



ENERGY COAST UTC

(EXAMINATION) COMPLAINTS AND APPEALS PROCEDURE

Approved: Barbara Stephens, Chair of Governors

Signed: 

Date: April 2023

Date for Review: April 2024

Revision History:

| | Date | Owner | Summary of changes |
|---|---------------|--------------|---------------------------|
| 0 | November 2017 | DW | NEW |
| 1 | December 2018 | DW | Reviewed |
| 2 | December 2019 | DW | Minor changes |
| 3 | April 2023 | DW | Minor changes |
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Purpose of the procedure

This procedure confirms Energy Coast UTC's compliance with JCQ's *General Regulations for Approved Centres*, section 5.8 that the centre will draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.

Grounds for complaint

A candidate (or his/her parent/carer) may make a complaint on the grounds below (this is not an exhaustive list).

Teaching and learning

- ▶ Quality of teaching and learning, for example
 - ▶ Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis
 - ▶ Teacher lacking knowledge of new specification/incorrect core content studied/taught
 - ▶ Core content not adequately covered
 - ▶ Inadequate feedback for a candidate following assessment
- ▶ Pre-release material issued by the awarding body not provided on time to an exam candidate
- ▶ The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- ▶ The marking of an internal assessment (centre assessed work), which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body
- ▶ Candidate not informed of his/her centre assessed marks prior to marks being submitted to the awarding body
- ▶ Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- ▶ Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks
- ▶ Candidate unhappy with internal assessment decision (complainant to refer via Exams Officer to the centre's *internal appeals procedure*)
- ▶ Centre fails to adhere to its *internal appeals procedure*

Access arrangements and Special Consideration

- ▶ Candidate not assessed by the centre's appointed assessor
- ▶ Candidate not involved in decisions made regarding his/her access arrangements
- ▶ Candidate did not consent to record their personal data online (by the non-acquisition of a completed candidate personal data consent form)
- ▶ Candidate not adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- ▶ Exam information not appropriately adapted for a disabled candidate to access it
- ▶ Adapted equipment/assistive technology put in place failed during exam/assessment
- ▶ Approved access arrangements not put in place at the time of an exam/assessment
- ▶ Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment
- ▶ Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via Exams Officer to the centre's *internal appeals procedure*)
- ▶ Centre fails to adhere to its *internal appeals procedure*

Entries

- ▶ Candidate not entered for a required exam
- ▶ Candidate entered for a wrong exam/assessment
- ▶ Candidate entered for a wrong tier of entry

Conducting examinations

- ▶ Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place
- ▶ Room in which exam held did not provide candidate with appropriate conditions for taking the exam
- ▶ Inadequate invigilation in exam room
- ▶ Failure to conduct exam according to the regulations
- ▶ System failure during onscreen exam/assessment
- ▶ Disruption during exam/assessment
- ▶ Alleged, suspected or actual malpractice incident not investigated
- ▶ Eligible application for special consideration for a candidate not submitted to timescale
- ▶ Failure to update candidate on the outcome of a special consideration application

Results and post-results

- ▶ Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- ▶ Candidate not having access to a member of senior staff after the publication of results to discuss submission of an enquiry or review
- ▶ Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- ▶ Candidate (or parent/carer) unhappy with a centre decision not to support a clerical recheck, a review of marking, a review of moderation or an appeal (complainant to refer to the centre's *internal appeals procedure*)
- ▶ Centre fails to adhere to its *internal appeals procedure*
- ▶ Centre applied for the wrong post-results service/for the wrong exam paper for a candidate
- ▶ Centre missed awarding body deadline to apply for a post-results service
- ▶ Centre applied for a post-results service for candidate without gaining required candidate consent

Complaints and appeals procedure

If a candidate (or parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification they are following, Energy Coast UTC encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the head of centre.

If a complaint fails to be resolved informally, the candidate (or his/her parent/carer) is then at liberty to make a formal complaint.

How to make a formal complaint

- ▶ A complaint should be submitted in writing to the Head of School
- ▶ Complaints received will be logged by the centre and acknowledged within 10 calendar days

How a formal complaint is investigated

- ▶ The head of centre will further investigate or appoint a member of the senior leadership team (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion

- ▶ The findings and conclusion will be provided to the complainant within 4 working weeks

Appeals

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted.

- ▶ Any appeal must be submitted in writing by again completing a **complaints and appeals form**
- ▶ Forms received will be logged by the centre and acknowledged within 7 calendar days
- ▶ The appeal will be referred to Chair of Governors for consideration
- ▶ The Chair of Governors will inform the appellant of the final conclusion in due course

Complaints and appeals form

FOR CENTRE USE ONLY

Date received

Reference No.

Please tick box to indicate the nature of your complaint/appeal

- ☐ Complaint/appeal against the centre's delivery of a qualification
- ☐ Complaint/appeal against the centre's administration of a qualification

Name of complainant/appellant

Candidate name if different to complainant/appellant

Please state the grounds for your complaint/appeal below

If your complaint is lengthy please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say

Your appeal should identify the centre's failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate

If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed

Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)

Complainant/appellant signature:

Date of signature:

This form must be completed in full; an incomplete form will be returned to the complainant/appellant

Complaints and appeals log

[Insert your centre's process on the use of this log, for example - On receipt, all complaints/appeals are assigned a reference number and logged. Outcome and outcome date is also recorded.]

| Ref No. | Date received | Complaint or Appeal | Outcome | Outcome date |
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