

# Exams – Complaints & Appeals Policy

Overton School

<b>Approved by:</b>	Omar Salahuddin, Principal
<b>Last reviewed on:</b>	26/08/20
<b>Next review due by:</b>	25/08/21

## Key staff involved in the complaints and appeals procedure

Role	Name(s)
Principal	Omar Salahuddin
SLT members	Rebecca Roberts
Exams officer	Jade Marsh

### Purpose of the procedure

This procedure confirms [Overton School] compliance with JCQ's *General Regulations for Approved Centres 2019-2020, section 5.7* that the centre has in place "...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

### Grounds for complaint

A candidate (or his/her/parent/carer) may make a complaint on the grounds below (this is not an exhaustive list).

### Teaching and learning

- Quality of teaching and learning, for example
  - Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis
  - Teacher lacking knowledge of new specification/incorrect core content studied/taught
  - Core content not adequately covered
  - Inadequate feedback for a candidate following assessment(s)
- Pre-release/advance material/set task issued by the awarding body not provided on time to an exam candidate
- The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- The marking of an internal assessment, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*
- Candidate not informed of his/her centre assessed marks prior to marks being submitted to the awarding body
- Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks

### Access arrangements

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding his/her access arrangements
- Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)
- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment

### Entries

- Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer)
- Candidate not entered/entered late (incurring a late entry fee) for a required exam/assessment
- Candidate entered for a wrong exam/assessment
- Candidate entered for a wrong tier of entry

### Conducting examinations

- Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place
- Room in which exam held did not provide candidate with appropriate conditions for taking the exam
- Inadequate invigilation in exam room
- Failure to conduct exam according to the regulations
- Online system failed during (online) exam/assessment
- Disruption during exam/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported
- Eligible application for special consideration for a candidate not submitted/not submitted to timescale
- Failure to inform/update candidate on the outcome of a special consideration application

### Results and Post-results

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of an enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body *post-results services*)

- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal (complainant to refer via [insert who] to the centre's *internal appeals procedure*)
- Centre applied for the wrong post-results service/for the wrong exam paper for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission

### **Complaints and appeals procedure**

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, Overton School encourages him/her to try to resolve this informally in the first instance.

#### **Appeals Policy Aim:**

- To enable the learner to enquire, question or appeal against an assessment decision.
- To attempt to reach agreement between the learner and the assessor at the earliest opportunity.
- To standardise and record any appeal to ensure openness and fairness.
- To facilitate a learner's ultimate right of appeal to the awarding organisation, where appropriate. To protect the interests of all learners and the integrity of the qualification.

In order to do this, the centre will:

- Inform the learner at induction, of the Appeals Policy and Procedure
- Record, track and validate any appeal
- Forward the appeal to the awarding organisation when a learner considers that a decision continues to disadvantage her/him after the internal appeals process has been exhausted
- Keep appeals records for inspection by the awarding organisation for a minimum of 18 months
- Have a staged appeals procedure
- Take appropriate action to protect the interests of other learners and the integrity of the qualification, when the outcome of an appeal questions the validity of other results
- Monitor appeals to inform quality improvement.

### **Appeals Procedure Responsibilities**

**Learner:** responsible for initiating the appeals procedure, in the required format, within a defined time frame, when s/he has reason to question an assessment decision.

**Assessor:** responsible for providing clear achievement feedback to learners. If assessment decisions are questioned, the assessor is responsible for processing the learner's appeal within the agreed time.

**Internal Quality Assurer:** responsible for judging whether assessment decisions are valid, fair and unbiased.

**Head Teacher:** responsible for submitting an appeal in writing to the awarding organisation if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.

**Learner induction:** Should inform the learner of the appeals procedure.

**Learner appeals procedures:** A staged procedure to determine whether the assessor:

- used procedures that are consistent with awarding organisation's requirements
- applied the procedures properly and fairly when arriving at judgements
- made a correct judgement about the learner's work.

**Appeals procedure stages:**

**Stage 1 – Informal:** Learner consults with assessor within a defined period of time (28 days) following the assessment decision, to discuss the assessment decision.

The Appeal and follow up discussion will be documented and an informal resolution sought. The Assessor may wish to consult with a colleague/other experienced assessor (or internal quality assurer) to find a resolution. If a resolution cannot be found informally, the assessor should ensure the Appeals process thus far has been documented, before passing the Appeal to their line manager for Stage 2 of the process to occur.

**Stage 2 – Review:** Review of assessment decisions by manager and/or internal quality assurer. Learner notified of findings in writing and asked whether s/he agrees or disagrees with the outcome. If unresolved/disagreed, move to stage 3.

**Stage 3 – Appeal hearing:** Head of centre hear the appeal, this is the last stage by the centre. If unresolved, move to stage 4.

**Stage 4 – External appeal:** The grounds for appeal and any supporting documentation must be submitted by the centre to the awarding organisation within 14 days of the completion of Stage 3: a fee is levied.

**Recording appeals:** each stage should be recorded, dated and show either agreement or disagreement with decisions. Documents must be kept for a minimum of 18 months. Bryn Melyn Care will notify the awarding organisation of any outcome of the appeal that has implications for the conduct of the examination or the issue of results. A written record of the appeal will be kept and must be made available to the awarding organisation at their request.

**Monitoring of appeals:** This will be undertaken by the Head of Centre.

If a learner wishes to appeal against the external marking/assessment of an exam, they are required to follow the awarding organisation's Appeals Procedures. This will be made available to the learners and can be accessed from the City and Guilds website.

**Complaints and appeals form**

Please tick box to indicate the nature of your complaint/appeal

- Complaint/appeal against the centre’s delivery of a qualification
- Complaint/appeal against the centre’s administration of a qualification

FOR CENTRE USE ONLY	
Date received	
Reference No.	

<b>Name of complainant/appellant</b>	<b>name</b> different to complainant/appellant
<b>Candidate name</b> if different to complainant/appellant	
<p>Please state the grounds for your complaint/appeal below</p>          <p>If your complaint is lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say</p> <p>Your appeal should identify the centre’s failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate</p> <p><i>If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed</i></p>	
<p>Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)</p>          	
Complainant/appellant signature:	Date of signature:

This form must be completed in full; an incomplete form will be returned to the complainant/appellant

