

The City of Leicester College



Complaints and Appeals Procedure (exams)

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Chair of Governors	<i>J S Andrews</i>	

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Review of Results and Appeals

Introduction

Following the issue of results, awarding bodies make post-results services available (see below for details of how these are managed at The City of Leicester College)

If teaching staff at The City of Leicester College or a candidate (or his/her parent/carer) have a concern that a result may not be accurate, post-results services may be considered.

The JCQ post-results services currently available are detailed below.

Reviews of Results (RoRs):

- Service 1 (Clerical re-check) - This is the only service that can be requested for objective tests (multiple choice tests)
- Service 2 (Review of marking)
- Priority Service 2 (Review of marking) - This service is only available for externally assessed components of GCE A-level specifications (an individual awarding body may also offer this priority service for other qualifications)
- Service 3 (Review of moderation) - This service is not available to an individual candidate

Access to Scripts (ATS):

- Copies of scripts to support reviews of marking
- Copies of scripts to support teaching and learning

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements at The City of Leicester College for dealing with candidate appeals against any centre decision not to support a clerical re-check, a review of marking, a review of moderation, or an appeal.

This procedure ensures compliance with JCQ regulations (GR 5.13) which state that centres must have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal.

Post-results services

At The City of Leicester College:

- Candidates are informed of the arrangements for post-results services and the availability of senior members of centre staff immediately after the publication of results, before they sit any examinations

Candidates are informed by:

- Provide information to candidates and staff on the services provided by awarding bodies and the fees charged in their results envelope.

Full details of the post-results services, internal deadline(s) for requesting a service and the fees charged (where applicable) are provided by The exams office on results day

Centre actions in response to a concern about a result

Where a concern is expressed that a particular result may not be accurate, The City of Leicester College will:

- Look at the marks awarded for each component part of the qualification alongside any mark schemes, relevant result reports, grade boundary information etc., when made available by the awarding body, to determine if the concern may be justified

For **written** components that contributed to the final grade, The City of Leicester College will:

- Where a place a university or college is at risk, consider supporting a request for a Priority Service 2 review of marking

In all other instances:

- Consider accessing the script by:
 - (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline OR
 - (where the option is made available by the awarding body) viewing the candidate's marked script online to consider if requesting a review of marking is appropriate
- Collect written consent/permission from the candidate to access the script
- On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
- Support a request for the appropriate Review of Results service (clerical re-check or review of marking) if any error is identified
- Collect written consent from the candidate to request the Review of Results service before the request is submitted
- Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body

For **moderated** components that contributed to the final grade The City of Leicester College will:

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult the moderator's report/feedback to identify any issues raised
- Determine if the centre's internally assessed marks have been accepted without change by the awarding body – if this is the case, a Review of Results service 3 (Review of moderation) will not be available
- Determine if there are any grounds to submit a request for a review of moderation for all candidates in the original sample

Candidate consent

The City of Leicester College will:

- Acquire written candidate consent (accepting informed consent via candidate email) in all cases before a request for a Review of Results service 1 or 2 (including priority service 2) is submitted to the awarding body
- Acquire informed candidate consent to confirm the candidate understands that the final subject grade and/or mark awarded following a clerical recheck or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded
- Only collect candidate consent after the publication of results

Centre actions in the event of a disagreement (dispute)

Where a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking or a review of moderation The City of Leicester College will:

- For a review of marking (Review of Results priority service 2), advise the candidate a review may be requested by providing informed written consent (and the required fee) for this service to the centre by the deadline set by the centre
- For a review of marking (Review of Results service 1 or 2), first advise the candidate to access a copy of their script to support a review of marking by providing written permission (and any required fee) for the centre to access the script from the awarding body
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (Review of Results service 1 or 2) is required, this must be submitted by the deadline set by the centre by providing informed written consent (and the required fee) for the centre to request the service from the awarding body
- Inform the candidate that a review of moderation (Review of Results service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample

If the candidate (or his/her parent/carer) believes there are grounds to appeal against the centre's decision not to support a review of results, an internal appeal can be submitted to the centre by complete an internal appeals form at least the number of days given is dependent on how far away the deadline for submitting a Review of Results is. prior to the internal deadline for submitting a request for a review of results.

The appellant will be informed of the outcome of the appeal Before the internal deadline for submitting a Review of Results.

Appeals

Following a Review of Results outcome, an external appeals process is available if the head of centre at The City of Leicester College remains dissatisfied with the outcome and believes there are grounds for appeal.

The JCQ publications Post-Results Services and JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes) will be consulted to determine the acceptable grounds for a preliminary appeal.

Where the head of centre is satisfied after receiving the Review of Results outcome, but the candidate (or parent/carer) believes there are grounds for a preliminary appeal to the awarding body, an internal appeal may be made directly to the centre. Candidates or parents/carers are not permitted to make direct representations to an awarding body. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet.

To submit an internal appeal:

- An internal appeals form should be completed and submitted to the centre within the time specified by the centre from the notification of the outcome of the review of the result
- Subject to the head of centre's decision, the preliminary appeal will be processed and submitted to the awarding body within the required 30 calendar days of receiving the outcome of the Review of Results process
- Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer)
- If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre

Complaints and Appeals Procedure

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements for complaints and appeals in relation to examinations at The City of Leicester College and confirms compliance with JCQ's **General Regulations for Approved Centres** (section 5.8) in drawing to the attention of candidates and their parents/carers their written complaints and appeals procedure which covers general complaints regarding the centre's delivery or administration of a qualification.

Grounds for complaint

A candidate (or his/her/parent/carer) at The City of Leicester College may make a complaint on the grounds below.

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 examination 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 their centre assessed mark prior to marks being submitted to the awarding body
- Candidate not informed of their centre assessed mark 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 the centre assessed mark

Access arrangements

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding their access arrangements
- Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed data protection notice/candidate data personal consent form)
- Candidate not informed/adequately informed of the arrangement(s) in place and the subjects or components of subjects where the arrangement(s) would not apply
- Examination information not appropriately adapted for a disabled candidate to access it
- Adapted equipment put in place failed during examination/assessment
- Approved access arrangement(s) not put in place at the time of an examination/assessment
- Appropriate arrangement(s) not put in place at the time of an examination/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 examination/assessment
- Candidate entered for a wrong examination/assessment
- Candidate entered for a wrong tier of entry

Conducting examinations

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

Results and Post-Results

- Before examinations, candidate not made aware of the arrangements for post-results services and the availability 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 a decision on the submission of a results review/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 re-check, a review of marking, a review of moderation or an appeal (complainant to refer to the centre's **internal appeals procedure**)
- Centre applied for the wrong post-results service/for the wrong examination paper for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for a candidate without gaining required candidate consent/permission

Complaints and Appeals Procedure

If a candidate (or parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification, The City of Leicester College encourages an informal resolution in the first instance. This can be undertaken by 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, The City of Leicester college encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person by writing to the Examination's Officer.

If a complaint fails to be resolved informally, the candidate (or his/her parent/carer) is then at liberty to make a formal complaint.

If a concern or complaint fails to be resolved informally, the candidate (or parent/carer) is then at liberty to make a formal complaint.

How to make a formal complaint

All documentation relating to the submission of a formal complaint is available from, and should be returned to Head Teacher's PA. Formal complaints will be logged and acknowledged within 5 working days.

To make a formal complaint, candidates (or parents/carers) must:

- A complaint should be submitted by completing a Complaints and Appeals Form for Exams (Appendix A)

How a formal complaint is investigated

Head Teacher will further investigate or appoint a member of the college leadership team (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion. The findings and conclusion of any investigation will be provided to the complainant within 10 working days.

Appeals

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted. To submit an appeal, candidates (or parents/carers) must:

- Any appeal must be submitted in writing by again completing a Complaints and Appeals Form for Exams (Appendix A)

Appeals will be logged and acknowledged within 5 working days.

The appeal will be referred to The Chair of Governors for consideration.

It will be the responsibility of The Chair of Governors will inform the appellant of the final conclusion in due course. to inform the appellant of the final conclusion.

Internal Appeals Procedure

Introduction

Certain qualifications contain components of non-examination assessment (or units of coursework) which are internally assessed (marked) by The City of Leicester College and internally reviewed/standardised. The marks awarded (the internal assessment decisions) which contribute to the final grade of the qualification are then submitted by the deadline set by the awarding body for external moderation.

The moderation process carried out by the awarding body may result in a mark change, either upwards or downwards, even after an internal review. The internal review process is in place to ensure consistency of marking within the centre, whereas moderation by the awarding body ensures that centre marking is in line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.

The qualifications delivered at The City of Leicester College containing components of non-examination assessment/units of coursework are:

- GCSE
- GCE
- AQA Applied General qualifications
- OCR Cambridge Nationals
- OCR Cambridge Technical
- RSA School of rock
- Entry Level Certificate,
- Project qualifications

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements at The City of Leicester College for dealing with candidate appeals relating to internal assessment decisions.

This procedure ensures compliance with JCQ regulations which state that centres must:

- Have in place and be available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates
- Before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking

Principles relating to Centre assessed marks

The head of Centre/senior leader(s) at The City of Leicester College will ensure that the following principles are in place in relation to marking the work of candidates:

- A commitment to ensuring that whenever teaching staff mark candidates' work, that this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents
- All centre staff follow a robust Non-examination Assessment Policy (for the management of non-examination assessments). This policy details all procedures relating to non-examination assessments for relevant qualifications delivered in the centre, including the marking and quality assurance processes which relevant teaching staff are required to follow
- Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity
- A commitment to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking

- On being informed of their Centre assessed mark(s), if candidates believes that the above procedures were not followed in relation to the marking of their work, or that the assessor has not properly applied the mark scheme to their marking, then they may make use of the internal appeals procedure below to consider whether to request a review of the Centre's marking

Procedure for appealing internal assessment decisions (centre assessed marks)

The head of centre/senior leader(s) at The City of Leicester College will:

- Ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body
- Inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of their work in meeting the published assessment criteria
- Inform candidates that they may request copies of materials (for example, as a minimum, a copy their marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject) to assist them in considering whether to request a review of the centre's marking of the assessment
- Having received a request for copies of materials, promptly make them available to the candidate (for some marked assessment materials, such as art work and recordings, inform the candidate that these will be shared under supervised conditions) within the period of time as specified (see **Deadlines** below)
- Provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review they will need to explain what they believe the issue to be
- Provide a clear deadline for candidates to submit a request for a review of the centre's marking and confirm understanding that requests must be made in writing and will not be accepted after this deadline (see **Deadlines** below)
- Require candidates to make requests for a review of centre marking by Completing an internal appeals form
- Allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline (see **Deadlines** below)
- Ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review
- Instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre
- Inform the candidate in writing of the outcome of the review of the centre's marking
- Ensure the outcome of the review of the centre's marking is made known to the head of centre who will have the final decision if there is any disagreement on the mark to be submitted to the awarding body
- Ensure a written record of the review is kept and made available to the awarding body upon request
- Ensure the awarding body is informed if the centre does not accept the outcome of a review

Deadlines and timescales

- Upon request, copies of materials will be made available to the candidate within dates of the internal deadline for submitting a requests.
- The deadline to request a review of marking must be made within dates of the internal deadline for submitting a requests. of the candidate receiving copies of the requested materials

- The process for completing the review, making any changes to marks, and informing the candidate of the outcome will be completed within dates of the internal deadline for submitting a requests., all before the awarding body's deadline for the submission of marks