

INTERNAL PROCEDURE



Title: Assessment Appeals Procedure in Further Education

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EXECUTIVE OWNER: Jerry White

VERSION NO: 10.1

DUE DATE FOR REVIEW: September 2019

Accessibility: If you would like this information in an alternative format, e.g. Easy to Read, large print, Braille or audio tape, or if you would like the procedure explained to you in your language, please contact the Communications & PR Officer on 01603 773 169.

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Procedure for:

Assessment Appeals Procedure in Further Education

Please note:

Any suggested amendments must be suggested and approved by the policy holder and Executive owner, and then presented to the relevant parties as appropriate (i.e. Exec, AMT, AMB etc.) for formal approval.

List of amendments/revisions:

Revision No.	Reason for amendment / revision:	Amendment / revision originated by:	Approved by:
1	Annual update (June 2015)	Laura McLean / Jacky Sturman	Exec, AMT, AMB
2	To cover CAVA regulations (September 2015)	Laura McLean / Jacky Sturman	AMT
3	Amendment of where procedure is available – now TEN Group Policy Portal. Amendment to full Access title (August 2017).	Laura McLean	<i>Administrative update only</i>
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1.0 PURPOSE

The core purpose for City College Norwich is to embrace student learning and success and deliver programmes which inspire, engage and challenge our students and enable them to reach their full potential.

City College Norwich follows a robust assessment process (see [Appendix 4](#)); however this procedure enables students to formally raise concerns that they may have relating to an assessment process or outcome.

Concerns about other matters that do not relate to assessment processes or outcomes should be raised via the College Complaints Procedure where applicable which can be found on Blackboard for students (TEN Group Policy Portal for staff).

2.0 SCOPE

This procedure applies to all Further Education (FE) qualifications (including all Access to Higher Education programmes) delivered at (or on behalf of) City College Norwich with the exception of courses that are assessed entirely or partly by external examination or assessment, in which case the regulations of the examining board shall apply for the external components. Where the regulations of the external examining board do not cover internally assessed components (eg coursework), the College Assessment Appeals Procedure shall apply to those components.

2.1 Where students are assessed for competence in respect of the learning outcomes of an NVQ/VRQ programme, the provisions of section 6 below shall apply. (Please turn to section 6 or guidance on how to proceed.)

2.2 For all other students enrolled at City College Norwich on internally assessed courses, the provisions of sections 2 to 5 shall apply.

2.3 The relevant awarding, validating or adjudicating body will only consider an Assessment Appeal once the College's own internal Assessment Appeals Procedure has been exhausted.

2.4 Throughout this procedure the term 'result' is used to represent mark, grade, outcome.

2.5 The decisions of a Student Disciplinary Hearing Panel and any progression decision are specifically excluded from the scope of this procedure.

(Please note that there is a separate Higher Education Academic Appeals/Academic Complaints Procedure which is located on Blackboard for students (TEN Group Policy Portal for staff).

2.6 Collective appeals will be considered in the same manner as those received by an individual student. However, where a collective assessment appeal is to be heard (and should the right to attend the hearing in person be chosen), one student shall normally be nominated to attend the hearing to present the collective evidence.

2.7 City College Norwich will not accept Assessment Appeals from third party or anonymous sources.

3.0 RIGHT TO REQUEST A REVIEW OF ASSESSMENT OUTCOME OR APPEAL FOR FE PROGRAMMES

3.1 For students on FE programmes which are not regulated by CAVA (Access to HE Diploma), a student shall have the right to request a Review of Assessment Outcome or raise an appeal on one or more of the following grounds only:

- a) dissatisfaction with a result awarded to their work* (This forms the right to request a Review of Assessment Outcome on internally assessed programmes - please turn to Section 6 for guidance on how to proceed.)
A request for Review of Assessment Outcome may relate to one of the following categories:
- A unit/module result
 - An internal examination mark
 - A coursework, dissertation or research project mark
 - A mark for a presentation, performance, demonstration etc
- b) There had been a material administrative error in the assessment process.
(This forms the right to raise an assessment appeal - please turn to Section 7 for guidance on how to proceed).
- c) The assessment had not been conducted in accordance with the regulations.
(This forms the right to raise an assessment appeal - please turn to Section 7 for guidance on how to proceed).
- d) Any other extenuating circumstance that may have affected the assessment decision. (This forms the right to raise an assessment appeal - please turn to Section 7 for guidance on how to proceed).

3.2 For students on FE programmes which are regulated by CAVA (Access to HE Diploma), the following rules apply:

- a) Re-presentations (request a review of assessment outcome) apply when a student is not satisfied with a tutor's explanation for unconfirmed assessment decisions awarded and asks for the assessment to be formally reconsidered. The student should make a formal application for the re-presentation, giving reasons within 15 working days of receiving the mark. These are reviewed in turn by the assessor and then the internal moderator before a decision on the re-presentation is made. If the assessment has already been marked by an internal moderator there is no right to request a review.
- b) There had been a material administrative error in the assessment process.
(This forms the right to raise an assessment appeal - please turn to Section 7 for guidance on how to proceed).
- c) The assessment had not been conducted in accordance with the regulations. (This forms the right to raise an assessment appeal - please turn to Section 7 for guidance on how to proceed).

Once a mark has been confirmed at an Awards Board the following rules regarding appeals apply:

Appeals are restricted to:

- evidence of administrative or procedural error in the assessment process; or
- extenuating circumstances that for good reason could not be notified prior to the awards board.

(Appeals raised as a consequence of an awards board's decisions are considered by the CAVA appeals panel).

4.0 COLLEGE COMMITMENT

- 4.1** Students who submit a case under this procedure will not be disadvantaged for having done so. Any student who believes that they have been disadvantaged by submitting a request for an Assessment Appeal or a request for Review of Assessment Outcome should contact a member of the Executive Office (B40)

immediately.

- 4.2** Confidentiality - all who have been involved in any related investigation and/or the management/administration of a request for an assessment appeal or a reconsideration of assessment decision, will observe the requirements of confidentiality.

All papers relating to an Assessment Appeal or a Review of Assessment Outcome will be kept confidential and will only be seen by those who need to do so in order to consider the request/appeal fairly. All papers will be disposed of confidentially except for one central copy which will normally be kept for the duration of the student's course plus six years.

- 4.3** Data Protection - all personal information will be processed by the College in accordance with the Data Protection Act 1998.

5.0 STUDENT COMMITMENT

- 5.1** Students will not engage in submitting a frivolous or malicious appeal. It should be noted that if an assessment appeal is found to have been brought with mischievous or malicious intent, this may provide grounds for disciplinary action against the student.

6.0 PROCEDURE FOR REQUESTING A REVIEW OF ASSESSMENT OUTCOME (3.1/3.2a)

- 6.1** In the first instance, a student should approach their tutor to discuss their concerns. The tutor will discuss the assessed work with the student to explain the grading decisions made.
- 6.2** If the explanation of the grading decision is acceptable, no further action will be taken.
- 6.3** If the outcome of 6.1 above is not acceptable, a student may raise a Review of Assessment Outcome under provision 3.1/3.2 (a) above and must raise this at the earliest opportunity (normally within 5 working days of the mark(s) being announced) on form ASSA1 (see Appendix 1). The completed form must indicate the reason for your request. If advice on completing form ASSA1 is needed, it can be obtained from the Advice Shop or the Students' Union.
- 6.4** The relevant School/Centre Secretary will acknowledge receipt of the notice of request for Review of Assessment Outcome via the student's College email account within 5 working days of receipt.
- 6.5** The relevant School/Centre Secretary will inform the relevant Curriculum Programme Manager/ Team Leader that a request for Review of Assessment Outcome has been raised.
- 6.6** The Curriculum Programme Manager/Team Leader has the right to call for additional written evidence from the student and to present for consideration any such evidence as they think is in the interests of a just outcome.
- 6.7** The Curriculum Programme Manager/Team Leader inform the relevant staff requesting that they provide any information that they believe to be relevant to the request for Review of Assessment Outcome.
- 6.8** The Curriculum Programme Manager/Team Leader shall inform the Head of the School/Centre that is responsible for the course that a request for Review of Assessment Outcome has been made.
- 6.9** The Curriculum Programme Manager/Team Leader shall arrange for the assessment to be reassessed by a second assessor.

- 6.10** All mark(s) confirmed by the second assessor will be final, regardless of outcome i.e. the original mark(s) may increase, decrease or remain the same.

In the case of Access to HE Diploma courses, the Review of Assessment Outcome will require a formal record (please see Appendix 3, form ASSA3) which will be presented to the External Moderator for consideration who will confirm that the Review of Assessment Outcome process has been properly adhered to, and may request to sample individual cases.

- 6.11** An assessment which has been marked by a second assessor cannot form the subject of an appeal except of on the grounds 3.1 c-d as detailed above (3.2 b-c for CAVA regulated Access to HE Diploma courses).

7.0 PROCEDURE FOR MAKING AN ASSESSMENT APPEAL UNDER (3.1 c-d / 3.2 b-c)

- 7.1** A student wishing to exercise the right of appeal under provision above must give notice in writing on form ASSA2. The completed form must indicate clearly the ground(s) on which the appeal is being made. If advice on completing Form ASSA1 is needed, it can be obtained from the Advice Shop or the Students' Union.
- 7.2** The relevant School/Centre Secretary will acknowledge receipt of the notice of appeal via the student's College email account within 5 working days of receipt.
- 7.3** The relevant School/Centre Secretary will inform the relevant Head of School/Centre that an assessment appeal has been raised.
- 7.4** A student wishing to appeal on grounds that there has been an administrative error in the assessment (3.1/3.2 b) or that the assessment was not conducted in accordance with the regulations (3.1/3.2 c) or Any other circumstance that may have affected the assessment decision (3.1 d) must include documentary evidence to support their appeal.
- 7.5** The Head of School/Centre has the right to call for additional written evidence from the student and to present for consideration any such evidence as they think is in the interests of a just outcome.
- 7.6** The Head of School/Centre shall inform the relevant staff requesting that they provide any information that they believe to be relevant to the appeal.
- 7.7** The Head of School/Centre shall inform the Curriculum Programme Manager/Team Leader responsible for the course that is the subject of the assessment appeal that an appeal has been lodged.
- 7.8** If applicable, the Head of School/Centre shall inform the relevant Chair of the Assessment Board of the appeal, requesting that they provide any information that they believe to be relevant.
- 7.9** The Head of School/Centre shall review the assessments appeal documentation to ensure it meets the relevant criteria as detailed in 3.1/3.2:
- a) If the criteria is met the Head of School/Centre will call an Assessment Appeal Hearing;
 - b) If the criteria is not met then the relevant School/Centre Secretary will advise the student via their College email account normally within 5 working days of acknowledgement of appeal.

8.0 ASSESSMENT APPEALS HEARING PROCEDURE (7.9a)

This section outlines the process that City College Norwich follows to handle the 'student' appeals in relation to 7.9a above.

8.1 PREPARATION FOR THE HEARING

- 8.1.1 Upon receipt of an assessment appeal form ASSA1, the Head of School/Centre shall: -
- a) call a hearing of the College Assessment Appeals Panel, as far as possible to the convenience of all parties, within 20 working days of receipt of form ASSA1. The only reason for an extension of this time would be if the student could not attend the hearing;

Normally the Assessment Appeals Panel will consist of 3 members:
 - The nominated Chair (a member of the Academic Management Team)
 - The Head of School/Unit (or appropriate representative) from the relevant School.
 - An independent academic member of staff who have not been involved in the request for Review of Assessment Outcome process.
 - b) give notice in writing to the student exercising the right of appeal that a College Assessment Appeals Panel will be held to consider their appeal, the date, time and place of the hearing. The student shall be given the opportunity to be present and have the right to be accompanied by a friend or Students' Union Executive Officer;
 - c) If applicable, ask the student if they have any specific needs/circumstances which need to be considered for the appeal hearing, e.g. the use of a hearing loop, guide dog, special equipment;
 - d) For Access to HE Programmes only, give notice in writing of the appeal to the Chair of the Assessment Board informing them of their right to appear before or present evidence to the College Assessment Appeals Panel.

8.2 CONDUCT OF THE HEARING

- 8.2.1 The School Secretary will be present at the hearing and shall keep an accurate record of the proceedings. Each party will be given the opportunity to provide evidence separately and not in the presence of other parties.
- 8.2.2 Should the student be accompanied, the accompanying person will not be permitted to speak during any hearing unless nominated to represent the student. It should be noted that the Assessment Appeals Procedure is not a formal legal process and therefore members of the legal profession acting in that professional capacity are not permitted to accompany or represent the student.
- 8.2.3 The College Assessment Appeals Panel will receive any evidence from the relevant parties in relation to the appeal. The Panel may question any individual presenting evidence. After this stage, those presenting evidence will leave the hearing room.
- 8.2.4 In considering their decision the College Assessment Appeals Panel shall sit in private. The Secretary will be present.
- 8.2.5 The College Assessment Appeals Panel shall inform the student who is the subject of the appeal, if they are present, of its decision at the conclusion of the hearing. The School/Centre Secretary will confirm the outcome of the hearing (via the student's College email account) within 5 working days of the hearing.
- 8.2.6 If the student cannot attend the hearing due to serious circumstances beyond their control, the hearing will be rearranged for another date. If however, the student is absent

from the hearing without explanation then the hearing will go ahead. In the latter case the School Secretary will notify the student (via the student's College email account) of the outcome of the hearing within 5 working days.

8.2.7 The School Secretary shall inform the relevant parties (including the Planning and Performance Dept) of the decision of the College Assessment Appeals Panel and provide a report of the proceedings, with recommendations as appropriate and ensure that the relevant parties undertake appropriate action as necessary.

8.2.8 After the hearing, members of the College Assessment Appeals Panel must return their papers to the School Secretary who will ensure that they are disposed of confidentially.

9.0 APPEAL AGAINST THE DECISION OF THE COLLEGE ASSESSMENT APPEALS PANEL

The College Assessment Appeals Panel is the final appeal body. However, if the student alleges maladministration by the Panel, the student may appeal to the College Principal. Any such appeal should be directed through the Executive Office (B40). The appeal against maladministration will then be conducted by the Principal or a member of the Executive Team not previously involved in the appeal process.

The issue to be addressed in this case is whether the provisions of this College Assessment Appeals Procedure have been properly implemented; the substance of the original appeal will not be reconsidered. The student will be informed of the outcome of the Principal's investigation by a member of the Executive Office (B40). Following this review the decision of the Principal is final.

10.0 THREAT TO THE INTEGRITY OF THE ASSESSMENT PROCESS.

10.1 If on hearing an assessment appeal the panel believes that the integrity of an assessment process has been called into question (e.g. that the standard of marking of a piece of work has been incorrectly applied or that marking has failed to take into account the published assessment criteria) then they shall immediately make this known to the Principal/Deputy Principal. The result(s) remain provisional until an investigation has taken place and been resolved to the satisfaction of the Principal/Deputy Principal. The results shall be confirmed in the normal way.

The Chair of the Assessment Appeals Panel shall then immediately:

10.2 Inform the Deputy Principal/Principal (if not already so informed)

10.3 Write to all students affected to advise them that a question has been raised, that, their marks are now to be regarded as provisional pending the outcome of an investigation and that they will be kept informed of any outcome.

10.4 Then:

- a) inform the relevant awarding body (if applicable)
- b) inform any relevant external verifier/assessor/examiner
- c) ensure that the relevant student tracking system is updated

10.5 undertake a full investigation defining the nature of the problem and present the results of the investigation in a summary report of the key facts and recommendations, if any, to the Deputy Principal/Principal within 10 working days of the commencement of the investigation.

10.6 the Principal/Deputy Principal will then consider the summary report and decide how best then to proceed and specify what action should be taken, if any.

11.0 APPEALS LOG

All appeals will be entered into the appeals log held by the Planning and Performance department and reported to Academic Management Board (should there be anything to report).

APPENDIX 1 – Form ASSA1 - Request for Review of Assessment Outcome

Notice of request for review in accordance with the College's FE Assessment Appeals Procedure

To: The Curriculum Programme Manager/Team Leader, City College Norwich, Ipswich Road, Norwich, NR2 2LJ

Please provide as much information as possible so as to help us deal with your request effectively.

Full name:	
Student Number:	Year of course:
Programme Manager:	
Contact Details (please provide a telephone number and CCN student email address):	

Information regarding the request for review:

School	
Name of Course	
Name of assessment (Unit/module/activity)	
Name of Tutor	
Explain in your own words why you would like to request a review <i>(we may ask you further questions regarding this prior to a review)</i>	
<i>Please attach an additional sheet if you require more space.</i>	

I, the undersigned, having read the College's Assessment Appeals Procedure in Further Education, wish to request a review of the assessment decision, as announced within the past 15 working days, and I confirm that the information given on this form and supporting documents is a true statement.

Signed Date

Please hand this to reception/advice shop, who will record receipt of this request and forward to Secretariat Services. You should provide any supporting information you wish to be considered with this form. Confirmation of receipt will be acknowledged within 5 working days via your student college email account. THIS FORM IS TO BE FORWARDED TO SECRETARIAT SERVICES

APPENDIX 2 – Form ASSA2 - Assessment Appeals Request Form

Notice of Appeal in accordance with the College's FE Assessment Appeals Procedure

To: Head of School/Centre, City College Norwich, Ipswich Road, Norwich, NR2 2LJ

Please provide as much information as possible so as to help us deal with your request effectively.

Full name:	
Student Number:	Year of Course:
Programme Manager:	
Contact Details (please provide a telephone number and CCN student email address):	

Information to support your Appeal:

School:		
Name of Course:		
Name of assessment: (Unit/module/activity)		
Name of Tutor:		
Please tick the appropriate box below which best describes your reason for appeal		
<input type="checkbox"/> 3.1c – material administrative error in the assessment	<input type="checkbox"/> 3.1d – assessment had not be conducted in accordance with regulations	<input type="checkbox"/> 3.1e – Any other circumstances that may have affected the assessment decision
Please provide specific information that you feel supports your appeal (we may ask you further questions regarding this appeal).		
Please attach an additional sheet if you require more space		

I, the undersigned, having read the College's Further Education Assessment Appeals Procedure, wish to appeal against the assessment of my academic progress, as announced within the past 25 working days, and I confirm that the information given on this form and supporting documents is a true statement.

Signed Date

Please hand this to reception/advice shop, who will record receipt of this request and forward to Secretariat Services. Alternatively you can email the information directly to the Head of Planning and Performance at QUALITY@ccn.ac.uk. You should provide any supporting information you wish to be considered with this form. Confirmation of receipt will be acknowledged within 5 working days via your student college email account.

THIS FORM SHOULD BE COMPLETED AND SIGNED BY THE RELEVANT ACADEMIC STAFF MEMBER AND FORWARDED TO THE RELEVANT HEAD OF SCHOOL FOR CONSIDERATION AND ACTION. A COPY SHOULD ALSO BE FORWARDED TO SECRETARIAT SERVICES.

APPENDIX 3 – Form ASSA3 – Formal Record of the Outcome (To be presented to the External Moderator where applicable.)

Full name of tutor responsible for the initial assessment:	
Full name of the internal moderator:	
Student Name/Number:	Year of Course:
Programme Manager:	

Information to support your reason for the change, or decision not to change, the outcome:

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Signed

Date.....

APPENDIX 4 FE ASSESSMENT APPEALS FLOWCHART

(Entry Level 1 through to and including Level 3 and Access to Higher Education Programmes)



