

ASDAN Appeals Policy and Procedure

Policy Owner – Head of Quality

Review History	
V1	November 2019
V2	June 2020
V2.1	March 2021
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1. Purpose

1.1 This document applies to all ASDAN qualifications and programmes.

1.2 ASDAN's qualifications are regulated by Ofqual (England and international), CCEA (Northern Ireland) and Qualifications Wales (Wales).

1.3 This policy and procedure responds to Condition D4.1, D4.2, H6, H7, I1, I2 of the General Conditions of Recognition (Ofqual and CCEA, 2025) and Standard Conditions of Recognition (Wales, 2024) and Project Level Conditions (2022)

1.4 This document is for the attention of:

- ASDAN trustees, staff and associate staff
- ASDAN centres
- Learners and their parents/carers (where appropriate)
- ASDAN's regulators: Ofqual, CCEA, Qualifications Wales
- Other stakeholders

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2. Policy

2.1 ASDAN is committed to providing a high-quality service and to maintaining the highest standards for learners, centres and other stakeholders. However, if dissatisfied with a decision made by ASDAN, an appeal may be made if it is in scope of this policy.

The purpose of this policy is to provide clear guidance on how ASDAN manages enquiries and appeals related to assessment decisions and other awarding processes. It details the process for submitting an appeal and the steps we will take in response. The policy ensures that learners, centres, and other stakeholders have a transparent and consistent process for raising concerns and seeking resolution.

As an approved awarding organisation, ASDAN has confirmed with the regulatory authorities that it complies with the requirements of the Conditions of Recognition. ASDAN provides two separate ways in which a result can be questioned: an enquiry (or post results review for project qualifications) and an appeal.

2.2 Definition of an Enquiry

An enquiry is a process through which ASDAN is asked to check one or more steps leading to a reported result.

2.3 Definition of an Appeal

An appeal is a process through which ASDAN may be challenged on the outcome of an EQA activity, a review of results, or where appropriate, other procedural decisions affecting a centre or an individual learner outcome.

Concerns or dissatisfaction with any other aspect of ASDAN's products or services should be addressed through the **Complaints Policy and Procedure**, which is available on the ASDAN website:

asdan.org.uk/policies-regulations-and-centre-guidance.

2.4 Grounds for an Appeal

If a centre or learner believes that an error has occurred following the release of results or quality assurance activity, specifically where it's deemed that either the centre or ASDAN has not applied procedures appropriately or consistently, an appeal may be submitted.

Centres may appeal on the following grounds:

- An error occurred during the assessment or External Quality Assurance (EQA) of the learner's evidence
- ASDAN relied on incorrect information supplied by the centre when reviewing the evidence of one or more learners, including instances where the centre submitted inaccurate data
- A procedural or administrative error occurred during assessment, Internal quality assurance (IQA), EQA or during the awarding and certification processes

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- Agreed reasonable adjustments or approved special considerations were not taken into account when the final decision was made
- The centre acted with bias or discrimination when assessing the learner

Appeals may also be made in relation to other decisions affecting centres or individual learners, such as:

- Rejection of a centre's application for approval
- The contents of an EQA report or Quality Assurance review report - including potential actions set
- Refusal of a request for special considerations or reasonable adjustments
- Sanctions imposed by ASDAN in response to malpractice or maladministration

2.5 Centre Responsibilities

- All centres must have an Enquiries and Appeals Procedure accessible to their learners
- Before escalating an appeal to ASDAN, centres must complete their internal review process to check for errors or procedural issues. If a learner wishes to challenge a result further, the centre may submit an appeal to ASDAN. This review will examine both the centre's processes and the evidence used to determine the result to confirm whether the outcome was appropriate
- An appeal must be made by the centre only. An appeal from a learner or the learner's parents will not be accepted
- The learner must be made aware that an appeal can result in a lower outcome, therefore an appeal being made on the behalf of a learner must be made with the written consent of the learner
- Centres must adhere to ASDAN specified timescales for submitting enquiries and appeals, as outlined in the procedure section
- Centres delivering Project Qualifications must be fully aware of the post results review and appeals process
- Appropriate members of staff must be available to learners immediately after the publication of results, and decisions made on the reviews of marking

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2.6 ASDAN Responsibilities

- ASDAN will acknowledge receipt of the appeal within 5 working days
- ASDAN will determine if the matter falls within the grounds of an appeal. If it does not, an explanation as to why the appeal cannot be accepted will be provided. If there is an appropriate alternative policy and procedure, the learner and centre will be advised of this.
- All appeal decisions will be investigated by persons who have appropriate competence, who have no personal interest in the decision and have not been involved in the decision which is being appealed. The case and evidence presented will be reviewed by, as appropriate, ASDAN Responsible Officer and Quality Manager, External Quality Assurer or other relevant persons.
- After reviewing the evidence, ASDAN will assess whether an error occurred and determine whether it was made by the centre or ASDAN. If an error is found, the outcome will be adjusted accordingly.
- ASDAN will document the reasons for any determinations made and any changes to outcomes
- Once the reviewers have reached a decision based on all available evidence, ASDAN will notify the centre of the outcome within 20 working days of receiving your appeal. If this is not possible, for example if all the required evidence cannot be gathered within the given timeframe, ASDAN will inform you within 20 working days, and will provide an estimate of the additional time required.
- If ASDAN finds that the review process was inconsistent or did not follow regulatory conditions, it will identify any other learner or learners who may have been affected by that failure, correct the issue or, if it cannot be fully corrected, reduce the impact as much as possible and take reasonable steps to prevent recurrence.
- Any potential or actual adverse effects to learners will be reported to the regulators as per the conditions of recognition

3. Procedure

3.1 Enquiries and Appeals for Vocational Technical Qualifications (VTQs)

1. Identify the Issue

If a centre identifies a perceived issue following the release of results or quality assurance activity, it may enquire to ASDAN about this. This initial enquiry could be dealt with by any member of ASDAN staff where a clerical check for data accuracy will be undertaken, checking that marks/grades given reflect outcomes (if relevant) with a response usually provided within 5 working days.

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2. **Submit a Formal Enquiry**

If a centre is not satisfied with the outcome of an initial enquiry, a formal enquiry can be initiated using an **Enquiry Request Form** accompanied by a **Learner Consent Form**. This must be done in writing to the Quality Team and submitted as soon as possible, but no later than 20 working days after receiving the outcome of a quality assurance activity.

3. **Investigation and Response**

During this enquiry investigation, the Quality Team, usually the Quality Manager, will review all associated documentation and provide a full clerical check for data accuracy again, as well as checking every stage of the process has been followed correctly and any commentary in associated reports, reflect the outcomes. The Quality Manager will consult relevant staff and will respond in writing within 10 working days.

4. **Proceed to Appeal**

If the centre is not satisfied with the outcome of the enquiry, it may choose to escalate to a formal appeal.

3.2

Step 1. Internal Investigation by Centre

In instances related to results, learners should first submit their appeal through the centre's internal appeals process. If the centre finds that a marking or procedural error occurred and incorrect information was sent to ASDAN, the centre must complete an **Appeal Request Form**, explaining the error and requesting an appeal.

All internal investigations must be completed before submitting an appeal to ASDAN ensuring that centres have first fully exhausted their own policies and procedures.

Step 2: Centre Submits Appeal to ASDAN

The Head of Centre must authorise an appeal, based on the centre's internal appeal process being fully exhausted.

There is a fee payable per learner for appeals, please see ASDAN Pricing and fees information document. This fee is returned in the case of an appeal being upheld by ASDAN.

- Where there is an appeal of learner results and a learner is unhappy with the outcome of the centre's internal procedure, they should submit the **Learner Consent Form** to the centre.
- To appeal to ASDAN, the centre must complete an **Appeal Request Form** in writing to the ASDAN Quality Team.
- The appeal must be submitted to ASDAN within 20 working days of receiving the results/ QA activity report or within 10 working days following the outcome of a formal enquiry.
- The appeal should include both the grounds for the appeal and all supporting documents.
- Once ASDAN receives the appeal, they will acknowledge it within 5 working days.

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- The appeal will review whether the centre and ASDAN has followed procedures appropriately and consistently.

In the case of an appeal of results, ASDAN will review the learner's evidence and the outcome of the EQA sampling activity if there is reason to believe that:

- The result does not reflect the learner's evidence
- There was an administrative error
- There was a failure to apply the correct marking criteria or procedures to the learner's work, where this was not due to a difference in academic judgement or
- The academic judgement used was clearly unreasonable
- Reasonable adjustments and/or special considerations were not correctly applied
- Malpractice or Maladministration sanctions have been incorrectly applied

ASDAN will include at least one independent person in the final decision regarding the outcome of an appeal. This individual will not be an employee of ASDAN, an Assessor working on its behalf, or otherwise connected to the organisation.

Based on the evidence, a decision will be made to either reject or uphold the appeal. If upheld, the necessary corrections will be made. This review will take no longer than 15 working days.

3.2 Outcomes of an Appeal

- Appeal not upheld - No change to the original decision
- Appeal upheld - Correction to the original decision in line with appeal made by the centre
- Appeal partially upheld – Some correction applied to the original decision, but not all requested by centre within the appeal

If the centre is not satisfied with the outcome of the appeal, an application for appeal may be made to Ofqual.

4. Appeals for ASDAN Project Qualifications (e.g Level 3 EPQ)

Stages in the process

- Stage 1: Post Results Review
- Stage 2: Appeal

Fees for both stages are detailed in the ASDAN Pricing and fees information document available at www.asdan.org.uk.

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4.1 Stage 1: Post Results Review

This is a review of the original moderation to ensure that assessment criteria have been reliably and consistently applied. The published post results service is the only route to address concerns about original marking errors. The reviewer will not re-mark the project. Applications for a Post Results Review should ideally be made within 10 working days of results being released but will be accepted before certificates are issued approximately 25 working days after results are released. Applications should be made using the **ASDAN Post Results Review Request Form** and **Learner Consent Form**.

ASDAN will acknowledge all requests within 5 working days. ASDAN will determine if a moderation error occurred and correct it accordingly. All decisions and changes will be documented. The outcome of the Post Results Review will be shared within 15 working days of receipt of the application.

There are three possible outcomes of a review:

- No change to the moderator's decision
- Correction to the moderator's decision
- Centre marks reinstated

Centres will receive reasons for outcomes involving no change or corrections. Marks and results will be updated promptly. If a grade changes after a certificate was issued, a replacement will be provided once the original is returned. Where marks or grades are reduced after review, the decision cannot be revoked. Disagreements with the review outcome must be addressed via an **Appeal Request Form** and another **Learner Consent Form** submitted to the ASDAN Quality Team.

4.2 Stage 2: Appeals

Should a learner be dissatisfied with the outcome of the post results review an appeal may be submitted. Centres may appeal on the following grounds:

- Review of moderation
- Review of marking
- Review of decisions regarding reasonable adjustments and special considerations
- Review of actions taken following an investigation into centre of learner Malpractice or Maladministration

The following procedure applies for Project Qualification appeals only - e.g. EPQ:

1. Complete a Learner Consent Form

The learner submits a **Learner Consent Form** to their centre.

2. Submit an Appeal

The Head of Centre submits an **Appeal Request Form** to the ASDAN Quality Team. The form must be submitted within 20 working days of receiving the outcome of the Post Results Review. The application must clearly set out both the grounds of appeal and all supporting documentation. It is important that all relevant documentation is included at this point. ASDAN reserves the right to produce material in rebuttal of any appeal application. ASDAN will

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acknowledge receipt within 5 working days and record the appeal. Appeals cannot be accepted for learners outside the moderation sample.

3. Investigation and Response

The appeal will be investigated, and a decision will be made within 10 working days, and if upheld, appropriate action will be taken. A fee, detailed in the ASDAN Pricing and fees information document applies, but this will be waived should the appeal be upheld. ASDAN will include at least one independent person in the final decision regarding the outcome of an appeal. This individual will not be an employee of ASDAN, an Assessor working on its behalf, or otherwise connected to the organisation.

4. The centre will receive a written outcome within 15 working days of ASDAN receiving the completed appeal form.

5. If the learner is not satisfied with the outcome they may appeal directly to the regulator via the Exam Procedure Review Service (EPRS).

An appeal may be refused if:

- it is not submitted by an authorised person
- if no **Learner Consent Form** is submitted
- if procedural requirements for appeal are not met, if the submission is received outside the required timescales
- if insufficient information or evidence is provided to support one of the recognised grounds for appeal.

5. Associated Documentation

Document Name
Appeals - Enquiry Request Form
Appeals - Post Results Review Request Form
Appeals - Learner Consent Form
Appeals - Appeal Request Form
Malpractice and Maladministration policy and procedure
Registration and Certification policy
Complaints policy and procedure
Special Considerations policy and procedure
Reasonable adjustments policy