



Learning Development Unit (Quality)

ASSESSMENT APPEALS PROCEDURE

PROCEDURE NUMBER	QAL/006/000
MANAGEMENT AREA	CURRICULUM
AUTHOR	Paul Baker

Revision Date	Details	Approved By
27 March 1998	Initial Release	
6 Aug 2001	Amendment to section 2 for work based students	SMT
16 Sept 2003	New para. 2.3 and Appeals Panel (para. 5.4) revised to include an independent assessor	SMT
17 June 2008	Addition of Enquiries about Results services (EARS) (changes to 2003 version highlighted)	SMT



INVESTOR IN PEOPLE

1. PURPOSE

- 1.1 The document sets out the procedure for challenges to assessment decisions.

2. SCOPE

- 2.1 **Internal assessment appeals** applies to all learning programmes in the college with the exception of appeals relating to the situation outlined in 2.2.
- 2.2 If a work based student is suspended from duty pending a disciplinary enquiry then no further assessment will take place until the problem has been resolved.
- 2.3 For External assessment appeals, students must be informed that they have a right to approach the Awarding Body (through the Examination Office) for an Enquiry about Results (EARS) for GCSE, GCE, AEA, Functional Skills, Principal Learning and Projects (including Extended Project). An Information pack from the Examination Office on how to do this is sent to subject tutors on registration of their students and also to each student on receipt of their results.

3. MANAGEMENT RESPONSIBILITY

- 3.1 **Vice** Principal (Curriculum and Quality)

4. APPLICABLE TO

- 4.1 All college students on accredited learning programmes.

5. DEFINITIONS

- 5.1 **Student** is an enrolled person on a course leading to a recognised qualification with the college.
- 5.2 **Assessor** is a member of staff carrying out any assessment/grading activity.
- 5.3 **Lead internal verifier/moderator** is a nominated person in each Faculty or Curriculum Unit.
- 5.4 **Appeals Panel** is a group consisting of Head of Faculty/Unit (Chair), lead internal verifier/moderator for the relevant qualification, independent assessor, student and, if requested, student support (e.g. parent, guardian, employer, friend, Student Union representative).

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6. DESCRIPTION

INTERNAL ASSESSMENT APPEAL

6.1 Where students disagree with the grading of a piece of work they can appeal against the decision of the assessor. Appeals follow a number of stages.

6.2 Stage One

6.2.1 The student appeals to the assessor. In most cases this should be within 10 working days of the assessment being returned.

6.2.2 The assessor should normally respond within 5 working days. The response should be either:

- a clear explanation of the assessment decision and a re-affirmation of the grade, or
- a re-grading and amendment to the student's assessment record, or
- a referral to Stage 2 and the completion of the Student Appeals Form (QAL/006/AP1).

6.3 Stage Two

6.3.1 The assessor sends the Student Appeals Form (QAL/006/AP1) (with Section 1 completed) to the qualification's lead internal verifier/moderator within the relevant Faculty. In addition, the assessor provides the original assessment record and, if appropriate, the candidate's evidence for the appeal.

6.3.2 Upon receipt of the form the lead verifier/moderator reconsiders the assessment decision by collecting and evaluating all of the evidence. This should normally be done within 10 working days.

6.3.3 The internal verifier then either:

- re-affirms the assessor's decision, or
- amends the student's grade, or
- if the student disagrees with the decision at this stage, completes section 2 of the Student Appeals Form (QAL/006/AP1) and refers the appeal to the Head of Faculty/Unit who begins Stage 3.

6.4 Stage Three

6.4.1 Upon receipt of the Student Appeals Form the Head of Faculty/Unit convenes an Appeals Panel within 5 working days. Details of the composition of the Panel and its term of reference are sent to the student.

6.4.2 The Appeals Panel reconsiders all the evidence available and makes a decision. The decision of the Appeals Panel is the final College stage and will be conveyed in writing to the student.

6.4.3 A copy of the letter together with the Student **Internal** Appeals Form (QAL/006/AP1) (with Section 3 completed) will be added to the

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student's record and made available to the appropriate awarding body's external verifier or moderator. If the student is in disagreement with the decision of the Appeals Panel they are entitled to raise the matter with the external verifier or moderator.

EXTERNAL ASSESSMENT APPEAL

6.5 Awarding Bodies offer the following Enquiry about Results Services (EARS) to students (made through the Examination Office) for externally assessed work which have final closing dates for applications – see 8.3.

6.5.1 Students are presented with an information pack from the Examination Office (8.4) on receipt of their results. This explains about the Post Results Service and their right to approach the Awarding Body (through the Examination Office) for an Enquiry about Results (EARS) for GCSE, GCE, AEA, Functional Skills, Principal Learning and Projects (including Extended Project) and includes a timetable of deadlines. Students can also request access to their examination scripts (either photocopies or originals).

6.6 Service 1 (Clerical re-check)

6.6.1 This is a re-check of all the procedures leading to a result.

6.6.2 The application must be submitted on-line by the College with the consent of the candidate – QAL/006/AP3 – within the deadlines in the document specified in Section 8.3

6.6.3 The outcome of the re-check will be reported along with a statement of the total marks awarded for each unit, or component, included in the enquiry.

6.6.4 The target for completion is within 20 calendar days of the Awarding Body receiving the request.

6.7 Service 2 (Post results review of marking)

6.7.1 This is a post-results review of the original marking to ensure that the agreed mark has been applied correctly. The service is available for externally assessed components of a modular, unitised or linear specification.

6.7.2 The application must be submitted on-line by the College with the consent of the candidate – QAL/006/AP3 – within the deadlines in the document specified in Section 8.3

6.7.3 The service will include re-checks as in Service 1 and a review of marking as described in 6.6.3. A photocopy of the reviewed script(s) or report (whichever applicable) may be requested.

6.7.4 The target for completion is within 30 calendar days of the Awarding Body receiving the request.

6.8 Priority Service 2 (Post results review of marking)

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6.8.1 This service is as Service 2 in section 6.7 but is only available if the following criteria are met:

- the enquiry is about an examination for a Level 3 qualification
- a candidate's place in further/higher education is dependent upon the outcome
- the request is received by the Awarding Body within the shorter deadline in the document specified in Section 8.3

6.8.2 The target for completion is within 18 calendar days of the Awarding Body receiving the request.

6.9 Service 3 (Post –results review of moderation)

6.9.1 This is a process in which the original moderation is reviewed to ensure that the required assessment criteria have been fairly, reliably and consistently applied. (Not available if the coursework has been accepted without change by the Awarding Body).

6.9.2 The application must be submitted on-line by the College within the deadline in the document specified in Section 8.3 but the consent of the candidate is NOT required.

6.9.3 The original sample of candidates' work will be reviewed and include feedback similar to that following the original moderation.

6.9.4 If centre marks are re-instated, feedback will not be provided.

6.9.5 Review of moderation will only be carried out on the work of candidates submitted in the original sample, be the original work and have been kept under secure conditions and not returned to the candidates.

6.9.6 The target for completion is within 40 calendar days of the Moderator receiving the coursework sample.

7. RECORDS PRODUCED

- 7.1 Students Internal Appeals Form (QAL/006/AP1)
- 7.2 Final decision of Appeals Panel
- 7.3 Students External Consent Form (QAL/006/AP3)

8. RELATED DOCUMENTS

- 8.1 Appeals Panel Terms of Reference (QAL/006/AP2)
- 8.2 Assessment Policy (POL/035/000)
- 8.3 Joint Council for General Qualifications Post Results Services Information and Guidance for 1 August 2008 to 31 July 2009
<http://www.jcq.org.uk/attachments/published/951/10.%20Post%20Results%20Services%20Booklet%2008-09.pdf>
- 8.4 Results Information Pack (Examination Office)

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STUDENT INTERNAL APPEALS FORM
QAL/006/AP1

SECTION 1

Name of Student or Employer _____

Name of Assessor/Internal Verifier/Moderator _____

Name of Lead Internal Verifier/Moderator _____

Date of Decision _____

Unit(s) being undertaken _____

Assessor's/Internal Verifiers/Moderators comments on issue which is the subject of appeal

Student's/employer's reasons for appeal

Student's/employer's signature _____

Date _____

Assessor's signature _____

Date _____

Assessor's/Internal Verifier's/Moderator's decision

Date Appeal received _____

Date of reply _____

Assessor's Name _____

Signature _____

SECTION 2

Lead Internal Verifier's/Moderator's comments

Date Appeal received _____

Date of reply _____

Lead I V /Moderator's Name _____

Signature _____

SECTION 3

Appeals Panel's comments

Date Appeal received _____

Date of reply _____

Chair of Panel 's Name _____

Signature _____

Entered in the Appeals Log Yes/No

Date Appeal logged _____

Students Record Holder's Name _____

Signature _____

APPEALS PANEL TERMS OF REFERENCE

1. The panel will consider the candidate's explanation and the explanation provided by the original Assessor and the Lead Internal Verifier.
2. Any supporting evidence from the candidate's colleague/friend will then be heard.
3. At this point the candidate and friend will leave the meeting so that the Appeals Panel can reach a decision.
4. This decision will be final and will be conveyed to the candidate and the assessor in writing within 5 (five) working days of the Appeals Committee Meeting.
5. A copy of this letter together with the written evidence presented to the committee will be kept in the External Verifier's file.

STUDENT **EXTERNAL APPEALS FORM**
QAL/006/AP3

ENQUIRIES ABOUT RESULTS

Candidate Consent Form

Information for candidates

The following information explains what may happen following an enquiry about the result of an examination.

If your examination centre makes an enquiry about the result of one of your examinations after your subject grade has been issued, there are three possible outcomes:

- Your original mark is lowered, so your final grade may be lower than the original grade you received.
- Your original mark is confirmed as correct, and there is no change to your grade.
- Your original mark is raised, so your final grade may be higher than the original grade you received.

In order to proceed with the enquiry about results, you must sign the form below. This tells the head of your centre that you have understood what the outcome might be, and that you give your consent to the enquiry about results being made.

Candidate consent form

Centre Number	Centre Name
Candidate Number	Candidate Name

Details of enquiry (Awarding Body, Qualification level, Subject title, paper/unit)

.....
.....

I give my consent to the head of my examination centre to make an enquiry about the result of the examination(s) listed above. In giving consent I understand that the final subject grade awarded to me may be lower than, higher than, or the same as the grade which was originally awarded for this subject.

Signed: Date: