



ISAAC NEWTON  
ACADEMY

Isaac Newton Academy

# Complaints and Appeals Procedure (Exams)

2018/2019

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## Key Staff

Role	Names
Head of Centre	Jo Spencer
Exams Officer line manager (Assistant Principal: data and assessment)	Mark Crowther-Green
Data and Exams Manager	Aidan Rothnie
SENCo	David Wilson
SLT Members	Sugra Alibhai; Helen Chamberlain; Tam Broadway; Eva McEvoy; Leanne Abbott-Jones; Gareth Marshall-Jones; Nichola West; Alex Clift-Matthews; Patrick Ball; Greg Coughlin; and David Beattie

## Purpose of the procedure

This procedure confirms Isaac Newton Academy's compliance with JCQ's *General Regulations for Approved Centres 2017-2018*, section 5.8 that the centre "draw to the attention of candidates and their parents/careers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

## 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, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the centre's *internal appeals procedure*)
- Centre fails to adhere to its *internal appeals procedure*
- 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

### Access arrangements

- 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 personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)
- Exam information not appropriately adapted for a disabled candidate to access it
- Adapted equipment 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

### 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 (online) 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 outcome of a special consideration application

### 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 an 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's decision not to support a clerical check, a review of marking, a review of moderation or an appeal (complainant to refer via the Exams Officer to the centre's *internal appeals procedure*)
- Centre applied for the wrong post-results service/for the wrong exam paper 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

### 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, Isaac Newton Academy encourages him/her to try to resolve this informally by contacting the Assistant Principal (data and assessment) via email, phone, or through a meeting in the first instance. If a complaint is made it will always be investigated thoroughly and the complainant will receive feedback (verbal or written).

The Assistant Principal (data and assessment) investigate the complaint, and will:

- clarify the nature of the complaint/issue
- clarify what the complainant feels would resolve the issue
- interview those involved in the matter and/or those complained of, allowing them to be accompanied if they so wish
- Keep notes of interviews and details of the complaint.

The member of staff investigating the complaint will seek ways to resolve the issue satisfactorily and informally. The outcome may involve one of the following actions:

- an acknowledgement that the complaint is valid in whole or in part and/or an acknowledgement that the situation could have been handled differently or better (this is not the same as an admission of negligence)
- an apology an explanation an assurance and an explanation of the steps that have been taken to ensure that this situation will not happen again
- an undertaking to review Academy procedures in light of the complaint If a parent/carer is not satisfied with the outcome of the investigation of an informal complaint, they have the right to make a formal complaint to the Principal

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

### **How to make a formal complaint**

- A complaint should be submitted in writing and addressed personally to the Principal. The complainant should include details of the complaint, any attempts already made to resolve the issue, actions he/she feels may resolve the issue, and any members of staff he/she would prefer not to discuss the issue with
- The member of staff about whom the complaint/allegation is made will be informed of the complaint

### **How a formal complaint is investigated**

- The complaint will be investigated by either the Principal or an appointed Investigating Officer
- A robust investigation will be initiated, which will involve speaking to all relevant parties, including the complainant (who may be accompanied)
- Upon completion of the investigation, a report will be written
- The Principal will decide on an appropriate course of action on the basis of the report, and the complainant and the member of staff will be notified in writing accordingly
- The Principal will respond within seven working days of a complaint being lodged, and will notify the complainant within that timescale if that deadline is not going to be met, with reasons why

### **Appeals**

- If the complainant is not satisfied with this response, he/she must inform the Principal in writing, with details of their previous communication and the reason why they are still not satisfied, within two weeks of receipt of the outcome letter
- The Principal or Investigating Officer will respond within ten working days. This timescale may be reasonably extended if the nature of the complaint is judged by the Principal to be of a complex nature
- If the complainant is still not satisfied, they can appeal to the Governing Body. The governors will convene a complaints panel within a reasonable period of time (normally 21 days)