




Quality System

Procedure Number

BAC-C-07

Procedure Title

Academic Appeals Procedure

<p>Written by:</p> 	<p>Checked by:</p> 	<p>Equality Impact Assessed by:</p> 
<p>Author: Julie Cairns</p>	<p>Manager: Lee Phillips</p>	<p>Assessor: Julie Cairns</p>

Index

		Page
1.0	Purpose	3
2.0	Scope	3-4
3.0	Principles	4
4.0	References	5
5.0	Definitions	5
6.0	Procedure	5-9
7.0	Records	8
8.0	Documentation	9
9.0	Quality Records Schedule	10

	Responsibility
<p>1.0 Purpose</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>2.0 Scope</p>	
<p>2.1 This procedure applies to Bishop Auckland College/South West Durham Training thereafter to be termed 'the Organisation'</p>	
<p>2.2 This procedure applies to academic appeals against:</p> <ul style="list-style-type: none"> (i) Procedural and organisational irregularities in the conduct of assessment / examination(s) (ii) Assessment decisions made by the Assessment Board (HN) (iii) Decisions made by the Module and Academic Board (OU) (iv) Prevented progression from one stage to another of the programme (v) Where a student's health or personal circumstances, notified at / or before the time of the assessment, were not properly considered 	
<p>The appeals process excludes the following, for which a separate Customer Complaints Procedure (ref 4.6) or the Student Behaviour and Disciplinary Procedure (ref 4.5) exist:</p> <ul style="list-style-type: none"> • complaints against services provided by the College • complaints about the delivery of a programme, teaching, or administration • complaints about misconduct by a member of staff or other students. 	
<p>Students are informed of their rights of academic appeal during induction (Student Induction Checklist C-IN-01 and Programme Handbook, HN & OU, ref 4.1)</p>	
<p>Note: <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 an enrolled student of the Organisation, or a member of Organisation personnel). This is an internal procedure and it is appropriate for students to represent themselves</p>	

Responsibility

In the unlikely event that the student may be accompanied by a friend, family member, a Trade Union or professional association staff member, if applicable. The individual accompanying is not permitted to make representations, or ask or answer questions on behalf of the student, or attend in any legal capacity.

- 2.7 As appeals are always related to individual assessment outcomes, it is unusual for students to submit collective appeals. However, the college recognises that there may be exceptional circumstances where the issues raised affect a number of students and therefore those students may wish to lodge a collective appeal. In these cases, each student is expected to show how they have personally been affected by the situation.

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.

- 2.8 The College will not consider appeals which are made anonymously.
- 2.9 The College will endeavor to ensure holistic consideration is given to multi-issue complaints and that a coordinated response is given wherever possible.
- 2.10 The Organisation defines a 'working day' as Monday to Friday, excluding bank holidays and other days when the College is closed.
- 2.11 Students should ensure that the issues being raised are pursued in accordance with the relevant College procedure and should seek advice from the College Quality Department.
- 2.12 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.

3.0 Principles

- 3.1 The decisions made will be reasonable and, where required, provide appropriate redress.
- 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.
- 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.
- 3.4 This procedure will be fair and transparent.
- 3.5 The process for the academic appeal will be evidence-based.
- 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 (in line with the Good Practice Framework – OIA).
- 3.7 The Organisation will make every reasonable effort to meet the time limits as stated in this procedure; however, for complex cases additional time may be required to ensure a thorough review. Where an exception to the standard time limit is needed you will be notified of this in writing and you will be kept informed of when you can expect to receive an outcome response.

		Responsibility
4.0	References	
4.1	Student Induction Checklist C-IN-01 / Programme Handbook (HN & OU)	
4.2	Internal Verification Procedure BAC-C-14	
4.3	Student Overview of Academic Appeal Process C-AA-10	
4.4	Student Academic Appeal Form C-AA-01	
4.5	Student Behaviour and Disciplinary Procedure BAC-SS-01	
4.6	Customer Complaints Procedure BAC-Q-05	
4.7	Joint Council for Qualifications (JCQ): A guide to the awarding organisations appeals processes	
4.8	Guidelines for Completing a Quality Records Schedule Q-QR-01	
4.9	OIA Completion of Procedures Letter Q-CC-18	
4.10	The Good Practice Framework OIA	
4.11	General Data Protection Regulation POL-DP-01	
4.12	Blended Learning Policy POL-C-07	
4.13	Conflict of Interest Policy POL-C-08	
5.0	Definitions	
5.1	EO: Examination officer(s)	
5.2	LM: Line Manager	
5.3	IQA: Internal Quality Assurer (can include Internal Verifier and Internal Moderator)	
5.4	OIA: Office of the Independent Adjudicator	
5.5	HN: Higher Nationals	
5.6	OU: Open University	
6.0	Procedure	
6.1	Stage 1: Early Resolution/Informal	
6.1.1	Students who believe that they have evidence on which to base an academic appeal should firstly raise the academic appeal related matter/query informally with one of the following appropriate staff members: Examinations Officer / Course Tutor / Assessor / Course Coordinator / Module Lead/ Module Tutor or Programme Leader, as soon as possible and within 15 working days of publication of results or believing an administrative/academic error has occurred.	Student
6.1.2	The Examinations Officer / Course Tutor / Assessor / Course Coordinator / Module Lead/ Module Tutor or Programme Leader, will try to resolve the issue. Double marking may need to be carried out (OU specific). They will inform the student of the outcome within 5 working days of submission of the query.	EO/Course Tutor /Course Coordinator /Assessor/Module Tutor/Module Lead/Programme Leader
6.1.3	If the issue is unresolved, and the student wishes to make a formal academic appeal, they must inform the Quality Department, and follow the Academic Appeal Process C-AA-10 (ref: 4.3). The student must complete a Student Academic Appeal Form C-AA-01 (ref. 4.4) and submit all supporting evidence, as required within 5 working days of receiving the outcome from the early resolution stage.	Student

	Responsibility
6.2.1 The Quality Department, on receiving the completed Student Academic Appeal Form C-AA-01 (ref: 4.4) together with the student evidence, will Log, acknowledge receipt of the appeal (using the model academic appeal stage 2 acknowledgement letter ref C-AA-04 as a template) and forward to the relevant Internal Quality Assurer (IQA) within 2 working days of the appeal being raised.	Quality Assurance Manager/ Designate
6.2.2 The IQA will consider the appeal with regards to the evidence.	
6.2.3 If the IQA upholds the student academic appeal and it is found that an error has occurred in the recording of marks or grades, or there is evidence of an irregularity, either procedural or regulatory, then they will liaise with the programme tutor to undertake remedial action.	
6.2.4 The IQA will complete stage 2 on the Student Academic Appeal Form C-AA- 01 (ref: 4.4) indicating the action to be taken/confirm what action has been taken.	IQA
6.2.5 The IQA will inform the student in writing of a decision (using the 'Model academic appeal stage 2 response letter' ref C-AA-05 as a template) within 10 or 5 ? working days of receiving the Student Academic Appeal Form C-AA-01 and will forward the completed paperwork to the Quality Department, along with a copy of the response letter for logging.	IQA
6.2.6 If the student is dissatisfied with the decision of the IQA, 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 Department, in writing. <i>Note: Details of how to proceed onto stage 3 will be in the response to the student in 6.2.5.</i>	Student
6.3 Stage 3: Academic Appeal Panel	
6.3.1 The Quality Assurance Manager/ designate, on receipt of the request from the student to progress to stage 3, will acknowledge the request, within 2 working days of <u>receipt</u> (using Model response to Stage 3 Academic Appeal letter as a template, ref C-AA-06). The academic appeal will be then be referred to an Academic Appeal Panel (stage 3 either 6.3 or 6.4 as appropriate).	Quality Assurance Manager/ Designate
6.3.2 Appeals which are submitted outside the 10 College working day period will not be considered, and the student will be notified accordingly. The decision is considered final, and as such the student will be provided with a Completion of internal Procedure's letter.	
6.4 Stage 3: Academic Appeal Panel Non-HE Courses	
6.4.1 On receipt of the request from the student to progress to stage 3 of the Academic Appeal process, the Quality Assurance Manager/designate will forward all relevant details to the Manager/ Director of Curriculum. The Director of Curriculum, will convene an Academic Appeal Panel within 10 working days from the date of receipt of the student confirming their wish to proceed to stage 3 (see 6.2.6).	Quality Assurance Manager/ Designate/ Manager/Director of Curriculum (Chair)

	Responsibility
<p>6.4.2 The Academic Appeal Panel will comprise of:</p> <ul style="list-style-type: none"> • Manager / Director of Curriculum (Chair) • Course Coordinator • IQA • Exam Officer (if appropriate) • The Organisation Quality Nominee or representative 	Panel
<p>6.4.3 The Panel will consider evidence from the Academic Appeals process and, if required, from the student, EO / Course Tutor / Assessor / Course Coordinator / Module Lead/ Module Tutor/ Programme Leader, and IQA</p>	Panel
<p>6.4.4 The Chair will complete stage 3 on the Student Academic Appeal Form C-AA- 01 (ref: 4.4) indicating the action to be taken/confirm what action has been taken</p>	Chair
<p>6.4.5 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 (using Model Response to Stage 3 Academic Appeal letter ref. C-AA-07 as a template).</p>	Chair
<p>6.4.6 If the appeal is upheld, the Academic Appeal Panel will recommend reconsideration of the original decision by the IQA.</p>	Panel
<p>6.4.7 If the appeal is rejected as invalid, the student will be informed of the reason why, i.e., because it is made against academic judgement, or for another good reason identified by the Academic Appeal Panel.</p>	Panel/Chair
<p>6.4.8 The response letter (Model response to stage 3 Academic appeal letter Non-HE courses, ref:8.7) will be issued and will inform them that they have reached the end of the internal procedures and that if they are still dissatisfied with the outcome for Stage 3 Academic Appeal Panel (Non-HE Courses), they will be informed they can appeal direct to the relevant awarding organisation and then further to the relevant qualification regulator if applicable, once all other avenues have been exhausted. (JCQ Guide to awarding organisations appeals process, ref: 4.7)</p>	Student
<p>6.5 Stage 3: Academic Appeal Panel HE Course Only</p>	
<p>6.5.1 On receipt of the request from the student to progress to stage 3 of the Academic Appeal process, the Quality Assurance Manager/designate will forward all relevant details to the Director of Quality & HE in conjunction with the appropriate Manager/ Director of Curriculum will convene an Academic Appeal Panel within 10 working days from the date of receipt of the student confirming their wish to proceed to stage 3 (see 6.2.6).</p>	QAM/designate Director of Quality & HE
<p>6.5.2 The Panel will comprise of:</p> <ul style="list-style-type: none"> • Director of Quality & HE -(Chair) • Manager/Director of Curriculum • Programme Leader • IQA • EO (if appropriate) • The Organisation Quality Nominee or representative • HE Development Coordinator 	Panel

	Responsibility
6.5.3 The Chair will complete stage 3 on the Student Academic Appeal Form C-AA- 01 (ref: 4.4) indicating the action to be taken/confirm what action has been taken	Chair
6.5.4 The Chair of the Panel who has received appropriate training and has suitable authority to provide assurance that this is the provider's definitive response will inform the student of the decision of the panel, in writing, within 5 working days of the Panel meeting taking place. The letter will detail one of the 2 possible outcomes see 6.5.5, 6.5.6.	Chair
6.5.5 If the appeal is upheld/ partially upheld, the Academic Appeal panel will recommend reconsideration of the original decision by the IQA.	Panel
<p>6.5.6 If the appeal is rejected as invalid, the student will be informed of the reason why, i.e., because it is made against academic judgement, or for another good reason identified by the Academic Appeal Panel.</p> <p>The student will be informed that they have reached the end of the internal Academic Appeals processes and the appeal will not be heard further within the Organisation.</p> <p>Note: <i>If the student is on a Pearson course and the outcome is as 6.5.6, they will be issued with a Model OIA Completion of Procedures Letter (Q-CC-18, ref 4.9), 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 (www.oiahe.org.uk).</i></p> <p>Note: <i>If the student is on a OU course they will be issued with the response letter will confirm that the internal procedures of the organisation, in relation to your academic appeal, have now been completed. It will inform the student that if they are still not satisfied with the outcome of their academic appeal that they can access the Open University's Appeals Procedure by contacting the Director at The Open University Validation Partnership within 10 days from the date of the response letter.</i></p>	
6.6 Consistency of outcomes	
6.6.1 To ensure consistency of outcomes, all appeals and outcomes associated with the Academic Appeal Process are logged, monitored and reviewed by the Quality Assurance Manager/ designate. The Director of Quality & HE reports on academic appeals to SLMT (for FE courses) and the Academic Board for (HE courses).	Quality Assurance Manager/ Director of Quality & HE
7 RECORDS	
7.1 The Quality Assurance Manager/ designate 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 4.8) for reference. The Quality Records Schedule associated with this procedure is included as section 9.	Quality Assurance Manager/ designate

8.0 Documentation

- 8.1 C-AA-01: Student Academic Appeal Form
- 8.2 C-AA-02: Student Overview of Academic Appeals Process - Non-HE courses
- 8.3 C-AA-03: Student Overview of Academic Appeals Process- HE courses
- 8.4 C-AA-04: Model Acknowledgment of Academic Appeal – Stage 2 letter
- 8.5 C-AA-05: Model Response to Stage 2 Academic Appeal letter
- 8.6 C-AA-06: Model Acknowledgment of Academic Appeal – Stage 3 letter
- 8.7 C-AA-07: Model Response to Stage 3 Academic Appeal letter- Non-HE courses
- 8.8 C-AA-09: Model Response to Stage 3 Academic Appeal letter – OU
- 8.9 C-AA-10: Student Overview of Academic Appeal Process
- 8.10 Q-CC-18: Model OIA Completion of Procedures Letter – Pearson

9.0 Quality Records Schedule

Identification of Record	Medium	Storage Location/ Protection	Retention Period	Access Rights/ Retrieval	Method of Disposal
C-AA-01: Student Academic Appeal Form	Paper Based / Electronic	Server files/ Quality folder/Academic Appeals folder (restricted by access rights)	6 Years	QAM/Designate Director of Quality & HE	Confidential (shredded)/ Deleted
Minutes of appeal Committee meetings	Paper Based/ scanned in	Server files/ Quality folder/Academic Appeals folder (restricted by access rights)	6 Years	QAM/Designate Director of Quality & HE)	Confidential (shredded)/ Deleted
Letters/emails of appeal received from Student	Electronic emails/ Paper Based -scanned in	Server files/ Quality folder/Academic Appeals folder (restricted by access rights)	6 Years	QAM/Designate Director of Quality & HE)	Confidential (shredded)/ Deleted
Acknowledgment letters stage 2,3 and 4 C-AA-04, C-AA-06, C-AA-08	Electronic	Server files/ Quality folder/Academic Appeals folder (restricted by access rights)	6 Years	QAM/Designate Director of Quality & HE	Deleted
Response letters stage 2, 3 and 4 C-AA-05, C-AA-07, C-AA-09, Q-CC-18	Electronic	Server files/ Quality folder/Academic Appeals folder (restricted by access rights)	6 Years	QAM/Designate Director of Quality & HE)	Deleted