

Complaints and Appeals Procedure (Exams)

2020/21

This procedure is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	

Key staff involved in the complaints and appeals procedure

Role	Name(s)
Head of centre	
Exams officer	
Senior leader(s)	
ALS lead/SENCo	

Complaints and appeals procedure (exams) template

Delete this text box when the information contained below is understood

Slight changes made to the contents of this template since the previous (2019/20) version are highlighted for easy identification.

This template is provided as an example **only** and is designed to provide you with a starting point/framework on which to build a complaints and appeals procedure.

A table to record **all** the centre staff (job role and name) involved in the complaints and appeals procedure has been inserted at the beginning of the template. You may choose to delete this or use it as good practice by inserting **all** relevant roles and staff names (some example roles have been provided).

Important points that must be noted/actioned

- The grounds for complaints should be set by the centre - the grounds provided are suggestions **only** and the list is not exhaustive
- The procedure should also be set by the centre – the process included in the template provides suggestions **only**
- The response times should be clearly set by the centre (replace **X** to reflect this) (you may also for example wish to change the term 'calendar days' to working days or school/college days etc.)
- The *complaints and appeals form and log* are suggestions **only** – if used as part of your centre's complaints and appeals procedure these should be customised to reflect the processes used in your centre to capture information
- The template should be closely checked and edited accordingly to reflect ways of working in your centre by
 - deleting information that is not relevant to your centre
 - amending information where a process runs differently in your centre
 - adding information that you consider should be included in this procedure

Purpose of the procedure

This procedure confirms [Centre Name's] compliance with JCQ's General Regulations for Approved Centres 2020-2021 (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(s)
- Pre-release/advance material/set task 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, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*
- 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

Access arrangements

- 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 personal data being shared electronically (by the non-acquisition of a signed **data protection notice/candidate data personal consent form**)
- Candidate not informed/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 put in place failed during exam/assessment
- Approved access arrangement(s) 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

Entries

- Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer)

- Candidate not entered/entered late (incurring a late entry fee) for a required exam/assessment
- 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
- Online system failed during (on-screen) exam/assessment
- Disruption during exam/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported
- Eligible application for special consideration for a candidate not submitted/not submitted to timescale
- Failure to inform/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/make decision on the submission of a review/enquiry
- 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 result (complainant to refer via exams officer to awarding body *post-results services*)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal (complainant to refer via [insert who] to the centre's *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/permission

Complaints and appeals procedure

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, [insert centre name] encourages him/her to try to resolve this informally in the first instance. [Insert your centre's process, for example - 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

- [Insert your centre's process – the following bullet points are provided as example **only**
- A **formal** complaint should be submitted [insert your centre's process, for example – in writing by completing a **complaints and appeals form**]
- Forms are available from [insert]
- Completed forms should be returned to [insert]
- Forms received will be logged by the centre and acknowledged within X calendar days]

How a formal complaint is investigated

- [Insert your centre's process, for example - 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 X working weeks]

Appeals

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

- [Insert your centre's process – the following bullet points are provided as example **only**
- Any appeal must be submitted [insert your centre's process for example – in writing by again completing a **complaints and appeals form**]
- Forms received will be logged by the centre and acknowledged within [X calendar days]
- The appeal will be referred to [insert who, for example – Chair of Governors (or a special Committee of the Governing body) for consideration]
- The [Chair of Governors (or Committee)] will inform the appellant of the final conclusion in due course]

