

Extended Project Qualification (EPQ) Policy for Appeals

Summer 2020

An appeal is a process through which ASDAN may be challenged on procedural decisions affecting candidates' calculated final grades, results or other relevant decisions affecting a centre. 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, 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 Education Director and/or Compliance Manager, an auditor, External Moderator or other relevant person and an independent person who has no connection with ASDAN.

This policy is subject to future updates from the qualifications regulator and will be reviewed accordingly.

Definition of an appeal

Condition GQCov4.2(a) requires an awarding organisation to have arrangements in place to provide sufficient information concerning the calculation of results in summer 2020 to centres which are considering whether or not an appeal should be made.

Grounds for an appeal

Centres may appeal on

- a) procedural grounds, on the basis that the wrong data* was used to calculate results for all, some or just one of a centre's candidates, including because the centre erroneously submitted the wrong data and/or
- b) where there was an administrative error in the issuing of results by an awarding organisation
- c) where previous cohorts, taken into account during standardisation, are not sufficiently representative of this year's learners
- d) a significant event which it believes indicates that its students' performance in previous years might not be the most appropriate basis to reliably calculate results this year
- e) 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..

* a. Where a centre has provided incorrect centre assessment grades and rank order information to the ASDAN,

b. Where ASDAN has used an incorrect data set for the purposes of calculating results

c. Where ASDAN has introduced an error into the data set it used for the purposes of calculating results

Where a mistake by the centre is said to have occurred, the centre must submit its supporting evidence at the earliest stage and explain why data which the Head of Centre declared to be accurate when first submitted is now considered to be incorrect.

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If a centre decides to make an appeal on any of these grounds, they may request, and ASDAN will provide, sufficient information to allow them to review the data used for the purposes of calculating results, and to compare that data with information held by them, in order to evaluate whether any of the grounds of appeal set out in Condition GQCov5.1 might apply to a learner's result.

This information will include, in line with the requirements published under Condition GQCov3.2(a)(i):

- a. The Centre Assessment Grades and rank order information as recorded and used by ASDAN for the purposes of calculating results
- b. Historical learner data for the relevant year(s) held by ASDAN and used for the purposes of calculating results
- c. The profile of prior attainment for the 2020 cohort and the prior attainment profiles of relevant previous cohorts held by ASDAN and used for the purposes of calculating results.
- d. In so far as the information is available to ASDAN –
 - i. the name and, where used, unique candidate identifier of each learner for whom historical learner data was used to calculate results, and
 - ii. the names of each of the learners, including from the 2020 cohort, for whom prior attainment data was used to calculate results.

Any request for an appeal in respect of a learner must be made on the learner's behalf by the centre which submitted information in respect of that learner under Condition and with the consent of the Learner.

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. A centre which appeals on the basis that it made an error in the information it submitted to ASDAN for the purposes of calculating results will need to be able to show, using evidence, that it made such a mistake. It is not permitted to amend Centre Assessment

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Grades or rank order information by revisiting or revising the professional judgments which underpin them.

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.
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 Education Director 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.

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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.
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.