

Assessment Results Appeals

DDLETB Assessment Procedures

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Principles of assessment in relation to Assessment Results Appeals

Quality assured assessment ensures that in criterion referenced assessment “learners are assessed and the assessment judgment is made based on whether the learner has reached the required national standards of knowledge, skill and competence for the award” (QQI, 2013 p.5)¹. Central to quality assured assessment is the assumption that learners are assessed in a fair and consistent manner in line with the award standard. Quality assured assessment ensures adherence to the principles of assessment.

The following sets forth the principles of assessment which apply to this document: these principles are based on the QQI (2013) principles for assessment².

1. Validity

Validity is a fundamental assessment principle ensuring that an assessment measures what it is designed to measure: the relevant standard of knowledge, skill or competence required for an award should be assessed.

Validity in assessment occurs when:

- Assessment is fit for purpose (i.e. a practical assessment assesses a practical skill)
- Learners can produce evidence which can be measured against the award standard
- Assessors can make accurate assessment decisions
- Assessment is accessible to all candidates who are potentially able to achieve it

2. Reliability

Reliability in assessment ensures that assessment measurement is accurate: the knowledge, skills and competence which the assessment measures should produce reliable and accurate results. Reliability in assessment ensures that results are consistent under similar conditions.

Reliability in assessment occurs when:

- The assessment is based on valid assessment techniques
- Assessment conditions are consistent
- Learner evidence is reliable
- Results are consistent across various assessors, contexts, conditions and learners over time

3. Fair

Fairness in assessment supports the validity and reliability principles and provides equal opportunity to all learners. Fairness in assessment ensures: learners have access to appropriate resources/equipment in assessment; assessment design and implementation are fair to all learners; and policies and procedures exist to ensure fair assessment of learners.

¹ QQI (2013) Quality Assuring Assessment Guidelines for Providers. Available at: <http://www.qqi.ie/Downloads/Quality%20Assuring%20Assessment%20-%20Guidelines%20for%20Providers%2C%20Revised%202013.pdf> [Accessed 28th February 2018]

² Ibid.

4. Quality

Quality in assessment ensures that all assessment processes are quality assured.

5. Transparency

Transparency in assessment ensures that assessment policy and procedures provide clarity to all relevant stakeholders.

Learners have the right to appeal the **approved result** within a specified timeframe. In order to ensure adherence to the principles of assessment, the following process should be followed in relation to assessment result appeals. This will thus ensure that assessment is fair for all learners along with being reliable and consistent across ETBs, programmes and modules.

Appeal process requirements of awarding bodies other than QQI supersede the requirements in this procedure.

1. Definitions

1.1 Approved Result

Approved results are results which have been through the internal verification and external authentication processes and been approved for distribution to learners by the Results Approval Panel. An appeal can only be made based on approved results.

1.2 Assessment Result Appeal

An assessment result appeal refers to the appeal of an approved result. In such cases, the learner is not satisfied with an assessment result: the learner believes the marks awarded are not representative of the quality of the work submitted for assessment.

Only approved results for work submitted can be formally appealed by the learner. No new assessment evidence can be submitted.

1.3 Grounds for Appealing the Assessment Result

Grounds for Assessment Result Appeal are:

- Learner believes marks were not totalled correctly or were not recorded properly
- Learner believes the assessment was marked inappropriately

1.4 The QQI Assessment Result Appeals Calendar

The QQI Assessment Result Appeals Calendar is a schedule of dates for making QQI Assessment Result Appeals. It is issued at the beginning of each academic year by the QA Unit.

- A series of deadlines is issued for assessment result appeals arising from the June assessment. The June QQI assessment result appeals process is held centrally at a designated centre on a designated date. The deadlines set out are critical in order to facilitate appeals in time for CAO and other similar deadlines.
- Assessment result appeals arising from all other QQI assessment periods throughout the year are arranged on a needs basis by contacting the QA Unit promptly on receipt of an appeal application from a learner.

Note: The QQI Assessment Result Appeals Calendar does not apply to other awarding bodies. For deadlines and timelines relating to awarding bodies other than QQI, please see their QA requirements.

2. Assessment Result Appeals Roles and Responsibilities

2.1 The Programme Coordinator

The Programme Coordinator must:

- Ensure that all learners are made aware of:
 - the grounds for making an assessment result appeal
 - the maximum time allowed to lodge an appeal
- Communicate the ETB's/Centre's policy on secure storage and disposal of assessment evidence

2.2 The QA Coordinator or designated person

The QA Coordinator or designated person must:

- Communicate the deadline date for requesting an appeal to the learner. Learners may not appeal after this date.
- Communicate the ETB's/Centre's policy on secure storage and disposal of assessment evidence
- Receive the appeal application from the learner
- Check marks before proceeding to the formal appeals process and inform the awarding body of amended grade if a totting/recording error is found³.
- Submit **Assessment Result Appeals Application Form** (see Appendix 5) and all relevant assessment material to the **Assessment Result Appeals Facilitator**⁴. For awarding bodies other than QQI, the relevant forms must be used.
- Inform the learner of the outcome of the appeals application

2.3 The Learner

If a learner wishes to appeal an assessment result, the learner must:

- Note the grounds for assessment process appeal (see Section 1.3)
- Note the timeframe for appeal (see Section 3)
- Lodge an appeal with fee (See Section 3)

2.4 The Assessment Result Appeals Facilitator

The Assessment Result Appeals Facilitator must, for awarding bodies other than QQI:

- Follow the requirements of the awarding body
- Inform the awarding body of the results change (if appeal is successful)
- Report appeal outcome decisions to the QA Unit.

³ In the case of QQI, any amended grades must be sent through QHelp.

⁴ The QA unit undertakes the Assessment Result Appeals Facilitator role for QQI results appeals.

2.5 The QA Unit

The QA Unit:

- Receives assessment result appeals decisions regarding all awarding bodies
- Acts as Assessment Result Appeals Facilitator for QQI result appeals:
 - Issues the QQI Assessment Result Appeals Calendar at the start of every academic year
 - Sets up a panel of Appeals Examiners external to DDLETB
 - Receives QQI assessment result appeals from centres/colleges
 - Ensures that all documentation is available for the QQI appeal (assessment appeal application form, learner evidence, etc)
 - Assigns an Appeals Examiner
 - Informs QQI of change of result if Appeals Examiner deems the appeal to be successful
 - Reports the appeal outcome decision to the Programme Coordinator

2.6 The Appeals Examiner

The Appeals Examiner must:

- Examine the assessment result appeal application and learner assessment evidence
- Make a decision regarding the appeal.

Note: The decision of the Appeals Examiner is final.

3. Assessment Result Appeals Process

Note:

- The Learner is notified by the Centre of the deadline for making an appeal within the given assessment period. For QQI awards, the timeframe is ten (10) working days.
- Every effort must be made to process the application as promptly as possible, especially if CAO/other deadlines may be impacted, and in no more than twenty (20) working days of receipt of appeal.

Where possible, the learner discusses the appeal application with the **Learning Practitioner** and/or **Programme Coordinator** and examines the grounds for appeal and the timeframe before proceeding.

In all cases, the **QA Coordinator or designated person** checks the marks to ensure that a totting/recording error has not been made. In such an error is found, then the appeals process need not be pursued.

Only **approved results** can be appealed. Only evidence that has previously been presented by the learner and has been securely retained in the Centre following the initial assessment, can be considered as part of an appeal. No new assessment evidence can be submitted

Note: the process map in Section 3.1 figure 1 below refers to appeals for all awarding bodies. The processes outlined in Sections 3.2 and 3.3 below refer more specifically to QQI assessment result appeals. In any case, the requirements of the specific awarding body supersede the requirements set out in this procedure.

3.1 Assessment Result Appeals Process

See figure 1 below for the Assessment Result Appeals process.

Assessment Results Appeals

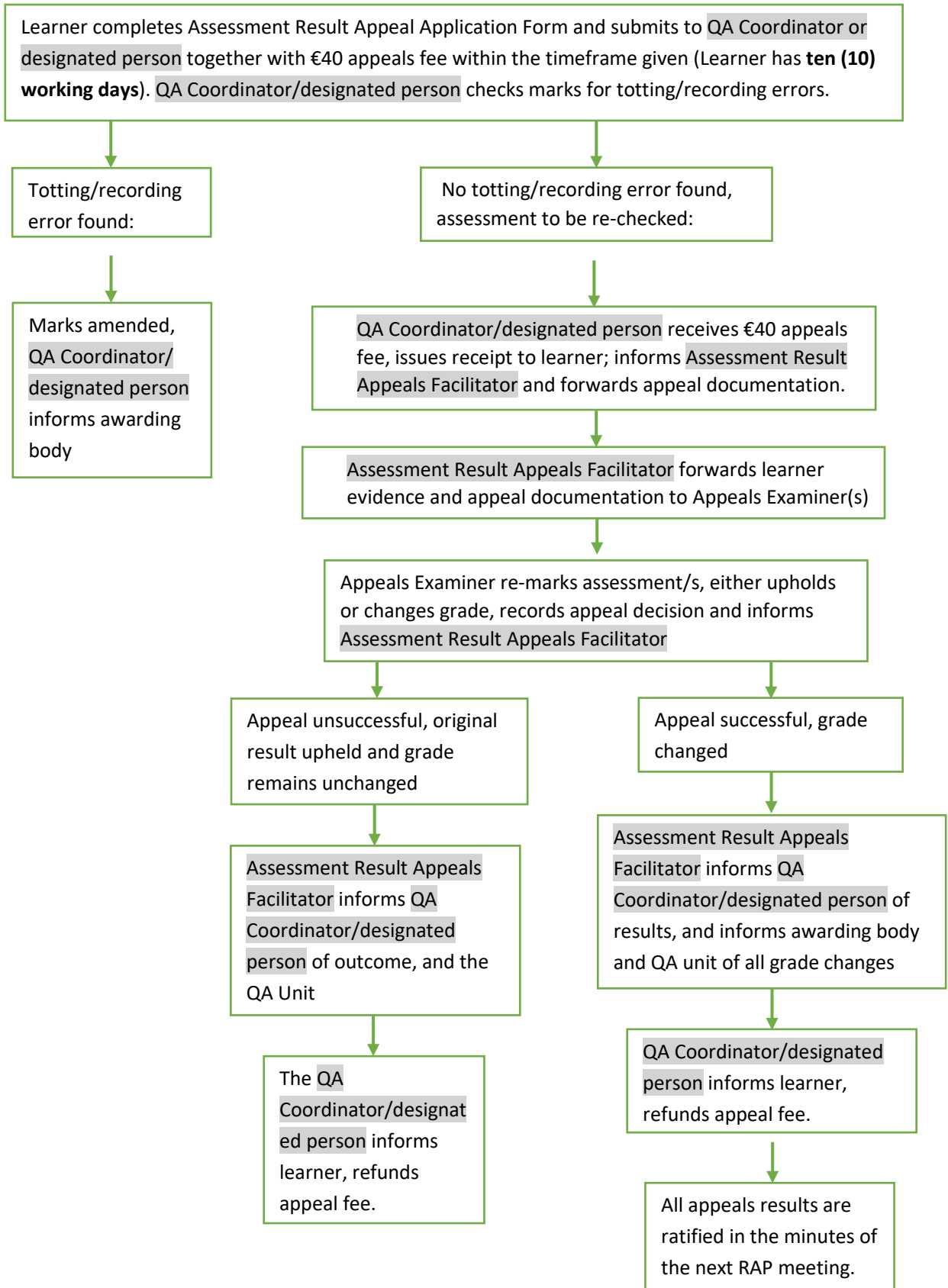


Figure 1 Assessment Result Appeals Process

Note: QA Unit acts as Assessment Result Appeals Facilitator for QQI awards.

3.2 Centre Level Procedures for QQI assessment result appeals

For appeals/queries made prior to the final Statement of Results

During the programme: Where results are available, learners can talk to the Learning Practitioner informally to identify how marks were assigned and resolve any issues informally. This approach is to be encouraged, and any issues should be resolved as early as possible.

For appeals made after the issuing of Statement of Results:

- 1 QA Coordinator/designated person will send each learner a Statement of Results and a letter advising them of their right to appeal (see Appendix 1). There will be a fee of €40.00 per module to make an appeal. For details of payment methods, please see Section 3.4.
- 2 Learners will have 10 working days on receipt of Statement of Results to make their appeal. **All applications for appeals which are to be considered by the CAO, MUST be received by the deadline set out in the Assessment Result Appeals Calendar issued each year.** Every effort should be made by centres to ensure that results are sent out in time to allow learners 10 working days to make their appeal.
- 3 In deciding whether or not to make an appeal, learners may wish to view their examination scripts. Please see Appendix 2 for guidelines for viewing examination scripts.
- 4 Should they wish to appeal, the learner should complete an *Assessment Result Appeal Application Form* (Appendix 4) and contact the QA Coordinator/designated person, who will advise them on the grounds for appeal (see Section 1.3).
- 5 The first step in any appeals process is that a re-check is done to ensure that marks were totalled correctly and recorded properly. This will be done by the QA Coordinator/designated person. If a totting/recording error is discovered, the QA Coordinator/designated person informs QQI of the amended grade via the QHelp facility, and the €40.00 appeals application fee will be refunded to the learner (see Section 3.4).
- 6 The QA Coordinator/designated person will consider any applications for appeals received with the fee of €40.00. A receipt will be issued in respect of all appeals fees received.
- 7 Thereafter, **all** appeals will be sent to be re-checked by an external reviewer in the External Appeals Procedure.

3.3 ETB Level Procedures for QQI assessment result appeals

- The QA unit sets up a panel of Appeals Examiners external to DDLETB, consisting of subject matter experts **per broad Field of Learning**.
- The QA Unit should be informed by the QA Coordinator/designated person **as soon as possible** of the number of appeals for a given centre, the subject areas to be re-checked, and which appeals are needed for the CAO process (see Appendix 3). Please see the Appeals Calendar for final dates.
- The QA Unit will engage an Appeals Examiner based on broad field of learning appropriate to the module/component being appealed. The Appeals Examiner who re-examines a learner appeal will not be the Learning Practitioner who made the original assessment decision, or the External Authenticator who signed off on the original assessment decision.
- All re-checks for appeals which are to be considered by the CAO process will be organised centrally by the QA Unit and will be carried out in June at a designated venue and time by

members of the Appeals Examiner panel, dates to be advised annually in the QQI Appeals Calendar.

- All other appeals will be considered as they arise in each assessment period throughout the year. The QA Coordinator/designated person must contact the QA Unit promptly on receipt of an Assessment Result Appeal Application from a learner.
- Each Centre is responsible for bringing the learner evidence being appealed to the designated venue. Each result being appealed should be accompanied by the relevant assessment material and a hard copy of the N10 (see N10, Appendix 5).
- If learner evidence is of such a nature that it cannot readily be forwarded to the Appeals Centre, then the QA Unit must be informed of this as soon as possible.
- Following completion of the re-checking, each centre is responsible for collecting their own learner's assessment materials.
- Where an appeal has been successful, the QA Unit will inform QQI of the amended grade.
- The QA Coordinator/designated person should inform learners of the success or otherwise of their appeal within two weeks of the re-check.
- The Final Result should be available on the QBS the day after QQI has processed the appeal and for Centres to forward to the learner for employment or progression purposes.
- Where a learner is applying for a course through the CAO, QQI will forward the amended results to the CAO directly.
- All amended grades must be ratified at the next Results Approval Panel (RAP) meeting.

3.4 Payment of the Appeals Fee

- A fee of €40 is payable for appealing the assessment process and must accompany the application form.
- The Centre must issue the learner with a receipt.
- The Centre will lodge the funds to AIB, 7/12 Dame Street, BIC: AIBKIE2D,
 - IBAN: IE39 AIBK 9320 8680 144042, and code the payment to S0020/1180/<relevant Location Code>. Please label the lodgement inscription “<relevant location code> Appeals”, and inform Treasury of the lodgement in the normal manner.
- If an appeal is successful, the fee will be returned to the learner. Refunds must be issued via the school bank account (Petty Cash). Alternatively, the Centre can withhold the lodgement of the fee and lodge it only if the appeal is unsuccessful.
- If an appeal is not successful, there will be no refund.

Appendix 1

Sample Right to Appeal Letter

QQI STATEMENT OF RESULTS

I am pleased to enclose your provisional QQI results for the <DATE of SUBMISSION> assessment period.

The enclosed document is a **provisional statement of results**, and not your final QQI certificate.

Key to Grades

Distinction: 80 - 100%

Merit: 65 – 79%

Pass: 50 – 64%

Unsuccessful: You have not achieved a Pass grade in the module.

Appeals

If you wish to appeal a result, you must complete and return the enclosed QQI Learner Assessment Result Appeal Form to the college/centre by <DATE>. A fee of €40 will be charged for each module being appealed. Only the results of work which you have already submitted for assessment and which is held in the college/centre can be appealed. **NO NEW WORK CAN BE SUBMITTED.**

Queries

All queries or appeals relevant to the enclosed **provisional statement of results** should be addressed to:

<Relevant Staff Member>

<College/Centre Name>

College/Centre contact details>

<Signature>

Date

Guidelines for Viewing of Examination Scripts

1. Where a student wishes to view their examination script, as a precursor to an appeal, the centre may facilitate the viewing at a set time arranged by the centre.
2. A request by a student to view examination scripts should be made to the centre in writing and should specify the examination script(s) requested to be viewed.
3. An appropriate time should be arranged for the student to view the script(s). This should only be after the publication of examination results. The student should be requested to complete a form before viewing the script. The details on this form include the following: the student's name, course, title of the subject/module script which he/she wishes to view, student's signature and the date of viewing.
4. The student should be brought to a quiet area where he/she can view the script(s) and must be supervised at all times. The supervisor may be an Exams Secretary or other suitable person but should not be somebody who was involved in the preparation of questions or the correction of the examination paper.
5. A reasonable period of time (20/30 minutes) should be given to the student to view the script. The student should be informed that he/she is not permitted to write on the script, remove it from the area where it is being viewed, photocopy or photograph it or amend or interfere with it in any way. For this reason, note taking is not allowed or pens/pencils permitted in the viewing area.
6. The supervisor should not engage in any discussion with the student in relation to the script or the examination.

Appendix 3

Request to view Examination Script

Learner Name:	
Course Name:	
Title of Module:	

Learner Signature: _____ Date: _____

Instructions to learner:

1. You are not permitted to write on the script, remove it from the area where it is being viewed, photocopy it or amend or interfere with it in any way.
2. You are not allowed to take notes, and pens/pencils are **not** permitted in the viewing area.
3. You are not permitted to discuss the examination or the script with the supervisor

Instructions to centres:

1. Learners should complete this form before viewing the script and be made aware of the conditions listed above.
2. This form should be signed and dated by the learner and kept for safe-keeping in the centre.

Appendix 4

QQI Learner Assessment Result Appeal Application Form

Learners wishing to appeal their received final result must complete this form and return it and a fee of €40.00 per appeal to the College/Centre before:

<Insert College/Centre Local Appeal Deadline Date>

APPLICATIONS RECEIVED AFTER THIS DATE WILL NOT BE PROCESSED.

A fee of €40.00 is payable in respect of each result/grade being appealed. This fee is refundable in the case of successful appeals. Fees should be paid directly to the College/Centre.

APPEALS WILL NOT BE PROCESSED WITHOUT DIRECT PAYMENT TO COLLEGE/CENTRE

College/Centre Name: _____

Learner Name: _____

Learner PPSN: _____

Component/module/s being appealed:

Component /Module Code	Component /Module Title	Original Result & Grade	Fee Paid (Please tick)
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
	TOTAL FEE DUE (Number of appeals X €40)		<input type="checkbox"/>

CAO Applicant

I attach fee in the total amount of €_____ in respect of this appeal/s (please tick)

Learner Signature: _____ Date: _____

College Principal / Centre Director: _____ Date: _____

Appendix 4

Please note: this information will be used to process the appeal/s, and will be securely stored and retained in the Centre in line with the DDLETB Data Retention Policy

QQI ASSESSMENT RESULT APPEALS APPLICATION FORM (N10)

QQI ASSESSMENT RESULT APPEALS APPLICATION FORM (N10)

Colleges/Centres wishing to appeal a result/s on behalf of a learner must complete this form and send an electronic copy to the QA Unit at quality@ddletb.ie by the relevant date indicated on the Assessment Result Appeals Calendar. A hard copy of this form must be sent with the assessment evidence to the designated appeals centre.

Appeals received after the date indicated on the Appeals Calendar will not be processed

Please complete a separate form for each module being appealed

APPEAL FEE

A fee of €40.00 is payable in respect of each component/module being appealed. This fee is refundable for successful appeals. The College/Centre must collect the appeal fee/s and issue a receipt. The fees must be lodged to:

Account Name: Dublin & Dun Laoghaire ETB
AIB, 7/12 Dame Street,
Sort Code: 93-20-86
Account Number: 80144042
BIC: AIBKIE2D
IBAN: IE39 AIBK 9320 8680 144042

**The payment should be coded to:
S0020/1180/<Relevant Location Code>**

IMPORTANT -

1. Do not forward Assessment Result Application Form (Learner) along with N10 form & assessment evidence, hold Learner Appeal Application Form for college/centre records as per centre documentation retention policy.
2. Include evidence of payment.

Appendix 5

<p>COLLEGE /CENTRE ROLL NO: _____</p> <p>COLLEGE /CENTRE NAME: _____</p> <p>LEARNER NAME (PRINT): _____</p> <p>LEARNER PPSN: _____</p> <p>COMPONENT/MODULE TITLE & CODE: _____</p> <p>EXTERNAL AUTHENTICATOR: _____</p> <p>FEE PAID: <input type="checkbox"/></p> <p>COLLEGE/CENTRE CONTACT NAME: _____</p> <p>CONTACT E-MAIL ADDRESS: _____</p> <p>SIGNATURE: _____</p> <p>PRINCIPAL/DIRECTOR/QA COORDINATOR DATE: _____</p> <p>ORIGINAL RESULT: _____</p> <p>ORIGINAL GRADE: _____</p> <p><i>Authentication Report by Learner Group by Minor Award Results Sheet Attached: <input type="checkbox"/></i></p> <p>PLEASE INDICATE ON AUTHENTICATION REPORT COMPONENT OR MODULE GRADE UNDER APPEAL</p>	<table border="1"> <thead> <tr> <th style="text-align: left;"><i>PLEASE TICK BELOW THE TYPE OF EVIDENCE REQUIRED AND/OR PRODUCED BY THE LEARNER THAT THE APPEAL EXAMINER CAN EXPECT TO SEE</i></th> <th style="text-align: center;">Available (if applicable)</th> </tr> </thead> <tbody> <tr> <td>Copy of Component Specification & programme Module or/ Module Descriptor</td> <td></td> </tr> <tr> <td>Learner Marking Sheets</td> <td></td> </tr> <tr> <td>Assessment Technique Evidence</td> <td></td> </tr> <tr> <td>Examination Paper</td> <td></td> </tr> <tr> <td>Learner Answer Book(s)</td> <td></td> </tr> <tr> <td>Outline Solutions /Suggested Answers</td> <td></td> </tr> <tr> <td>Disk/Printouts/Tape/USB/CD</td> <td></td> </tr> <tr> <td>Learner Brief</td> <td></td> </tr> <tr> <td>Evidence is of such a nature that it cannot be forwarded to the Appeals Centre</td> <td></td> </tr> <tr> <td>Other (please specify)</td> <td></td> </tr> <tr> <td> </td> <td></td> </tr> <tr> <td> </td> <td></td> </tr> </tbody> </table> <p>Appeal Fee A fee of €40 is payable in respect of each component/module being appealed. This fee is refundable in the case of successful appeals. Evidence that fees have been paid MUST be sent with appeals.</p> <p><input type="checkbox"/> CAO Applicant</p>	<i>PLEASE TICK BELOW THE TYPE OF EVIDENCE REQUIRED AND/OR PRODUCED BY THE LEARNER THAT THE APPEAL EXAMINER CAN EXPECT TO SEE</i>	Available (if applicable)	Copy of Component Specification & programme Module or/ Module Descriptor		Learner Marking Sheets		Assessment Technique Evidence		Examination Paper		Learner Answer Book(s)		Outline Solutions /Suggested Answers		Disk/Printouts/Tape/USB/CD		Learner Brief		Evidence is of such a nature that it cannot be forwarded to the Appeals Centre		Other (please specify)					
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Other (please specify)																											

Appendix 6

Sample Letters after Appeals Process

(a) Sample Successful Letter from College/Centre to Learner

Date, Learner Name, Address

Re: QQI ASSESSMENT RESULT APPEAL/S MONTH YEAR

Dear Learner

Your appeal in respect of «Component/Module __Code» has been successful and a grade of «Amended __Grade» has been awarded.

Your statement of results has been amended and QQI will issue you with a new certificate. Your appeal fee of €40.00 will be reimbursed in due course.

Yours sincerely,

Principal /Centre Coordinator

(b) Sample Letter from Centre to Learner in respect of an Unsuccessful Appeal

Re: QQI EXTERNAL APPEAL/S MONTH YEAR

Dear Learner

I am writing to you in regard to an appeal submitted for «Component/Module __Code»

This appeal has been unsuccessful and there is no change in grade. Your certificate has been issued with <assessment date> certificates.

You have the right to request a copy of the Appeal Examiner's report if you wish.

Yours sincerely,

Principal /Centre Coordinator