



## Internal Appeals and Complaints and Appeals Procedure for Exams and Assessments

Originator	Reviewed by	Date of Review	Approved by	Date of Approval	Next Review Date	Website
MNA	LGB	27/03/2024	Board	27/03/2024	April 2025	yes

### "Excellence Every Day"

#### Our Mission

Our mission is to make sure that all our students, regardless of their circumstances, discover their personal best and thrive academically, individually and socially. We are relentless in driving high expectations and make no apology for ensuring high standards across the school. We will continually ensure every student achieves excellent results, with high-quality teaching and a first-class curriculum, underpinned by outstanding cultural capital experiences and exceptional pastoral care.

#### Values

##### Kindness

At The John of Gaunt school we nurture, recognise and celebrate the important quality of being generous, helpful, and caring towards other people that is essential in our society today.

##### Positivity

Being optimistic in attitude is crucial for any person to be successful at any stage of their life. We believe that positivity breeds positivity and so we foster this trait in all members of our school.

##### Belonging

All our staff and students must be happy and comfortable within our community at The John of Gaunt School. We want every member to feel welcome and accepted so that they can flourish.



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## Purpose of the procedure

This procedure confirms The John of Gaunt School's compliance with the following points in JICQ's General Regulations for Approved Centres (GR) :-

- that the centre has in place a '*Written Complaints Policy which will cover general complaints regarding the centre's delivery or administration of a qualification*' (5.8e)
- that the centre will *have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, post-result services and appeals, and centre decisions relating to access arrangements and special consideration* (5.3z)
- the centre "*must inform candidates of their centre assessed marks as a candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body.*"
- The centre must have in place a "*written internal Appeals Procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal*".(5.13h)

## Internal Appeals procedure

Certain components of GCSE and GCE qualifications (GCSE controlled assessments, GCE coursework, GCE and GCSE non-examination assessments) that contribute to the final grade of the qualification are internally assessed (marked) by the subject teacher. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.

This procedure confirms The John of Gaunt School's compliance with JICQ's General Regulations for Approved Centres (section 5.7) that the centre will:

- have in place, and available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates;
- before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking.

(A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)



John of Gaunt School ensures that all staff follow a robust Non-Examination assessment Policy which details all procedures relating to non-examination assessments, including the marking and quality assurance/ internal standardisation processes which relevant teaching staff are required to follow.

**Examples of Awarding Body Deadlines for the submission of marks (Summer exam series) are given below.**

**Please note that Faculties will determine their deadlines for students based on the time they will require in order to mark and internally moderate work and still meet these deadlines. These will vary between courses and may be affected by the dates of the Easter Holiday period, as the Awarding Body deadlines do not change.**

Awarding Body Deadlines	Staff Internal Deadlines	Student Review Deadline	Qualification	Details
7 <sup>th</sup> May	30 <sup>th</sup> April	23 <sup>rd</sup> April	GCSE	<b>AQA &amp; WJEC GCSE's ONLY</b> (Marks may need to be given to students before the Easter break to allow for a review of marks, making the internal deadline very early in some years).
15 <sup>th</sup> May	9 <sup>th</sup> May	30 <sup>th</sup> April	GCE*	<u>This is also the deadline for</u> <b>*GCSE Edexcel and OCR</b> (Marks will need to be given to students by 25 <sup>th</sup> April to allow for review of marks)



## Appeals procedure against internally assessed marks (Reviews of Marking)

*<sup>1</sup>The John of Gaunt School is committed to making sure that whenever our staff mark a candidate's work it is done consistently and follows the relevant regulations.*

*A candidates' work will be marked by staff who have been trained. They will have the right knowledge, understanding and skills and if more than one member of staff is needed, they will use that experience to mark the work between them. This means it will be marked fairly and consistently. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.*

*If a candidate believes that this may not have happened in relation to his/her work, he/she may make use of this appeals procedure. **N.B: an appeal may only be made against the assessment process and not against the mark to be submitted to the awarding body.***

- 1. The John of Gaunt School will ensure that the candidate is told what their centre assessed mark was. This means that if there is a problem they can then ask for the marks to be reviewed before they are sent to the awarding body. Please note that the work cannot be altered once a mark has been issued.*
- 2. The John of Gaunt School will provide any materials / information to help a candidate decide whether to ask for a review of their marks.*
- 3. The John of Gaunt School will make sure that all necessary materials and information are provided as quickly as possible, (within 2 working days).*
- 4. The John of Gaunt School will give candidates enough time to make a decision using those materials/ information.*
- 5. Requests for reviews of marking **must** be made in writing by completing a written Complaints and Appeals form (within 4 working days after receiving copies of the requested materials). The candidate **MUST** explain the grounds on which they wish to request a review.*
- 6. Providing the candidate has met all internal deadlines, The John of Gaunt School will make sure that there is enough time to review the marks and let the candidate know the final decision before the awarding body's Deadline.*
- 7. The John of Gaunt School will ensure that the people reviewing the marking are trained, but were not involved with marking the work of this candidate originally.*
- 8. The John of Gaunt School will make sure that the person reviewing the marks is consistent in applying the standards set by the school.*
- 9. The candidate will be informed in writing of the outcome of the review of the centre's marking.*
- 10. The outcome of the review of the centre's marking will be made known to the head of centre -*

<sup>1</sup> Above in italics is taken from The John of Gaunt School 'Reviews of marking - centre assessed marks (GCSE controlled assessments, GCE coursework, GCE and GCSE non-examination assessments) document produced for students and available on the school website.





*who will have the final decision if there is any disagreement on the mark to be submitted to the awarding body - and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the review of the centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.*

*After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation process may result in a mark change, either upwards or downwards, even after an internal review. This is outside the control of The John of Gaunt School and is not covered by this procedure. (The internal review process is in place to ensure consistency of marking within the centre, whereas moderation by the awarding body ensures that centre marking is in line with national standards).*

*The mark submitted to the awarding body is subject to change and should therefore be considered provisional.*

*Please note that if candidates fail to meet the internal deadlines set by staff without an extension having been granted by the Awarding Body, there may not be time to complete the above process. On rare occasions, students may be given the option of submitting work after the internal deadline, if they accept that this may make it impossible to appeal their mark by following the process above. This is at the discretion of the subject teacher and will depend on them having enough time to complete the marking and internal standardisation required before grades can be submitted to the Awarding Body.*

*Candidates will need to sign to give their consent for a review to take place and to confirm that they understand the outcome of the review could be that their mark remains unchanged, is raised or is lowered. A mark amended by review will be the one submitted to the Awarding Body.*

*Any candidate who wishes to query their marks or would like to see a copy of the Internal Appeals Procedure, should ask their teacher or the Exams Team based in W2.*

### **Appeals procedure against centre decisions not to support a review of results**

The procedure confirms The John of Gaunt School's compliance with JCQ's General Regulations for Approved Centres (GR section 5.13) that the centre *will have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an online application for a clerical re-check, a review of marking or an appeal;* (A centre may place its internal appeals procedure on the school/college website or alternatively the document may be made available to candidates upon request.)

Following the issue of results awarding bodies make post-results services available to assist where there is concern that a particular result may not be accurate. In these cases, centre staff will look at the marks awarded for each component part of the qualification, alongside any available markschemes, grade boundaries etc. to determine whether they support the candidate's concerns. Candidates are made aware of the arrangements for post-results services prior to the issue of results and are informed of the periods when senior members of staff will be available immediately after the publication of results to assist with any queries



relating to the candidate's results and RoR options. The exams officer provides full details of these services, internal deadlines for requesting a service and fees charged.

Following the release of results, centre staff (with candidate consent) or candidates may request a review of results (RoR). The centre will consider all candidate requests carefully and support wherever they believe there to be a valid concern, by advising on the most appropriate post results services for each situation. For example, this may include reviewing a candidate's obtained script to inform decisions about proceeding to a review of marking, or supporting a priority service 2 review where a university place is at risk .

Currently, the options available include a Clerical re-check (service1), Review of marking (service 2) or review of moderation (service 3) (RoR service 3 is not available to individual candidates and must be requested by the Head of Centre). They can also request Access to the candidate's completed exam script (ATS) either before deciding to request a review of marking or to support teaching and learning.

A request for a script return, review of marking or clerical check requires the written consent of the candidate after the publication of results. A Parent cannot authorise a RoR on the candidate's behalf, as the candidate must demonstrate that they understand that the final grade issued following a RoR and any subsequent appeal, may be lower, higher than or the same as the result originally awarded.

The candidate will pay the cost of RoRs, unless specifically requested by DL's/SLT

If the centre refuses to process a RoR and the candidate believes there are grounds to appeal this decision, an appeal can be submitted to the centre using the internal appeals form at least one week prior to the internal deadline for submitting a RoR.

### **Appeals procedure following the outcome of a review of results**

Where the head of centre remains dissatisfied after receiving the outcome of a RoR, an appeal will be made to the awarding body, following the guidance in the JCQ publications Post-results services <http://www.jcq.org.uk/exams-office/post-results-services> and a guide to the awarding bodies' appeals processes <http://www.jcq.org.uk/exams-office/appeals>

Where the head of centre is satisfied after receiving the outcome of a RoR, but the internal candidate and/or their parent/carer is not satisfied, they may make a further representation to the head of centre. Following this, the head of centre's decision as to whether to proceed with an appeal will be based upon the centre's internal appeals arrangements. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The internal appeals form should be completed and submitted to the centre within 10 calendar days of the notification of the outcome of the review. Subject to the head of centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 14 calendar days. The appellant on submission of the internal appeals form must pay awarding body fees, which are charged for the appeal. If the awarding body upholds the appeal, this fee will be refunded by the awarding body and repaid to the appellant by the centre.



## Appeals Regarding Centre decisions relating to access arrangements and Special consideration

This procedure confirms The John of Gaunt School's compliance with JCQ's **General Regulations for Approved Centres** (section 5.3x) that the centre will:

- have in place and available for inspection a written internal appeals procedure which must cover at least appeals regarding... centre decisions relating to access arrangements and special consideration

The Centre will:

- comply with the principles and regulations governing access arrangements and special consideration as set out in the JCQ publications **Access Arrangements and Reasonable Adjustments** and **A guide to the special consideration process**
- ensure that all staff who manage and implement access arrangements and special consideration are aware of the requirements and are appropriately supported and resourced

### Access arrangements and reasonable adjustments

In accordance with the regulations, The John of Gaunt school:

- recognises its duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.
- complies with its responsibilities in identifying, determining and implementing appropriate access arrangements and reasonable adjustments
- The school has in place an Exams Access Arrangement and Equality Policy which explains the above in more detail.

Failure to comply with the regulations have the potential to constitute malpractice which may impact on a candidate's result(s).

Examples of failure to comply include:

- putting in place access arrangements/adjustments that are not approved
- failing to consider putting in place access arrangements (which may be a failure to comply with the duty to make reasonable adjustments)
- permitting access arrangements/adjustments within the centre which are not supported by appropriate evidence as determined by JCQ regulations
- charging a fee for providing reasonable adjustments to disabled candidates  
AARA (Importance of these regulations)

### Special consideration

Where The John of Gaunt school can provide signed evidence to support an application, it will apply for special consideration at the time of the assessment for a candidate who has temporarily experienced illness, injury or some other event outside of their control when the issue or event has had, or is reasonably likely to have had, a material effect on





the candidate's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

### **Centre decisions relating to access arrangements, reasonable adjustments and special consideration**

This may include John of Gaunt school's decision not to make/apply for a specific reasonable adjustment or to apply for special consideration, in circumstances where a candidate does not meet the criteria for, or there is no evidence/insufficient evidence to support the implementation of an access arrangement/reasonable adjustment or the application of special consideration.

Where John of Gaunt school makes a decision in relation to the access arrangement(s), reasonable adjustment(s) or special consideration that apply for a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied with its responsibilities or followed due procedures, a written request setting out the grounds for appeal should be submitted by completing an internal appeals form within 5 calendar days of the decision being made known to the appellant.

To determine the outcome of the appeal, the head of centre will consult the respective JCQ publication to confirm the centre has complied with the principles and regulations governing access arrangements and/or special consideration and followed due procedures.

The appellant will be informed of the outcome of the appeal within 14 calendar days of the appeal being received and logged by the centre

If the appeal is upheld, John of Gaunt School will proceed to implement the necessary arrangement, submitting any application necessary to gain JCQ approval. Please note that if the request is denied by the JCQ after all available evidence has been submitted correctly, the school cannot override this decision and will not be able to permit the arrangement during any formal assessment for a JCQ-recognised qualification unless able to successfully challenge the JCQ's decision.

### **Appeals Regarding Centre decisions relating to other administrative issues**

Circumstances may arise that cause John of Gaunt school to make decisions on administrative issues that may affect a candidate's examinations/assessments.

Where John of Gaunt School may make a decision that affects a candidate or candidates:

- If a candidate who is the subject of the relevant decision (or the candidate's parent/carer) disagrees with the decision made and reasonably believes that the centre has not complied the regulations or followed due process, a written request setting out the grounds for appeal should be submitted
- An **internal appeals form** should be completed and submitted within 5 calendar days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within 14 calendar days of the appeal being received and logged by the centre].



## Complaints and Appeals Procedure (General complaints)

### Grounds for complaint

A candidate (or their 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)
- 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

### Conducting examinations

- Room in which exam held did not provide candidate with appropriate conditions for taking the exam
- Failure to conduct exam according to the regulations



- Disruption during exam/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported

## 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 (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 to the centre's *internal appeals procedure* above)
- 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, The John of Gaunt School 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 formal complaint should be submitted in writing by completing a **complaints and appeals form**
- Forms are available from the school website or the Examinations Team
- Completed forms should be returned to the Examinations Team
- Forms received will be logged by the centre and acknowledged within 7 calendar days if made in term-time. Please note that it may take longer to acknowledge forms if received during periods of school closure.

### 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 during term time will be logged by the centre and acknowledged within 7 calendar days. Please note that it may take longer to acknowledge appeals if received during periods of school closure.
- The appeal will be referred to the 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.



## Appendix 1 - Complaints and appeals Form

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

- ☐ Complaint/appeal against the centre's administration of a qualification
- ☐ Complaint/appeal against an internal assessment decision/and or request for a review of marking.

*(By signing, I am confirming I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements of the awarding body's specification and subject-specific associated documents. I also understand the appeal may only be made against the assessment process not against the mark to be submitted by the centre for moderation by the awarding body. I understand that one possible outcome of the review is that my final mark is lower than that originally issued and that I cannot revert to my original mark in that instance.)*

- ☐ Complaint/appeal against the centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal.

*(By signing, I am confirming I feel there are grounds to appeal against the centre's decision.)*

- ☐ Appeal against the outcome of a review of results.

*(By signing, I am confirming I understand that the grounds for my appeal must relate to the awarding body's procedures or the application of the post-result service procedures. I also understand that appeals do not generally involve further reviews of marking candidates' work. I also confirm that I will pay in advance any fees, which may be charged by the awarding body for the appeal. I understand this fee will be refunded if the appeal is upheld.)*

(cont.)









**The internal appeals procedures for this centre have been produced to demonstrate compliance with the publications below.**

JCQ General Regulations for approved centres <http://www.jcq.org.uk/exams-office/generalregulations>  
<http://www.jcq.org.uk/examsoffice/appeals>

Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was entered or registered. The head of centre's decision as to whether to proceed with an appeal is subject to the centre's Internal appeals arrangements.

### **Ofqual GCSE, GCE, Principal Learning and Project Code of Practice**

<https://www.gov.uk/government/publications/gcse-gce-principal-learning-and-project-code-of-practice>

**9.13** The awarding organisation must require centres offering its examinations to ensure that they have in place:

iii. a formal, codified procedure for handling disputes when a candidate or carer disagrees with a decision by the centre not to support a review.

Centres must be required to ensure that the procedures are published and made widely available and accessible to all candidates and their carers.

**9.14** In deciding whether to support a review or appeal, centres should take account of all relevant factors and afford candidates or their carers a reasonable opportunity to express their views.

Appellants should consult the full information in the above publications to be fully informed when stating their grounds for appeal.

Further information can be obtained from:

Appeal an exam result <https://www.gov.uk/appeal-exam-result>

The Appeals Process <http://www.jcq.org.uk/examination-system/the-appeals-process>

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