



**ASSESSMENT APPEALS: POLICY AND PROCEDURE**

<b>Process Area</b>	<b>Curriculum</b>
<b>Reference Number</b>	<b>QAS/004</b>
<b>Directorate</b>	<b>Curriculum</b>

<b>Issue No</b>	<b>Date</b>	<b>Details</b>	<b>Author</b>	<b>Approved</b>
001	Sept 2007	First issue	MC / GD / JH	WMCK
002	Dec 2013	Policy reviewed-No changes to procedure	GD	BD
003	Jul 2014	Policy amended to include Validated Courses	JH	GD
004	Dec 2014	Changes to titles and Section 4.1.6 & 4.3 15 Flowcharts added to related documents	GD	BD
005	Jan 2018	Amendment to section 4.1.6 to acknowledge awarding organisation requirements	KK	Governing Body Education Committee
006	Jan 2021	Policy reviewed – amendment to section 4.3.13 and 4.3.15. The extraordinary Covid Appeals Policy may be invoked during 2020/21 academic year.	KK	Governing Body Education Committee
007	Oct 2023	4.3.6, 4.3.8a, 4.3.8b and 4.3.10 minor amendments to the term post holder. Three flow charts 4.1, 4.2.and 4.3 amended to HoF and inclusion of CAM	LS	Governing Body

**If requested, the College will make the policy available in alternative formats to accommodate visual impairments. The policy can also be downloaded from the College website and made available in alternative languages upon request.**

## 1. POLICY STATEMENT

Southern Regional College is committed to the provision of high-quality educational services to all of its students. It aims to ensure a fair and just process in assessment and operates an explicit Assessment and Internal Verification Policy to ensure accuracy and consistency of assessment decisions. The College believes that it is important that students should feel able to express concern about a grade awarded to a particular assessment or the overall grade for a unit/module/course. An Extraordinary Appeals Procedure has been introduced by the college and will only be invoked during the exceptional circumstance of the Global pandemic.

### Higher Education and Validated Courses

Boards of Examiners determine the academic progress of students on Higher Education and Validated courses on the basis of their performance in examinations and other forms of assessment.

A student may appeal against a decision of the Board:

- (a) on the basis of evidence of extenuating circumstances, relevant to his/her examination performance which, in his/her view, was not in the possession of the Board at the time of the Board's initial decision about his/her academic progress; or
- (b) on the basis of procedural or other irregularities in the conduct of the examinations.

Provided a student submits to the Examinations Officer, by a specified date following the decision of the Board, a written appeal, stating the grounds on which it is made, the decision will be reviewed in accordance with the following procedures.

The Assessment Appeals Policy will be explained to all students at induction and will be referred to within individual course handbooks. Guidance documents for students will also be published.

## 2. SCOPE

This policy applies to all accredited programmes of study.

## 3. DEFINITIONS

<b>Boards of Examiners</b>	Progress and Award Boards and Course/Subject Committees which meet to consider student progress on Higher Education and Validated Courses
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## 4. PROCEDURE FOR IMPLEMENTATION

### 4.1 Appeals against an Assessment Decision (applies to all students)

- 4.1.1 If a student disagrees with an assessment decision, they must first attempt to resolve the issue with the relevant assessor/lecturer as soon as possible. The student should make a clear case referring to the work in relation to the marking criteria and any objections should be clearly stated.

- 4.1.2 The assessor will provide the student with:
- a clear explanation of the assessment decision,
  - a new decision or confirmation of the original decision

If, after discussing the assessment decision with the assessor the matter is still unresolved, the student can complete an Assessment Appeal Form (AA1).

- 4.1.3 Form AA1 must be given, with the original marked work or assessment record, to the course coordinator who will act as Appeal Coordinator. If the course coordinator is the assessor concerned, then an appropriately qualified and impartial person will be appointed as Appeal Coordinator by the Head of Faculty/Curriculum Area Manager. The assessor will provide the Appeal Coordinator with a copy of the assessment specification and marking criteria.

- 4.1.4 The Appeal Coordinator will reconsider the assessment decision and provide a response to the student, in writing, within five working days of receiving the appeal. A copy of this response will also be given to the assessor.

If the matter is still unresolved the Appeal Coordinator will refer it to the Head of Faculty/Section.

- 4.1.5 The Appeal Coordinator will forward all documentation relevant to the appeal to the Head of Faculty/ Curriculum Area Manager who will verify that the Appeals Procedure has been implemented correctly. If the procedures have not been implemented correctly the process will return to point 4.1.4.

The Head of Faculty/Curriculum Area Manager will meet with the student within five working days of receiving the appeal documentation and advise the outcome of 4.1.5.

- 4.1.6 It is the responsibility of the student to pursue any further appeal with relevant awarding/examining body having exhausted the College's internal processes in the first instance. Examining boards have varying procedures in place for dealing with appeals and therefore students are advised to liaise with the College's Examinations Office when pursuing an appeal.

#### **4.2 Appeals on The Basis of Extenuating Circumstances (HE and Validated Courses)**

- 4.2.1 Appeals on the basis of extenuating circumstances shall be considered by a College Appeals Panel chaired by the Chairperson of Board of Examiners.
- 4.2.2 Students are normally entitled to be heard in person and to be accompanied by a member of the College Staff. However, panels have discretion not to interview students where the written evidence is convincing.
- 4.2.3 The Chairperson of Board shall prescribe dates on which appeals shall be heard. This will take place within 7 days of receipt of the appeal. Once agreed, dates should be strictly adhered to.

4.2.4 The timetable for submission and consideration of appeals is as follows:

Last date for receipt of appeals (SA1 or SA2 forms to be submitted to the Examinations Office on the relevant campus)	7 days from publication of the results
Last date for consideration of appeals	7 days from last date for receipt of appeals

4.2.5 The Board of Examiners shall:

- (a) agree that the Chairperson (as set out in 4.2.1) accompanied by the Head of Faculty/Curriculum Area Manager and Course Coordinator shall comprise the Appeals Panel or, **exceptionally**, nominate members of the Board in their place;
- (b) agree with external examiners their involvement in the process.

**NB:** The options available to the Appeals Panels, in considering evidence of extenuating circumstances, are either:

- deem the candidate to have passed and recommend an **Aegrotat** award, **or**
- permit the candidate to complete, take or repeat the assessment, **or**
- uphold the original decision of the Board of Examiners.

4.2.6 Students are advised by the Course Coordinator that those who wish to appeal should obtain the appropriate Appeal form (SA1) from the Examinations Officer or from the *VLE*. Students should complete and return the form to the Examinations Officer on the relevant campus within 7 days of publication of results.

4.2.7 Each form is checked by the Examinations Officer and the student asked to complete any sections overlooked.

4.2.8 On receipt of the SA1 form, the Examinations Officer will maintain a record of each form received and will forward the original form to the Head of Faculty/Curriculum Area Manager with responsibility for the course.

4.2.9 The Head of Faculty/Curriculum Area Manager will agree a date for the appeal with the Appeals Panel and will communicate the date, time and venue to the student in writing. This will constitute a written acknowledgement of receipt of SA1.

4.2.10 Members of staff who receive appeals directly from students should refer them to the Examinations Officer.

4.2.11 The Course Coordinator or nominee is required to provide for the meeting a copy of the course regulations together with a record of the student's marks/grades for the current year and for previous years where appropriate.

- 4.2.12 The Appeals Panel considers the appeal and subject to 4.2.2 interviews the student, if the student has indicated that he/she so wishes.
- 4.2.13 If the Panel decides:
- (a) that no new information has been submitted, or that the student has not provided a satisfactory explanation for his/her failure to supply the information by the dates prescribed in the Regulations, the initial decision of the Board is confirmed;
  - (b) that new information has been submitted and that the student has provided a satisfactory explanation for his/her failure to supply the information by the dates prescribed in the Regulations, the Panel amends or confirms the initial decision of the Board.
- 4.2.14 The Chairperson completes Section B and returns the completed form to the Head of Faculty/Curriculum Area Manager who will copy the form to the Examinations Officer. The decision is then communicated in writing to the student by the Head of Faculty/Curriculum Area Manager.
- 4.2.15 Any other correspondence, together with the original form, is sent to the Course Coordinator to be placed on the student's file.
- 4.2.16 The Examinations Officer retains a copy of each completed form and will submit to the Senior Management Team an annual summary of the number of appeals received and initial decisions amended.

### 4.3 Appeals on The Basis of Procedural or Other Irregularities (HE and Validated Courses)

- 4.3.1 Students are advised by the Course Coordinator that those who wish to appeal should obtain the appropriate Appeal form (SA2) from the Examinations Officer or from the *VLE*. Students should complete and return the form to the Examinations Officer on the relevant campus within 7 days of publication of results.
- 4.3.2 Students are normally entitled to be heard in person and to be accompanied by a member of the College Staff. However, panels have discretion not to interview students where the written evidence is convincing.
- 4.3.3 Each form is checked by the Examinations Officer and the student asked to complete any sections overlooked.
- 4.3.4 On receipt of the SA2 form a written acknowledgement of receipt is given to the student by the Examinations Officer.
- 4.3.5 The Examinations Officer will maintain a record of each form received and will forward the original form to the Head of Faculty/Curriculum Area Manager with responsibility for the course.
- 4.3.6 The Head of Faculty/Curriculum Area Manager contacts the Chairperson of the Board of Examiners who completes Section B of the form and forwards the form immediately to the Director of Curriculum or their designated Senior Manager –hereafter referred to as the **post holder**.

- 4.3.7 The post holder will complete Section C of the form.
- 4.3.8a If the post holder decides that a prima facie case **does not** exist, he/she informs the Chairperson of the Board of Examiners who will inform the Head of Faculty/Curriculum Area Manager of the decision. The post holder returns form SA2 to the Examinations Officer who will advise the student of the decision.

Appeals will not be allowed on the grounds of complaint about the delivery or management of a course after students have presented themselves for examination.

- 4.3.8b If the post holder decides that a prima facie case **does** exist, he/she invites two senior staff (e.g. Heads of Faculty/Curriculum Area Manager) who were not associated with the original decision to join a panel, chaired by the post holder, to consider the case.

**NB** If the post holder and the Board of Examiners agree that a prima facie case does exist and both parties are agreed on the amendment to be made to the original decision, it will not be necessary to convene a panel. The form will be returned to the Chairperson of the Board who will complete Section D and forward the form to the Examinations Officer.

- 4.3.9 The panel considers the appeal subject to 4.3.2 interviews the student, if the student has indicated that he/she so wishes.
- 4.3.10 If the original decision is re-affirmed the postholder returns form SA2 to the Examinations Officer who will advise the student of the decision. If the original decision is to be referred back to the Board, the form will be forwarded immediately to the Chairperson of the Board for consideration.
- 4.3.11 The Chairperson of the Board shall determine, in the light of the panel's comments, if the original decision of the Board is to be confirmed or amended. If the Board finds difficulty with the findings and advice of the panel, the Chairperson is required to refer the matter to the Director who will convene a meeting of key staff for further discussion. The decision of this panel is final.

**NB** The response of the panel to the Board should normally be made within two weeks of the receipt of the appeal and the response of the Board should normally be made within one week of receiving the response from the panel.

- 4.3.12 The Chairperson completes Section D and returns the completed form to the Head of Faculty/Curriculum Area Manager who will copy the form to the Examinations Office.
- 4.3.13 In all cases the outcome of the appeal is communicated in writing to the student by the Examinations Officer.
- 4.3.14 Any other correspondence, together with the original form, is sent to the Course Coordinator to be placed on the student's file.
- 4.3.15 The Examinations Office retains a copy of each completed form and will submit an annual summary of the number of appeals received and initial decisions amended to the Quality and Pedagogy Manager

## 5. DISTRIBUTION

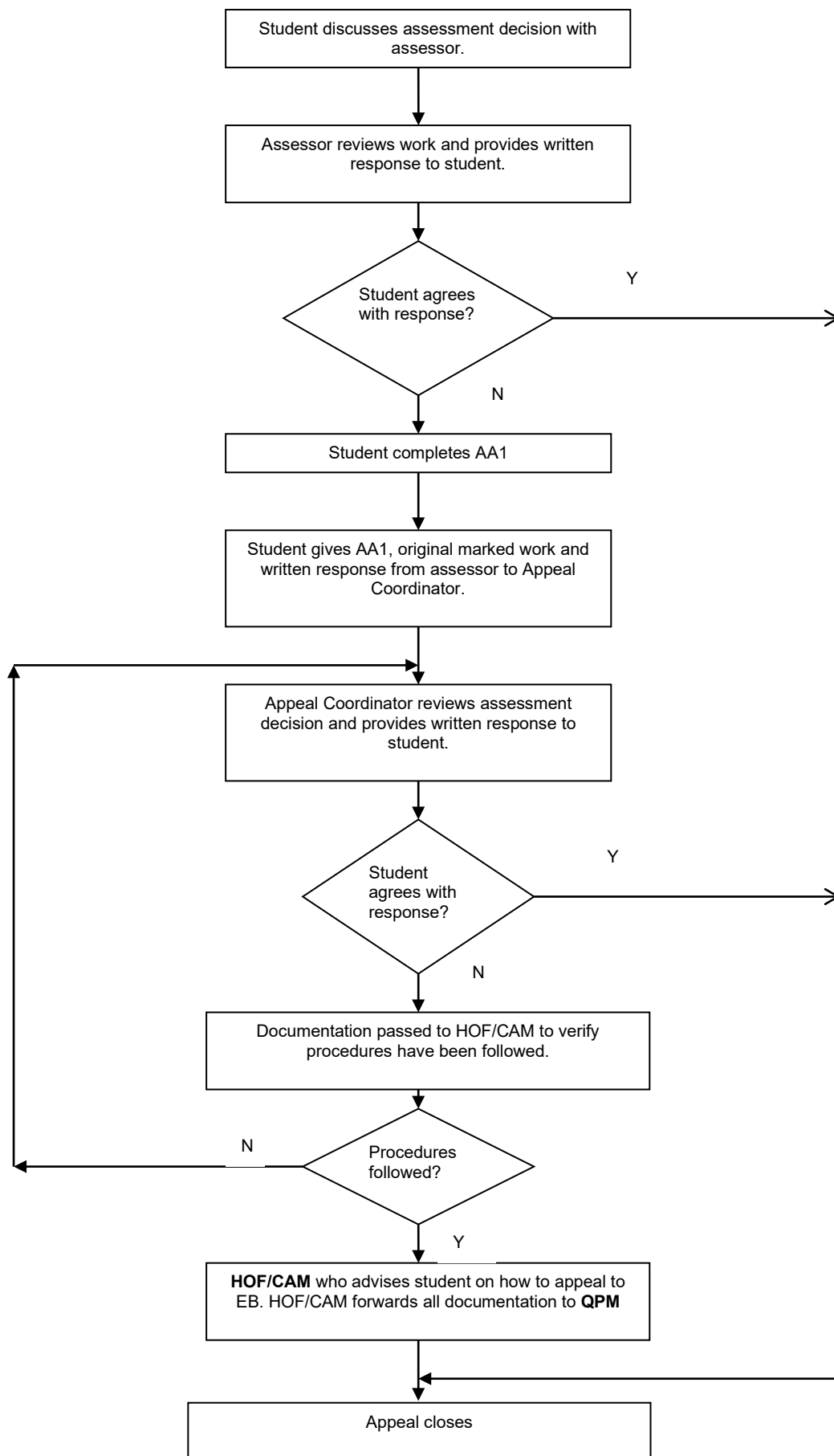
VLE  
Students

## 6. RELATED DOCUMENTS

**Flowcharts**    **4.1 Appeals against an Assessment Decision**  
                  **4.2 Appeals on the Basis of Extenuating Circumstances**  
                  **4.3 Appeals on the Basis Procedural irregularities**

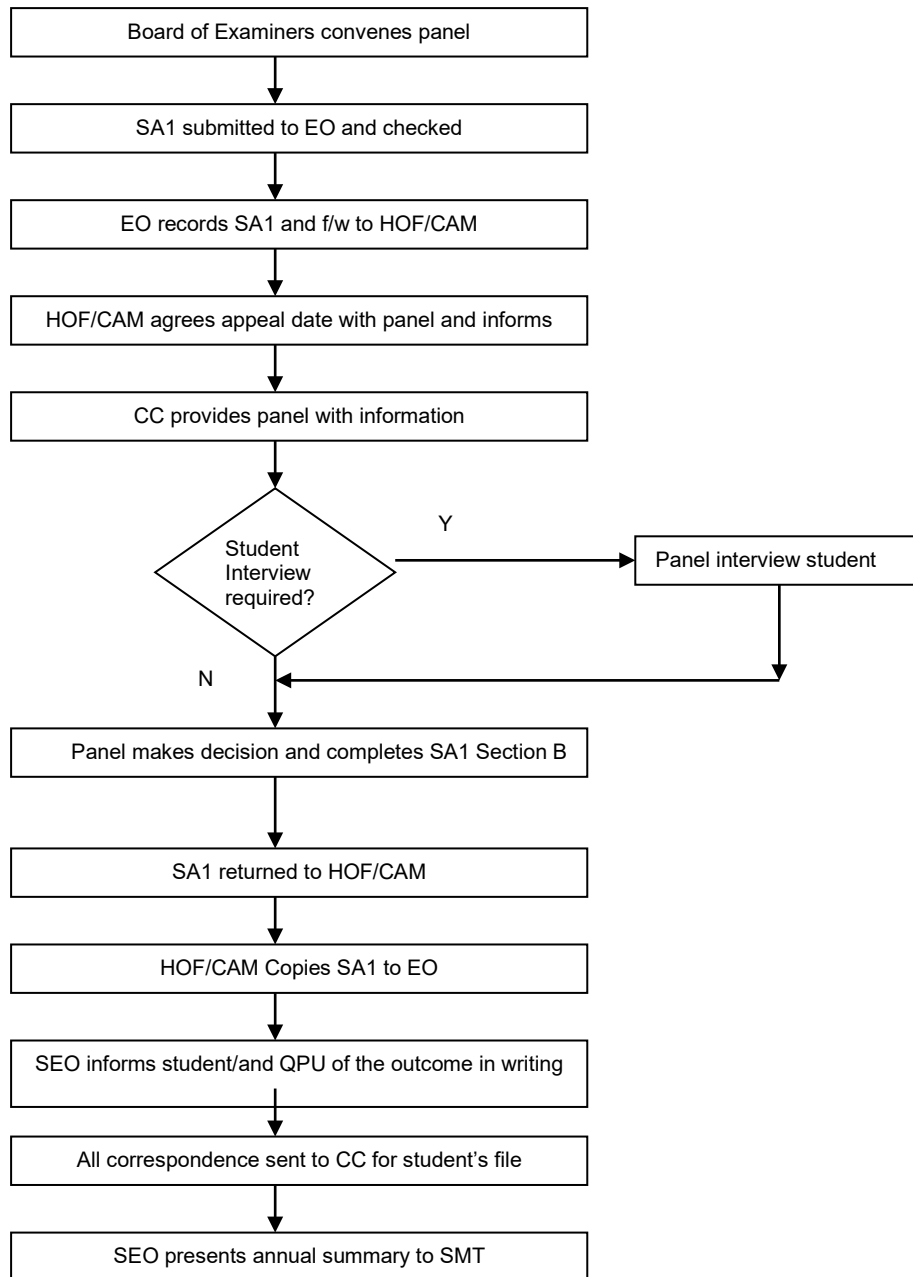
- Assessment and Internal Verification Policy
- Guidelines for Students – Appeals
- Guidelines for Students – presenting Extenuation Circumstances
- Learning Support Policy
- Form AA1 Assessment Appeal Form, Further Education and Work Based Learning
- Form EC1 Presentation of extenuating circumstances, UU/OU
- Form SA1 Appeal against the decision of a Board of Examiners/Progress Board on the basis of new information
- Form SA2 Appeal against the decision of a Board of Examiners/Progress Board on the basis of procedural or other irregularities

**7 FLOW CHART 4.1 Appeals against an Assessment Decision**





**FLOW CHART 4.2 Appeals on The Basis of Extenuating Circumstances**



**FLOW CHART 4.3 Appeals on the Basis Procedural irregularities**

