



**west lothian**  
college

# **Assessment Appeals Policy and Procedure**

Author: Jenny Stalker

Date: October 2018

Review Date: October 2021

Impact Assessment Date: 9-11-16

## Contents

History of Changes .....	1
1 Purpose .....	2
2 Policy .....	2
3 Responsibility .....	2
4 Procedure .....	2
5 Communication of Policy to Learners .....	4
6 Evaluation and Review .....	4
Equality Impact Assessment.....	5

## History of Changes

<b>Version</b>	<b>Description of Change</b>	<b>Authorised by</b>	<b>Date</b>
1.1	Minor rewording and updating from 2013 version. Inclusion of statement regarding right to escalation to SPSO/OFQUAL	J Stalker	21-10-16
1.2	Amendment of escalation statement to reflect SQA appeals process, in line with systems verification guidance	J Stalker	1-6-17
1.3	Amendment of escalation statement to reflect new C&G appeals process, in line with May 2018 guidance	J Stalker	24-5-18

## **1 Purpose**

To ensure that the College Assessment Policy and Procedures is applied fairly and consistently to provide learners with a clear framework within which they can appeal against assessment decisions.

## **2 Policy**

West Lothian College will allow all learners the right of appeal against decisions relating to the College Assessment Policy and Procedure.

## **3 Responsibility**

- 3.1 The Vice Principal Curriculum and Planning is responsible for the management of the policy and its implementation.
- 3.2 All members of staff and all learners are responsible for the effective operation and implementation of the policy and procedure.
- 3.3 The Head of Service for Quality and Learner Services is responsible for the operation, evaluation and review of the policy and procedure.
- 3.4 The Access and Support Service Leader is responsible for the advocacy and support of the learner.
- 3.5 The Centre Manager is responsible for convening the hearing at Stage Two and for recording and communicating the outcome.
- 3.6 The Head of Service for Quality and Learner Services is responsible for convening the panel meeting at Stage Three and for recording and communicating the outcome.
- 3.7 Individual lecturers are responsible for ensuring that learners are familiar with this policy and procedure.

## **4 Procedure**

### **Stage One:**

- 4.1 A learner should engage with College staff to exhaust all informal means of resolving issues before progressing to a formal appeal. These steps should be initiated within 5 working days of receiving notification of the assessment decision.

## Stage Two:

- 4.2 A learner who wishes to make a formal appeal against a college decision should submit the appeal in writing within 10 working days of being informed that Stage One has not been resolved to the learner's satisfaction.
- 4.3 The letter of appeal will be sent to the relevant Centre Manager and will state clearly the basis of the appeal and any personal circumstances that the learner wishes to be considered. New evidence to support the appeal may be included.
- 4.4 The Access and Support Service Leader will be available to support and assist the learner in drawing up a letter of appeal.
- 4.5 The Centre Manager will give written acknowledgement of receipt of the letter of appeal, normally within 3 working days.
- 4.6 An appeal hearing will be held to give the learner the opportunity to personally discuss the basis of the appeal.
- 4.7 The learner may choose to be accompanied by a representative or friend. No legal representation will be allowed.
- 4.8 The appeal will be considered by a nominated panel within 10 working days of receipt of the letter of appeal. In circumstances where 10 days is inappropriate, this period may be extended by mutual agreement.
- 4.9 Membership of the hearing will comprise the Centre Manager, the relevant assessor and one other member of lecturing staff.
- 4.10 The decision of the panel will be confirmed in writing by the Centre Manager to the learner within 5 working days of the hearing.
- 4.11 If the appeal is not resolved to the learner's satisfaction, the learner may move to Stage Three of the procedure.
- 4.12 Appeals from learners on courses accredited by other awarding bodies, which are not resolved at Stage Two, will be communicated to the awarding body, and will be subject to that awarding body's appeals procedure. Should they still remain dissatisfied with decisions made by both the centre and the awarding body they then have the right to escalate the appeal directly to the regulator where appropriate and the responsibility for this action lies solely with the learner. Where a centre is a public body then a complaint can be further escalated to the Scottish Public Services Ombudsman (SPSO). In the case of City & Guilds/ILM qualifications the final point of escalation is SQA Accreditation (on [accreditation@sqa.org.uk](mailto:accreditation@sqa.org.uk)) following awarding body review of the appeal. The regulatory body is unable to overturn assessment decisions or academic judgements.

### **Stage Three:**

- 4.13 The learner should submit a letter detailing the basis of the appeal to the Head of Service for Quality and Learner Services within 5 working days of receipt of the outcome of Stage Two.
- 4.14 The Head of Service for Quality and Learner Services will give written acknowledgement of receipt of the letter of appeal, normally within 3 working days.
- 4.15 The appeal will be considered by a nominated panel, which will meet normally within 5 working days of receipt of the letter of appeal. In circumstances where this is inappropriate, this period may be extended by mutual agreement.
- 4.16 Membership of the panel will comprise the Vice Principal Curriculum and Planning, the Head of Service for Quality and Learner Services and one other member of staff.
- 4.17 The decision of the panel will be confirmed in writing by the Head of Service for Quality and Learner Services to the learner within 5 working days of the meeting.
- 4.18 The decision of the appeals panel is final.
- 4.19 The Head of Service for Quality and Learner Services will report annually to the Learning and Teaching Committee on the nature and outcomes of formal appeals.

## **5 Communication of Policy to Learners**

Learners will be informed of the Assessment Appeals Policy through the Induction and Tutorial processes.

## **6 Evaluation and Review**

Next scheduled review date: October 2021

## Equality Impact Assessment

Before carrying out an EIA, you should familiarise yourself with the College's EIA Policy Statement and Guidance, along with further information and resources which are available on Serengeti

EIA covers **strategies, policies, procedures, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services**, but will be referred to hereinafter as 'policy/practice'.

<b>Policy/Practice (name or brief description):</b>	<b>Assessment Appeals Policy and Procedure v1.1</b>
<b>Reason for Equality Impact Assessment (choose from the following options):</b>	
<ul style="list-style-type: none"> <li>• Proposed new policy/practice</li> <li>• Proposed change to an existing policy/practice</li> <li>• Undertaking a review of an existing policy/practice</li> <li>• Other (please give detail):</li> </ul>	Undertaking a review of an existing policy/practice
<b>Person responsible for the policy area or practice:</b>	
Name:	Jenny Stalker
Job title:	Head of Service: Quality and Learner Services
<b>An Equality Impact Assessment must be carried out if the policy/practice:</b>	
<ul style="list-style-type: none"> <li>• affects <b>operational</b> or <b>strategic functions</b> of the College</li> <li>• is relevant to the promotion of equality (in terms of the Public Sector Equality Duty 'needs' as set out in the Policy and Guidance)</li> </ul>	
Why the EIA is being carried out	Undertaking a review of an existing policy/practice

<b>Equality Groups</b>	
Relevant to the Policy/Practice, identify which of the undernoted equality groups are impacted upon:	
<ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• race (including ethnicity and nationality)</li> <li>• religion or belief</li> <li>• sex</li> <li>• sexual orientation</li> <li>• gender reassignment</li> <li>• pregnancy and maternity</li> <li>• marriage or civil partnership</li> </ul>	All groups will be impacted by this P&P if completing assessments, but the impact is equality neutral as the P&P provides clarity for all learners

**Record your assessment against the following statements:**

<b>Statement</b>	<b>Equality assessment</b>
Detail the evidence of the needs of the identified equality groups and any gaps in information	None identified, as the P&P provides clarity on an inclusive basis
Will application of this policy/practice lead to discrimination (direct or indirect), harassment, victimisation, less favourable treatment for particular equality groups?	No
If yes, how will the policy/practice be changed to contribute to advancing equality of opportunity	N/A
State how this policy/practice will foster good relations:	Appeals P&P allows learners to understand how the process works and to whom they make appeal and escalate a case, where appropriate. It provides supporting information and encourages learners to communicate with staff and to feel engaged and in control of their assessment
Will the policy/practice create any barriers for any other groups?	No

AssessmentAppealsPolicyandProcedure/Controlled:October2018/October2021

If yes, how will the policy/practice be changed to contribute to advancing equality of opportunity	N/A
Which equality groups or communities have been consulted in the development and review of this policy/practice?	None have been consulted, as the policy is a requirement of awarding bodies and is a clarification of a process which is mandatory for all learners inclusively

<b>Equality Impact Assessment Outcome</b>	
Select one of the four options below to indicate how the development/review of the policy/practice will be progressed and state the rationale for the decision. (Delete the options that do not apply):	
<p><b>Option 1:</b> No change required – the assessment is that the policy/practice is/will be robust.</p> <p><b>Option 2:</b> Adjust the policy or practice – this involves taking steps to remove any barriers, to better advance equality and/or to foster good relations.</p> <p><b>Option 3:</b> Continue the policy or practice despite the potential for adverse impact, and which can be mitigated</p> <p><b>Option 4:</b> Stop the policy or practice as there are adverse effects cannot be prevented/mitigated against.</p>	Option 1: No change required – the assessment is that the policy/practice is/will be robust.
<b>Monitoring</b>	
When will the policy/practice next be reviewed?	October 2021, unless circumstances arise which require the policy to be updated, such as a change in the awarding body requirements
<b>Publication of EIA</b>	
Can this EIA be published in full, now? Please state Yes or No	Yes

<p>If No – please specify when it may be published or indicate restrictions that apply:</p>	
<p><b>Sign-off</b></p>	
<p>EIA undertaken by</p> <p>Name: Date:</p> <p>Accepted by person responsible for the policy/practice named above:</p> <p>Name: Date:</p>	<p>Shelagh Fraser 27-11-18</p> <p>Jenny Stalker 27-11-18</p>

Retain a copy of this form for your own records and send a copy to [ebrown@west-lothian.ac.uk](mailto:ebrown@west-lothian.ac.uk)