

Policy for Appeals Summer 2020

As an approved awarding organisation ASDAN has confirmed with the regulatory authorities that it complies with the requirements of the Extraordinary Regulatory Framework for summer 2020.

The qualification level conditions currently require exam boards to ensure that all appeal decisions are taken by persons who were not previously involved in the process leading to the issue of results. Due to the process of statistical standardisation being used to calculate results this summer, it is likely that appeals may involve persons who were involved in the calculation of results decisions will be taken by persons as the most likely to identify whether a mistake has been made and quickly to correct a mistake that has occurred.

The case and evidence presented will be reviewed by, as appropriate, ASDAN's Head of Qualifications and Quality and/or Compliance Manager, an auditor, External Moderator or other relevant person and an independent person who has no connection with ASDAN.

Definition of an appeal

An appeal is a process through which ASDAN may be challenged on procedural decisions affecting candidates' calculated final grades, results or other relevant decision affecting a centre.

Centres may appeal on the grounds that:

- a) ASDAN used the wrong data when calculating the grade of all, some or just one of a centre's candidates, including because the centre erroneously submitted the wrong data and/or
- b) the calculated grades generated were incorrectly allocated or communicated to all, some or just one of a centre's candidates
- c) decisions relating to any action to be taken against a Learner or a Centre following an investigation into malpractice or maladministration, including where relevant, when a learner has made a complaint to their centre that there is evidence of discrimination or bias in the centre's provision of a Centre Assessment Grade (CAG) to ASDAN..

Grounds for refusal of an appeal application

Applications for appeals may be refused on the following grounds:

- It is not submitted by the Head of centre
- The centre has not met the procedural requirements for an appeal
- The centre has not met the required timescales
- Other relevant process has not first been completed (e.g. review of moderation outcome)
- Specific information and evidence have not been provided to support one of the two grounds for appeal
- The grounds for appeal are not valid

Information on fees for appeals is outlined separately in ASDAN's Pricing and Fees document. There will be no charge where an appeal is upheld.

The following procedures apply for appeals:

1. Applications for appeal are made in writing to the Compliance Manager by submitting an Appeal Request form 2020. Centres must request an appeal within 35 days of receiving the calculated result.
2. Once received by ASDAN details are recorded on a proforma and acknowledgement sent within five working days. The appeal is logged for monitoring and held in a designated file.

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3. The appeal will check if ASDAN has properly, fairly and consistently applied the procedures as identified by the centre on the Appeal Request form.
4. Based on the evidence supplied and appropriate internal investigations, a decision will be taken to reject or uphold the appeal, and if upheld, appropriate action will be taken to correct the error.
5. The Head of centre will be informed in writing of the decision and reasons within 6 calendar weeks of ASDAN receiving the Appeal Request form and all relevant supporting information/evidence.
6. If the centre is not satisfied with the outcome of the Appeals, they have the right to request an Independent Review to question whether ASDAN has used appropriate procedures and applied them properly and fairly in arriving at judgements. All members of the Panel will be independent and not affiliated with ASDAN. An application for Independent Review must be submitted within 2 calendar weeks of receipt of the outcome of the Appeal notification. A written response to the centre will be made as soon as possible.
7. If the centre still considers that an error has occurred, an application for appeal may be made to Ofqual.
8. Applications are raised as part of a standing item at a Quality Assurance Managers' Meeting, logged for monitoring and held in a designated file.
9. The whole process of review and appeal is monitored through proforma, and reported on as a standing item on QA Managers Meeting agenda. All reviews and appeals occurring during each academic year are reviewed annually at the Qualification Review meeting, to establish whether there are common or recurring issues which may have an effect on centres. Where any such issues are identified, ASDAN will notify registered centres of the findings and provide recommendations for mitigation.
10. The Head of Qualifications and Quality will provide quarterly reports to Trustees on the number and nature of reviews and appeals, and their outcomes and make them available to the regulatory bodies on request.
11. If the outcome of an appeal affects the results of candidates, appropriate action will be taken to protect the interests of those candidates and the integrity of the qualification, including the revocation of certificates and issuing of replacement certificates which accurately reflect the amended grade.
12. Details of appeals are archived to individual centre files, with pro forma retained in a designated file for monitoring.
13. If the outcome of the appeals process leads ASDAN to discover a failure in its process for calculating results, all reasonable steps will be taken to identify any learner that has been affected, correct or mitigate as far as possible the effect of the failure and ensure that the failure does not recur in the future.

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14. Where instances such as malpractice or other circumstances that may lead to an adverse effect are identified through these procedures, the Regulators and other relevant AOs who may be affected will be informed.
15. ASDAN may need to access confidential information. We will ensure that such information is kept secure and only used for the purposes of the investigation and in line with relevant data protection legislation. We will not normally disclose the information to third parties unless required to do so, eg to our Regulators and / or the Police or other relevant and / or Statutory Bodies.