# COMPLAINTS AND APPEALS PROCEDURE FOR EXAMS (including Internal Appeals)

2026

This procedure is reviewed annually to ensure compliance with current regulations

| Approved/reviewed by | |
|---|---|
| E Herbert | |
| Date of next review | November 2027 |

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## Key staff involved in the procedure

| Role | Name(s) |
|---|---|
| Head of centre | Fiona Laywood |
| Exams SLT Lead | Ed Herbert |
| Exams officer(s) | Adrene Henley/Balbir Dhillon |
| SENCo | Sarah Farn/ Fiona Oliver |

## 1. Purpose of the procedure

This procedure confirms Babington Academy's compliance with JCQ's **General Regulations for Approved Centres** (section 5.8) that the centre will draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.

- Exam information handbook sent to parents/candidates with statements of Entry.
- Copy of Procedure and exam information handbook on Academy website.

## 2. Grounds for complaint

A candidate (or his/her/parent/carer) may make a complaint on the grounds below (this is not an exhaustive list).

**Teaching and learning**

- Quality of teaching and learning, for example
  - Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis
  - Teacher lacking knowledge of new specification/incorrect core content studied/taught
  - Core content not adequately covered
  - Inadequate feedback for a candidate following assessment(s)
- Pre-release/advance material/set task issued by the awarding body not provided on time to an exam candidate
- The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- The marking of an internal assessment (centre assessed work), which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body
- Candidate not informed of his/her centre assessed marks prior to marks being submitted to the awarding body
- Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks
- Candidate unhappy with internal assessment decision (complainant to refer via Vice Principal – Quality of Education to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*

**Access arrangements, reasonable adjustments and special consideration**

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding his/her access arrangements
- Candidate did not consent to record their personal data online (by the non-acquisition of a completed candidate personal data consent form)
- Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment/assistive technology put in place failed during exam/assessment
- Approved access arrangement(s) not put in place at the time of an exam/assessment
- Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer via SENCo to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*

**Entries**

- Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer)
- Candidate not entered/entered late (incurring a late entry fee) for a required exam/assessment

- Candidate entered for a wrong exam/assessment
- Candidate entered for a wrong tier of entry

**Conducting examinations**

- Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place
- Room in which exam held did not provide candidate with appropriate conditions for taking the exam
- Inadequate invigilation in exam room
- Failure to conduct exam according to the regulations
- Online system failed during (on-screen) exam/assessment
- Disruption during exam/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported
- Eligible application for special consideration for a candidate not submitted/not submitted to timescale
- Failure to inform/update candidate on the accepted/rejected outcome of a special consideration application if provided by awarding body

**Results and Post-results**

- Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of a review/enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body *post-results services*)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal (complainant to refer via [insert who] to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*
- Centre applied for the wrong post-results service/for the wrong script for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for candidate without gaining required candidate consent/permission

## 3. Complaints and Appeals Procedure

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, **Babington Academy** encourages him/her to try to resolve this informally in the first instance. A concern or complaint should be made in person, by telephone or in writing to the head of centre.

If a complaint fails to be resolved informally, the candidate (or his/her parent/carer) is then at liberty to make a formal complaint.

**How to make a formal complaint**

- A formal complaint should be submitted in writing by completing a **complaints and appeals form**
- Forms are available from the Examinations Officer
- Completed forms should be returned to the Examinations Officer
- Forms received will be logged by the centre and acknowledged within 14 calendar days]

**How a formal complaint is investigated**

- The head of centre will further investigate or appoint a member of the senior leadership team, or the senior leadership of the wider LWLAT Trust (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion
- The findings and conclusion will be provided to the complainant within 4 working weeks]

**Appeals**

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted.

- Any appeal must be submitted in writing by again completing a **complaints and appeals form** [see appendix 1]
- Forms received will be logged by the centre and acknowledged within 7 calendar days
- The appeal will be referred to the Chair of Governors
- The Chair of Governors will inform the appellant of the final conclusion in due course

## 4. Internal Appeals Procedure

**Appeals procedure against internally assessed marks**

**Babington Academy** is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the regulations and awarding body's specification and subject-specific associated documents.

Candidates will be informed of their mark prior to submitting them to the awarding body.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. **Babington Academy** is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardistion will ensure consistency of marking.

If a candidate believes that this may not have happened in relation to his/her work, he/she may make use of this appeals procedure.

**N.B: an appeal may only be made against the assessment process and not against the mark to be submitted to the awarding body**

1. Appeals should be made as early as possible in order to ensure that the internal appeals process is completed prior to the submission of centre marks to the awarding body.

2. Appeals must be made in writing using the **internal appeals form** (see appendix 2)

3. The head of centre will appoint a senior member of staff, likely the Vice Principal – Quality of Education, to conduct the investigation. The senior member of staff will not have had any involvement in the internal assessment process for that subject.

4. The purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the awarding body's specification and subject-specific associated documents.

5. The appellant will be informed in writing of the outcome of the appeal, including any relevant correspondence with the awarding body, and any changes made to internal assessment procedures.

6. The outcome of the appeal will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any irregularity in procedures to light, the awarding body will be informed.

**Note for Candidates**

After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation may lead to mark changes. This process is outside the control of **Babington Academy** and is not covered by this procedure.

# 5. Appeals procedure against centre decisions not to support an enquiry about results

Following the issue of results, the general qualification awarding bodies offer post-results services. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the exams officer.

The service, enquiries about results (EARs), may be requested by centre staff or candidates (or their parents/carers). (EAR service 3 is not available to individual candidates). If a query is raised about a particular examination result, the exams officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry at the centre's expense.

When the centre does not uphold a request from a candidate, the candidate may pay the appropriate fee, and a request will be made to the awarding body on the candidate's behalf.

If the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an appeal can be submitted to the centre using the **internal appeals form** at least **one week prior to** the internal deadline for submitting an EAR.

**Appeals procedure following the outcome of an enquiry about results**

Where the head of centre remains dissatisfied after receiving the outcome of an EAR, an appeal will be made to the awarding body, following the guidance in the JCQ publications Post-results services http://www.jcq.org.uk/exams-office/post-results-services and A guide to the awarding bodies' appeals processes http://www.jcq.org.uk/exams-office/appeals

Where the head of centre is satisfied after receiving the outcome of an EAR, but the internal candidate and/or their parent/carer is not satisfied, they may make a further representation to the head of centre. Following this, the head of centre's decision as to whether to proceed with an appeal will be based upon the centre's internal appeals arrangements. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within **10 calendar days** of the notification of the outcome of the enquiry. Subject to the head of centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 14 calendar days. Awarding body fees which may be charged for the appeal must be paid by the appellant on submission of the internal appeals form. If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

# 6. Review of Results and Access to Scripts

All post-results service requests must be made through the centre.

Candidates are informed of this procedure before their first exam takes place.

A candidate wishing to enquire or appeal a result should speak to the exams officer as soon as possible, preferably on the day they receive their results.

The exams officer will ensure that the candidate has provided written consent for clerical re-checks, reviews of marking and access to scripts (Application for Enquiries about Results (EARS) & Access to Scripts (ATS)

The exams officer will:

- Submit EAR requests electronically in accordance with the JCQ publication *Post Results Services.*
- Submit requests for appeals in accordance with the JCQ publication *A Guide to the awarding bodies' appeals processes*
- Ensure outcomes of clerical re-checks, reviews of marking, reviews of moderation and appeals are made known to candidates.

Where a candidate disagrees with a centre decision not to support a clerical re-check, review of marking, review of moderation or an appeal please see the Internal Appeals Procedure

| SRN | Post-results service | Details of the service |
|---|---|---|
| R1 | **RoR Service 1**: Clerical re-check | This service will include the following checks:<br>• that all parts of the script have been marked<br>• the totalling of marks<br>• the recording of marks<br>Only Service 1 clerical re-checks can be requested for objective tests (multiple choice tests). |
| R2 | **RoR Service 2**: Review of marking | This is a post-results review of the original marking to ensure that the mark scheme has been applied correctly... Reviewers **will not** re-mark the script. They will only act to correct any errors identified in the original marking… This service will include:<br>• the clerical re-checks detailed in Service 1<br>• a review of marking as described above |
| R2a | RoR Service 2 with post-review of marking copy of script | |
| R2P | **RoR Priority Service 2**: Review of marking | This is the same as Service 2 above but the review is conducted as a priority by the awarding body. This service is **only** available for **GCE A-level qualifications** |
| R2Pa | RoR Priority Service 2 with post-review of marking copy of script | |
| R3 | **RoR Service 3**: Review of moderation (This service is not available to individual candidates) | This is a review of the original moderation to ensure that the assessment criteria have been fairly, reliably and consistently applied. It **is not** a re-moderation of candidates' work… |
| A1 | **ATS**: Copy of script to support **review of marking** | This is a priority service that ensures copies of scripts are returned in sufficient time to allow decisions to be made whether a non-priority review of marking should be applied for |
| A2 | **ATS**: Copy of script to support **teaching and learning** | This is a non-priority service to request copies of scripts to support teaching and learning |

# Appendix 1

## Complaints and Appeals form

| FOR CENTRE USE ONLY | |
|---|---|
| Date received | |
| Reference No. | |

Please tick box to indicate the nature of your complaint/appeal

☐ Complaint/appeal against the centre's delivery of a qualification
☐ Complaint/appeal against the centre's administration of a qualification

| | |
|---|---|
| **Name of complainant/appellant** | |
| **Candidate name** (if different to complainant/appellant) | |

Please state the grounds for your complaint/appeal below:

If your grounds are lengthy, please write as bullet points; please keep to the point and include relevant detail such as dates, names etc. and provide any evidence you may have to support what you say

Your appeal should identify the centre's failure to follow procedures as set out in the relevant policy, and/or issues in teaching and learning which have impacted the candidate

If necessary, continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed

Detail any steps you have already taken to resolve the issue(s) and what you would consider to be a good resolution to the issue(s)

Complainant/appellant signature: Date of signature:

This form must be completed in full - an incomplete form will be returned to the complainant/appellant

| FOR CENTRE USE ONLY | |
|---|---|
| Date received | |
| Reference No. | |

# Appendix 2

## Internal appeals form

This form should be completed in all cases to lodge an appeal.

Please tick to indicate what the appeal is against:

☐ internally assessed marks
☐ the centre decision not to support an enquiry about results
☐ the outcome of an enquiry about results

| | | | |
|---|---|---|---|
| **Name of appellant** | | **Candidate name** if different to appellant | |
| Awarding body | | Exam paper code | |
| Subject | | Exam paper title | |

Please state the grounds for your appeal below:

Continue overleaf if necessary

**Appeal against internally assessed marks**

**Appellant declaration**

By signing here, I am confirming I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements of the awarding body's specification and subject-specific associated documents. I also understand the appeal may only be made against the assessment process not against the mark to be submitted by the centre for moderation by the awarding body.

**Signature:** **Date of signature:**

**Appeal against the centre decision not to support an enquiry about results**

**Appellant declaration**

By signing here, I am confirming I feel there are grounds to appeal against the centre's decision.

**Signature:** **Date of signature:**

**Appeal against the outcome of an enquiry about results**

**Appellant declaration**

By signing here, I am confirming I understand that the grounds for my appeal must relate to the awarding body's procedures or the application of the post-result service procedures. I also understand that appeals do not generally involve further reviews of marking candidates' work. I also confirm that I will pay in advance any fees which may be charged by the awarding body for the appeal. I understand this fee will be refunded if the appeal is upheld.

**Signature:** **Date of signature:**

**The appellant declaration against the relevant appeal must be signed, dated and returned to the EO, on behalf of the head of centre, to the timescale indicated in the internal appeals procedure.**

# Appendix 3

## Complaints and Appeals log

[Insert your centre's process on the use of this log, for example - On receipt, all complaints/appeals are assigned a reference number and logged. Outcome and outcome date is also recorded.]

| Ref No. | Date received | Complaint or Appeal | Outcome | Outcome date |
|---|---|---|---|---|
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**The appeals procedures for this centre have been produced to demonstrate compliance with the publications below.**

**JCQ GeneralRegulations for approved centres** http://www.jcq.org.uk/exams-office/general-regulations

**Controlled Assessments, Coursework and Portfolios of Evidence**

5.8 The centre agrees to
have in place, and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)

**Post-Results Services and Appeals**
**5.14 The centre agrees to**
have available for inspection purposes and draw to the attention of candidates and their parents/carers, a **written** internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal; (A centre may place its internal appeals procedure on the school/college website or alternatively the document may be made available to candidates upon request.)

**JCQ Post-results services** http://www.jcq.org.uk/exams-office/post-results-services

**6.4 Submission of requests**
Centres **must** have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/carers, cannot agree as to whether an enquiry about results should be submitted. The formal appeals procedure **must** be made widely available. Centres **must** therefore draw the appeals procedure to the attention of candidates and their parents/carers. In deciding whether to support an enquiry about results, centres should take account of all relevant factors and afford candidates or their parents/carers a reasonable opportunity to express their views. **Awarding bodies can only enter into discussions over enquiries about results with centres and private candidates.**

**7. Appeals**
Centres **must** have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/carers, cannot agree as to whether an appeal should be submitted to the relevant awarding body. The formal appeals procedure **must** be made widely available. Centres **must** therefore draw the appeals procedure to the attention of candidates and their parents/carers. In deciding whether to support an appeal, centres should take account of all relevant factors and afford candidates or their parents/carers a reasonable opportunity to express their views. **Awarding bodies can only enter into discussions over appeals with centres and private candidates.**

**JCQ A guide to the awarding bodies' appeals processes** http://www.jcq.org.uk/exams-office/appeals
12. Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was entered or registered. The head of centre's decision as to whether to proceed with an appeal is subject to the centre's internal appeals arrangements.

**Ofqual GCSE, GCE, Principal Learning and Project Code of Practice**
https://www.gov.uk/government/publications/gcse-gce-principal-learning-and-project-code-of-practice
9.13 The awarding organisation must require centres offering its examinations to ensure that they have in place:
iii.a formal, codified procedure for handling disputes when a candidate or carer disagrees with a decision by the centre not to support an enquiry.