

Appeals Policy

Version 5.0

Managed by: Operational Compliance Manager

Authorised by: Quality Assurance and Enhancement Steering Group (QAESG)

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1. Overview of the Policy

1.1 Purpose of the Policy

This Appeals policy (the Policy) defines and sets out the process for UAL Approved Centres to enquire about assessment decisions and for learners registered on UAL Awarding Body qualifications to appeal against assessment decisions. It also clarifies the responsibilities of the UAL Awarding Body (we, us, our etc.) and UAL Approved Centres, and explains the process and timelines for appeal applications.

The Policy applies to UAL Awarding Body qualifications except for the UAL Extended Project Qualification which is dealt with under the Review of Marking policy.

1.2 Communication of the Policy

UAL Approved Centres **must** inform all staff involved in the management, delivery, assessment, and quality assurance of UAL Awarding Body qualifications of the provisions of the Policy. It is vital that all learners registered on UAL Awarding Body qualifications are also made aware of the contents of the Policy when they register and understand how to apply for a for an appeal related to their qualification assessment.

We will ensure that the Policy is communicated to all UAL Approved Centres via our website and through external communications.

1.3 Definition and scope

Learners can appeal against an assessment grade in line with predefined grounds specified by the UAL Approved Centre for internally assessed qualifications and by the UAL Awarding Body for externally assessed qualifications. Learners can also lodge appeals in relation to reasonable adjustments and special considerations. For further guidance on reasonable adjustments and special considerations, please visit the [UAL Policies and Procedures](#) page.

Internally assessed qualifications – these qualifications are assessed by UAL Approved Centres and subject to external moderation by UAL Awarding Body.

Externally assessed qualifications – these qualifications are assessed by UAL Awarding Body's Assessors.

The following qualifications are externally assessed by us:

- UAL Level 3 Applied General Diploma in Art and Design (603/1457/6)
- Year 1 of the UAL Level 3 Applied General Extended Diploma in Art and Design (603/1459/X). Please note that the second year of this qualification is subject to internal assessment by the centre.

1.4 Responsibilities

UAL Awarding Body is responsible for ensuring that all appeal decisions are:

- taken by individuals who have no personal interest in the decision being appealed
- evidence-based
- reviewed by at least one person who is not an employee of the awarding body or an assessor or moderator of the qualification
- undertaken by persons with appropriate competence.

As the UAL Approved Centre, you are responsible for ensuring that:

- your centre policy enables a fair and objective internal process
- registered learners are fully aware of the process and timelines
- appeal decisions are evidence-based
- appeal decisions are taken by persons with appropriate competence and with no personal interest in the decision being appealed.

2. Grounds for Appeal

The following grounds must be met to be eligible to submit an appeal application:

- **Administrative error - centre:** it is believed that an administrative error has occurred. For example, clerical or human errors, or incorrect forms were completed.
- **Administrative error - AO:** it is believed that the awarding body made an administrative error. For example, clerical or human errors.
- **Procedural inconsistency - centre:** it is believed that a procedure has not been applied consistently, correctly, or fairly. For example, a centre did not submit a learner's work by a specific deadline, or fairness of an internal malpractice investigation is disputed.
- **Procedural inconsistency - AO:** it is believed that the awarding body did not apply a procedure consistently, correctly, or fairly. For example, escalations by AO staff were not followed up and this affected the outcome of the learner's result, or a sanction imposed is disproportionate to the severity of malpractice.
- **Unreasonable exercise of academic judgement - centre:** it is believed that an unreasonable exercise of academic judgement has been made, for example in the choice of evidence from which they determined a grade and/or in the determination of a grade from that evidence for internal assessments.
- **Unreasonable exercise of academic judgement - AO:** it is believed that the awarding body has made an unreasonable exercise of academic judgement, for example while awarding marks to any assessment completed by a candidate or internal assessments marked by the centre and verified/moderated by the AO.

3. Process for internally assessed qualifications

3.1 Centre pre-results day check

The UAL Awarding Body will release results to centres **7 days** before they are released to learners. This gives centres the opportunity to thoroughly check that all results match their intended or submitted result for the learner, considering any adjustments to results as part of the external moderation process.

If a centre identifies an administrative error during this check, they must contact the UAL Operations Team (operations.awarding@arts.ac.uk) under the enquiries process and request an amendment to the learner's result.

UAL Awarding Body will carry out clerical checks including a review of the moderation process. The centre will be notified whether the grade has changed or not changed.

Any changes will be approved by the Senior External Moderator and a centre may be subject to sanctions/a change in risk rating if maladministration is identified through submission of incorrect results.

If an administrative error has been identified after the 7 day period, the centre must follow the process outlined in section 3.2 or alternatively, contact the UAL Quality Assurance and Enhancement Team (gradeappeals.awarding@arts.ac.uk).

3.2 Submitting a grade appeal for internally assessed qualifications

After the 7 days have passed, the final assessment results will be released to learners by centres. Learners must then be given the opportunity to submit an appeal against their assessment grade directly with their centre through the centre's own appeals policy. The centre policy must be fair and objective and the grounds for appeal must broadly reflect the grounds for appeal set out in this policy for internally assessed qualifications. Please note that UAL Awarding Body may require centres to submit their appeals policy as part of its ongoing quality monitoring activities.

As part of the centre's appeal policy, the following processes must be undertaken:

- **Where** the learner appeals against their grade and following a review the centre identifies that an administration or procedural error has occurred which wasn't identified through the pre-results release check, the centre must inform UAL Awarding Body as soon as possible.
- UAL Awarding Body will then carry out the same process as in the pre-results day check above.
- **Where** the learner appeals against their assessment grade on the grounds of academic judgement and the centre recommends that the appeal is upheld and a grade changed, they must ensure that the results of any other learners who may have also been impacted are considered. UAL Awarding Body must be kept informed of this process.
- **Any** upheld appeals that have resulted in a recommended change of grade at centre level must be submitted to UAL Awarding Body via an online form for review within 10 working days of the results being released to learners. The evidence submitted as part of the appeal must also be attached. The appeal and recommended grade changes will then be heard as part of the stage 1 process as explained in section 4 of the Policy.
- **Centre** appeals against the outcome of an enquiry and external moderation activities must also be submitted to stage 1 of the process.
- **Learner** appeals against the outcome at centre level can also be submitted to stage 1 of the process.

4. Process for externally assessed qualifications

4.1 Submitting a grade appeal for externally assessed qualifications

For externally assessed qualifications, all appeals must be submitted to the UAL Awarding Body by the centre on behalf of the learner via an online form within **10 working days** of the results being released. The learner must give their consent for the appeal to be submitted. Either the centre will deem that there are grounds for appeal, or the learner will raise concerns with the centre first.

4.2 Grounds for appeal

Appeals against assessment grades may be lodged when a centre believes that the grade received is incorrect. Upon reviewing the assessment feedback received with the learner's marks and grade, the centre, with the learner's permission, may decide to appeal on behalf

of the learner based on the grounds outlined in section 2.

Appeals lodged against grades must specify, with rationale, why the centre/learner does not agree with the final mark/grade. Applicable evidence must also be attached with the appeal submission.

5. Evidence for appeal

The following evidence must be provided when submitting an appeal to UAL Awarding Body:

- Learner name and learner Quartz ID
- Group ID and full qualification title
- Rationale for the appeal, including initial and proposed grades final, missing unit grade and or LO mark
- Learner statement
- Assessment feedback
- Centre statement detailing the centre review outcome (upheld or not upheld)
- Declaration including the centre contact details

Additional evidence (if relevant or requested):

The following evidence may also be included when submitting an appeal to UAL Awarding Body or requested by UAL Awarding Body if relevant.

- Formative assessment feedback
- Medical certificates or medical letters
- EHCP or SEND documentation
- Reasonable adjustment or special consideration information
- Attendance records

Please note, failure to provide the correct evidence may result in a delay of an outcome.

6. Appeal review process

6.1 UAL Awarding Body stage 1 appeals – internally assessed qualifications

- Any appeals of internal assessment which have been submitted at stage 1 will be reviewed by a UAL Appeals Panel which includes an external representative. After reviewing the information and evidence presented, the panel will either decide to uphold the appeal, not uphold the appeal or request additional information from the centre.
- As a result of the appeal reviews by the UAL Awarding Body, additional review of other assessment results may need to take place.
- In most cases, outcomes of appeal decisions will be communicated to centres within 20 working days. However, for more complex appeals where additional information or evidence is required, this may take longer. In these cases, the centre will be kept informed.
- It is the centres responsibility to inform the learner of the outcome within 2 working days

6.2 UAL Awarding Body stage 1 appeals - externally assessed qualifications

- Appeals against grades on the basis of procedural error will be considered by UAL Awarding Body and will involve a review of the marking process, and of the grade boundaries, to check that correct administrative procedures have been adhered to at all times and that the grade awarded is correct and intended.

- Appeals against academic judgement will be reviewed by a senior member of the marking team who was not involved in the original marking or moderation process for that learner/centre. If the learner is a borderline learner, a remark will occur.
- Recommendations for appeals being upheld or not will then be presented for approval to the UAL Appeals Panel which includes external representation. The panel will either uphold or not uphold the appeal and may also request additional information from the centre.
- As a result of the appeal reviews by UAL Awarding Body, additional review of other assessment results may be undertaken.
- In most cases, outcomes of appeal decisions will be communicated to centres within **20 working days**. However, for more complex appeals where additional information or evidence is required, this may take longer. In these cases, the centre will be kept informed.
- It is the centres responsibility to inform the learner of the outcome within 2 working days

6.3 UAL Awarding Body stage 2 appeals

If a learner is unhappy with the Appeals Panel's decision on the outcome of their grade appeal, the centre can request, with the learner's permission, a grade appeal review.

Process summary

1. **Centre submits a review request** within 10 working days of receiving your grade appeal outcome
2. **UAL Awarding body provides confirmation to centre on whether grounds have been met** within 5 working days
3. **UAL Awarding Body initiates review by and panel including external representation**
4. **UAL Awarding Body provides receive final decision** to centre within 10 working days of request

How to submit a review request

1. Get the Grade Appeal Review Request form by emailing gradeappeals.awarding@arts.ac.uk within 10 days of receiving the grade appeal outcome
2. Complete the form with one or more of these valid grounds:
 - Procedures were not followed correctly
 - The outcome was unreasonable
3. Submit the completed form within 10 days of receiving the grade appeal outcome to gradeappeals.awarding@arts.ac.uk

Panel review process

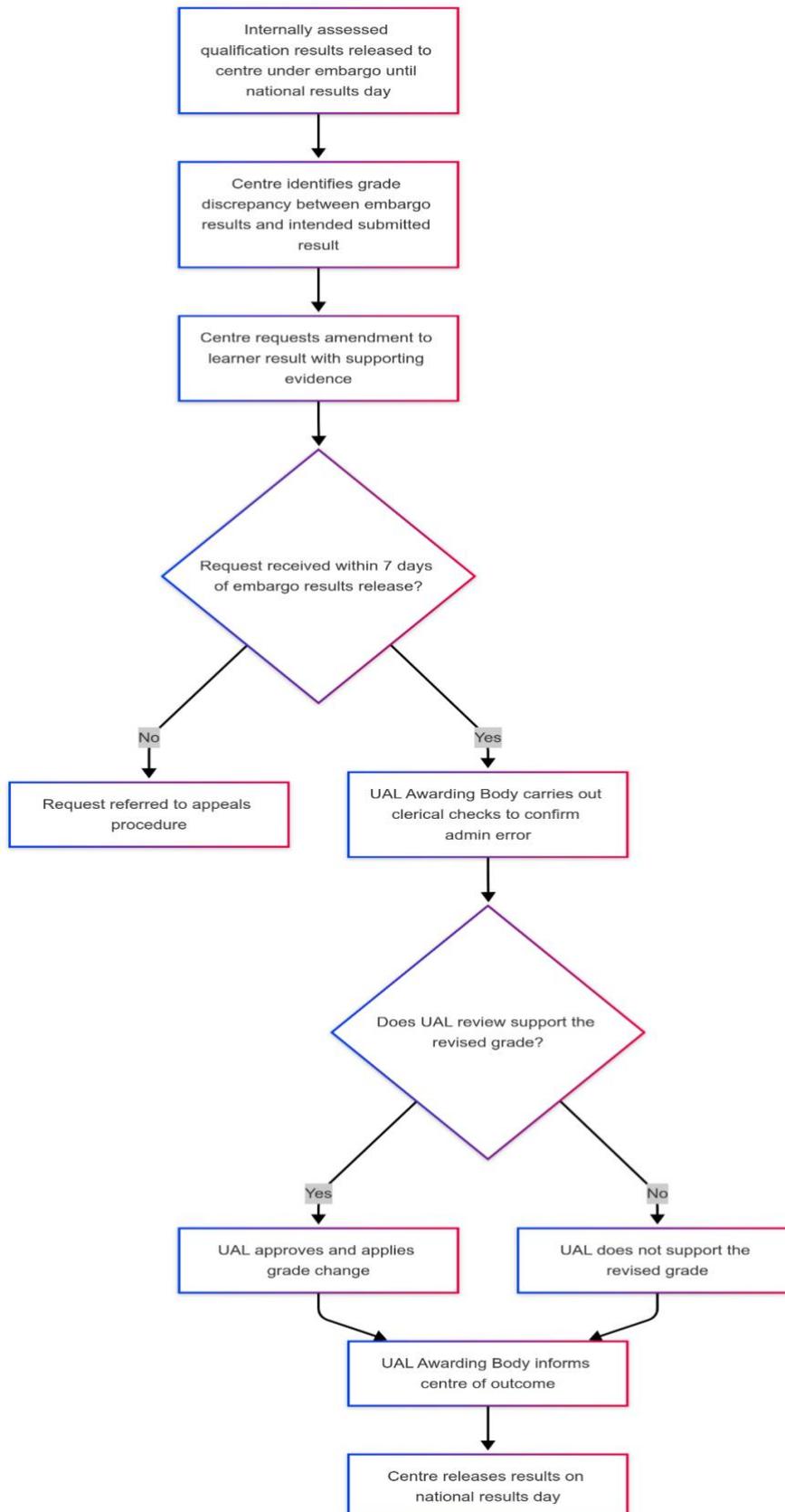
1. The panel examines whether:
 - the proper procedures were correctly followed in the original appeal
 - the original outcome was reasonable
2. All decision-makers are independent (including external representation) of the original appeal and were not part of the original Appeals Panel
3. After review, there will be one of two possible outcomes:
 - The grade is upheld (no change)
 - The grade is not upheld (grade will be changed)

What happens next?

- You'll receive the final decision within 10 working days
- It is the centres responsibility to inform the learner of the outcome within 2 working days

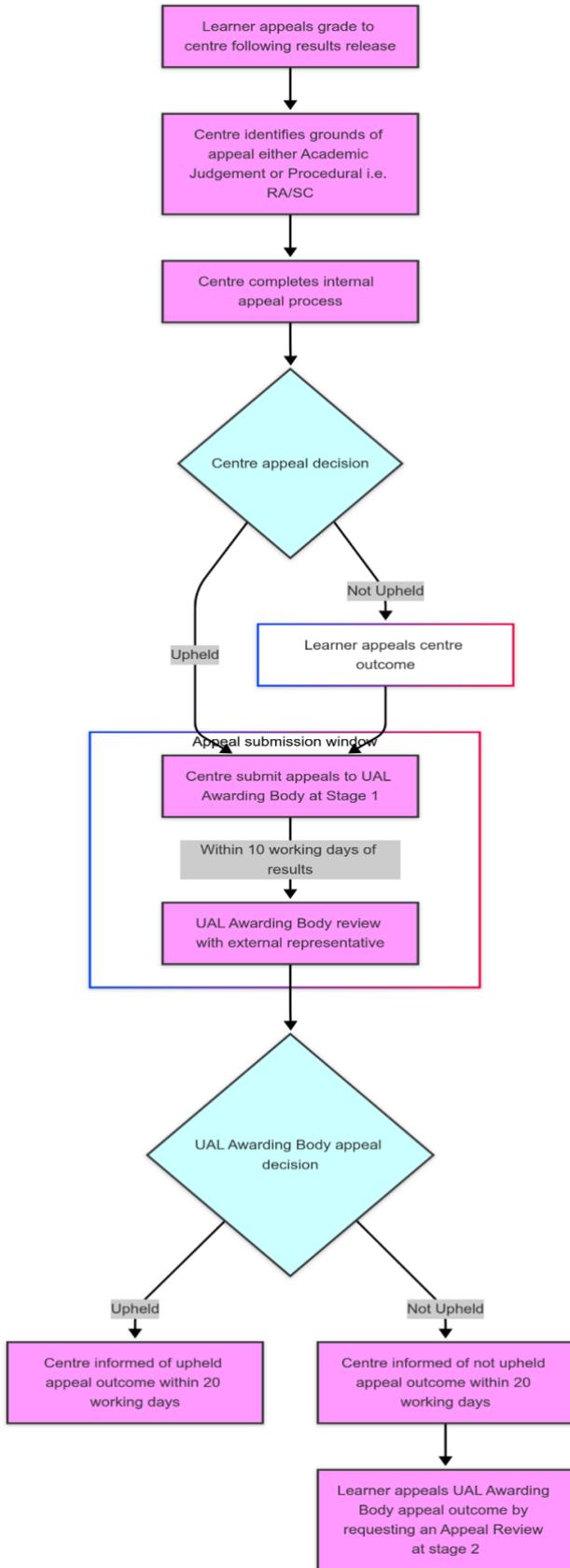
Note: If you're under 18 (or under 25 with SEND), your parent/carer can handle this process on your behalf.

7. Flowchart for centre pre-results day check - internally assessed qualifications

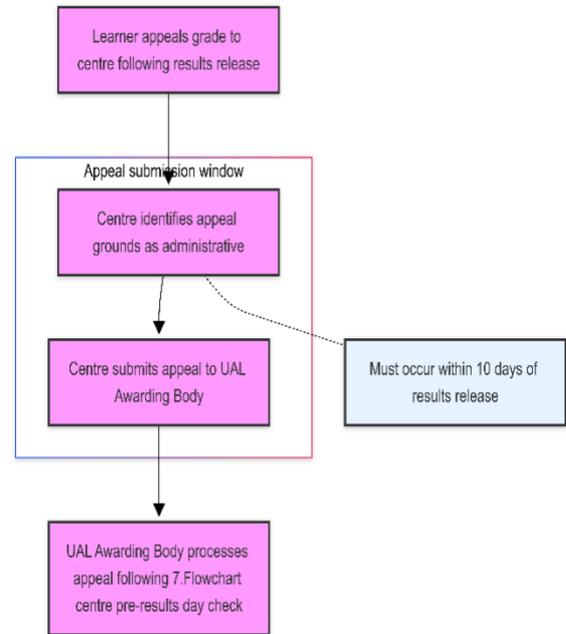


8. Flowchart for grade appeals – internally assessed qualifications

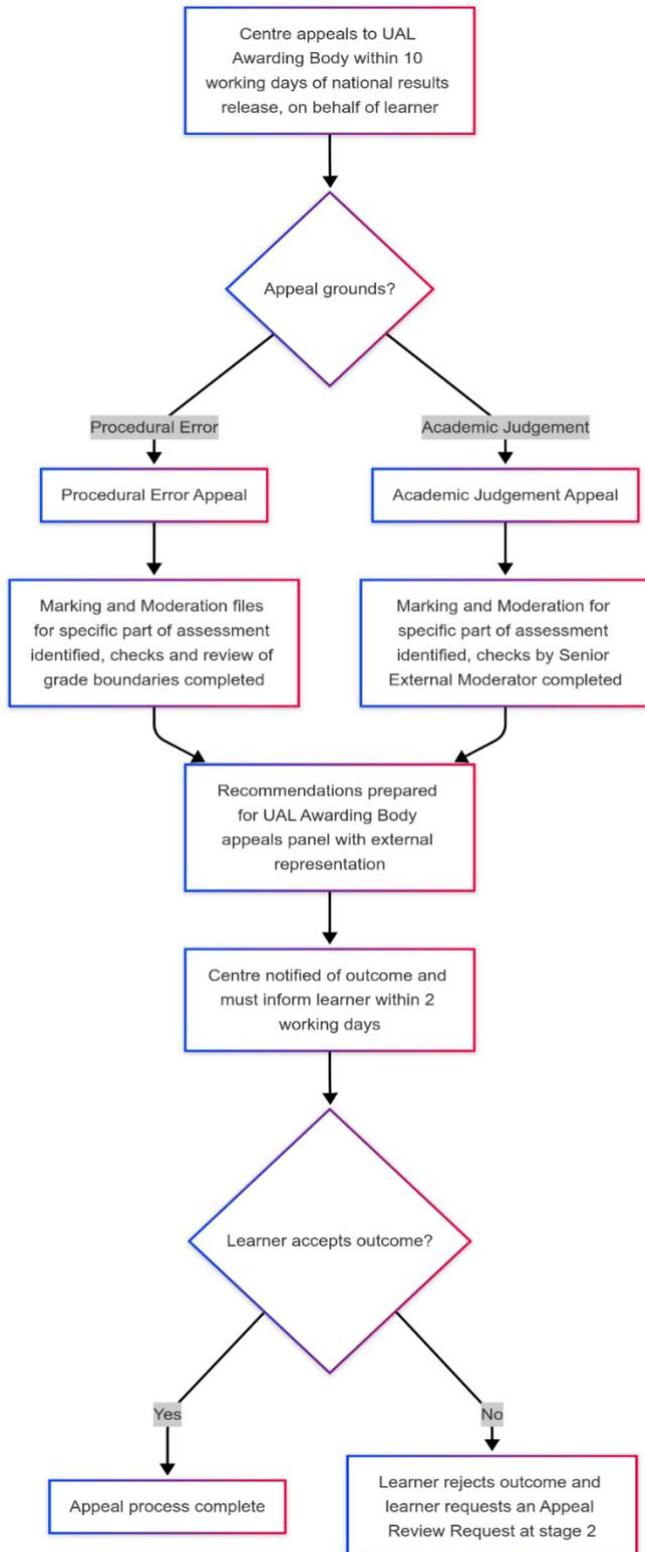
Academic Judgement/Procedural appeals



Administrative Appeals



9. Flowchart for grade appeals – externally assessed qualifications



10. Data protection

We are committed to protecting your privacy and being transparent about how your data is processed. We process personal data in accordance with our [UAL Awarding Body Transparency Notice](#), sometimes referred to as a 'Privacy Notice'. This sets out our data processing practices and your rights and options regarding the ways in which your personal information is used and collected, in line with the General Data Protection Regulation (GDPR). If you have a query about the way in which we process your data, contact information is provided at the end of the Transparency Notice.

11. Equality

We believe that equality and diversity is integral to our inclusive curriculum, our creative innovation, our global reputation and the richness of UAL Awarding Body. We are committed to addressing inequality and celebrating diversity in order to sustain an accessible and inclusive environment for all learners, centres, governors, visitors, community and commercial partners with whom we engage. For more information about accessibility please review our accessibility statement.

12. Links to Regulatory Conditions

As an awarding body recognised by the UK qualifications regulators, we are required to comply with all Conditions of Recognition to ensure the qualifications we offer and award are fit for purpose, valid, accurate and reliable. UAL Awarding Body is required to comply with all Conditions of Recognition produced by the three UK qualifications regulators, Ofqual, Qualifications Wales and CCEA Regulation.

The Policy is underpinned by the below regulatory Conditions:

Regulatory body Relevant Condition

Regulatory body	Relevant Condition
Ofqual Qualifications Wales CCEA Regulation	G7 Arrangements for Special Considerations H6 – Issuing Results
	I1 Appeals Process
	I2 Compliance with Ofqual's Appeals and Complaints Process

13. Query Guidance

For further guidance on which team to contact, please refer to the table below.

Query type	UAL Awarding Body team
Pre-results day check	UAL Operations Team - operations.awarding@arts.ac.uk
Appeal related queries	UAL Quality Assurance and Enhancement Team – gradeappeals.awarding@arts.ac.uk