

TITLE:

FE/TFS Appeals SOP

Summary of Contents:

The purpose of this document is to outline the academic appeals process for FE/TFS courses.

Responsible Owner(s):

Head of Quality, Excellence and Development

REVIEW INFORMATION

Reviewed: June 2016

Next Review Due: May 2018

Requires CMT Approval (yes/no):
June 2016: No

Previous Reference (for control purposes):

Date Created: May 2016

CMT Approval Date:
6 May 2016

1.0 Background

This standard operating procedure relates to the grounds, process and management of outcomes of FE/TFS Academic appeals.

The College is committed to ensuring that learners understand the outcomes of their assessment. There may be occasions when learners do not understand why they have been awarded a particular outcome or disagree with the assessment decision. In this case, the following procedures should be followed.

Learners wishing to appeal must do so within 5 working days of receiving the disputed assessment decision and are advised to keep copies of all documents relating to the appeal.

2.0 Scope

This SOP applies to all students and staff within further education (FE) and TFS courses.

3.0 Appeals Process

Stage 1 - Informal

In the first instance, the learner should meet with their Assessor within 5 working days of receiving the disputed assessment decision to discuss the issue and aim to resolve the area(s) of dispute relating to the assessment decision. The Assessor is required to complete the [Learner Appeals Form \(Stage 1\)](#) and forward a copy of the appeal to the programme Lead Internal Verifier (IV) / Internal Quality Assurer (IQA).

Stage 2 – Review

If the issue cannot be resolved with the Assessor, the learner should complete the [Learner Appeals Form \(Stage 2\)](#) and make an appointment, within 5 working days from receiving the outcome of the Stage 1 (Informal), with the Lead IV/ IQA to discuss the areas of dispute. The learner should be informed of the outcome of the Stage 2 appeal within 10 working days from meeting with the Lead IV/IQA.

Stage 3 – Appeals Panel

If the issue remains unresolved, the learner should put their appeal in writing to the Deputy Head of School (DHOS) / Head of School (HOS) using the [Learner Appeals Form \(Stage 3\)](#) within 5 working days from the date of the Stage 2 Review meeting. The DHOS/HOS will convene and chair an Appeals Panel which will meet the learner if Stage 1 and Stage 2 have been followed and if the reasons given meet at least one of the grounds for an appeal as below:

- The conduct of the assessment;
- The adequacy of the range, nature and comprehensiveness of the evidence when set against national standards, evidence requirements or grading criteria; and
- Inconsistency of assessment against assessments for other modules/units achieved.

The outcome of the appeal may be:

- Confirmation of the original decision: or
- A judgement that the evidence presented is an adequate demonstration of knowledge/competence and a recommendation that the assessment decision be reconsidered.

The Appeals Panel will be made up of three members of SERC staff, none of whom have been involved in the original assessment:

- One with specialist subject knowledge;
- One from school management; and
- One from the Quality, Excellence and Development Unit (QED).

The learner can choose to bring support to the panel. This does not include legal representation.

The learner should be informed by the DHOS/HOS of the outcome of the Stage 3 Appeals Panel within 10 working days of the meeting.

The Head of QED will liaise with the relevant HOS/DHOS ensure that the outcome of the appeal is implemented. This will include protecting the interests of other students and the integrity of the qualification, when the outcome of the appeal questions the validity of other results.

The Appeals Panel reserves the right to restrict vexatious claims.

All records of appeals (Stage 1 to 3) should be retained for 18 months for inspection by the awarding organisation.

The appeals procedure embodies the principles of natural justice, fairness, equity, objectivity and equality of opportunity.

Stage 4 – Appeals to Awarding Organisation

Should the learner consider that the outcome from Stage 3 of the appeals process is unsatisfactory, they should contact the External Quality Assessor (EQA) / Standards Verifier (SV) / External Verifier (EV) of the awarding organisation for the qualification. The DHOS should provide the learner with contact details for the awarding organisation EQA/SV/EV. The learner should be informed that an awarding organisation will only consider an appeal after all College procedures have been exhausted.

The DHOS will forward all documentation to the EQA/SV/EV of the awarding organisation when the learner considers that a decision continues to disadvantage them after the internal appeal stages have been completed. The [Stage 4 Outcome Form](#) should be completed by the DHOS following EQA/EV/SV decision.

4.0 Communication Plan

This SOP will be available on the College Intranet in the Learning Engine and reflected in student handbooks and programme documentation. Students will be informed of the appeals process at induction.

5.0 Review

This SOP will be reviewed every two years or sooner to reflect changes in circumstance.

Learner Appeals Form (Stage 1)

The Assessor is required to complete this form when the learner is making a Stage 1 appeal.

Learner name	
Date of assessment	
Name of assessor (against whose decision the appeal is being made)	
Nature of the Appeal (describe the area of concern)	
Details of Original Assessment Decision	

Date of meeting			
Assessor Response			
Assessor's signature		Date	
Learner's signature		Date	

Completed form should be retained in the Course file and a copy forwarded to the programme Lead IV/IQA.

Part C: To be completed by the Lead IV/IQA.

Outcome (Tick one only)			
Uphold the original assessment decision			
The evidence presented is an adequate demonstration of knowledge/competence and a recommendation that the assessment decision be reconsidered.			
Lead IV/IQA signature		Date	

Learner signature acknowledging outcome of Stage 2 Appeal		Date:	
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Completed form should be retained in the Course file.

Learner Appeals Form (Stage 3)

Part A: To be completed by the learner.

Describe the reasons for your Stage 3 appeal as fully as possible in the box below. You must ensure that the reasons meet the grounds for an appeal as detailed in the Appeals policy. This should include learner evidence, records of feedback from the assessor and the outcome of the Stage 2 appeal from the Lead IV/IQA. Learners should keep a copy of this form.

Reasons for Stage 3 Appeal	
Learner Signature:	
Date:	

Part B: To be completed by the DHOS/HOS

Date of Stage 3 Appeal received	
Stage 3 Panel members	
Appeal Investigation details (including assessment records and learner evidence reviewed)	

Stage 3 form continues overleaf

Stage 3 form continued

Outcome (Tick one only)			
Uphold the original assessment decision			
The evidence presented is an adequate demonstration of knowledge/competence and a recommendation that the assessment decision be reconsidered.			
DHOS/HOS signature		Date	
Appeal panel signature (s)		Date	

The learner should be informed of the outcome of the Stage 3 Appeal in writing within 10 working days.

Learner signature acknowledging outcome of Stage 3 Appeal		Date:	
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Completed form should be retained in the Course file.

Stage 4 Outcome Form

To be completed by the DHOS following EQA/EV/SV decision

EQA/EV/SV Decision (Tick one only)			
Uphold the original assessment decision			
Disagree with the original assessment decision and recommend the following action:			
DHOS signature		Date	
Learner signature		Date	

Completed form should be retained in the Course file.