



Appeals Policy

Version 1 (drafted May 2008)
Revision Date : March 2015

1. Introduction

- 1.1. It is a principle of assessment in the context of the NQF that all learners have the right to appeal an assessment decision if they feel they have been wrongly assessed.

2. Aims and Objectives

- 2.1. To ensure that learners who feel aggrieved by an assessor's decision have a mechanism they can use to voice their disagreement with the decision taken.

3. Scope

- 3.1. This procedure will apply to all disputes in terms of standards-based assessment

4. Inputs

- 4.1. Appeal form
- 4.2. Appropriate documents

5. Outputs

- 5.1. Completed appeals form
- 5.2. Updated assessment results
- 5.3. Agenda and minutes of scheduled assessors' meeting where assessment was discussed
- 5.4. A schedule of the next two assessments by the assessor to be reviewed by the moderator

6. Appeal process

6.1. Stage One

- 6.1.1. Where the candidate disagrees with the assessment given (s) he must explain the reasons for this to the Assessor concerned as soon as possible. In most circumstances this will be immediately after receiving the assessment decision.
- 6.1.2. The Assessor should consider the candidate's explanation and provide a response through:
 - a clear explanation or a repeat explanation of the assessment decision following a re-evaluation of the evidence
 - completion of Section 1 of the Candidate Appeal Form
 - amendment of the candidate's assessment record, if appropriate

This should take place within 3 working days

- 6.1.3. If the candidate agrees with the outcome at this stage then the appeal will not proceed any further.
- 6.1.4. If the candidate is not happy with the outcome then the appeal will proceed to Stage Two.

6.2. Stage Two

- 6.2.1. The Moderator must receive the following from the Assessor within 3 (three) working days:
 - The original assessment record and candidate evidence, where appropriate
 - The Candidate Appeal Form, with section 1 completed
- 6.2.2. The Moderator will reconsider the assessment decision by evaluating:
- 6.2.3. The candidate's evidence and associated records
- 6.2.4. The Assessor's rationale for the decision
- 6.2.5. The opinion of another Assessor

- 6.2.6. The opinion of the candidate
- 6.2.7. The Moderator should complete Section 2 of the Candidate Appeal Form and provide the candidate with an alternative Assessor and date within 5 working days of receiving the appeal.
- 6.2.8. Where the candidate remains unhappy with the second assessment the Appeal must proceed to stage three.

6.3. Stage Three

- 6.3.1. If no resolution has been reached, the stage three Moderator will study the case history. These documents should include:
- Candidate Appeal Form, appropriately completed
 - Assessment records
 - Any written comments from the Moderator (e.g. background details)
- 6.3.2. The Moderator will then, within 10 working days, convene a panel comprising:
- the original Assessors
 - the stage two Moderators
 - another Moderator from the relevant discipline
- 6.3.3. The panel will evaluate the situation and complete section 3 of the candidate appeal form and will inform the candidate of its decision within 5 working days
- 6.3.4. If the candidate is still not satisfied with the outcome (s) he has the right to take the appeal to the ETDQA

6.4. Stage Four

- 6.4.1. The convening Moderator will forward relevant details to the External Verifier (EV) and these should include:
- Candidate appeal form, appropriately completed, (including the reason for the decision of the investigation panel)
 - Assessment record sheets
 - Written comments from the Moderator (as supplied to stage three panel)
- 6.4.2. The External Verifier will convene, within 10 working days of notification, a panel comprising of:
- The ETDQA Review Specialist or the appropriate senior post holder
 - The stage two Moderator
 - The original Assessor
- 6.4.3. The candidate should be invited to attend with a representative if they wish. The panel will reconsider the assessment evidence, led by the External Verifier.
- 6.4.4. The panel must reach a decision and inform the candidate of the result within 5 working days, in writing.
- 6.4.5. The decision of the panel is final

7. Reports

- 7.1. Records of all appeals must be logged and made available as appropriate to:
- all relevant parties to the dispute
 - the Chief Executive
 - ETDQA