



Title: Complaints / Internal Appeals about Assessment Decisions

Policy Coordinator: PK Maselino

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Status: Statutory

Delegation: Management Committee

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Chair of Management Committee: Seeta Mepani
Head Teacher: PK Maselino

Purpose of the procedure

This procedure confirms The Helix Education's compliance with JCQ's General Regulations for Approved Centres 2021-22, 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 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
- 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 as stated below)
- 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.

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 to the centre's internal appeals procedure, as below)
- 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

How to make a formal complaint

A complaint should be submitted in writing to the Head Teacher.

- State your complaint, all relevant details, and your name and how you can be contacted
- You will receive an acknowledgement in 5 school days, and the Head Teacher's findings within 15 school days.
- In the event that this is not resolved then the management committee will be involved.

Internal Appeals about Assessment Decisions

The centre is committed to ensuring that staff assesses students' work for external qualification fairly, consistently and in accordance with the specification for the qualification concerned.

This is ensured by:

- subject staff having the necessary and appropriate knowledge, understanding, skills, and training in this activity
- subject staff authenticating candidates' work according to the requirements of the relevant awarding body
- a process of internal moderation and standardization led by subject leaders/nominated subject staff

Assessments should be conducted by staff having the appropriate knowledge, understanding and skills in the subject. Students' work should be produced and authenticated according to the requirements of the examination board. Where a set of work is divided between staff, consistency should be assured by internal moderation and standardization. If a student believes that this may not have happened in relation to his/her work, he/she may make use of this appeals procedure.

Note - appeals may only be made against the marking/assessment process and not against the mark or grade submitted by the centre for moderation by the awarding body.

Appeals must be made as early as possible and at least by the end of the first week in May.

This will be the final stage in the normal process of considering and resolving disputes. It is expected that it will be used only in exceptional circumstances.

1. The examinations officer is in overall charge of managing appeals relating to internal assessments.
2. If a student wishes to appeal about his/her internal assessment marks then the following procedures should be followed:
 - The appeal should be made in writing using the **internal appeals form** to the exams officer stating the details of the complaint and the reasons for the appeal and must be completed by the candidate or their parent/carer.
 - The appeal must be submitted before the end of the first week in May of the year in which the written examinations are taken.
3. The head of centre will appoint a member of the senior leadership team, who has no involvement in the assessment process for that subject to conduct the investigation.
4. The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements as detailed in the awarding body specification(s) and/or subject specific associated documents

5. The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body and any changes made to the internal assessment procedures
6. The outcome of the appeal will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity in procedures to light, the awarding body will be informed
7. If the candidate is not happy with the written response they have received then they can request a personal hearing before an appeals panel.
 - The appeals panel will consist of the exams officer and two of the following – SLT line manager; a governor; principal.
 - The request for a personal hearing must be made within two days of receipt of the written reply to the initial appeal
 - The candidate will be given at least two days' notice of the hearing date
 - A breakdown of the marks awarded will be given to the candidate in advance of the appeal
 - The candidate may bring a parent/guardian to the hearing
 - The teacher(s) involved will be present at the hearing
 - The examinations officer will convey the outcome of an appeal and the reasons for that outcome in writing to the candidate within 5 working days of the appeal date
 - The school will maintain a written record of all appeals
 - The school will inform the awarding bodies (examining boards) of any change to an internally assessed mark as a result of an appeal

After candidate's work has been assessed internally it is moderated by the awarding body to ensure consistency in marking between centres. The moderation may lead to mark changes. This decision is outside the control of The Helix Education Centre and is not covered by this procedure.

Appeals Procedure against Centre Decisions Not To Support an Enquiry about Results

All Awarding Bodies have a process for making Enquiries About Results (EARS) through their Post Results Services. Full details of these services can be found as follows:

Edexcel/Pearson exam board

<http://qualifications.pearson.com/en/support/support-for-you/results-for-students.html>

AQA exam board

<http://www.aqa.org.uk/exams-administration/about-results/post-results/enquiries-about-results>

In brief, services offered are:

- A clerical check; the marks awarded for your examination paper are checked.

- A re-mark; an examination paper is re-marked by another examiner. The student would need to sign for this to be completed as your mark can go down as well as up.
- A re-moderation of coursework; all candidates work will be re-moderated.

The centre may decide to pay for a re-mark, with your consent, if you are very close to the next grade boundary.

Students may ask to have their examination paper re-marked but will have to pay the fee prior to the re-mark taking place. If your re-mark results in a higher grade being awarded the centre will refund the amount paid.

Information about the fees for each examination board will be included in your results envelope and will be published on the centre website.

If a candidate is very close to a grade boundary (within 1 to 2 marks) the centre will nearly always support an application for a re-mark.

If the centre makes the decision not to support an EAR, and the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision, an appeal should be submitted in writing against this decision to the Examinations Officer or Head Teacher by September 9, using the Internal Appeals Procedure Form.

The appeal will be considered by a panel consisting of the Examinations Officer and a member of the Senior Leadership Team or Governor who were not involved in the original decision. This panel will meet within 5 days of the appeal so that there is still time for an EAR to be applied for before the Awarding Body's deadline (usually around September 20).

Appeals Procedure Following the Outcome of an Enquiry about Results

The Internal Appeals Policy for The Helix Education Centre complies with the following regulations:

JCQ General Regulations for approved centres

<http://www.jcq.org.uk/exams-office/general-regulations>

Controlled Assessments, Coursework and Portfolios of Evidence

5.8 The centre agrees to have in place, and be available for inspection purposes, an 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; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates on request.)

JCQ Post-results services

<http://www.jcq.org.uk/exams-office/post-results-services>

6.4.5 Centres must have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/cares, cannot agree as to whether an enquiry about results should be submitted. The formal appeals procedure must be made widely available. Centre must therefore draw the appeals procedure to the attention of candidates and or their parent/carers. In deciding whether to support an enquiry about results, centres should take account of all relevant factors and afford candidates or their parent/cares a

reasonable opportunity to express their views. Awarding bodies can only enter into discussions about results with centres and private candidates.

JCQ A guide to the awarding bodies' appeal processes

<http://www.jcq.org.uk/exams-office/appeals>

Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representatives 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

<http://ofqual.gov.uk/ofdoc-categories/regulations-and-guidance/codes-of-practice-regulations-and-guidance/>

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 to not support an enquiry.

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 an enquiry 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:

<https://www.jcq.org.uk/exams-office/information-for-candidates-documents>

<https://www.jcq.org.uk/exams-office/information-for-candidates-documents/infor>

<https://www.jcq.org.uk/exams-office/information-for-candidates-documents/information-for-candidates---non-examination-assessments>

<https://www.jcq.org.uk/exams-office/information-for-candidates-documents/information-for-candidates---on-screen-tests>

<https://www.jcq.org.uk/exams-office/information-for-candidates-documents/information-for-candidates---written-exams>

<http://ofqual.gov.uk/complaints-and-appeals/exam-results-appeals/>