



Applebee Wood Community Specialist School Exam Appeals Policy

Important coronavirus (COVID-19) update

We have added [Appendix 1](#) to this policy, which provides details on managing teacher assessed grade reviews and appeals during the coronavirus (COVID-19) pandemic.

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Statement of intent

Applebee Wood Community Specialist School understands that it is the responsibility of everyone involved in the exam process to read, understand and implement this policy.

The school is committed to ensuring that:

- Internal assessments are conducted by members of teaching staff who have the appropriate knowledge, understanding and skills to complete the duty to a consistently high standard.
- Assessment evidence provided by the candidates is produced and authenticated according to the requirements of the awarding body for the subject concerned.
- The consistency of internal assessment is maintained by internal moderation and standardisation.
- All pupil work being assessed by teaching staff for external qualifications is carried out fairly, consistently and in accordance with the rules and regulations of the specification relating to the qualification.

With the implementation of this policy, the school aims to ensure the:

- Planning and management of exams is conducted efficiently and in the best interests of candidates.
- Operation of an efficient exams system with clear guidelines for all relevant staff.

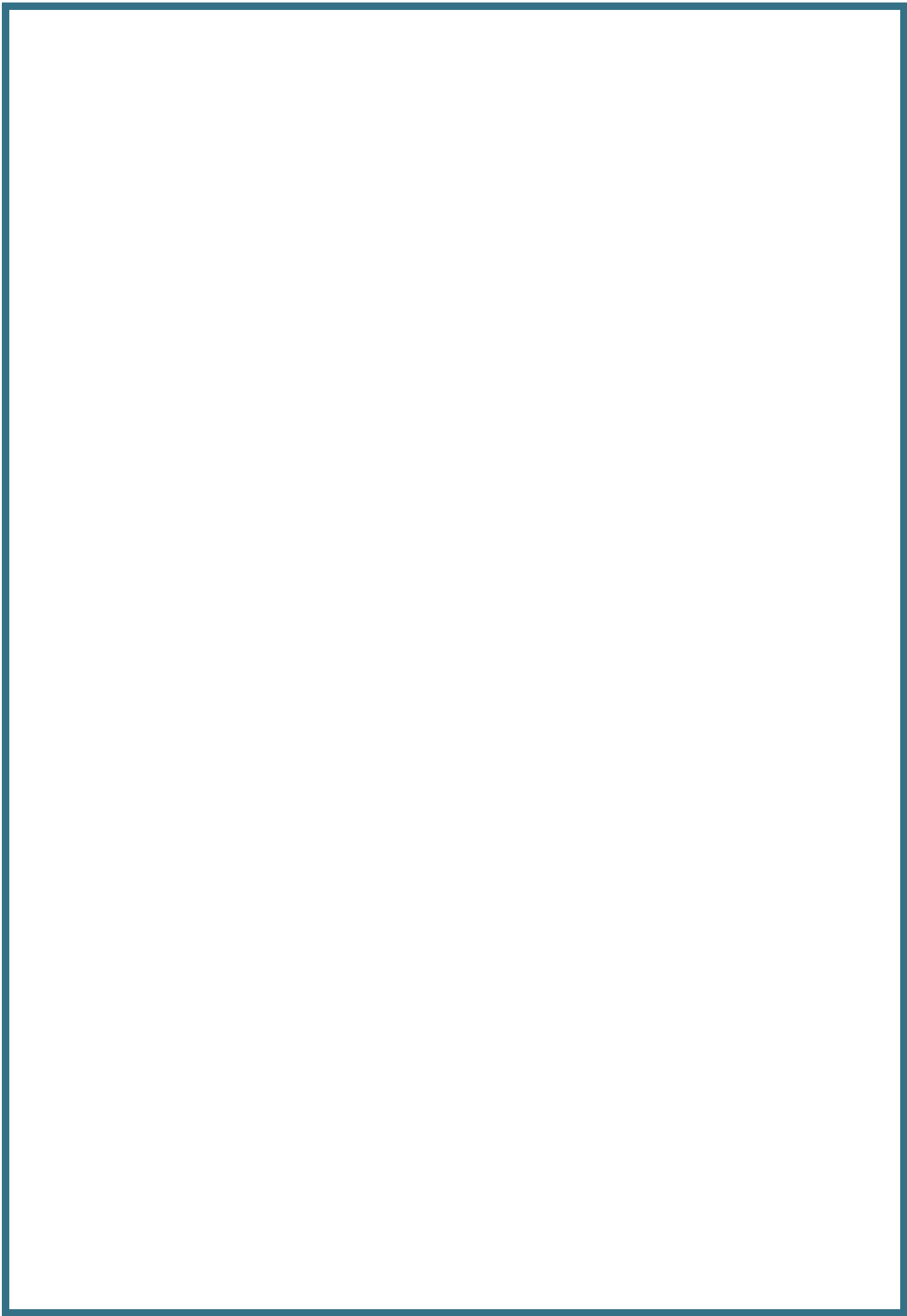
Signed by:

Headteacher

Date:

Chair of governors

Date:



1. Legal framework

- 1.1. This policy has due regard to, but is not limited to, the following:
 - Equality Act 2010
 - Joint Council for Qualifications (JCQ) (2022) 'A guide to the awarding bodies' appeals processes'
- 1.2. The school will comply with legislation in accordance with examination awarding bodies and the JCQ.
- 1.3. This policy operates in conjunction with the following school policies:
 - Examination Policy
 - Equal Opportunities Policy

2. Roles and responsibilities

- 2.1. The exams officer is responsible for:
 - Implementing this policy throughout the school and ensuring the relevant staff understand its impact.
 - Responding to queries in regards to this policy.
 - Liaising with candidates when an internal or external appeal is submitted.
 - Liaising with awarding bodies when an external appeal is submitted.
 - Ensuring moderating standards are maintained and effective.
 - Processing all [Internal Appeals Forms](#) and establishing the next course of action from each.
 - Handling any instances of disputes in accordance with [section 6](#) of this policy.
- 2.2. The headteacher is responsible for:
 - Reviewing the marking of all new internal markers, to ensure standards are satisfied.
 - Reviewing this policy in liaison with the exams officer and SLT.
- 2.3. Heads of departments are responsible for:
 - Ensuring that markers within their department are familiar with the grade boundaries, marking criteria and high standards of consistency that they are expected to use when internally marking work.
 - Offering guidance and training to internal markers as required.
 - Monitoring the effectiveness and consistency of marking within their departments and addressing any issues promptly.

2.4. Internal markers are responsible for:

- Marking internal work against the correct marking criteria and grade boundaries.
- Ensuring their marking is consistent and fair, in accordance with the Equality Act 2010.
- Ensuring they are unbiased when completing their marking.
- Participating in reviews and monitoring activities of marking data, to ensure it remains consistent across the school.

2.5. Candidates are responsible for:

- Completing exams to a high standard, revising appropriately and preparing themselves for exam season.
- Taking responsibility for their learning.
- Completing and submitting an [Internal Appeals Form](#) if required.

3. Acceptable grounds for appeal

3.1. Appeals will only be deemed valid when based on procedural irregularity in terms of the conduct of the examination or determination of the result.

3.2. Appeals will be deemed invalid and not upheld if based purely on the following:

- Academic judgement of examiners
- Extenuating circumstances affecting performance
- The candidate's lack of awareness of exam regulations and procedures

4. Internal appeals process

4.1. The school will ensure that candidates are informed of their centre-assessed marks prior to them being submitted to the awarding body, so that candidates may request a review.

4.2. Candidates will be informed that they may request copies of materials to assist them in considering whether they wish for a review to take place.

4.3. Any requests for copies of materials will be returned to the candidates within seven days and candidates will have seven days to review the materials.

4.4. If a candidate, or their parent, wishes to appeal against the procedure used in an internal assessment, they should write to the school's exams officer using the [Internal Appeals Form](#).

4.5. The deadline for appeal applications is 10 days prior to the start of the written exam series.

- 4.6. Internal appeals will be resolved by the date of the last externally assessed paper of the series (e.g. by the end of June for the summer series).
- 4.7. On receipt of a written appeal, an enquiry will be conducted by the exams officer, a member of the SLT and a head of department who is not involved in the internal assessment decision.
- 4.8. The school will ensure that those completing the review have the appropriate competence and are unbiased.
- 4.9. This enquiry will consider whether the procedure used in the internal assessment conformed to the published requirements of the awarding body and the JCQ Code of Practice.
- 4.10. Consideration will be given to whether the original mark awarded is fair and just.
- 4.11. If necessary, comparisons will be made to other pupils' work to help determine a correct and appropriate mark.
- 4.12. A written response to the appeal will be sent to the candidate and their parents within 10 working days of the school receiving the appeal.
- 4.13. A written record of the appeal and the outcome will be kept on file at the school, with the awarding body being informed of any amendments.
- 4.14. Candidates should note, after their work has been internally assessed, it is moderated by the awarding body to ensure consistency – this moderation process may lead to marks being altered and the school has no control over this.

5. External appeals process

Enquiries about results (EARs)

- 5.1. EARs can be submitted throughout the academic year.
- 5.2. Candidates should be aware that EARs can result in the marks/grades being raised, confirmed or lowered.
- 5.3. Any candidate who wants to query a mark/grade awarded by an awarding body should adhere to the following procedure:
 - Contact the exams officer and the subject teacher as soon as possible in person to discuss the mark/grade.
 - The exams officer will advise on the options available to query the mark/grade and any costs involved in doing so.
 - Candidates must sign a consent form to confirm that they understand the consequences of an EAR; these forms will be issued by the exams officer.
 - Consent forms must be returned before an EAR can be valid.

- The subject teacher will review the candidate's grades and discuss them with the head of department to agree on the appropriate action, considering the breakdown of marks, the grade boundaries and the candidate's predicted grades.
- 5.4. If the EAR is supported, the department will make a request, together with the pupil's consent form, to the exams officer before the deadline for EARs.
- 5.5. The cost of the enquiry will be met by the departmental budget.
- 5.6. If the EAR is successful, the fee will be refunded.
- 5.7. If the department does not agree to support the EAR, a candidate may appeal against the decision not to support an EAR by doing the following:
 - Appeals should be made in writing to the [SBM](#), at least five working days before the published deadline for EARs
 - The appeal should state the reason(s) for the appeal
 - This appeal must be signed, dated and include the contact number and email address of the pupil and their parent
- 5.8. The appeal information will be reviewed by the exams officer and a member of the SLT.
- 5.9. The outcome of the appeal will be communicated either by telephone, email or first-class post, as appropriate, within 24 hours of receipt.
- 5.10. The decision that is reached will be final.
- 5.11. If the department does not agree to support the EAR, the fee will be paid by the candidate at the time the EAR is made. No enquiry will be processed until the correct fee is paid.
- 5.12. Requests must be made in person to the exams officer before the published deadline for EARs.
- 5.13. If the department does not agree to support the EAR and the enquiry is successful, the fee will be refunded to the candidate.
- 5.14. Outcomes following EARs will be forwarded by the exams officer to the pupil as soon as they have been received from the awarding bodies.

Appeals against outcomes of post-results services

- 5.15. Post-results services refer to clerical re-checks, reviews or marking and reviews of moderation.
- 5.16. In instances where the school is dissatisfied with an assessment result, the school will apply for a clerical re-check, review of marking or review of moderation.

- 5.17. If an appeal application is accepted, an investigation into candidates' or the school's results will follow – this will generally not involve a review of a candidate's work.
- 5.18. As internal candidates are not entitled to appeal directly, the school will do it on their account, if the school agrees.
- 5.19. Appeals will be made within 30 calendar days of the awarding body issuing the outcome.
- 5.20. The appeal will either be rejected or upheld in full or in part.

Appeals against malpractice decisions

- 5.21. The headteacher may appeal against a finding of malpractice and/or the sanction imposed on the school, and on behalf of candidates.
- 5.22. Appeals will be based on reasonable grounds that relate to the incidents in question.

Appeals against decisions made in respect of access arrangements and special consideration

- 5.23. The school must make appeals on candidates' behalf.
- 5.24. The exams officer will discuss the matter with the relevant awarding body prior to undertaking the appeal.
- 5.25. The appeal request will be made within two calendar weeks of receiving the original decision and will set out clearly and concisely the grounds for the appeal.

6. Disputes over appeals

Internal

- 6.1. If, after appealing an internal mark, candidates are dissatisfied with the decision, a letter requesting a personal hearing should be made to the exams officer.
- 6.2. Following this:
- A date for a hearing must be given to the candidate and any teachers involved in the assessment.
 - A hearing panel should be established. The panel must consist of a least two individuals who have not previously dealt with the particular case.
 - The school will make a written record of the hearing, which should include the outcome of the appeal and the reasons for that outcome.
 - A copy will be sent to the candidate, their parents and teacher(s) within 10 working days of the hearing.

- 6.3. If, after this, candidates are still dissatisfied, candidates will compile a written explanation of the situation and pass this to the headteacher.
- 6.4. The exams officer will pass the following details on to the headteacher within 24 hours of the headteacher receiving the candidate's letter:
- An explanation and confirmation of the assessment decision
 - Assessment record sheets
 - Any written comments
- 6.5. Candidates will be given an opportunity to speak to the SLT.
- 6.6. The assessor who marked the work originally will be asked to attend the meeting and answer any questions.
- 6.7. The matter will be discussed in private by the SLT and the candidate will be given a written response within five working days. **This decision will be final.**
- Appeals against school's decision to not support a clerical check, review of marking, review of moderation or an appeal**
- 6.8. Where the school does not support a decision to appeal for a clerical check, review of marking, review of moderation or an appeal, the candidate is at liberty to pay the appropriate fee and a request will be made to the awarding body on their behalf.
- 6.9. If the candidate (or their parent) believes there are grounds to appeal against the school's decision to not support an enquiry, an internal appeal can be submitted to the school using the [Internal Appeals Form](#) at least one week prior to the internal deadline for submitting an EAR.

7. Appeal hearing

- 7.1. If the school is dissatisfied with an appeal from an awarding body, the school may request for an appeal hearing – the full procedure for this is detailed in JCQ's (2022) 'A guide to the awarding bodies' appeals processes'.
- 7.2. If the school decides to submit a request for an appeal hearing, we will submit the application within two calendar weeks of the outcome of the preliminary appeal being issued.
- 7.3. The request will clearly set out the grounds of the appeal with supporting documentation.
- 7.4. Appellants (the school) will be expected to attend the hearing in person – they will be permitted to be accompanied by a third party; however, the names and addresses of all representatives must be given to the awarding body no later than seven calendar days before the hearing.

- 7.5. The appeal hearing will take the form of a re-examination of the evidence, comments and reports provided to and by the awarding body, and observations presented by the appellant.

8. Quality assurance

- 8.1. The school is committed to quality assurance and believes it is an integral part of its processes.
- 8.2. The provision of education is regularly monitored and reviewed by the named quality assurance representative.
- 8.3. At the school, an internal verification process is in place to ensure that consistent testing and assessment standards are maintained.
- 8.4. Several methods of internal verification are carried out on an ongoing basis, including the following:
- Cross-marking
 - Peer reviewing and appraisals
 - Working observations
 - Moderation
 - Standardisation
- 8.5. All cases of borderline achievement are internally verified. All internal verification is recorded on pupils' work and on central recording systems.
- 8.6. At least 10 percent of other assessments are checked across all relevant markers and modules.
- 8.7. All necessary staff members attend relevant training and courses, keeping up-to-date with various methods of assessment and marking.
- 8.8. Where a new marker is assessing, all work is double-marked until the headteacher is satisfied with the standard.
- 8.9. All new invigilators will be observed during the first six months and annually thereafter to ensure assessment regulations are being followed.
- 8.10. Existing invigilators will be observed conducting an assessment at least once a year.
- 8.11. Information from the awarding body is circulated to all members of staff involved in the assessing of pupils' work.
- 8.12. The school's Equal Opportunities Policy is followed at all times and regularly monitored.

9. Monitoring and review

- 9.1. This policy will be reviewed annually by the headteacher, SLT and exams officer.

9.2. The next scheduled review date for this policy is 30/01/2024.

9.3. Any changes to this policy will be communicated to stakeholders, staff, pupils and parents as necessary.

Exam Appeals During the Coronavirus (COVID-19) Pandemic

Statement of intent

Applebee Wood Community Specialist School is committed to ensuring that all teacher assessed grades submitted during the coronavirus (COVID-19) pandemic are fair, consistent, accurate, unbiased, and reflect teachers' professional judgements. We understand that it is possible for errors to occur during this process, or pupils and their families may be dissatisfied with the result of an exam, and the wish for a review or appeal may arise.

Teachers will use a range of evidence to make a judgement of the grade pupils are performing at. Pupils will only be assessed on what they have been taught. When determining the grade, teachers will reflect the standard at which the student is performing now, not their potential.

This appendix outlines the procedures in place for requesting reviews and appeals during the coronavirus pandemic, and how allegations of malpractice and maladministration should be managed.

1. Criteria for making a review request or appeal

- 1.1. Before a grade is submitted, teachers will make pupils aware of the evidence they are using to assess them.
- 1.2. Pupils will be provided the opportunity to confirm the evidence is their own work and make their teachers aware of any mitigating circumstances they believe should be considered.
- 1.3. Every pupil will have the right to appeal their grade if they wish.
- 1.4. Pupils will speak with the exams officer if they wish to appeal their grade – the exams officer will discuss the pupil's options with them and inform them about the necessary procedures for making a review request or appeal.
- 1.4. Pupils will not be able to ask the school to perform reviews on teachers' professional judgement.
- 1.5. Complaints about the school's handling of an appeal will be managed in line with the Complaints Procedures Policy.

2. Initial process review

- 2.1. Pupils may request that the school conducts an initial process review on their grade for reasons including:
 - They believe that mitigating circumstances were not suitably considered.

- They believe that the evidence used by the teacher to determine the grade was inappropriate, or the teacher failed to consider other suitable evidence.
 - They have evidence of maladministration or bias which affects their grade, e.g. discrimination.
- 2.2. Pupils will be made aware that any reviewed grades could be higher or lower than the original.
- 2.3. Once a pupil expresses a wish to appeal, the exams officer will ensure an initial process review is undertaken to check all processes were followed correctly and no errors were made.
- 2.4. Where an error is identified, the exams officer will decide if it is appropriate to submit a revised grade to the exam board.

3. Requesting an appeal

- 3.1. The exams officer will submit a formal appeal to the relevant exam board if the pupil still wishes to appeal their grade following the initial process review.
- 3.2. The exams officer will make pupils aware that appeals are unlikely to lead to adjustments in grades where the original grade is a reasonable exercise of academic judgement supported by the evidence.
- 3.3. If the exam board finds the grade is not reasonable and has communicated to the school the alternative grade, the relevant pupil will be informed as soon as possible.
- 3.5. In cases of disagreement between the school and the exam board, or if the pupil disagrees with the school or the exam board, the case will be referred to Ofqual's Exams Procedure Review Service (EPRS). The exam board's decision on the grade following appeal will stand unless the EPRS finds that the exam board has made a procedural error.
- 3.6. When appealing a VTQ result on behalf of a pupil, the school will follow the process set out by the individual awarding organisation concerned.

4. Allegations of maladministration and malpractice

- 4.1. Pupils who are concerned that maladministration or malpractice has affected their grade may make a complaint to the school, which will be managed in line with the Complaints Procedures Policy.
- 4.2. Pupils will be made aware that this type of concern is an allegation, not an appeal. Concerns of this nature may include allegations of:
- Bias
 - Discrimination
 - Malpractice
 - Maladministration

- 4.3. The school will take allegations of this nature seriously and ask the pupil to provide evidence of their allegation.
- 4.4. The school will allow any teaching staff involved with the allegation, who do not agree with the allegation made, the opportunity to explain why they do not agree.
- 4.4. Allegations will be subject to any deadlines outlined in the Complaints Procedures Policy.

5. Resitting exams

- 5.1. Pupils will be given the opportunity to sit exams in the Autumn term if they are unhappy with their Summer grade or if they need an improved result to move onto the next stage of their education.
- 5.2. Pupils' grades will be based solely on their performance in the Autumn exam series and not on any non-exam assessment (NEA), except for art and design qualifications.
- 5.3. Pupils undertaking art and design examinations will be assessed via a new performance task set and marked by the exam board, undertaken under the normal supervised conditions.

6. Monitoring and review

- 6.1. This appendix will be reviewed by the headteacher and exams officer in response to any changes to government and exam board guidance, in addition to local arrangements where applicable.
- 6.2. Changes to this appendix will be communicated with the relevant stakeholders, as necessary.
- 6.3. This appendix will cease to be in effect after the coronavirus pandemic, or when the headteacher deems it appropriate.

Internal Appeals Form

For school use	
Date received:	
Reference number:	

Please complete this form so that the school can establish the nature of your appeal.

Reason for appeal	Please tick
Appeal to dispute the suitability of evidence considered	
Appeal to dispute mitigating circumstances not being appropriately considered	
Allegation of maladministration or malpractice, e.g. bias or discrimination	

Name of appellant:		Candidate name, if different:	
Subject:		Assessment title:	
Please provide details regarding your appeal, e.g. justification for the appeal:			
<p>Tick below, if applicable:</p> <p><input type="checkbox"/> My appeal is against an internal assessment decision and I wish to request a review of the school's marking</p> <p><input type="checkbox"/> I confirm that all work submitted is my own</p>			
Appellant signature:		Date:	