



POLICY / PROCEDURE

Document Title	Appeals Procedure
Version	Version 1.0
Equality Impact Assessment Status	
Approved by	MIS Manager
Date approved	1st September 2016
Effective date	1st August 2016
Date of next review	31st July 2021
Lead responsibility	MIS Manager

1. Purpose

- 1.1. The purpose of this Appeals Policy is to ensure the process for appeals against internally and externally assessed marks is conducted efficiently and in the best interests of candidates and to ensure the operation of an efficient procedure with clear guidelines for all relevant staff.

2. Scope

- 2.1. It is the responsibility of everyone involved in the Centre's exam processes to read, understand and implement this policy.

3. Policy / Principles

- 3.1. Derwentside College Commitment:

3.1.1. Derwentside College is committed to ensuring that:

- All work which is marked by their own staff, is done so fairly, consistently and in accordance with the Awarding Body's Specification and subject specific associated documents;
- All Work will be marked by staff who have the appropriate knowledge, understanding and skill and who have been suitably trained in this activity;
- All work produced by Candidates is authenticated in line with the requirements of the Awarding Body;
- Where a number of subject lecturers are involved in the marking of Candidates' work, Internal Moderation and Standardisation will take place to ensure consistency

- 3.2. If a Candidate believes that the above has not taken place in relation to his/her work, in the first instance, the Candidate should highlight their concerns to the appropriate Head of Faculty for investigation. If the Candidate remains dissatisfied following any investigation, then they may make use of this Appeals Procedure.

Please Note: An appeal may only be made against the assessment process and NOT against the mark to be submitted to the Awarding Body.

4. Procedure

- 4.1. Internal Appeals Procedure and Policy for Internally Assessed Marks:

4.1.1. All appeals must be made in writing and addressed to the Examinations Officer, as soon as the matter arises, ensuring that this can be processed prior to the submission of centre marks to the Awarding Body.

4.1.2. The procedure for appeals against internally assessed marks will follow the process below, upon receipt of the appeal:

- The Examinations Officer, MIS and Funding Manager and a Head of Faculty will conduct an investigation (the Head of Faculty selected will have had no involvement in the internal assessment process for that subject);

- The investigation will consider if the procedure used for the internally assessed marks has conformed to the requirements set out by the Awarding Body and the JCQ Codes of Practice and that all processes adhere to Derwentside College's commitment, as outlined above;
- The Candidate will be informed in writing of the outcome of their appeal, which will also include any correspondence with the Awarding Body, prior to the submission of centre marks to the Awarding Body;
- The appeal and the outcome of which, will be reported to the Head of Centre and logged as a complaint;
- A written record of the appeal, subsequent investigation and outcome will be kept on record and will be made available to the Awarding Body upon request

4.1.3 Work which has been internally assessed by Derwentside College is subject to moderation conducted by the Awarding Body, to ensure consistency in marking between centres. This moderation may result in mark changes which is outside of the control of Derwentside College and is therefore not covered by this procedure.

4.2. Procedure and Policy for Externally Assessed Marks:

4.2.1 The following procedure can be used by Candidates who wish to query a mark or grade awarded by an Awarding Body:

- Candidates should raise their concern with their subject lecturer, as soon as possible, but no later than 5 working days prior to the published deadline for EARs – Enquiries about Results);
- The Candidates must be aware that EARs may result in marks or grades being raised, confirmed or lowered;
- The lecturer will review the Candidates marks or grades and discuss these with their Head of Faculty and agree the most appropriate action to be taken, taking into consideration the breakdown of marks, grade boundaries and the Candidates predicted grades;
- Following discussions, the lecturer, in conjunction with the Candidate, will decide if an EARs should be raised and if so the attached Consent Form is to be completed and submitted to the Examination Officer;
- The Examinations Officer will process the EARs with the Awarding Body;
- The outcome of the EARs will be communicated to the Candidate in writing by the Examinations Officer;

5. Relevant Legislation / Regulation

5.1. The following legislation and regulations apply to this policy / procedure:

- JCQ Regulations
- Awarding Body Regulations

6. Related Documents

6.1. The following related documents are relevant to this policy / procedure:

- Examinations Policy
- Enquiries about Results and Appeals – Candidate Consent Form

7. Accountability

7.1. The Examinations Officer is responsible for the drafting and implementation of this policy.

7.2. He or she is also responsible for ensuring that this document is regularly reviewed and updated – and is the first contact point for managers seeking advice and guidance about the Appeals Policy and Procedure or making enquiries about its interpretation.

7.3. All managers are responsible for ensuring that they and their team members follow the requirements set out in this document.

7.4. All employees are responsible for adhering to the requirements set out in this document.

8. Equality & Diversity

8.1. The College has paid due regard to equality considerations during the preparation and implementation of this Policy and Procedure.

8.2. These considerations included the potential for any differential negative effect on the grounds of age, disability, gender reassignment, pregnancy and maternity, race (including ethnic or national origins, colour or nationality), religion or belief (including lack of belief), sex, sexual orientation, marriage or civil partnership.

8.3. The College's judgement is that there is no such negative effect on those grounds and, consequently, no potential breach of the Equality Act 2010.

8.4. The operation of this Policy and Procedure will be monitored by the HR Manager in order to establish that no unlawful discrimination is taking place and to identify opportunities for the College to enhance equality of opportunity and fair treatment.

9. Review

9.1. This document will be reviewed by 31st July 2021.

9.2. The MIS Manager will undertake this review, taking into account the outcomes of the monitoring process, legislative changes and developments in good practice.

9.3. As part of the review, the MIS Manager will seek and consider the views of the College's employees and of the recognised trade unions.

9.4. The outcome of the review will be reported to the Senior Management Team.

10. Document Identification

Category [select ONE only]	<input type="checkbox"/> Programmes/courses <input type="checkbox"/> Partnerships <input type="checkbox"/> Finance <input type="checkbox"/> Quality <input type="checkbox"/> Governance <input type="checkbox"/> Health and safety <input type="checkbox"/> Facilities <input type="checkbox"/> Computer Services <input checked="" type="checkbox"/> MIS <input type="checkbox"/> Admissions <input type="checkbox"/> Teaching and learning <input type="checkbox"/> Personnel
Audience [select ALL that apply]	<input checked="" type="checkbox"/> Employees <input checked="" type="checkbox"/> Learners <input type="checkbox"/> Partners <input type="checkbox"/> Suppliers