

# ASDAN Policy for Post Results Review and Appeals - Extended Project Qualification Level 3

Effective from April 2021

For the attention of: Head of Centre,  
Internal Quality Assurer and Internal Moderator

# Post Results Review and Appeals Policy and Procedure (EPQ)

## ASDAN Post Results Review Appeals Policy for EPQ

Effective from April 2021

Policy owner: Compliance Manager	Current policy date: April 2021
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# Post Results Review and Appeals Policy and Procedure (EPQ)

## 1 General

### 1.1 Introduction

As an approved awarding organisation ASDAN has confirmed with the regulatory authorities that it complies with the requirements of the Conditions of Recognition. For EPQ, ASDAN complies with the additional Project Qualification Level Conditions and Requirements.

All appeal decisions will be taken by persons who have appropriate competence and who have no personal interest in the decision being appealed, no previous involvement in any marking, moderation or review of moderation regarding an assessment in respect of a learner to which the appeal relates. The case and evidence presented will be reviewed by, as appropriate, ASDAN's Responsible Officer and/or Compliance Manager, an auditor, External Moderator or other relevant person and an independent person who has no connection with ASDAN.

### 1.2 Stages in the process

**Stage 1:** Post Results Review at £32 per candidate – based on the original sample size.

**Stage 2:** Appeal at £115 per candidate as well as the appointment of an independent reviewer to review the process at a flat fee of £245 (if required).

## 2 Stage 1: Post-Results-Review

### 2.1 Purpose

ASDAN will undertake a review of moderation where a moderation outcome could not reasonably have been arrived at given the evidence generated by the Learner. The review would include the centre's marking of that evidence, the criteria against which Learners' performance is differentiated and any procedures of the awarding organisation in relation to moderation, including in particular where the outcome of a moderation is based on:

- a) an administrative error,
- b) a failure to apply such criteria and procedures to the evidence generated by the learner where that failure did not involve the exercise of academic judgment, or
- c) an unreasonable exercise of academic judgment<sup>1</sup>

### 2.2 Centre responsibilities

Relevant centre staff must be fully aware of the post-results process, senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed, and decisions made on the submission of reviews of marking. Candidates must be informed of the periods during which centre staff will be available so that they may plan

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<sup>11</sup> An academic judgement is what is involved when assessing or moderating. It is possible for different examiners reasonably to reach different judgements. Unreasonableness in academic judgement occurs where the mark given is one that no reasonable examiner could properly have awarded.

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accordingly. Note that ASDAN will only accept requests for reviews of marking from the centre and not from candidates or their parents.

All requests for candidates must be submitted (and thus supported by the centre) by an authorised member of centre staff. Before submitting a request, centres should check all details are correct including candidate name, number and IM mark. It is important that the centre must review the marks allocated by the IM to ASDAN to ensure that no marking or procedural error may have occurred prior to external moderation. Should a centre error have occurred this must be communicated to ASDAN immediately and ASDAN will determine if the error resulted in a grade change.

Once the centre has investigated the request from the candidate and determined that no centre error was made then the **Candidate Consent Form** can be processed and forwarded to the ASDAN Compliance Manager for processing of stage 1: Post Results Service Review.

## 2.3 ASDAN Review of Results services

The published post-results service is the only mechanism by which concerns about errors in the original marking will be addressed. The sample used for external moderation will be reviewed and as such the centre can request the marking scripts of the candidates that were included in the sample to review decisions taken in relation to the grading awarded to the centre.

**All requests will be acknowledged within 7 calendar days.**

Following a review ASDAN will determine whether a moderation error has occurred, and if so, will change the outcome of the moderation to the extent necessary to correct the effect of that error.

**Reviewers will not re-mark the project.** They will only act to correct any errors identified in the original marking.

The reasons for any determination and any such change will be documented. Where ASDAN identifies that a review has been carried out inconsistently, or not according to the regulatory conditions, the effect of the failure will be corrected, or where it cannot be corrected, mitigated as far as possible, and will ensure that the failure does not recur in the future.

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 be provided with a reason for review outcomes of no change or a correction to the moderator's decision. ASDAN will promptly update marks and, where appropriate, results to correct the effect of any error which is identified, provided that this does not have the effect of lowering a learner's grade.

Where a grade changes and a certificate has previously been issued, a replacement will be provided showing the revised grade once the centre has returned the original certificate to ASDAN.

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Where there has been a reduction in marks or a downgrade following a review of marking, the request cannot be revoked and **the original mark or grade will not be reinstated.**

Should the centre or candidate disagree with the results of the Post-Results Review then an appeal form must be completed and sent to the ASDAN Compliance Manager. See the 3.5 Timelines for details.

## 3 Stage 2: Appeals

### 3.1 Definition of an appeal

An appeal is a process through which ASDAN may be challenged on the outcome of an enquiry about results, or where appropriate, other procedural decision affecting a centre or individual candidate.

An appeal will not be accepted for candidates who were not included in the moderation sample.

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 should it be determined that ASDAN made a procedural or marking error.

### 3.2 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/ Exams Officer/ Lead IM/Head of IQA/EPQ co-ordinator
- The centre has not met the required timescales
- Specific information and evidence have not been provided to support one of the three grounds for appeal – see 3.3 Grounds for an appeal

### 3.3 Grounds of an appeal

In the context of the EPQ, centres may appeal:

#### **a) The outcome of any Moderation of a Centre's marking of an assessment, following a review of Moderation in respect of that marking,**

Should the centre or learner feel that an error has occurred, following the release of results and the conclusion of stage 1: Post Results Review, where ASDAN or the centre has not implemented its procedures properly, fairly or consistently, an application for appeal may be submitted.

The following four categories reflect what can be considered for the appeal:

- Review of moderation - marking error
- Review of moderation - procedural
- Review of marking - procedural
- Review of marking - marking error

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## **b) Decisions regarding Reasonable Adjustments and Special Consideration,**

A decision may be made in a centre to appeal the outcome of any Moderation of a Centre's marking of an assessment, following a review of Moderation in respect of that marking, regarding access arrangements, reasonable adjustments and special consideration where a learner has not been provided with the right to expect reasonable adjustments when it was declared prior to assessment.

ASDAN recognises that there are some candidates who may be prevented from demonstrating their achievement because of:

- a permanent or long-term disability, learning difficulty or medical condition;
- a temporary disability, illness or indisposition immediate to or at the time of the examination;
- circumstances at the time of or during the examination or assessment

Access arrangements and reasonable adjustments are pre-assessment adjustments approved before assessment and moderation. They allow candidates with special educational needs, disabilities or temporary injuries to access the examination or assessment. Special consideration is an adjustment to a candidate's mark or grade to reflect temporary illness, injury or other indisposition at the time of the examination or assessment.

If the head of centre who is the subject of the relevant decision disagrees with the decision made and reasonably believes that ASDAN has not followed due procedures, a written request setting out the grounds for an appeal should be forwarded to the ASDAN Compliance Manager.

## **c) Decisions relating to any action to be taken against a Learner or a Centre following an investigation into malpractice or maladministration.**

A decision may be made in a centre to appeal the outcome of any Moderation of a Centre's marking of an assessment, following a review of Moderation in respect of that marking, regarding a decision relating to any action to be taken against a Learner or a Centre following an investigation into malpractice or maladministration.

Malpractice, maladministration or non-compliance, includes any act, default or practice that:

- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate; and/or
- damages the authority, reputation or credibility of ASDAN or the centre or any officer, employee or agent of any awarding body or centre.

As above, if the head of centre who is the subject of the relevant decision disagrees with the decision made and reasonably believes that ASDAN has not followed due procedures, a written request setting out the grounds for an appeal should be forwarded to the ASDAN Compliance Manager.

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## 3.4 Procedure for lodging an appeal

1. The head of centre's decision as to whether to proceed with an appeal is subject to the centre's internal appeals arrangements. The learner should submit an application form to the center should they be dissatisfied with the outcome of the Post Results Review.
2. Applications for appeal are made in writing to the ASDAN Compliance Manager by submitting an **EPQ Appeal Request form**. **Centres must request an appeal within 30 calendar days of receiving the outcome of a review of moderation**. 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, as there will be limited opportunities to submit additional information later on in the process. ASDAN reserves the right to produce material in rebuttal of any appeal application.

3. Once received by ASDAN details are recorded on a proforma and acknowledgement sent to the centre within seven calendar days.
4. The appeal will check if ASDAN has properly, fairly and consistently applied the procedures as identified by the centre on the EPQ Appeal Request form. 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. This review will take no longer than 14 calendar days. The current fees are listed as £115 per candidate in the sample. These fees will not be charged to the centre should it be found that ASDAN made a procedural/marketing error.
5. The centre will be informed in writing of the decision and reasons within 3 calendar weeks (21 days) of ASDAN receiving the EPQ Appeal Request form and all relevant supporting information/evidence.
6. If the centre is not satisfied with the outcome of the Appeal, 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.
7. An application for Independent Review must be submitted within 21 days of receipt of the outcome of the Appeal notification.
8. A written response to the centre will be made within seven days.
9. The independent review will take no longer than 14 days. The fee for an independent reviewer is £245.
10. If the centre still considers that an error has occurred, an application for appeal may be made directly to the Regulator within 21 days of the ASDAN Appeal Process concluding. Please contact Ofqual (Exam Procedures Review Service (EPRS) to formally request an appeal via the Regulator: <https://www.gov.uk/guidance/exam-procedures-review-service>

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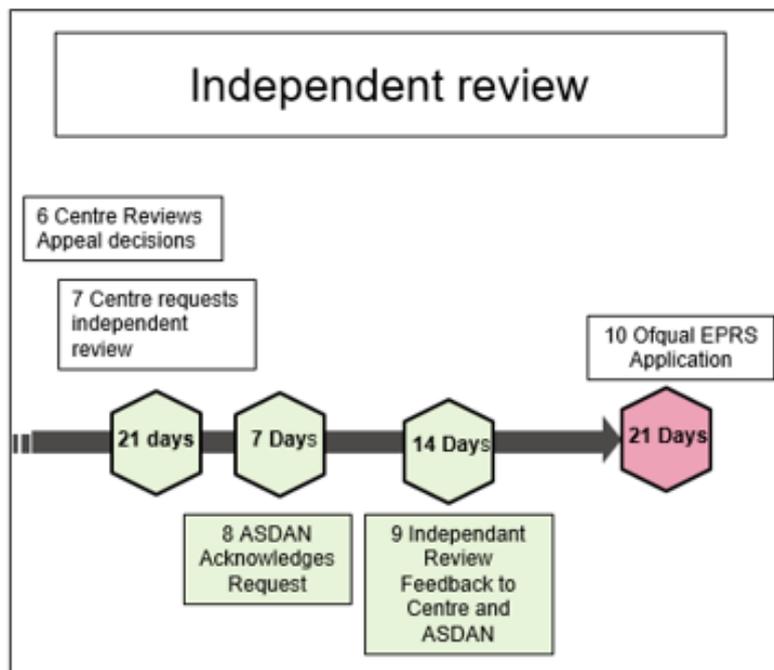
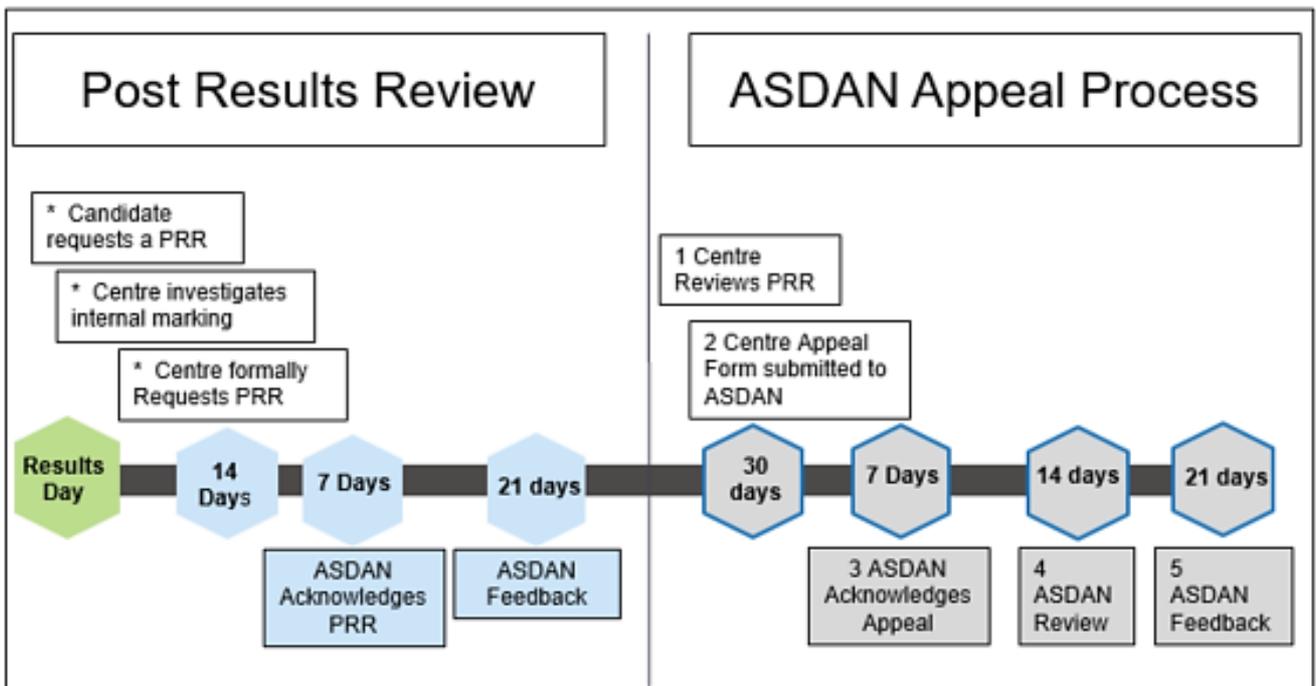
## 3.4 General Appeal Rules

1. 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.
2. 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.
3. ASDAN's policy and procedures for Reviews and Appeals will be reviewed annually.
4. 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.

## 3.5 Timescales and flowchart

1. Results Day – **Day 1**
2. Application for Post Results Review (PRR) within **14 days**
3. ASDAN Confirmation (7 days ) and Review of Application **21 days**
4. Centre Review and Appeal **30 days** feedback (bullet point 3)
5. ASDAN Confirmation (7 days) and Review of Appeal - **21 days**
6. Centre Review and Application for Independent Review – **21 days**
7. Confirmation (7 days) and Review of Appeal - **14 days**
8. Centre to appeal to Regulator – **21 days**

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## Addendum 1: Candidate Consent Form - PRR

### Candidate consent form and application for Post Results Review

#### Information for candidates

The following information explains what may happen following a Post Results Review and any subsequent appeal.

If your school or centre submits a request for a Post Results Review of the original marking, and then a subsequent appeal, for your project after your grade has been issued, there are three possible outcomes:

- Your original mark is lowered, so your final grade may be lower than the original grade you received.
- Your original mark is confirmed as correct, so there is no change to your grade.
- Your original mark is raised, so your final grade may be higher than the original grade you received.

In order to proceed with the Post Results Review of marking, you must sign the form below. This tells the head of your school or centre that you have understood what the outcome might be, and that you give your consent to the review being submitted.

#### Candidate consent form

Centre number	Centre name
Candidate number	Candidate name

#### Details of review

.....  
.....

I give my consent to the head of my school or centre to submit a Post Results Review of marking for the qualification listed above to [compliance@asdan.org.uk](mailto:compliance@asdan.org.uk). In giving consent I understand that the final subject grade and/or mark awarded to me following the review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded for this subject.

I consent to my project report being accessed by my centre

Signed (candidate):

.....

Date: .....

This form should be retained on the centre's files for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal.

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## Addendum 2: Appeal Form

### 1. Details of the applicant – please complete in all cases

<b>Centre name:</b>	
<b>ASDAN Centre Number:</b>	
<b>Address:</b>	
	<b>Post Code:</b>
<b>Name and Position of the person submitting the appeal (please print):</b>	
<b>Telephone Number:</b>	<b>Email:</b>

### 2. Details of the candidates applying

<b>Candidate Name</b>	<b>Candidate Number</b>	<b>Date of External Moderation / Series</b>

### 3. Details to support the appeal – please provide supporting information

A1: The centre considers that either ASDAN or the Centre has made a marking or moderation error. Please list specific information and evidence that is being provided to support the appeal, using the candidate's work and mark scheme to demonstrate where you believe the marking/moderation error has been made:

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A2: The centre considers that ASDAN has not applied its procedures consistently, properly and fairly in arriving at judgements, or applied procedures which are consistent with regulatory requirements.

Please list the specific details of which procedure has not been properly applied, that is being provided to support the appeal.

B: ASDAN has not considered requests for access or special considerations appropriately. Please list specific information and evidence that is being provided to support the appeal, using the details provided to ASDAN prior to the external moderation on reasonable adjustments/requests for access/special consideration.

C: ASDAN has unfairly applied Malpractice/Maladministration sanctions unfairly. Please list the specific information and evidence that is being provided to support the appeal, providing details on how the sanctions applied to the centre disadvantaged the candidate and evidence to support that a different outcome should have been reached.

Please ensure that this appeal is only sent to the Compliance Manager after the finalisation of the Post Results Review.

Complete this form with supporting evidence and send it to: [compliance@asdan.org.uk](mailto:compliance@asdan.org.uk)