




# Quality System

## Procedure Number

BAC-C-07

## Procedure Title

Academic Appeals Procedure

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	Responsibility
<p><b>1.0 Purpose</b></p>	
<p>1.1 The purpose of this procedure is: to give staff and students clear and comprehensive understanding and instructions on how to pursue an academic appeal, and the grounds on which a student has the right to make an academic appeal.</p>	
<p>1.2 To describe the associated appeals processes.</p>	
<p><b>2.0 Scope</b></p>	
<p>2.1 This procedure applies to Bishop Auckland College/South West Durham Training/The Open University, thereafter to be termed 'the Organisation'</p>	
<p>2.2 This procedure applies to academic appeals against:</p> <ul style="list-style-type: none"> <li>(i) There have been procedural and organisational irregularities in the conduct of assessment / examination(s)</li> <li>(ii) Assessment decisions made by the Assessment Board (HN)</li> <li>(iii) Decisions made by the Module and Academic Board (OU)</li> <li>(iv) Progression has been prevented from one stage to another of the programme</li> <li>(v) A student's health or personal circumstances, notified at / or before the time of the assessment, were not properly considered</li> </ul> <p>Students are informed of their rights of academic appeal during induction (Student Induction Checklist C-IN-01 and Programme Handbook, HN &amp; OU, ref 4.1)</p> <p><b>Note:</b> <i>The academic appeals process for sanctions imposed following disciplinary action is detailed in the Student Disciplinary Procedure (BAC-SS-01, ref: 4.5).</i></p>	
<p>2.3 This procedure does not apply to University of Sunderland (UoS) courses, please refer to UoS AQH-H1 Academic Appeals Procedure.</p>	
<p>2.4 For academic appeals related to externally assessed work or examinations, the student must appeal directly to the relevant awarding organisation.</p>	
<p>2.5 The procedure may be used by anyone who is a student enrolled at the Organisation.</p>	
<p>2.6 The Organisation will only accept appeals from the students and not from a third party. Support/assistance can be provided at any stage of the procedure by another member of the Organisation community, (which is a person who is currently enrolled student of the Organisation, or a member of Organisation personnel).</p>	

	Responsibility
<p>2.7 Where issues of an academic appeal affect a number of students, those students may submit an appeal as a group. In order to manage the progression of the academic appeal in such circumstances, the group must agree in writing that they nominate one student to act as the spokesperson for those students wishing to appeal. A copy of this agreement must be submitted alongside the appeal. In agreeing to act as a spokesperson the student accepts responsibility for representing the group views and to act as a key contact in relation to the academic appeal.</p>	
<p>2.8 The Organisation defines a 'working day' as Monday to Friday, excluding bank holidays and other days when the College is closed.</p>	
<p>2.11 As this procedure involves processing personal data, data protection regulations will be adhered to. Please refer to the General Data Protection Regulation Policy (ref: POL-DP-01) for further information.</p>	
<p><b>3.0 Principles</b></p>	
<p>3.1 The decisions made will be reasonable and, where required, provide appropriate redress.</p>	
<p>3.2 Academic appeals submitted outside of the timescales prescribed in the procedure will only be considered in the most exceptional circumstance and where there is good reason, supported by evidence, for late submissions.</p>	
<p>3.3 Academic appeals will be treated seriously and students should be assured that they will not suffer any disadvantage or recrimination as a result of making an appeal in good faith.</p>	
<p>3.4 This procedure will be fair and transparent.</p>	
<p>3.5 The process for the academic appeal will be evidence-based.</p>	
<p>3.6 The Organisation is committed to dealing with academic appeals as quickly as possible, and to complete the processing of a formal appeal and any associated review within 90 calendar days, wherever possible (Good Practice Framework – OIA).</p>	
<p><b>4.0 References</b></p>	
<p>4.1 Student Induction Checklist C-IN-01 / Programme Handbook (HN &amp; OU)</p>	
<p>4.2 Internal Verification Procedure BAC-C-14</p>	
<p>4.3 Internal Verification/Quality Assurer/Moderation Appeals Process C-IV-10</p>	
<p>4.4 Student Academic Appeal Form C-IV-11</p>	
<p>4.5 Student Disciplinary Procedure BAC-SS-01</p>	
<p>4.6 Joint Council for Qualifications (JCQ): A guide to the awarding organisations appeals processes</p>	
<p>4.7 Guidelines for Completing a Quality Records Schedule Q-QR-01</p>	
<p>4.8 OIA Completion of Procedures Letter Q-CC-18</p>	
<p>4.9 The Good Practice Framework</p>	
<p>4.10 General Data Protection Regulation POL-DP-01</p>	
<p>4.11 Blended Learning Policy POL-C-07</p>	
<p>4.12 Conflict of Interest Policy POL-C-08</p>	
<p>4.13 Teacher Assessed Grades POL-C-09</p>	

		Responsibility
<b>5.0</b>	<b>Definitions</b>	
5.1	EO: Examination officer(s)	
5.2	LM: Line Manager	
5.3	IV: Internal Verifier	
5.4	IQA: Internal Quality Assurer	
5.5	OIA: Office of the Independent Adjudicators	
5.6	HN: Higher Nationals	
5.7	OU: Open University	
5.8	EE: External Examiner	
<b>6.0</b>	<b>Procedure</b>	
<b>6.1</b>	<b>Stage 1: Early Resolution</b>	
6.1.1	The student should firstly raise the academic appeal related matters informally with one of the following appropriate staff members: Exams Office / Module / Course Tutor / Assessor / Coordinator / Leader, as soon as they arise.	Student
6.1.2	The EO / Module Tutor / Assessor / Course Coordinator / Leader will try to resolve the issue and/or refer the issue to the appropriate IV / IQA / Moderator. Double marking may need to be carried out (OU specific). They will inform the student of the outcome.	EO / Module Tutor / Assessor / Course Coordinator / Leader
6.1.3	If the issue is unresolved, and the student wishes to make a formal academic appeal, they must inform the EO / Module Tutor / Assessor / Course Coordinator / Leader by following the Academic Appeal Process C-IV-10 (ref: 4.3). The student must complete a Student Academic Appeal Form C-IV-11 (ref. 4.4) and submit any supporting evidence, as required.	Student
6.1.4	The EO / Module Tutor / Assessor / Course Coordinator / Leader on receiving the completed Student Academic Appeal Form C-IV-11 (ref: 4.4) together with the student evidence and forward to the IV / IQA / Moderator within 2 working days of the appeal being raised (follow the procedure from Stage 2).	EO / Module Tutor / Assessor / Course Coordinator / Leader
<b>6.2</b>	<b>Stage 2: IV / IQA / Moderator</b>	
6.2.1	Once the IV / IQA / Moderator receives the student academic appeal information, they will consider the decision with regards to the evidence.	IV / IQA / Moderator
6.2.2	The IV / IQA / Moderator will complete stage 2 on the Student Academic Appeal Form C-IV-11 (ref: 4.4) indicating the action to be taken.	IV / IQA / Moderator
6.2.3	The IV / IQA / Moderator will inform the student in writing of a decision within 5 working days of receiving the Student Academic Appeal Form C-IV-11.	IV / IQA / Moderator
6.2.4	If the student is dissatisfied with the decision of the IV / IQA / Moderator, they have 10 working days (from the date of the response letter) if they wish to proceed to stage 3 of the Academic Appeals Process. The student must notify the Quality Assurance Manager or nominee (for non HE courses) / HE Development Manager (for HN and OU courses), in writing. Details of how to proceed onto stage 3 will be in the response to the student in 6.2.3. The academic appeal will be referred to an Academic Appeal Panel/Module Board (stage 3) either 6.3, 6.4 or 6.5 as appropriate.	Student

	<b>Responsibility</b>
<p><b>6.3 Stage 3: Academic Appeal Panel Non-HE Courses</b></p>	
<p>6.3.1 The IV / IQA / Moderator will forward all relevant details to the Course Coordinator. The Course Coordinator, in conjunction with the appropriate Manager / Head of School, will convene an Academic Appeal Panel within 15 working days from the date of receipt of the student letter confirming their wish to proceed to stage 3 (see 6.2.4).</p>	<p>IV / IQA / Moderator / Course Coordinator / Manager / Head of School</p>
<p>6.3.2 The Panel will comprise of:</p> <ul style="list-style-type: none"> <li>• Manager / Head of School (Chair)</li> <li>• Course Coordinator</li> <li>• Lead IV (if appropriate)</li> <li>• Exam Officer (if appropriate)</li> <li>• The Organisation Quality Nominee or representative</li> </ul>	
<p>6.3.3 The Panel will consider evidence from the Academic Appeals process and, if required, from the student, EO, tutor/assessor/coordinator and IV/IQA/Moderator.</p>	<p>Panel</p>
<p>6.3.4 The Chair of the Panel will inform the student of the panel's decision, in writing, within 5 working days of the Panel meeting taking place.</p>	<p>Chair</p>
<p>6.3.5 If the appeal is upheld, the Academic Appeal Panel recommends reconsideration of the original decision by the IV / IQA / Moderator.</p>	<p>Panel</p>
<p>6.3.6 If the appeal is rejected as invalid because it is made against academic judgement, or is made outside the published deadlines, or for other good reason identified by the Academic Appeal Panel.</p>	<p>Panel</p>
<p>6.3.7 If the student is dissatisfied with the outcome for Stage 3 Academic Appeal Panel Non HE Courses, the student must notify the Quality Assurance Manager or nominee, in writing, as detailed in the response letter, within 10 working days upon receipt of the letter from the Chair of the Panel, if they wish to proceed with their appeal (see 6.3.4).</p>	<p>Student</p>
<p><b>6.4 Stage 3: Academic Appeal Panel HN Course Only</b></p>	
<p>6.4.1 The IV / IQA / Moderator will forward all relevant details to the Programme Leader. The Programme Leader, in conjunction with the appropriate Manager/ Head of School will convene an Academic Appeal Panel within 15 working days from the date of receipt of the student letter confirming their wish to proceed to stage 3 (see 6.2.4).</p>	<p>IV/IQA/ Moderator/ Programme Leader / Manager / Head of School</p>
<p>6.4.2 The Panel will comprise of:</p> <ul style="list-style-type: none"> <li>• Manager/Head of School (Chair)</li> <li>• Programme Leader (HN)</li> <li>• Lead IV (if appropriate)</li> <li>• EO (if appropriate)</li> <li>• The Organisation Quality Nominee or representative</li> <li>• HE Development Manager (BTEC HN only)</li> </ul>	

		Responsibility
6.4.3	The Chair of the Panel will inform the student of the decision of the panel, in writing, within 5 working days of the Panel meeting taking place.	Chair
6.4.4	If applicable, the Academic Appeal Panel can ask the members of the Assessment Board to reconsider a decision following the submission and investigation of an appeal. The Chair of the Assessment Board will reconvene the Board as soon as possible to consider evidence upon which the Academic Appeal Panel has based their decision. The Chair will write to the EE to invite them to the reconvened Board or, if attendance is not possible the Chair will ask the EE to provide comments in writing.	Panel / Chair
6.4.5	If the appeal is upheld, the Academic Appeal panel recommends reconsideration of the original decision by the IV/IQA/Moderator.	Panel
6.4.6	If the appeal is rejected as invalid because it is made against academic judgement, or is made outside the published deadlines, or for other good reason identified by the Academic Appeal Panel.	Panel
6.4.7	If the student is dissatisfied with the outcome for Stage 3 Academic Appeal HN Course Only, the student must notify the HE Development Manager, in writing, as detailed in the response letter, within 10 working days upon receipt of the letter from the Chair of the Panel, if they wish to proceed with their appeal (see 6.4.3).	Student
6.4.8	If the Academic Appeals Panel do not require members of the Assessment Board to reconsider an assessment decision as in clause 6.4.3, the Chair of the Panel will inform the student of the decision of the Academic Appeals Panel in writing within 5 working days of the Panel meeting taking place.	Chair of Panel/HE Development Manager
	<b>Note:</b> For HNC/HND student appeals – students will be issued with a Model OIA Completion of Procedures Letter (Q-CC-18, ref 4.8), confirming that the internal appeals process of the Organisation has been concluded and they have the right to submit their appeal for review, to the OIA for Higher Education. If they choose to do this, they should do so as soon as possible and must do so no later than twelve months after the issue of the Completion of Procedures Letter, using the Scheme Application form. Both the form and the procedures are available on the OIA website ( <a href="http://www.oiahe.org.uk">www.oiahe.org.uk</a> ).	
<b>6.5</b>	<b>Stage 3: Module Board Academic Appeal for Open University Programmes Only</b>	
6.5.1	If the student is dissatisfied with the outcome at stage 2, the Moderator will forward all relevant details to the Chair of the Module Board. The Module Board will convene within 15 working days from the date of receipt of the student letter confirming their wish to proceed to the Module Board (see 6.2.4).	Moderator
6.5.2	The Module Board will consider evidence from the academic appeals process and, if required, from the student, EO, Module Tutor / Moderator / Course Leader / Head of School.	Module Board
6.5.3	The Chair of the Module Board will inform the student of the decision of the Board, in writing, within 5 working days of the Board meeting taking place.	Chair

	<b>Responsibility</b>
6.5.4 If the appeal is upheld, the Module Board recommends reconsideration of the original decision by the IV/IQA/Moderator.	Module Board
6.5.5 If the academic appeal is rejected as invalid because it is made against academic judgement, or is made outside the published deadlines, or for other good reason identified by the Module Board.	Module Board
6.5.6 If the student remains dissatisfied with the outcome for Stage 3 Module Board Academic Appeal for Open University Programmes Only, the student must notify the HE Development Manager in writing, as detailed in the response letter, within 10 working days upon receipt of the letter from the Module Board, if they wish to proceed with their appeal (see 6.5.3).	Student
<b>6.6 Stage 4: Appeal to Awarding Organisation (Non-HE Courses)</b>	
6.6.1 Once all internal procedures have been exhausted, the student may then request a meeting with the Principal/Chief Executive/designate of the Organisation to further an academic appeal directly to the awarding organisation concerned (JCQ Guide to awarding organisations appeals processes, ref 4.6).	Student
6.6.2 The Principal/Chief Executive/designate, will contact the awarding organisation and inform them of the student appeal. The Principal/Chief Executive/ designate will respond to request by the awarding organisation to enable them to make a judgement on the appeal.	Principal/ Chief Executive / designate
6.6.3 The decision of the awarding organisation is final and will be communicated to the student by the Principal/Chief Executive/designate.	Principal/ Chief Executive / designate
<b>6.7 Stage 4: Consideration of Academic Appeal by the Academic Board for Open University Courses</b>	
6.7.1 Upon receipt of the student request to proceed with their appeal to stage 4, the HE Development Manager will forward this information to the Chair of the Academic Board. The Academic Board will convene within 15 working days from the date of receipt of the student request, confirming their wish to proceed to Stage 4.	HE Development Manager
6.7.2 An Academic Board will review the appeal and the chair of the Academic Board will inform the student of the decision of the Board, in writing, within 5 working days of the Board meeting taking place.	Chair
6.7.3 If the appeal is upheld or partially upheld, the Academic Board recommends reconsideration of the original decision by the Module Board.	Academic Board
6.7.4 If the Module Board modifies its decision at the recommendation of the Academic Board.	Module Board
6.7.5 If the Module Board declines to modify their decision, the Deputy Chief Executive may arrange for a specific action to be taken to amend the decision.	Module Board/ DCE



	<b>Responsibility</b>
<p>6.7.6 If the appeal is dismissed or the student has completed all internal Academic Appeals processes, the appeal will not be heard further within the Organisation. The student will be advised, if they are dissatisfied with the outcome, they may apply for a review by the OIA, if the case is eligible. Both the form and the procedures are available on the OIA website (<a href="http://www.oiahe.org.uk">www.oiahe.org.uk</a>). The student should refer to OIA within 12 months from the date that the Completion of Procedure letter was issued to the student.</p>	Student
<p><b>6.8 Stage 5: Appeals to The Open University</b></p>	
<p>6.8.1 There shall be a final right of appeal to The Open University against a decision of the Academic Board, only if the appeal is against a decision related to either:</p> <ul style="list-style-type: none"> <li>a) Progression from one stage to another of the programme; or</li> <li>b) A final award</li> </ul> <p>Both of the following criteria must be met:</p> <ul style="list-style-type: none"> <li>a) All appropriate internal procedures at the Organisation have been exhausted</li> <li>b) There are reasonable grounds to believe that the Organisation's internal procedures and regulations for dealing with appeals were not implemented correctly or fairly.</li> </ul> <p>The procedure for appealing to The Open University is set out in 'The Open University Handbook for Validated Awards', which students will have access to through their Module Tutor.</p>	Student
<p>7.1 RECORDS</p>	
<p>7.1.1 The IV/QA/Moderator is responsible for maintaining the documented records associated with this procedure. S/he will determine the records to be held, their location, retention period and disposition using the 'Guidelines for Completing a Quality Records Schedule' (ref 3.6) for reference. The Quality Records Schedule associated with this procedure is included as section 7.</p>	Internal Verifier/Quality Assurer/Moderator
<p><b>8.0 Documentation</b></p>	
<p>8.1 C-IV-10: Student Overview of Academic Appeals Process</p>	
<p>8.2 C-IV-11: Student Academic Appeal Form</p>	
<p>8.3 Q-CC-18: Model OIA Completion of Procedures Letter</p>	

## 9.0 Quality Records Schedule

Identification of Record	Medium	Storage Location/ Protection	Retention Period	Access Rights/ Retrieval	Method of Disposal
C-IV-11 Internal Examination / Verification / Quality Assurer / Moderation – Student Appeal Form plus supporting evidence.	Paper Based / Electronic	Director of Curriculum's Office	6 Years	Director of Curriculum / Tutor / Appeal Panel / IV	Confidential (shredded)
Minutes of appeal Committee meetings	Paper Based	Director of Curriculum's office	6 Years	Director of Curriculum	Confidential (shredded)
Letters of appeal	Paper Based	Director of Curriculum's office	6 Years	Director of Curriculum	Confidential (shredded)