



# Appeals Policy

## Summer 2021

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Sarah Wyatt – Examinations Officer	
Date of next review	

## Key staff involved in the policy

### The Castle Rock School

Role	Name(s)
CEO Apollo Trust	Mrs Julia Patrick
Head of centre	Mr Duncan Baldwin
SLT member(s)	Mrs D Clayfield
Exams officer	Mrs S Wyatt

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## Why we need a specific appeals policy for Summer 2021

Students' grades have been determined by schools and colleges this year as teachers are best placed to do this. The appeals process is a critical safety net in the event that anything goes wrong to ensure that each learner has an individual right to appeal their grades via a transparent process of review.

### Purpose of the policy

The purpose of this policy is to identify roles and responsibilities in the appeals process for Summer 2021 and confirms that The Castle Rock School will.

- Provide information to students and parents so they understand the steps they can take if they believe something has gone wrong before results day.
- Carry out a centre review to check a grade if a student requests this once results are issued.
- Following a centre review submit any student appeal requests to the appropriate awarding body.
- Support students through the centre review and awarding organisation appeals process.
- Communicate with students to ensure a timely outcome of any review.

The school recognises that failure to process/investigate any request for a review from a student could constitute malpractice.

[https://www.jcq.org.uk/wp-content/uploads/2021/06/JCQ\\_Appeals-Guidance\\_Summer-2021.pdf](https://www.jcq.org.uk/wp-content/uploads/2021/06/JCQ_Appeals-Guidance_Summer-2021.pdf)

### Roles and responsibilities:

#### Head of centre:

- Is familiar with the contents, refers to and directs relevant centre staff to the appeals guidance summer 2021.
- Liaises with the exams officer/ SLT over the systems and processes in place in the event of an appeal.
- Ensures that procedures are in place for managing centre reviews efficiently and effectively.
- Ensures that, following a centre review, requests for appeals will be submitted to awarding bodies by the exams officer.
- Ensures that relevant information is shared with parents/ students about the appeals process ahead of results day.

#### Exams officer:

- Understands the appeals process for summer 2021 as detailed in JCQ guidance to summer 2021.
- Ensures there are clear systems and processes in place to facilitate a timely approach to appeals in accordance with the specified time frames.
- Ensure that centre evidence is stored securely and systematically for ease of access in the event of an appeal Stage at 1 or 2.
- Liaises with the awarding organisation and provides further information requested promptly.
- Provides the correct JCQ documentation to be completed by students in the event of an appeal.
- Provides support to the student if they wish to appeal to the Exam Procedures Review Service.

#### SLT:

- In the event of a Stage One centre review, a member of SLT is to work with the exams officer to check evidence for administrative and procedural errors.

- Completes the Stage One: Centre Review JCQ pro-forma (Appendix B) section B: centre review outcome. Outcomes shared with parents/ students.
- Support students with the appeals process and completion of appropriate documentation.
- Review the JCQ Evidence Checklist Appendix C before submitting evidence to the awarding organisation.
- Share the outcome of the appeal to awarding organisation with the student in a timely manner.

**Teaching staff and/or SENCo**

- In the event of a stage one Centre Review carry out any necessary checks as requested by the exams officer/ SLT to support in the review outcome.
- Organise evidence in accordance with school procedure.

**Candidates (or parents/carers)**

- On receipt of results, complete **Stage One: Centre Review JCQ pro-forma (Appendix B) section A: student request in line with timeframes specified.**
- On receipt of the centre review outcome, if students feel the decision is wrong they should complete **Stage Two – appeal to awarding organisation JCQ pro-forma (Appendix B).**
- On receipt of the Stage Two outcome, submit an appeal to the Exam Procedures Review Service **EPRS.**

**Steps taken to reduce the need for student appeals:**

- Effective communication with students so that they understand how their grades are determined.
- Students have been informed of the assessment evidence used to determine their grades and following moderation they were informed of the raw score for each assessment. This is to create transparency and identify any potential errors.
- There will be effective provision of access arrangements / reasonable adjustments for all eligible students.
- Parents were asked to contact the school to inform us of any mitigating circumstances that could have disadvantaged their child in an assessment. If the Head of Centre deems appropriate following consultation with the JCQ guidance on Special Consideration and the corresponding school policy, teachers will be informed to either take the circumstances into account in determining marks/ grades or by using alternative evidence that was unaffected by the adverse circumstances.
- Students signed a candidate declaration confirming they:
  - know which assessments have been used to form the QTAG assessment result.
  - know the assessment marks for each assessment have been shared with me.
  - had access arrangements made available to them.
  - their assessments are their own work under the control set by teachers.
  - understand that false declaration is a form of malpractice.
- Students were informed that appeals against special consideration do not apply for the summer 2021 series.

**Timelines for centre review and appeals to awarding organisations:**

<b>Priority appeals*</b>	<b>10<sup>th</sup> – 16<sup>th</sup> August</b>
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Centre conducts review	<b>16<sup>th</sup> - 20<sup>th</sup> August</b>
Appeals to awarding organisations	<b>10<sup>th</sup> – 23<sup>rd</sup> August</b>

<b>Non priority appeals</b>	<b>Results day – 3<sup>rd</sup> September</b>
Centre conducts review	<b>Results day - 10<sup>th</sup> September</b>
Appeals to awarding organisations	<b>Results day – 17<sup>th</sup> September</b>

- \* Priority appeals - for students applying to higher education who did not attain their firm choice, i.e. the offer they accepted as their first choice, and wish to appeal an A level or other Level 3 qualification result.
- Any student who requests a priority appeal must include their UCAS personal ID with the appeal application for it to be processed as such. They should also notify their higher education provider that they have requested an appeal at the earliest possible opportunity so they can decide how to handle their offer.

## Appeals

### Stage One – Checking internally for procedural / administrative errors

#### Definition of administrative and procedural errors:

##### Administrative errors –

- transposing of grades for students with similar names.
- Inputting an incorrect grade

**Procedural errors** – The types of procedural error a student may raise and a centre will need to check may include:

- the existence and consideration of mitigating circumstances at the time of an assessment
- the provision of agreed access arrangements/reasonable adjustments for an assessment
- the process for determining and quality assuring grades (for example internal standardisation, authentication of student work).

#### Steps taken to reduce administrative and procedural errors include:

### **Administrative errors:**

Subject leaders are required to get their electronic grades checked by another faculty member before these are saved electronically.

Exams officer to print copies of grades inputted to be checked by the subject leader prior to submission of the results.

### **Procedural errors:**

Students/ parents invited to inform the school of any mitigating circumstances at the time of the assessment that the school might be unaware of. These are then considered for special consideration in line with JCQ Special Consideration policy and corresponding school policy.

Alternative evidence to be sought where internal mitigating circumstances affected the quality of evidence produced. Where alternative evidence is not available teachers disregard the affected evidence and make a holistic judgement based on the overall quality of evidence produced.

Students eligible for access arrangements will have these made available to them in each assessment.

All qualifications will be subject to internal moderation. Steps were taken to reduce unconscious bias in this process. See centre policy, for the approach taken by The Castle Rock School.

### **The Centre Review process**

- Prior to results day, students and parents will be informed of the appeals process.
- Any candidate can make an appeal on the grounds that the school has
  - failed to follow its procedures properly or consistently in arriving at that result or
  - made an administrative error in relation to the result.
- When students receive their results, if they are concerned that their grade is wrong they will be advised to complete Stage One: Centre Review JCQ pro-forma (Appendix B) section A: student request.

[https://www.jcq.org.uk/wp-content/uploads/2021/06/JCQ\\_Appeals-Guidance\\_Summer-2021\\_Appendix-B.pdf](https://www.jcq.org.uk/wp-content/uploads/2021/06/JCQ_Appeals-Guidance_Summer-2021_Appendix-B.pdf)

- This pro-forma will be reviewed by SLT/ Exams officer who will cross check electronic data, with grades submitted to the exam board. Following this check a member of SLT/ Exams officer will contact the student/ parent to explain the outcome. This will be documented on Stage One: Centre Review JCQ pro-forma (Appendix B) section B: centre review outcome.
- If the centre's review finds an error and concludes that grade change is needed the school will submit an error correction request to the relevant awarding organisation before reporting the outcome to the student. This request will include the revised grade with rationale for the grade change to the awarding organisation. Guidance in appendix A will be followed.

Note: this outcome will only happen if the centre considers that the identified procedural failure and/ or administrative error, has affected the grade submitted to the awarding organisation.

- If the awarding organisation is satisfied with the rationale presented by the centre and it considers it is appropriate to correct the result, it will issue a revised grade. The student/parent will be informed of this grade change and will receive revised exam board grading documentation/ certificates. Note: the awarding organisation can disagree with the centre's decision to amend a grade as the result of the centre review.
- A centre review could identify that other students who have not submitted a centre review and therefore not consented to potential change in grades require grade changes. In such instances the school will refer to Appendix D - Guidance to centres on correcting incorrect results in cases where students have not submitted a review or appeal.

[https://www.jcq.org.uk/wp-content/uploads/2021/06/JCQ\\_Appeals-Guidance\\_Summer-2021\\_Appendix-D.pdf](https://www.jcq.org.uk/wp-content/uploads/2021/06/JCQ_Appeals-Guidance_Summer-2021_Appendix-D.pdf)

- All review applications received and the outcomes of the reviews will be retained in a secure location by the exams officer.
- The school will withdraw a student request for review so as long as no finding has been made. A Centre Review application cannot be withdrawn once a finding has been made.
- Whether or not a procedural or administrative failure was found, and whether or not the grade changed as a result, all students have the right to submit an appeal to the awarding organisation as the next stage in the process.

## Stage two – Appeal to the exam board academic judgement

- This is the second stage of the appeals process in summer 2021. This section covers the centre's role in submitting student appeal requests to awarding organisations.

### Who can request an appeal and when?

- Any student, who considers that there has been a procedural error, an administrative error or that their grade reflects an unreasonable exercise of academic judgement (either because of the way that the grade has been determined and/or the selection of the evidence), may submit a request for an awarding organisation appeal **after they have received the outcome of their centre review and after the publication of results.**
- **Grounds for appeal on academic judgement include:**
  - the way that the grade has been determined and/or
  - the selection of the evidence used.
- The centre will submit an appeal to the awarding organisation on the student's behalf and provide the supporting evidence to the exam board.
- Students are given the Stage 2 – Appeal to awarding organisation JCQ pro-forma to complete. See Appendix B.
- The appeal submission should include the outcome of the initial centre review showing the centre's own findings when considering the student's concerns. Appeals cannot be made to an awarding organisation until the centre review has been completed.

- Any student who requests a priority appeal will be instructed to include their UCAS personal ID with the appeal application for it to be processed as such. They should also notify their higher education provider that they have requested an appeal at the earliest possible opportunity so they can decide how to handle their offer.
- The exams officer will inform the awarding organisation of the named contact at the centre with whom they should liaise for any further information required during the appeal. This person will be either the exams officer or a member of SLT.
- See Appendix A found at the link below (page 30) for details on each awarding organisation's system for submission of appeals.

[https://www.jcq.org.uk/wp-content/uploads/2021/06/JCO\\_Appeals-Guidance\\_Summer-2021.pdf](https://www.jcq.org.uk/wp-content/uploads/2021/06/JCO_Appeals-Guidance_Summer-2021.pdf)

- See Appendix C - This is a checklist of the evidence that schools will be required to submit to the Awarding Organisation in the event of a student appeal to the Awarding Organisation on either procedural or academic judgement grounds

[https://www.jcq.org.uk/wp-content/uploads/2021/06/JCO\\_Appeals-Guidance\\_Summer-2021\\_Appendix-C.pdf](https://www.jcq.org.uk/wp-content/uploads/2021/06/JCO_Appeals-Guidance_Summer-2021_Appendix-C.pdf)

- Following submission of an appeal to the awarding organisation, the school will confirm to the student that it has done so.
- Students will be informed that the awarding organisations will accept requests for appeals to be withdrawn as long as no finding has been made. An application for an awarding organisation appeal cannot be withdrawn once a finding has been made.
- Following the review by the awarding organisation, if they identify a procedural error or find alternative evidence should have been included in the range of evidence, and that this may have impacted the Teacher Assessed Grade, they will report these findings to the centre. The centre will review the Teacher Assessed Grade and inform the awarding organisation if it believes there should be a change to the grade.
- The centre will share the outcome of the awarding organisation appeal and, where appropriate, the next stage of the process with the student.

### **Exam procedures review service:**

- The centre will inform students that, following the conclusion of the awarding organisation's appeal process, a student who remains concerned their grade was incorrect may be able to apply for a procedural review to the Exam Procedures Review Service (EPRS) from the relevant regulator. There are EPRS processes for Ofqual (England) and Qualification Wales. The centre will support the student with the appeal.

### **Vocational, Technical and other qualifications (VTQ's)**

- The appeals approach for Vocational, Technical and other qualifications (VTQs) will align with the approach for GCSEs AS and A-levels.

### **Retaining of evidence**

Subject leaders are required to follow the school procedures to ensure secure and systematic storage of all evidence. See below.

## Procedures for storing 2021 candidate evidence and QTAG paperwork

Tick	Checklist
<input type="checkbox"/>	QA meeting completed and TAGs agreed. QTAG analysis document to be signed off by subject line manager and Duncan Baldwin. (This signed copy is to be stored with student work in the exams office. See below.)
<input type="checkbox"/>	Electronic copy of QTAG analysis for each qualification/ level is saved in staff/ assessments/ QTAG 2020-21 subject folder.
<input type="checkbox"/>	For <b>general qualifications</b> all TAG grades need to be entered on GO4SCHOOLS by <b>Friday 11<sup>th</sup> June</b> . <b><i>This needs to be 100% accurate.</i></b> Please get another member of your faculty to cross check this data.
<input type="checkbox"/>	For <b>BTEC/ Vocational qualifications</b> all TAG grades need to be accurate on the spreadsheets. Send a copy to Sarah by <b>Friday 11<sup>th</sup> June</b> and save a copy in the staff/ assessments/ QTAG 2020-21 subject folder. Please get another member of your faculty to cross check this data.
<input type="checkbox"/>	<p><b>Hard copy evidence</b> for all <b>student assessments</b> in all subject areas has been prepared and is ready for taking over to exams, this includes:</p> <ul style="list-style-type: none"><li>• Each candidates evidence is complete and stored in their own individual wallet/file</li><li>• The candidate declaration sheet is enclosed with the candidate's evidence. Please identify clearly on this sheet if no hard copy evidence is available for a particular assessment.</li><li>• Files/wallets are in surname alphabetical order.</li></ul> <p>This work needs to be in the exams office by <b>Friday 18<sup>th</sup> June</b>.</p>
<input type="checkbox"/>	<p><b>Hard copy teacher evidence</b> of the QA process to be included with the qualification student work. This is to include the following documents:</p> <ul style="list-style-type: none"><li>• Internal moderation evidence</li><li>• QTAG Analysis – The hard copy as signed by DB and line manager.</li><li>• JCQ Head of Subject completed checklist</li><li>• A list of students showing their TAGs for your subject(s). This can be printed from GO4SCHOOLS/ include a copy of the spreadsheet for vocational qualifications.</li></ul> <p>This information needs to be in the exams office by <b>Friday 18<sup>th</sup> June</b>.</p>
<input type="checkbox"/>	<p><b>Electronic evidence of student assessments has been saved in the staff/ assessments/ QTAG 2020-21/ subject folder.</b></p> <ul style="list-style-type: none"><li>• In your subject folder entitle a folder 'electronic evidence'.</li><li>• In here appropriate KS4/ KS5, Qualification, Unit.</li></ul>

- The file name should be the students initial and surname
- Ensure this work is backed up.

This information needs to be in the saved in this area by **Friday 18<sup>th</sup> June.**

Heads of subject to sign off correct storage of all evidence and documentation in the Exams Office by **Friday 18<sup>th</sup> June.**