

# Hartlepool Jobs and Skills Service



## Appeals Policy

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## 1. PURPOSE

The Hartlepool Jobs & Skills Service always strives to ensure that all our assessments are fair and allow learners to achieve their goals whilst studying a course or qualification through the Service.

Suppose any learner on an accredited course does not agree with an assessment decision. In that case, they can appeal to the relevant Tutor/Assessor or any other Staff Members within the Service who will follow the Appeals Procedure.

## 2. LEARNER APPEALS PROCEDURE

Assessment and marking of qualifications are ongoing, with the learner fully participating in the process, e.g. through assessment planning and performance reviews.

Sometimes, the learner and Tutor/Assessor have differing views on whether agreed evidence (agreed during assessment planning/review stages) meets the standards (See Appendix 1).

If this occurs, the learner should have the right to appeal via an accessible and open system. The characteristics of our Appeals Structure related to qualifications includes the following:

- Access to fair and reliable assessment;
- Clear and prompt response times to appeals;
- Stages that provide all parties with the opportunity to put their case;
- Clear outcomes;
- Constructive written feedback;
- Be related to the learner's assessment records;
- A formal recording system (See Appeals Form);
- Evaluation of appeals;

Those involved in an appeal can refer to the relevant Awarding Bodies Policies and Procedures at all stages. All learners must be made aware of the Appeal Policy at the start of their course by the Service, and as such, it is detailed in our Learner Handbook.

## 3. APPEALS STAGES

### Stage 1: Tutor/Assessor and Learner

Where a Learner disagrees with the assessment or marking decision, they must complete Section A of the Appeals Form and forward it to the Tutor/Assessor.

A meeting will be held between the learner and the Tutor/Assessor within five working days of the appeal being lodged. The Tutor/Assessor must inform the Lead Officer –

Skills or Tutor Co-ordinator of the appeal. The Tutor/Assessor must consider the learner's explanation and provide a response through:

- A clear explanation/reiteration, as appropriate, of the assessment/markings decision following a re-evaluation of the evidence.
- Completion of Stage 1 of the Learner Appeal form, Section B. (A copy of this must go to the Lead Officer – Skills and Tutor Co-ordinator).
- Amendment of the assessment decision, if appropriate.
- The appeal needs to proceed only if the learner agrees with the decision.
- Where the learner remains unhappy with the decision reached, the appeal must proceed to Stage 2.

### **Stage 2: Internal Verifier/IQA Consultation**

The Tutor/Assessor concerned must forward the original assessment decision record, relevant evidence and the Learner Appeal Form (Stage 1 completed) to the relevant Internal Verifier/IQA.

An Internal Verifier/IQA must review the assessment decision and invite the learner to attend a feedback meeting. This will normally involve an evaluation of the following:

- The Learner evidence and associated records.
- The Tutor/Assessor's rationale for the decision (a discussion with the tutor concerned may be required).
- Seek advice, if appropriate, from another Internal Verifier or the Awarding Body.
- The Awarding Body's course criteria.
- The views of the learner.

The Internal Verifier/IQA must complete Stage 2 of the Learner Appeal Form and provide the Learner and Tutor/Assessor with the outcome of the review in writing within ten working days of receiving the appeal. A copy of which is to be sent to the Lead Officer – Skills and Tutor Co-ordinator.

The appeal needs to proceed only if the learner agrees with the decision. Where the learner remains unhappy with the outcome of the review, the appeal must proceed to Stage 3.

### **Stage 3: Appeals Panel**

Where a learner remains unhappy with the decision made at Stage 2, they will have the right to forward their case to the Appeals Panel. The Internal Verifier/IQA concerned at Stage 2 must forward relevant details to the Line Manager. These should include:

- Learner Appeal Form – appropriate sections completed
- Assessment Evidence
- Outcome of Stage 2

The Manager must convene, within ten working days of the Stage 2 meeting, a Panel comprising up to 3 people from the list below:

- Internal Verifier/IQA
- Service Manager
- Lead Officer – Skills
- Head of Service
- Independent Internal Verifier

The Panel must reach a decision and inform the learner of the result within five working days, both orally and in writing. The decision of the Appeals Panel is final for the Service.

## **4. RECORDS**

Records of all appeals are to be logged and made available as appropriate to the following:

- External Verifier/EQA
- Service Manager and Lead Officer – Skills
- Lead Internal Verifier for the Subject Area to enable any issues to be discussed in Team or Standardisation Meetings.

All documentation from an appeal must be filed in a separate file for the subject area concerned. The following documents should be provided:

- Learner Appeal Form – Stages 1, 2 & 3

The Appeal Form will allow the Learner, Tutor/Assessor and the Internal Verifier/External Verifier to formally record their evidence for use by the Service.

All records in relation to appeals are kept in line with the requirements of the General Data Protection Act 2018 which for this purpose is three years. They will not be retained for any longer than is necessary in line with our Document Retention Policy.

## **5. AWARDING BODIES**

All learner or staff appeals must follow in full the internal procedure as set out in Section 3 of this policy before they can make an appeal to any relevant Awarding Body. For clarity this includes NCFE, AIM Qualifications & Assessment Group, Ascentis and Skills First.

Where applicable, the Lead Officer - Skills will inform the External Verifier that an unresolved appeal is awaiting a decision at Stage 3. The Subject Area Lead will provide evidence to the External Verifier of the previous stages of the Appeals Process and all relevant documented evidence. Once Stage 3 is completed, the outcome will be provided to the External Verifier.

## Appendix 1 – Stage 1 Appeal Form

<b>Appeal Form – Stage 1</b>	
<b>Section A</b>	
<b>Course Number:</b>	<b>Course Title:</b>
<b>Award:</b>	<b>Qualification:</b>
<b>Assessment:</b>	<b>Unit:</b>
<b>Date of Assessment:</b>	
<b>Stage 1 Initial Appeal</b>	
<b>Learner Name:</b>	<b>Tutor/Assessor Name:</b>
Date of Appeal	
Nature of Appeal	
<b>Section B</b>	
Appeal Decision	
Is the appeal resolved to the satisfaction of the learner?	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If <b>NO</b> , this appeal must be reviewed by the Internal Verifier	
<b>Stage 1</b>	
Learner Signature:	Tutor/Assessor Signature:
Date:	Date:
Copy to Line Manager	
Line Manager Signature:	Date:

## Appendix 2 – Stage 2 Appeal Form

Appeal Form – Stage 2	
Course Number:	Course Title:
Award:	Qualification:
Assessment:	Unit:
Date of Assessment:	
<b>Stage 2 Internal Verifier</b>	
Internal Verifier Name:	External Verifier Name:
Date of Review:	
Outcome of Review	
Is the appeal resolved to the satisfaction of the learner?	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If <b>NO</b> , this appeal must be reviewed by the Appeals Panel	
<b>Stage 2</b>	
Learner Signature:	IV Signature
Date:	Date:
Line Manager Signature:	Date:

### Appendix 3 – Stage 3 Appeal Form

<b>Appeal Form – Stage 3</b>	
<b>Course Number:</b>	<b>Course Title:</b>
<b>Award:</b>	<b>Qualification:</b>
<b>Assessment:</b>	<b>Unit:</b>
<b>Date of Assessment:</b>	
<b>Learner Name:</b>	<b>Tutor/Assessor Name:</b>
<b><u>Stage 3 Appeals Panel (State Names &amp; Designations)</u></b>	
Date of Appeal	
Notes from the meeting (or attach a separate sheet)	
Outcome of Appeal:	
<b>Section 3</b>	
<b>Learner Signature:</b>	<b>Manager Signature:</b>
<b>Date:</b>	<b>Date:</b>



## Appendix 4 – Further Guidance on Assessment Appeals & Complaints

<b><u>ASSESSMENT APPEALS PROCEDURE</u></b>	<b><u>COMPLAINTS PROCEDURE</u></b>
<p data-bbox="204 461 743 752"><u>The appeals procedure must allow learners registered at the centre to challenge the outcomes of their assessment at the level of a unit if they consider that the assessment has not been carried out properly. Learners might appeal on a variety of grounds, including, for example:</u></p> <ul data-bbox="252 792 743 1272" style="list-style-type: none"><li>• the conduct of the assessment</li><li>• the adequacy of the range, nature and comprehensiveness of the evidence when set against the national standards and evidence requirements</li><li>• the adequacy of the opportunities offered in order to demonstrate competence or attainment</li></ul>	<p data-bbox="778 461 1318 533"><u>Learners could complain to the centre about the following areas.</u></p> <ul data-bbox="826 573 1294 837" style="list-style-type: none"><li>• Access to assessment</li><li>• Process of assessment</li><li>• Access to internal verification</li><li>• The handling of an appeal</li><li>• Administrative issues, e.g. failure to register/apply for certification</li></ul>