

## Exams – Complaints and Appeals Policy

This procedure is reviewed annually to ensure compliance with current regulations. Part 1 identifies the procedure regarding

### **Key staff involved in the complaints and appeals procedure**

<b>Role</b>	<b>Name(s)</b>
Head of centre	<b>George Croxford</b>
SLT members	<b>Anita Ellis, Steven Paddock, Sue Britton, Katharine Salmon, Marie Roberts, Angela Bell, Sue McMullin, Steve Gillett, Jon Stewart</b>
Exams officer	<b>Suzanne Henderson</b>

### **Purpose of the procedure**

This procedure confirms Royal Wootton Bassett Academy compliance with JCQ's *General Regulations for Approved Centres 2018-2019, 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."

### **Part 1: Complaints regarding the delivery of qualifications**

#### **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 – please see below*)
- ▶ 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 Examinations Officer 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, Royal Wootton Bassett Academy encourages him/her to try to resolve this informally in the first instance. For example - A concern or complaint should be made in person, by telephone or in writing to the head of centre].

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

### **How to make a formal complaint**

- A complaint should be submitted in writing by completing a **complaints and appeals form**
- Forms are available from the Exam Office
- Completed forms should be returned to the Exam Office
- Forms received will be logged by the centre and acknowledged within 3 working days

### **How a formal complaint is investigated**

- The head of centre will further investigate or appoint a member of the senior 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 will be provided to the complainant within 3 working weeks or if it is still under investigation the complainant will receive an update within this time frame

### **Appeals**

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted.

- ▶ Any appeal must be submitted in writing by again completing a **complaints and appeals form**
- ▶ Forms received will be logged by the centre and acknowledged within 3 working days
- ▶ The appeal will be referred to the Headteacher
- ▶ The Headteacher will inform the appellants of the final conclusion in due course
- ▶ Should the complaint involve the Headteacher the appeal will be referred to the CEO of RWBAT.

### **Part 2: Appeals against Marks/Grades Awarded:**

#### **Appeals against Internally Assessed Work for External Qualifications**

Appeals may be made to the Academy regarding the *procedures* used in internal assessment, and *not the actual marks or grades* submitted by the Academy for moderation by the Awarding Body.

Royal Wootton Bassett Academy is committed to ensuring that when staff assess Pupils' work for external qualification this is done fairly, consistently and in accordance with the specification for the qualification concerned. Assessments are conducted by staff who have appropriate knowledge, understanding and skills, and who have been trained in this activity. The Academy is committed to ensuring that assessment evidence provided by Pupils is produced and authenticated according to the requirements of the relevant specifications for each

subject. Where a set of work is divided between staff, internal moderation and standardisation will take place to ensure consistency.

If a Pupil does not agree with the coursework / controlled assessment marks awarded by the teacher and this cannot be resolved by discussion between the teacher and Pupil then the Pupil may appeal to the Assistant Headteacher (Achievement).

The following procedure will be followed:

- a) Appeals must be made in writing by the Pupil and submitted before the start of the examination session to the Assistant Headteacher (Achievement).
  - b) The Assistant Headteacher (Achievement) will investigate the appeal, provided they have not been involved in the original internal assessment, with the appropriate Curriculum Areas. The purpose of the investigation will be to decide whether the process used for the internal assessment conformed to the published requirements of the awarding body and the examinations code of practice produced by the QCA.
  - c) The teacher(s) making the assessment will be able to respond to the appeal in writing and a copy will be sent to the candidate.
  - d) The candidate will be informed in writing of the outcome of the appeal, a written record will be kept and the awarding bodies will be informed should the appeal bring any significant irregularity to light. It is expected that this will be used only in exceptional circumstances.
  - e) If the candidate is not happy with the written response they have received then they can request a personal hearing before an Appeals Panel. It is expected that this will be used only in exceptional circumstances.
- The Appeals Panel will consist of the Headteacher and two of the following – the Assistant Headteacher (Achievement), the Assistant Headteacher (Curriculum), the Exams Officer, the Director of Faculty, and an Academy Director.
  - The request for a personal hearing must be made within two days of receipt of the written reply to the initial appeal.
  - The candidate will be given at least two days' notice of the hearing date.
  - A breakdown of the marks awarded will be given to the candidate in advance of the appeal.
  - The candidate may bring a parent/carer to the hearing.
  - The teacher(s) involved will be present at the hearing.
  - The Headteacher will convey the outcome of an appeal and the reasons for that outcome in writing to the candidate.
  - The Academy will maintain a written record of all appeals.
  - The Academy will inform the awarding bodies of any change to an internally assessed mark as a result of an appeal.

**All internal appeals should have been resolved by the date of the last externally assessed paper of the examination series and the centre will inform the Awarding Body of any outcome of any appeal.**

### **Appeals against External Assessment Marks**

Internally assessed work is moderated by the awarding body to ensure consistency between centres; such moderation frequently changes the marks awarded for internally assessed work. This is outside the control of Royal Wootton Bassett Academy and is **NOT** covered by this policy.

If any teaching staff or Pupil is unhappy with the marks awarded for a particular exam unit (e.g. written exam, coursework / controlled assessment, practical assessment, etc.), they may request a number of post-results services offered by the exam boards such as a clerical check or re-mark (Enquiries about Results). Staff or Pupils must see the Examinations Officer to organise this. Prior to any such requests being submitted the Pupil will be required to sign paperwork to acknowledge that his/her grade may be confirmed, raised or lowered. In cases of Enquiries about results, where the Academy does not uphold a request for such an enquiry, the Pupil may normally pay to have an enquiry carried out. Where a Pupil wishes to challenge the decision not to hold an enquiry or consequent appeal, a similar procedure to that mentioned above will be carried out.

# Complaints and appeals form

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

<b>Name of complainant/appellant</b>	
<b>Candidate name if different to complainant/appellant</b>	

Please state the grounds for your complaint/appeal below

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

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

*If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed*

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)

Complainant/appellant signature:

Date of signature:

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

## **Complaints and appeals log**

On receipt, all complaints/appeals are assigned a reference number and logged. Outcome and outcome date is also recorded.

<b>Ref No.</b>	<b>Date received</b>	<b>Complaint or Appeal</b>	<b>Outcome</b>	<b>Outcome date</b>