



**Dumfries and
Galloway College**

One step ahead

ASSESSMENT APPEALS PROCEDURE

Responsibility: Executive Director of Student Experience

Issue Date: 26th November 2024

Equality Impact Assessment: 26th November 2024

Version: 3

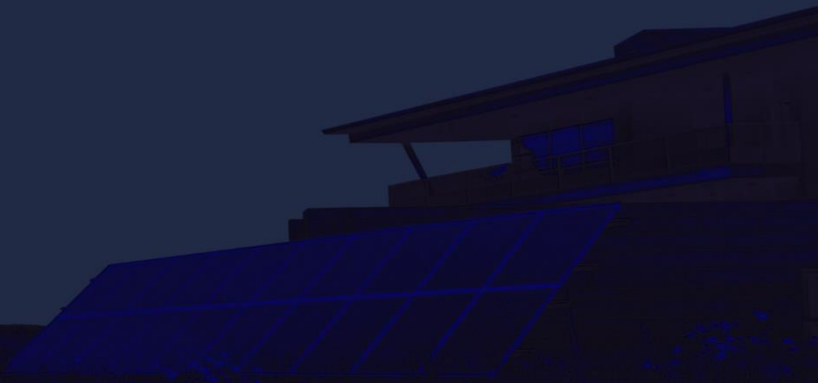


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Assessment Appeals Procedure

1. Purpose

To enable a student to pursue an appeal regarding an assessment outcome (including a decision where the result of the assessment may require the student’s withdrawal from the programme). The procedure demonstrates that the Centre has an effective mechanism in place to ensure that all assessment is fair and consistent. This procedure does not deal with disciplinary matters and such matters should be reviewed appropriately.

2. *Scope*

The procedure applies at all College sites and to all assessment decisions made or co-ordinated by this College. All information submitted in relation to appeals will be dealt with confidentially and will only be disclosed to those parties involved in the investigation and judgement of the appeal or as is necessary to progress the appeal.

3. *References*

- Quality Assurance Policy
- Internal Verification Procedure
- Internal Verification Procedure (SVQs)
- External Verification Procedure
- Assessment Policy
- Maladministration and Malpractice of Assessment Procedure
- SPSO – Scottish Public Service Ombudsman

4. *Definitions*

Appeal	A request for a review of an assessment decision
Appeals Panel	A panel established by the Performance Manager to hear an assessment appeal lodged by a student
Assessor	Member of staff carrying out the assessment of student performance
Awarding Body	An organisation that has approval to award qualifications
Maladministration	A lack of proper care or integrity in carrying out duties associated with assessment, record keeping or interpretation of official procedures

Malpractice	The term 'malpractice' covers any deliberate actions, neglect, default or other practice that compromises, or could compromise: <ul style="list-style-type: none"> • the assessment process • the integrity of a regulated qualification • the validity of a result or certificate pg. • the reputation and credibility of the awarding body, or the qualification or the wider qualifications community
Regulated Qualifications	A qualification that is provided through an Awarding Organisation recognised by one of the UK Regulators (e.g. Ofqual in England or SQA Accreditation in Scotland)
SPSO	Scottish Public Services Ombudsman

5. *Responsibility*

All staff who are responsible for making assessment decisions.

6. *Procedure*

6.1 To achieve an effective and equitable assessment decision process across all programmes of study, it is essential that ALL members of staff are committed to fair and honest decision making at all stages of assessment.

6.2 Stage 1

6.2.1 Students are encouraged to discuss any concerns they have in relation to grades/marks with their assessor in the first instance at the time of feedback.

Where this does not result in an agreed grade/mark, a student can submit a formal appeal (Stage 2). An appeal cannot be made against the assessor on a personal level under this procedure.

6.2.2 There are three grounds for a student internal assessment appeal:

- Disagree with the assessor judgement
- Maladministration/Malpractice
- Factors, (mitigating circumstances) which if they had been known at the time could have affected the results of an internal assessment

6.3 Stage 2

6.3.1 Where a student wishes to appeal against the result of an internal assessment decision the matter should be raised by the student with the assessor responsible for the assessment within 5 working days. This can be verbally or in writing to the assessor.

6.3.2 The assessor must record evidence of this appeal and the outcome within 5 working days by using the Internal Assessor Appeal Submission Form (see Appendix 3).

6.4 Stage 3

6.4.1 If the internal assessment appeal is unresolved at Stage 2, the student can appeal to the relevant Curriculum Manager. This should be done in writing and within 5 working days.

6.4.2 The Curriculum Manager will record details of the request using the Internal CM Appeal Initial Submission Form (see Appendix 3).

6.4.3 The Curriculum Manager will request that the work in question be verified prior to the panel hearing.

6.4.4 The Performance Manager agrees an appeals panel date with the Curriculum Manager to review all evidence. Panel Members will include

the relevant Curriculum Manager, Subject Matter Expert (where possible this should not be the assessor linked to the appeal) and a Member of the Performance Team.

- 6.4.5 Under normal circumstance it is anticipated that most internal assessment appeals that arise will be resolved within the curriculum area within 10 working days.
- 6.4.6 This outcome of the assessment appeal panel will be recorded by the Performance Manager using the Internal Assessment Appeals Quality Assurance Form (see Appendix 3), and the Curriculum Manager will advise the student of the outcome in writing within 5 working days.
- 6.4.7 The student must be advised of the reason as to why the appeal has been upheld/not upheld. In cases where the appeal has not been upheld, the student should be advised on the option to further appeal to the Executive Director of Student Experience.
- 6.5 Stage 4
 - 6.5.1 If the student is not satisfied following the assessment appeal panel, they may refer the appeal to the Executive Director of Student Experience in writing within 10 working days.
 - 6.5.2 The Executive Director of Student Experience will arrange to review all evidence to determine the outcome of the appeal. The student should be informed of the outcome of this within 5 working days.
 - 6.5.3 The Executive Director of Student Experience will record the outcome using the Internal Assessment Appeal to Executive Director Student Experience Form (see Appendix 3).
- 6.6 Copies of assessment and internal verification reports must be retained for a specified time when an appeal is closed. Please refer to the Performance Team for further guidance. Appeals will be tracked by the Performance Team.

- 6.7 For regulated qualifications students have an additional stage of appeal. An appeal can be made to the awarding/accreditation body or SQA Accreditation or Ofqual who cannot overturn an assessment decision but may investigate the effectiveness of the centres appeal process.
- 6.8 For non-regulated qualifications there is no right of appeal to the awarding/accreditation body.
- 6.9 Following all stages of appeal, if a student is still dissatisfied, they have a final right to complain to SPSO about how the process was handled but not the outcome.
- 6.10 Some of the above timelines may need to be adjusted based on specific requirements for particular awarding bodies.

7. *Distribution*

All Staff
Repository

8. *Revision Log*

Revision Log		
Date	Section	Description
18.09.2020	Section 4 – Definitions	Appeals Panel and Curriculum Manager added
18.09.2020	Section 5 – Procedure	Stage 1 – Assessor Appeal Stage 2 – Curriculum Manager Appeal Stage 3 – Director of Curriculum Appeal
18.09.2020	Appendix	Tracking and data collection of each stage held in Microsoft forms with links and QR codes added. This is held by Performance Team
26.05.2021	References	Internal Moderation Procedure changed to Internal Verification Procedure
26.05.2021	Distribution	Changed Quality Manual to Repository
September 2023	Format	Updated to reflect current Document Control Template, inclusion of Responsibility section and EIA

September 2023	References	References to SQA documentation removed
September 2023	Throughout the procedure	Changed from Director of Curriculum to Executive Director of Student Experience
September 2023	Definitions	Assessor and Malpractice added
September 2023	6.2	New point added
September 2023	6.4	Timescale for retention of assessment and internal verification reports referenced.
September 2023	6.7	Moderated changed to verified
September 2023	6.14	New Point added
September 2024	Grounds for Appeal	Updated to three grounds for appeal
September 2024	Throughout	Stages amended – to clearly indicate the four stages
September 2024	Appendix 2	Flow Chart Added
September 2024	Appendix 3	Additional QR Code for Stage 4 of the process

THIS FORM TO BE UPDATED WHENEVER THERE IS A CHANGE IN ANY SYSTEM DOCUMENT				
Document Name	Document Owner	Revision Number	Date of Issue	Date of withdraw
Assessment Appeals Procedure	Director of Curriculum	1	02.06.21	
Assessment Appeals Procedure	Executive Director of Student Experience	2	29.11.23	
Assessment Appeals Procedure	Executive Director of Student Experience	3	26.11.24	

Appendix 1 – Equality Impact Assessment

Document:	Assessment Appeals Procedure
Executive Summary:	Impacts are positive across all protected characteristics and additional considerations, as the appeals system itself ensures that unconscious bias is challenged. This directly attempts to remove the risk of discrimination, which in turn will ensure quality of opportunity and, through a clear and transparent process, promote good relations.

Duties:

1: Eliminate discrimination, harassment and victimisation

2: Promote equality of opportunity

3: Promote good relations

* Human Rights to privacy and family life, freedom of thought and conscience, education, employment

PSED Impacts

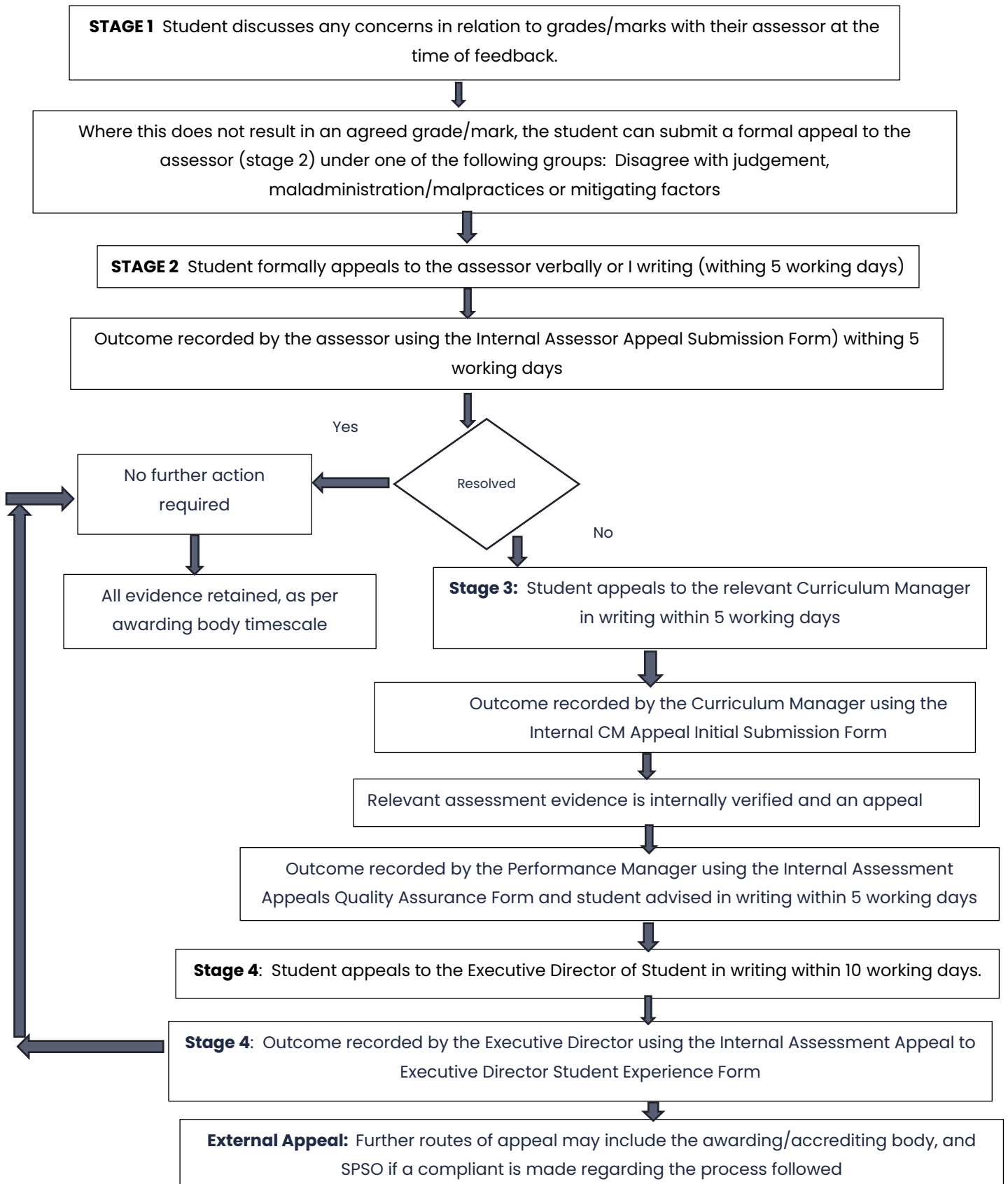
	Commentary
Age	People from minority groups across all the protected characteristics can be subject to unconscious bias and experience a lack of confidence when challenging situations which may be unjust. The procedure ensures that the risk of bias is minimised and that there is support there for students who feel they have not been fairly treated.
Disability	
Gender	
Gender Based Violence	
Gender identity/ reassignment	
Marriage/civil partnership	
Pregnancy/maternity	
Religion or Belief	
Race	
Sexual Orientation	

Additional Considerations

Care experienced	People with care experience, carers and those suffering mental ill health can be subject to unconscious bias and experience a lack of confidence when challenging situations which may be unjust. The procedure ensures that the risk of bias is minimised and that there is support there for students who feel they have not been fairly treated.
Carers	
Mental Health	
Socio-economic status	There are no apparent impacts relating to these additional considerations.
Veterans	
Human Rights*	The Human Rights to Education and Employment are progressed by this procedure.

Lead Officer:	Executive Director of Student Experience		
Facilitator:	Executive Director of Student Experience		
Date initiated:	25/09/2024		
Consultation:	The procedure is built on principles largely put in place by awarding bodies, for which compliance is required.		
Research:			
Signature	Phil Storrier	Date	26/11/2024

Appendix 2 – Flow Chart



Appendix 3- Forms

Internal Assessor Appeals Submission (Stage 2)

https://forms.office.com/Pages/ResponsePage.aspx?id=Q74tuIIAoE2CYDzA8_ydVHYIBlqXRZNHozlvT9KBsilUMUhOV0tPQzBLUjlESDZNSTBCWDg0WIFVVS4u



Internal Curriculum Manager Initial Appeals Submission (Stage 3)

https://forms.office.com/Pages/ResponsePage.aspx?id=Q74tuIIAoE2CYDzA8_ydVHYIBlqXRZNHozlvT9KBsilUOTJJVIZLMjZVTEVXOFk4Rk43STRPWkpHUC4u



Internal Quality Assurance Appeals Panel (Stage 3)

https://forms.office.com/Pages/ResponsePage.aspx?id=Q74tuIIAoE2CYDzA8_ydVHYIBlqXRZNHozIvT9KBSilUQIJRUVdFMDFWOTThYNVFSNU9GMDYIU1A1Ry4u



Internal Quality Assurance Appeal to Executive Director Student Experience (Stage 3)

https://forms.office.com/Pages/ResponsePage.aspx?id=Q74tuIIAoE2CYDzA8_ydVHkBAIngO6VAnI3W2r7r3ddUOTBKNlpLUkdDUEZTNDg1OVFTRINQM0NVS4u

