



UTC READING

Complaints and Appeals Procedure (Exams)

2022/23

This procedure is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Jennie Thomson/Andrea Coronel	
Date of next review	Sept 2023

Key staff involved in the complaints and appeals procedure

Role	Name(s)
Head of centre	Jonathan Nicholls
Exams officer	Julie Hooper
Senior leader(s)	Jax Snipp, Jennie Thomson, Stephanie Mitchell
SENCo	Georgina Craven

Purpose of the procedure

This procedure confirms UTC Reading'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(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 (centre assessed), 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 SLT 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 when an assessment is deemed necessary according to SEN need
- 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 informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exams not applied for adaptation to awarding bodies for a disabled candidate to access it. (Note UTC Reading will make all necessary adaptations where possible and only when approved by the JCQ. UTC Reading has no bearing over decisions made by JCQ or awarding bodies after a fully supported and evidenced application is made)
- Adapted equipment/assistive technology 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
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via SLT to the centre's internal appeals procedure)
- Centre fails to adhere to its internal appeals procedure

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 after confirming correct entries
- Candidate entered for a wrong tier of entry after confirming correct entries on statement

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
- Major 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 accepted/rejected outcome of a special consideration application if provided by an awarding body

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 SLT 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 script 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, UTC Reading encourages him/her to try to resolve this informally in the first instance.

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

The formal stage involves the complainant putting the complaint into writing. This letter should provide details such as:

- Relevant dates and times
- The names of witnesses of events
- What the complainant feels would resolve the complaint

The letter should be submitted alongside copies of any relevant documents.

The complainant will receive written acknowledgement of their complaint within 5 working days.

How a formal complaint is investigated

The investigating officer (such as the head teacher or the chair of the local governing committee) will then conduct their own investigation. The investigation may include:

- Reviews of relevant documents
- Interviews with pupils, parents, staff and other involved parties

The written conclusion of this investigation will be sent to the complainant within 10 working days. If the complainant is not satisfied with the response and wishes to proceed to the next stage of this procedure, they should inform the investigating officer in writing within 10 working days.

Appeals

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

Step 1

- Candidate discusses issue with assessor (It is advised that both parties make every effort to resolve the issue informally)

Candidate satisfied: no further action

Step 2 If candidate dissatisfied....

- Candidate makes a written request to Assessor within two weeks of feedback of the outcome of the discussion in Step 1, outlining the specific unit of work to be reassessed and the grounds for reassessment.
- Assessor logs the appeal with the Internal Verifier (IV) for the programme.
- The IV reviews the assessment and notifies the candidate of his/her judgement. If a reassessment is judged to be necessary by IV, the timing of the reassessment will vary according to individual vocational area arrangements. (There may be no early opportunity to repeat a "live" assessment, for example, in a NVQ programme but an unreasonable delay can be the basis of a further appeal).

Candidate satisfied: no further action

Step 3 If candidate dissatisfied.....

- Written appeal must be made to the Course Leader within two weeks of the feedback of the reassessment decision.

NB

- (If the Assessor is also the Course Leader and/or the Internal Verifier, or if the Internal Verifier is the Course Leader, she/he will make arrangements for another Internal Verifier to receive the appeal. Again, the candidate should clearly outline in the written appeal, the specific units of work in question and the reasons for appeal).

Candidate satisfied: no further action

Step 4 If candidate dissatisfied.....

- The Programme Manager will then be consulted over action to be taken. He/she will review the assessment and the process of appeal so far.
- The Programme Manager will discuss the matter with the candidate as a summary of the process so far and to discover if a resolution to the situation can be achieved.

Candidate satisfied: no further action

Step 5 If candidate dissatisfied.....

- The matter will be referred by the Programme Manager to the Quality Manager who will check that all stages of the appeal have been carried out correctly. The quality Manager will respond to the candidate within 2 weeks of referral. The Quality Manager in consultation with the Programme Manager will decide whether it is appropriate to involve the awarding body/external verifier at this stage.
- A final decision will be made by the Quality Manager (or the relevant Assistant Principal)

Where the awarding body allows it, if a learner is unable to resolve an appeal concerning an assessment relating to a qualification assessment then they have a right to appeal directly to the awarding body. Any appeal must be made within 20 days of the related assessment.

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	
<p>If your grounds are 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</p> <p>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</p> <p>If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed</p>	
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

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