by NZQA and approved by the Chief Executive.
- e. Certified statements of official results will be available upon written application by the Candidates to NZQA and payment of the search and confirmation fee set out in the Fee Schedule.

### 7.2 New Zealand Record of Achievement

- a. Results for all Assessment Standards achieved in an academic year will be recorded on a [Candidate's Record of Achievement](#) following the release of results in January the following year.
- b. All Credits on a Candidate's Record of Achievement are used for NCEA Certificates, NCEA Certificate endorsement, Course endorsements, University Entrance, and Vocational Pathways. NZQA will use only one Standard to give the best outcome for the Candidate where Standards are recorded multiple times on a Candidate's Record of Achievement.
- c. A Candidate's Record of Achievement is available free of charge in electronic format (PDF) via NZQA's secure web portal. A PDF authenticity verification service is also available via NZQA's website.
- d. Candidates may order one free hard copy of their Record of Achievement for each year that they undertake study, with a fee as set out in the Fee Schedule applying to further hard copies of their Record of Achievement.

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## 7.3 Production and issue of NCEA Certificates

- a. Candidates who apply for one or more different NCEA Certificates are entitled to one free copy of each Certificate applied for, with a fee as set out in the [Fee Schedule](#) applying to further copies of NCEA Certificates requested.

## 7.4 Credit Inclusion for NCEA Certificates

- a. NCEA has provision for recognition of Credit equivalents from other qualifications or awards that are quality assured and listed in clause 7.5 below.
- b. Credit equivalents from Credit inclusion will not appear on the Record of Achievement, may be used only once, and do not contribute to the University Entrance Level 3 requirements.
- c. If a School or TEO wishes to access Credit inclusion for any students, it should complete the correct NZQA form and send it to NZQA with the applicable student results.
- d. Credit equivalents from awards listed in clause 7.4.1 below are only recognised if they were gained within two years prior to the year of application for Credit inclusion.

### 7.4.1. Approved List for NCEA Credit Inclusion

The following awards are on the approved list:

- [Asdan Youth Awards Scheme](#) (Silver, Gold, and universities/Platinum)
- [Certificate in Microsoft Office – Specialist Master](#)
- [Cisco Certified Networking Associate](#)
- [Young Enterprise Scheme](#)
- Young Enterprise Examination
- Zayed College for Girls' – [Arabic Course.](#)

*The provisions for credit inclusion will be reviewed following the NCEA Review and the Review of Achievement Standards. No new applications for Credit Inclusion will be considered until then. The published list of provisions applies until **31 March 2024**.*

### Candidate Derived Grade Processes

#### 1. Purpose

The purpose of the Derived Grade process is to provide for external assessment, access to a quality assured grade submitted by a School or TEO to an approved Candidate who is unable to carry out the assessment, or whose performance is impaired at the time of the assessment.

#### 2. Principles

The principles of fairness and privacy underpin NZQA's decision-making process when reviewing applications for a Derived grade.

#### 3. Process

##### 3.1 Initiating the process

3.1.1 The Derived Grade process is initiated when:

- a. a Candidate submits an application to the School or TEO; or
- b. a School or TEO notifies NZQA of an event that is likely to result in applications from a group of Candidates and NZQA invokes the process for Derived Grades at scale.

3.1.2 A Derived Grade is available for the following where NZQA marks them:

- a. an external examination:
- b. a submitted subject or portfolio:
- c. a Common Assessment Task (CAT):
- d. a Common Assessment Activity (CAA).

3.1.3 A Derived Grade is not available for:

- a. New Zealand Scholarship subjects:
- b. Standards specified by NZQA:
- c. School or TEO marked student work for a portfolio submission that is verified by NZQA (instead Schools and TEOs must follow their late assessment policy for internal assessment to determine if a student is eligible for an extension and must submit a result to meet NZQA timelines):
- d. School or TEO marked student work for a Common Assessment Task (CAT) that is verified by NZQA (instead schools and TEOs must follow their own assessment processes for internal assessment to determine if a student has a valid reason to miss the assessment, and if so, the school may submit a grade to NZQA that meets the same quality assurance process as grades submitted for a Derived Grade for externally assessed standards).

3.1.4 An applicant for a Derived Grade must complete the relevant sections of the published NZQA application form for a Derived Grade and submit this to the School or TEO by the specified date.

3.1.5 In exceptional circumstances NZQA may accept late applications, but no application for a Derived Grade can be accepted after results have been released for the standard.

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- 3.1.6 NZQA will provide advice to a School or TEO on managing any necessary Derived Grade process for a group of Candidates.

## 3.2 Evidence Requirements

- 3.2.1 Derived Grades are available where there is appropriate evidence that:
- the Candidate's performance or ability to undertake an external assessment is seriously impaired by an event at the time of assessment; or
  - the Candidate's performance or ability to undertake an external assessment is prevented by being selected to represent a country at a sporting or cultural event for which the Candidate has, in advance, applied to NZQA for pre-approval of eligibility and NZQA has approved the application; or
  - the Candidate considers that their performance or ability to undertake an external assessment was seriously impaired by exceptional circumstances beyond their control at the time of the assessment; or
  - in the case of external standards assessed by the submission of a portfolio of evidence or a digitally submitted report, the Candidate within 15 working days of the submission date, has suffered a temporary impairment, including a physical injury, temporary acute illness, or an emotional trauma, which has seriously impaired the Candidate's preparation for the submission.

## 4. Responsibilities of Schools and TEOs

- 4.1 Schools and TEOs must submit to NZQA for external Standard entries, grades from quality assured Standard specific evidence so that the Derived Grades are available if required for consideration by NZQA and to be awarded prior to the external assessment.
- 4.2 The School or TEO must:
- submit all Derived Grade applications by the specified date;
  - retain the application form and any supporting information for one year for audit purposes; and
  - indicate whether they support the application.
- 4.3 The Derived Grade that the School or TEO submits to NZQA must be from quality assured, pre-existing, valid, authentic, standard-specific evidence from a practice assessment of the Standard that matches the format and conditions of the external assessment.

## 5. What is the decision-making process and possible outcomes?

- 5.1 After considering the application, NZQA will either:
- request further information from the Candidate (through the Nominee) in order to make a decision; or
  - advise the Candidate in writing and the School or TEO (through the Nominee) of the decision to decline the application and the reasons it does not meet the eligibility criteria; or
  - approve the application, advise the School or TEO (through the Provider Login), and award the better result for the Candidate based on either the submitted grade or the external assessment result as part of the release of external Results.

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## **6. How to request a review or appeal of the decision**

- 6.1 Candidates may request a review of the Derived Grade decision in writing to the Manager of School Quality Assurance and Liaison within 15 working days of the date the notification of the NZQA decision under clause 5 of this Schedule, providing reasons for the request.
- 6.2 A Candidate, School, or TEO may provide, and NZQA may request any of them to provide, any further evidence which supports the Candidate's review request.
- 6.3 Following a request, NZQA will review the decision together with any reasons and further evidence provided, then notify the Candidate and the Nominee of the review outcome within 15 working days.
- 6.4 Where the Candidate is not satisfied with the review outcome, the Candidate may appeal that outcome to NZQA's Chief Executive.
- 6.5 Appeals of review outcomes must be sent to NZQA within 15 business days of the date the review outcome was sent to Candidate and Nominee.
- 6.6 The Chief Executive will consider the merits of the appeal and notify the Candidate, and the Nominee of the Chief Executive's decision, which will conclude the process.

# Schedule 3

## Candidate Special Assessment Conditions Processes

### 1. Purpose

The purpose of the Special Assessment Conditions (SAC) process is to ensure that Candidates with recognised learning, medical or behavioural needs, capable of attaining a national qualification, receive approved NZQA entitlements for assessment.

### 2. Principles

The principles of fairness, equity and privacy underpin NZQA's decision making process when reviewing applications for a SAC entitlement.

### 3. Process

#### 3.1 Initiating the process

- 3.1.1 Schools and TEOs submit applications to NZQA on behalf of Candidates with eligible conditions where:
- the disability or disorder directly impacts on the Candidate's access to fair assessment for national qualifications; and
  - the School or TEO has determined that the Candidate is otherwise capable of attaining a national qualification; and
  - the special assessment conditions applied for reflect the Candidate's normal way of working; and
  - the Candidate has consented to the application being submitted.
- 3.1.2 The Nominee must manage submissions from Schools or TEOs.
- 3.1.3 The School or TEO must hold a copy of the Candidate's consent to the application being submitted.
- 3.1.4 The School or TEO must make submissions using the published process and timelines.

#### 3.2 Evidence Requirements

- 3.2.1 The following disabilities or disorders are eligible conditions for applications to NZQA for entitlement to special assessment conditions:
- permanent or long-term:
    - sensory disability:
    - physical disability:
    - medical disability:
    - specific learning disorder:
  - permanent or long-term combinations of such disabilities or disorders.
- 3.2.2 In making an application to NZQA for entitlement to special assessment conditions on behalf of the Candidate, the School or TEO must supply either:
- appropriate documented evidence derived from testing undertaken by the School or TEO during the Candidate's time at secondary school or at the TEO; or
  - a report from an appropriately qualified independent registered professional who recommends special assessment conditions to address the Candidate's specified

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assessment needs. Any report that predates the Candidate's time at secondary school or at the TEO may need to be supplemented with additional current evidence.

## 4. Responsibilities of Schools and TEOs

- 4.1 The School or TEO must attach the entitlements to specific external standards using the published process and timelines.
- 4.2 The special assessment conditions being applied for must allow entitled Candidates to demonstrate their knowledge, skills and understanding in assessment, without providing unfair advantage over other Candidates.
- 4.3 Special assessment conditions must not be used for assessment where the integrity of the assessment may be compromised such as where the assessment conditions:
  - a. compromise the assessment objectives of the standard in question; or
  - b. provide unfair advantage over other Candidates.
- 4.4 The School or TEO must ensure that any assessment assistant or examination assistant appointed to assist Candidates' access to assessment receives appropriate training.
- 4.5 The School or TEO must undertake an annual review of the effectiveness of the special assessment conditions approved for a Candidate prior to rolling these entitlements over into the subsequent year.

## 5. Decision-making process and possible outcomes

- 5.1 After considering an application submitted under clause 3.1.1 of this Schedule NZQA will respond in one of the following ways:
  - a. approve the application; or
  - b. request further information from the Nominee; or
  - c. advise the Nominee of the decision to decline the application and the reasons for that decision.
- 5.2 Entitlement to the following special assessment conditions may be provided:

### Standard conditions

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Reader assistance

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Computer use

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Writer/Typist assistance

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Separate accommodation (isolation or small group, depending upon need)

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Rest breaks

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Extra writing time (only available during time bound internal assessments and external examinations when the Candidate is entered for 3 Achievement Standards or Scholarship within an examination session)

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Enlarged papers (to A3 only)

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Special papers including braille translations and digital pdf

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Signer for deaf or Hard of Hearing (DHH)

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## Exceptional conditions

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Signing Supervisor for pre-examination instructions and emergency management

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Assistive technology

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## 6. How to request a review or appeal of the decision

- 6.1 Schools or TEOs may through their Nominee request NZQA to review a SAC decision through the SAC online application tool.
- 6.2 A Nominee or Candidate may provide, and NZQA may request a Nominee or Candidate to provide, any further cogent evidence in its possession which supports its review request.
- 6.3 Following a review request, NZQA will review the decision together with any reasons and further cogent evidence provided, then notify the Nominee of the review outcome as soon as reasonably possible.
- 6.4 Where the School or TEO is not satisfied with the review outcome, the Nominee on behalf of the School or TEO may appeal that outcome to NZQA's Chief Executive.
- 6.5 Appeals of review outcomes must be sent to NZQA within 15 business days of the date the review outcome was sent to the Nominee.
- 6.6 The Chief Executive will consider the merits of the appeal and notify the Nominee of the Chief Executive's decision, which will conclude the process.

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## Schedule 4

### Moderation Processes

#### 1. Purpose

[Moderation](#) for internally assessed Standards listed on the Directory is a process intended to provide assurance that assessment decisions in relation to Assessment Standards are consistent nationally.

#### 2. Principles

The principles of validity, reliability, and authenticity of Candidates' work underpin internal assessment by Schools and TEOs, and NZQA's decision-making process when reviewing submissions for External Moderation.

#### 3. Internal moderation process

3.1 Each School and TEO must:

- a. establish an internal moderation process that meets NZQA's requirements and which is applied each year to every internally assessed Standard being assessed, to ensure that judgements are consistent with the Assessment Standard;
- b. have monitoring systems that ensure the results they report have been subject to an internal moderation process; and
- c. retain until the end of the following academic year evidence of internal moderation and the School's monitoring of internal moderation.

#### 4. External Moderation Process

##### 4.1 Initiating the external moderation process

4.1.1. NZQA will annually notify Schools and TEOs of the dates and information for moderation of internally assessed Assessment Standards from across curriculum areas.

##### 4.2 Evidence Requirements

4.2.1 Each School and TEO (where applicable) will submit assessment material to NZQA prior to their moderation submission date for the selected Assessment Standards, which will include samples of students' work selected according to NZQA's [selection](#) process.

Schools are required to ensure that teachers have no opportunity to re-mark the sample of student work after it has been selected.

4.2.2 All samples submitted must clearly distinguish each student's work, be easy to read, and account for any privacy issues (for example known protection orders or by using a unique identifier in a way that is permissible under Information Privacy Principle 13 of the Privacy Act 2020).

#### 5. Report

5.1 NZQA will carry out external moderation and will provide its external moderation results report to the School or TEO.

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## **6. Schools or TEOs to address issues that are identified in the report**

6.1. The School or TEO must address issues that are identified in the external moderation results report, including (without limitation) where there is any use of invalid tasks or lack of agreement by the moderator with assessor judgements.

## **7. How to request a review or appeal of the decision**

7.1 The School or TEO may in writing request NZQA to review the report by:

- a. completing the NZQA External Moderation Application form.
- b. providing reasons for the review; and
- c. providing the original moderation material.

7.2 A School or TEO may provide, and NZQA may request a School or TEO to provide, any further cogent evidence in its possession which supports its review request.

7.3 Following a review request, NZQA will review the report, together with any reasons and further cogent evidence provided, then notify the Nominee of the review outcome within 20 working days.

7.4 Where the School or TEO is not satisfied with the review outcome, the School or TEO may appeal that outcome to NZQA's Chief Executive.

7.5 Appeals of review outcomes must be sent to NZQA within 15 business days of the date the review outcome was sent to the School or TEO.

7.6 The Chief Executive will consider the merits of the appeal and notify the School or TEO of the Chief Executive's decision, which will conclude the process.

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## Schedule 5

### Process for Candidate Breaches of External Assessment

#### 1. Purpose

The purpose of the process for Candidate Breaches of External Assessment is to confirm the credibility of an external assessment. Assessment is credible when student work is authentic and conduct for an assessment meets requirements of the assessment. External assessment for this purpose includes Common Assessment Tasks marked by NZQA, but does not apply to:

- a. Visual Arts Level 1 or 2, for which a School's or TEO's breaches process for internal assessment must be used; or
- b. any Common Assessment Task marked by a School or TEO for which the School or TEO's breaches process for internal assessment and any instructions for the Common Assessment Task provided to the School or TEO from NZQA must be used.

#### 2. Principles

The principles of natural justice and privacy underpin NZQA's decision-making process when investigating possible Candidate Breaches of External Assessment.

#### 3. What triggers the process for possible Candidate Breaches of External Assessment?

3.1 The process for a possible Candidate breach of external assessment ('an alleged breach') occurs where it has been reported to NZQA, or NZQA otherwise considers, the credibility of the assessment has been compromised by a person's conduct of any of the following kinds:

- failure to follow instructions – a Candidate or another person has failed to follow the instructions of NZQA (such as those of an examination supervisor) whether knowingly or unwittingly, or to have failed to follow any requirements of the Instructions to Candidates, the supervisor's instructions, or instructions on the Candidate's admission slip:
- influencing/assisting/hindering candidates or disrupting the external assessment – a Candidate or person has influenced, assisted, or hindered one or more Candidates, or otherwise disrupted an external assessment, whether knowingly or unwittingly:
- dishonest or inappropriate practice - a Candidate or another person has knowingly or unwittingly:
  1. accessed, or attempted to access, information, materials, or help from another person:
  2. altered returned materials prior to seeking a review or reconsideration:
  3. used any document or certificate produced by NZQA in a way that provides them with an advantage (monetary or otherwise):
  4. engaged in any other practice that might result in an advantage to the Candidate or other Candidates:
- submission of inauthentic material - a Candidate has submitted material for assessment that is not their own, whether knowingly or unwittingly:
- impersonation of a Candidate - a person has impersonated or dishonestly claimed to be a Candidate entered for an externally assessed standard, in which case the process in this Schedule may apply to the alleged impersonator, to the Candidate who has allegedly been impersonated, and to any other person who may have assisted or concealed the impersonation.

3.2 Reports to NZQA under clause 3.1 are most commonly from teachers, supervisors, other Candidates or NZQA personnel. Information is required to be provided either physically or digitally and be factual, clear and detailed.

#### **4. Investigation initiation process**

4.1 An alleged breach is reviewed by NZQA nominated personnel to decide whether or not to initiate an investigation.

4.2 Where an investigation is initiated:

- a. the nominated personnel may consult with the Nominee from the Candidate's school(s) or TEO(s) or any other person able to provide relevant information that helps to clarify the alleged breach.
- b. the decision-making process will allow the person alleged to be in breach:
  - the opportunity to provide an explanation:
  - the right of appeal to a designated person:
  - clear and fair timelines.
- c. the person alleged to be in breach will be sent a letter with copies of any relevant information or reports, indicating the:
  - i. conduct that may have been in breach;
  - ii. process that will be followed;
  - iii. entries and any results that may be withheld until the investigation is completed and a decision is reached; and
  - iv. timeline for making written comment to NZQA about their conduct, which is within 15 business days of the date of the letter.

#### **5. Decision-making process**

5.1 After any written comment is received from the person alleged to be in breach within the 15 business days, or on or after the expiry of the 15 business days if no written communication is received, -

- a. a breach decision will be made by the NZQA nominated personnel (with delegated authority from the Chief Executive) on the alleged breach, taking into consideration all the information received, when the staff member of NZQA reasonably believes there is sufficient information upon which to make an informed decision; then
- b. the person alleged to be in breach will be informed in writing of the decision by NZQA, and, if a breach is found, the penalties (if any) to be imposed.

5.3 Where NZQA considers a formal face-to-face meeting would assist in eliciting information upon which an informed decision can be made:

- a. the person alleged to be in breach will be invited to the meeting and may bring a support person with them.
- b. the meeting will be chaired by an independent appointee of the Chief Executive and the following procedure will apply:
  - i. the person alleged to be in breach will be given reasonable notice of the date of any face-to-face meeting, will be given copies of any relevant new reports or information held by NZQA, and may provide written submissions prior to the meeting:

- ii. the person alleged to be in breach may choose to provide written submissions and not attend the face-to-face meeting;
- iii. the person alleged to be in breach may choose to neither provide written submissions nor attend a face-to-face meeting.

5.4 Where the person alleged to be in breach chooses not to -

- provide written submissions; or
- accept the offer of a face-to-face meeting; or
- reply to the offer of a face-to-face meeting; or
- attend the face-to-face meeting after accepting the offer of a meeting -

the decision-making process will be as provided for in clauses 5.6 and 5.7 of this Schedule.

5.5 Where the person alleged to be in breach attends the face-to-face meeting, the independent appointee chairing the meeting will:

- a. outline to that person the nature of the alleged breach and the possible penalties; and
- b. take into account, discuss and clarify:
  - i. any relevant issues and any relevant views of NZQA and the person in relation to the alleged breach; and
  - ii. any issues in respect of penalties.

5.6 The independent appointee will make one or more recommendations on whether a breach has been found, and if a breach is found, on relevant penalties.

5.7 The recommendation will be given to the NZQA staff member with the delegated authority who will proceed to make a breach decision and will document the decision with reasons.

5.8 NZQA will, within 15 business days of the decision being made (unless there is good reason not to) notify the person of that decision.

## **6. Penalties**

6.1 While NZQA investigates an alleged breach it may suspend the release of all or part of the results of any Candidate who is believed to be involved, until a decision is made as to whether or not the breach has been found.

6.2 If, at any stage of the investigation, NZQA receives written comment from the person alleged to be in breach which explains their conduct and satisfies NZQA that a breach has not occurred or is not proven, any entries and results which may have been withheld will be released and no further action will be taken.

6.3 Where the person alleged to be in breach has been found to be in breach, the person will be given a formal warning and any one or more of the following actions may be taken:

- a. permanent withholding of the entries and results of the person in relation to the externally assessed standard/s directly related to the breach (note that this will not include results in other externally assessed standards from the current or previous years unless justified by the investigation outcome);
- b. conditions placed on the person when entering further external assessments including, but not limited to, an agreed code of conduct:

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- c. disqualification of the person from entering further New Zealand Scholarship or external assessment for national or New Zealand qualifications in specified assessments and / or for a specified period of time:
- d. NZQA may refer any breach to relevant authorities (including the Police where criminal behaviour is believed to have occurred, for example in the case of impersonation) for consideration by those authorities.

## **7. How to request a review or appeal of the breach decision**

- 7.1 A person who is the subject of a breach decision, and who believes the decision was incorrect, may appeal in writing to the Manager of School Quality Assurance and Liaison, within 15 business days of the date the notification of the decision was sent to the person.
- 7.2 The request for an appeal must include the reasons why the person believes the decision is incorrect.
- 7.3 The person will be notified of the Manager's decision within 15 business days of the receipt of the appeal request.
- 7.4 In the appeal, the Manager will review the both the process followed and the decision (including the investigation material and reasoning) and any further cogent evidence that may be made available.
- 7.5 A person whose appeal has not been upheld may apply for a review of the appeal decision, including any penalties imposed, in writing to the Chief Executive within 15 business days of the date the notification of the appeal decision was sent to the person.
- 7.6 The request for review must include the reasons why the person believes the appeal decision should be further reviewed, and whether or not the person wishes to be heard in person (including by telephone conference).
- 7.7 A review by the Chief Executive is to confirm, on the balance of probabilities, whether or not the original breach decision was correct.
- 7.8 The Chief Executive may adopt any procedure for the review he or she believes reasonable in the circumstances.
- 7.9 The Chief Executive will ensure that all involved parties have a copy of any new information and allow sufficient time for consideration of and any comment on that information.
- 7.10 Where the person requesting a review does not wish to be heard in person, the Chief Executive may proceed to make a decision on the basis of the information provided to the Chief Executive.
- 7.11 Where the person wishes to be heard, it will be at their own expense and the meeting will be held at NZQA offices in Wellington.
- 7.12 The Chief Executive will correspond with the person to set a mutually convenient date for the hearing. If, after reasonable attempts, a mutually convenient date cannot be found, the Chief Executive will set and specify a date for the hearing.
- 7.13 In carrying out the review and making a decision the Chief Executive may, at the Chief Executive's discretion, and whether or not a hearing has been requested, do any or all of the following:
  - a. ask for further relevant information from any party:
  - b. receive any new information from any party that is relevant, whether or not the Chief Executive has asked for that information:

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- c. obtain any advice or expertise from third parties that may assist the decision, which for the avoidance of doubt may include handwriting or scientific advice or expertise:
  - d. allow sufficient time for parties to consider any new information, advice or expertise:
  - e. decide to refer the matter back to the original decision-maker for reconsideration:
  - f. confirm or change any decision.
- 7.14 Where the person has appealed the decision to the Manager or has applied for a review by the Chief Executive of the decision, and the decision being appealed or reviewed involves the penalty of disqualification from entering further externally assessed standards, pending the outcome of the appeal or review the person may make an entry for those externally assessed standards in any year to which the disqualification would otherwise apply.
- 7.15 If the review confirms the original breach decision, any penalties will be reapplied, and the person's entry for externally assessed standards may be withdrawn.
- 7.16 The Chief Executive's review decision concludes the breach process and takes effect the day after the day it is made.