

Enquiries and appeals

Version 1.0

June 2018

This document outlines the UAL Awarding Body policy related to Enquires and Appeals.

This is version 1.0. As the document is updated, version numbers will be changed, and content changes summarised in the table below:

Version number	Date issued	Summary of changes

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1 Policy statement

1.1 Scope

This policy outlines UAL Awarding Body's provision for Candidates or UAL Approved Centres to request:

- an enquiry or appeal relating to the results of **externally marked assessments** i.e. those where the assessment has been undertaken directly by UAL Awarding Body
- an appeal relating to results of **internally marked assessment** where the Centre's internal enquiries and appeals process has been exhausted
- an appeal related to an **External Moderator's decision** to enforce a remark for internally marked assessments
- an appeal against decisions regarding **Reasonable Adjustment and Special Consideration** judgements
- an appeal against decisions relating to any action to be taken against a Learner or a Centre following an investigation into **malpractice or maladministration**.

All UAL Awarding Body approved Centres must also have a suitable internal appeals procedure in place for assessment decisions made by the Centre.

Centres and Candidates dissatisfied with any other aspect of UAL Awarding Body's qualifications or service should refer to the UAL Awarding Body's Complaints policy.

1.2 Definitions

An Enquiry is the first step to be taken where a Centre or Candidate is not satisfied with a result that has been issued by UAL Awarding Body for an externally marked assessment.

The Enquiry is an administrative and procedural review to determine whether UAL processes have been followed correctly and to check for clerical errors i.e. whether the grades have been applied correctly, recorded accurately, and correspond to the award issued.

An **Appeal** is the next step if a Candidate has exhausted the Centre's internal appeals process for internally marked assessment, or a Candidate or Centre have undertaken an

Enquiry about results for an externally marked assessment, and in either case the appellant believes this has not been conducted correctly or they dispute the judgement.

Appeals may also relate to **assessment decisions** i.e. those taken by UAL Awarding Body regarding applications for Reasonable Adjustments and Special Considerations, by an External Moderator enforcing a remark for internally marked assessment, or to actions following investigations into malpractice or maladministration.

The **appellant** is the Candidate or Centre submitting the appeal.

1.3 Enquiries stage 1 and 2

Enquiries about results can be made by either the Candidate or the Centre. Two types of Enquiry are available upon request.

A 'Stage 1' Enquiry consists of an administrative check to ensure that grades have been applied correctly.

A 'Stage 2' Enquiry consists of the administrative check, a full marking review by a suitably qualified and experienced Examiner who was not previously involved in the assessment decision, and results in a feedback report for the appellant.

1.4 Enquiry timescales

Requests for Enquiries about results must be submitted using the AEF1 or AEF2 form no later than 5 working days after the results are received.

Requests will be acknowledged within 1 working day of the Enquiry being received. Results of the Enquiry will be provided in writing within 5 working days of the date of acknowledgement for a Stage 1 Enquiry, and 15 working days for a Stage 2 Enquiry.

1.5 Enquiry outcomes

The following outcomes may take place following an Enquiry:

- The Candidate's grade is improved. A revised result will be recorded, and issued.
- The Candidate's grade is unchanged.
- The Candidate's grade is lowered.

1.6 Appeal remit

Appeals are a formal process intended to review and confirm that any previous enquiry about a result or an assessment decision has been applied correctly and in line with UAL Awarding Body's published procedures and the regulators' Conditions of Recognition.

Appeals related to assessment results:

Review whether the Enquiry was undertaken correctly. They do not include an additional re-mark of the assessment or provide further detail on candidate performance.

Appeals related to malpractice or maladministration decisions:

Review the appropriateness of the sanction(s) issued by UAL Awarding Body following investigation, if the appellant believes the decision not to be proportionate and in line with UAL Awarding Body's malpractice and maladministration policy. It is not possible to appeal the findings of the original investigation.

Appeals related to Reasonable Adjustment and Special Consideration decisions:

Review the appropriateness of the decision taken by UAL Awarding Body, if the appellant believes the decision not to be appropriate based on the evidence provided and in line with UAL Awarding Body's Reasonable Adjustment and Special Consideration policy.

1.6 Eligibility for appeal

Appeals related to assessment results may be submitted by either the Candidate or the Centre if acting on behalf of and with written permission from the Candidate. Appeals related to results may only be submitted if an Enquiry has already been completed and the Candidate is unsatisfied with the response.

Appeals related to assessment decisions may be submitted by the Candidate if the decision related to them as an individual (or by the Centre if acting on behalf of and with written permission from the Candidate), or by the Centre if the assessment decision was applied to the Centre rather than the individual Candidate(s).

1.7 Appeal submissions and timescales

Requests for Appeals must be submitted using the AAF1 form no later than 7 working days after the results are received, and must include the reasons for the appeal and details of specific instances where the appellant believes that UAL Awarding Body did not follow the correct procedures for the Enquiry about results or in reaching the original assessment decision. Supporting documents should be included with the application, and must be clearly referenced. Appeal requests submitted without evidence to support the case, or outside of the stated timescales, will not be accepted.

Requests will be acknowledged within 1 working day of the Appeal being received. Results of the Appeal will be provided in writing within 30 working days of the date of receipt.

1.8 Appeal Panel review

The Appeals Panel is convened of, as a minimum, the UAL Awarding Body Head of Quality and Operations, a member of the Academic Standards team, and a lay representative (e.g. assessment expert from another awarding body) with appropriate expertise who is not an employee, assessor or otherwise connected to UAL Awarding Body.

The Panel will review all evidence provided by the appellant, to confirm if the Awarding Body policies and procedures have been properly applied. The Panel decision is final, and is the last stage of the UAL Awarding Body procedure. No further Appeals related to the assessment result or decision will be accepted and no further discussion will be entered in to. If the appellant disagrees with the outcome, they may still lodge a formal complaint, in line with the Awarding Body's Complaints Policy.

Where the Appeal relates to the Awarding Body's actions or decisions regarding a regulated qualification, if the appellant remains dissatisfied they may contact the qualification regulator. In this event, they will be required to provide the regulator with evidence that they have fully exhausted the Awarding Body's appeals procedure.

1.9 Appeal outcome and subsequent action

The following outcomes may take place following an Appeal:

- The Appeals Panel finds there is sufficient evidence that one or more of the relevant UAL Awarding Body policies or procedures have not been properly applied, and the Appeal is upheld. UAL Awarding Body will confirm the outcome to the appellant in writing, outlining the next steps and any remedial action to be taken.
- The Appeals Panel do not find sufficient evidence that UAL Awarding Body policies or procedures have not been properly applied, and the Appeal is rejected.

The Head of Quality and Operations will report results of all Appeals to the Awarding Body Board of Examiners.

If an Enquiry or Appeal leads UAL Awarding Body to discover a failure in the assessment process, it will take all reasonable steps to:

- identify any other candidate who has been affected by the failure;
- correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure; and
- ensure that the failure does not recur in future.

2 Supporting information

Fees schedule

There are currently no fees for this process.

Related policies, forms and other resources

This policy relates to and should be read in conjunction with the following UAL

Awarding Body documents:

- Enquiry application form (ref AEF1 and AEF2)
- Appeal application form (ref AAF1)
- Reasonable Adjustment policy
- Special Consideration policy
- Malpractice and Maladministration policy
- Complaints policy
- Assessment policy
- Equality and Diversity policy

Data retention and confidentiality

Information provided to UAL Awarding Body as part of any Enquiry or Appeal will be handled confidentially and sensitively. All data is held securely, with access limited to those administering the Enquiry or Appeal, and will only be used for this purpose in line with data protection legislation. This may include information being shared with examiners or committee members involved in reviewing the assessment result or the assessment decision. Where this is the case, it will be shared in a secure manner, and destroyed immediately after use.

If a Candidate requests an appeal related to a Centre's assessment decision (having exhausted the Centre's own Appeal processes) then please note UAL Awarding Body reserves the right to contact the Centre for further information regarding the assessment decision and the internal Appeal.

Application forms and supporting evidence are retained by UAL Awarding Body for 6 years.

For further information on UAL Awarding Body's retention and use of personal data, and its compliance with the General Data Protection Regulations (GDPR), please visit <http://www.arts.ac.uk/general-data-processing-information/>

Equal opportunities

The UAL Awarding Body is committed to discharging its duties under the Equality Act 2010 to ensure that its policies do not discriminate on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex or sexual orientation.

The Awarding Body has sought to ensure as far as is reasonable and practicable that the policy and related process for Enquiries and Appeals do not unlawfully discriminate against any person on the basis of these protected characteristics, in line with the requirements of the Act.

Please contact the Quality Team if you have any concerns regarding equality and diversity in relation to this policy.

General Conditions of Recognition

This policy relates to the following Ofqual General Conditions of Recognition and the corresponding conditions of Qualifications Wales and CCEA :

- A4 Conflicts of Interest
- C2 Arrangements with centres
- D2 Accessibility of qualifications
- D3 Reviewing approach
- D4 Responding to enquiries and complaints procedures
- G6 Arrangements for Reasonable Adjustments
- G7 Arrangements for Special Consideration
- H2 Moderation where an assessment is marked by a Centre
- H5 Results for a qualification must be based on sufficient evidence
- I1 Appeals process

Policy governance

This policy is approved by the UAL Awarding Body Quality and Operations Steering Group, and is managed by the UAL Awarding Body Quality Team.

For more information

Copies of this policy can be downloaded from the UAL Awarding Body website. Any questions relating to this policy should be directed to:

quality.awarding@arts.ac.uk or Quality Team, UAL Awarding Body, Ninth Floor, 272 High Holborn, London, WC1V 7EY

3 Process map

For externally marked assessments:

Request an Enquiry by submitting an AEF1 or AEF2 form and payment details/cheque by post or email no later than 5 days after results are issued.

Administrative check is undertaken.

Marking review undertaken and report on performance produced (Stage 2 only)

Final grade confirmed and Candidate informed of outcome in writing within 5 working days (stage 1) or 10 working days (stage 2) of the enquiry request and payment being received.

If a grade change is confirmed

Replacement result slip is issued and the enquiry fee is refunded.

For all other assessment decisions and internal assessment results which have exhausted the internal Appeals process:

Submit AAF1 form with supporting payment details/cheque by post or email no later than 7 days after Enquiry result or other assessment decision is issued.

Appeals Panel is convened to review the application form and all supporting evidence to determine if relevant policies and procedures have been applied appropriately with regards the result/ assessment decision.

Appeal outcome is communicated to the appellant in writing within 30 working days of receipt of the appeal request and required payment.

Board of Examiners is notified of the outcome, and any actions recommended by the Appeals Panel or Boards of Examiners are completed.

If candidate believes the Enquiry was not properly conducted

4 Enquiries and appeals procedure

To submit an enquiry

Requests for an Enquiry about an externally assessed result must be made by completing the AEF1 if the request is from a Candidate directly, or the AEF2 form if it is from a Centre on behalf of a Candidate.

Completed forms must be submitted to quality.awarding@arts.ac.uk or Quality Team, UAL Awarding Body, Ninth Floor, 272 High Holborn, London, WC1V 7EY no later than 5 days after the result has been issued.

Please ensure you specify which unit assessment you wish to make an Enquiry about, whether you are requesting a stage 1 or stage 2 Enquiry, and include full contact details.

The outcome of your Enquiry will be communicated in writing within 5 working days of UAL Awarding Body's receipt of a completed form and payment for a stage 1 Enquiry only, and within 15 working days for stage 2.

If your Enquiry results in a change of grade, the Enquiry fee will be refunded within 1 month of UAL Awarding Body notifying you of the outcome.

To submit an appeal

Requests for an Appeal must be made by completing the AAF1 form in full, and returning it to quality.awarding@arts.ac.uk or Quality Team, UAL Awarding Body, Fifth Floor, 272 High Holborn, London, WC1V 7EY no later than 7 days after the result of the Enquiry (for externally marked assessment) or final stage of the internal Appeal process (for internally marked assessment) has been issued, or the assessment decision (e.g. malpractice sanction) has been confirmed in writing.

Please ensure you specify which unit assessment your Appeal relates to, and include full contact details.

Your Appeal application must clearly and explicitly outline:

- The specific decision you are appealing against

- The reasons you disagree with the above decision
- How UAL Awarding Body or its approved centre has failed to apply its published policies and procedures appropriately.

You must provide all available supporting evidence. Candidates appealing to UAL regarding an assessment decision for an internal assessment must include evidence to demonstrate they have already exhausted the Centre's internal Appeals process.

The outcome of your Appeal will be communicated in writing within 30 working days of UAL Awarding Body's receipt of a completed form and payment.

If your Appeal results in a change of grade, the Enquiry fee will be refunded within 1 month of UAL Awarding Body notifying you of the outcome.

AEF1 Candidate Enquiry application form

Candidate details

Candidate name:	
Candidate ULN number:	
Contact address:	
Email address:	
Telephone number:	

Assessment details

Qualification title and unit/level:	
Assessment submission date:	
Assessment result date:	

Please indicate the type of Enquiry being requested:	
Stage 1 (administrative check)	<input type="checkbox"/>
Stage 2 (administrative check, re-mark and report on performance)	<input type="checkbox"/>
Declaration	
<p>I confirm that the information provided is correct to the best of my knowledge. I confirm that I have read and understood the Enquiries and Appeals policy and that grades may be improved, lowered or confirmed as correct as a result of an Enquiry.</p>	
Signature:	Date:

Please return the completed form to: Quality Team, UAL Awarding Body, Ninth Floor, 272 High Holborn, London, WC1V 7EY. Please see the UAL Awarding Body Enquires and Appeals policy for more information on how your data will be used and retained.

AEF2 Centre Enquiry application form

Centre details

Centre name:	
Contact name:	
Contact position:	
Email address:	
Telephone:	

Assessment details

Candidate ULN	Candidate name	Unit	Enquiry type	Assessment submission date	Assessment result date
			1 / 2		
			1 / 2		
			1 / 2		
			1 / 2		
			1 / 2		

Enquiry application

Declaration	
I confirm that the information provided is correct to the best of my knowledge. I confirm that I have the permission and authority to submit this application on behalf of the Centre and the Candidates listed above. I confirm that I have read and understood the Enquiries and Appeals policy and that grades may be improved, lowered or confirmed as correct as a result of an Enquiry.	
Signature:	Date:

Please return the completed form to: Quality Team, UAL Awarding Body, Ninth Floor, 272 High Holborn, London, WC1V 7EY. Please see the UAL Awarding Body Enquires and Appeals policy for more information on how your data will be used and retained.

AAF1 Appeal application form

Subject of appeal:

Externally marked assessment result	<input type="checkbox"/>
Internally marked assessment result	<input type="checkbox"/>
Malpractice/maladministration decision	<input type="checkbox"/>
Reasonable adjustment decision	<input type="checkbox"/>
Special consideration decision	<input type="checkbox"/>
External Moderation decision	<input type="checkbox"/>

Appeal submitted by:

Candidate on their own behalf	<input type="checkbox"/>
Centre on Candidate's behalf	<input type="checkbox"/>
Centre on their own behalf	<input type="checkbox"/>

Candidate details (for all appeals related to results, reasonable adjustment, special consideration, and malpractice decisions for a specific candidate)

Candidate name:	
Candidate ULN number:	
Contact address:	
Email address:	
Telephone number:	

Centre details

Centre name:	
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For appeals submitted by the Centre:

Contact name:	
Contact position:	
Email address:	
Telephone:	

Appeal application

Please state the grounds for this appeal and attach all supporting documentation where applicable.

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The applicant must complete the relevant declaration:

Application declaration (Candidate)

Declaration	
<p>I confirm that the information provided is correct to the best of my knowledge. I confirm that I have read and understood the Enquiries and Appeals policy and that grades may be improved, lowered or confirmed as correct as a result of an Appeal.</p>	
Applicant signature:	Date:

Declaration	
I confirm that the information provided is correct to the best of my knowledge. I confirm that I have the permission and authority to submit this application on behalf of the Centre listed above. I confirm that I have read and understood the Enquiries and Appeals policy and that grades may be improved, lowered or confirmed as correct as a result of an Appeal.	
Applicant signature:	Date:

Please return the completed form to: Quality Team, UAL Awarding Body, Ninth Floor, 272 High Holborn, London, WC1V 7EY.

Please see the UAL Awarding Body Enquires and Appeals policy for information on how any information supplied as part of this application will be used and retained.