



# **ASSESSMENT APPEALS PROCEDURE:**

## **RESULTS APPEALS AND PROCESS APPEALS**

### **(FULL-TIME PROVISION)**

Division	Further Education and Training
Policy Area	Quality Assurance: Assessment Policy
Version	1.1
Date	Created: February 2018 Approved: July 2018 Implemented: September 2019
Monitored	Annually
Responsibility	Quality Council
Review Date	September 2020
This procedure document is an uncontrolled copy. Each staff member should consult StaffCONNECT for the latest version of this document.	

## Table of Contents

Table of Contents.....	2
1. Definitions.....	3
1.1 Approved Result.....	3
1.2 Assessment Result Appeal .....	3
1.3 Assessment Process Appeal .....	3
1.4 Timeframe for lodging an assessment appeal .....	3
2. Principles of assessment in relation to Assessment Appeals .....	4
2.1 Principles of Assessment.....	4
2.1.1 Validity .....	4
2.1.2 Reliability.....	4
2.1.3 Fair .....	5
2.1.4 Quality.....	5
2.1.5 Transparency.....	5
3. Assessment Appeals Roles and Responsibilities .....	6
3.1 The Provision.....	6
3.2 The Learner .....	7
3.3 The External Appeals Office .....	7
3.4 The Appeals Examiner.....	8
4. Implication for CAO offers .....	9
5. Assessment Result Appeals Process .....	10
6. Assessment Process Appeals .....	12

## **1. Definitions**

### **1.1 Approved Result**

Approved results are results which have been through the internal verification and external authentication process 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 of work submitted** can be formally appealed by the learner. No new assessment evidence can be submitted.

### **1.3 Assessment Process Appeal**

An assessment process appeal refers to the appeal by a learner to the Provision based on the assessment conditions and/or process: the learner believes the assessment conditions and/or process negatively impacted his/her assessment performance.

### **1.4 Timeframe for lodging an assessment appeal**

Assessment Result Appeals and Assessment Process Appeals should be made within **10 working days** of the issuing of approved results.

## **2. Principles of assessment in relation to Assessment 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, Revised 2018, p.5). 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 (Revised 2018) principles of assessment.

### **2.1 Principles of Assessment**

#### **2.1.1 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

#### **2.1.2 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 over time across various assessors, contexts, conditions and learners

### **2.1.3 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.

### **2.1.4 Quality**

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

### **2.1.5 Transparency**

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

Learners have the right to appeal 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 and process appeals. This will thus ensure that assessment is fair for all learners along with being reliable and consistent across Limerick and Clare Education and Training Board's programmes and modules.

### 3. Assessment Appeals Roles and Responsibilities

#### 3.1 The Provision

- The Provision has prime responsibility for communications with learners. The External Appeals Office will communicate directly with the Provision and the Provision directly communicates with learners. The Provision has the responsibility to ensure the learner does not contact or communicate with the External Appeals Office.
- The Provision must determine a date which complies with the minimum notice required and inform the learners of this date. Learners should be informed that appeals received by the Provision after this date will not be processed.
- Documentation for appeals in respect of minor awards must be accompanied by the relevant programme module. An appeal in respect of a minor award cannot be re-examined without the relevant programme module.
- The Provision is required to check the relevant module descriptor to ensure that all the appropriate assessment evidence produced by the learner is available for the appeal.
- The Provision must e-mail the [External Appeals Summary Sheet](#) to [appealsoffice@lcteb.ie](mailto:appealsoffice@lcteb.ie)
- The Provision must enclose External Appeals Summary Sheet with the following Appeal documentation:
  - [External Appeal Application Form \(N10\)](#)
  - Authentication Report by Learner Group by Minor Award Results Sheet
  - Appeal Programme Module Descriptor
  - Learner Assessment Evidence, including the original marking sheet(s)
  - Learner support files
  - Any other relevant documentation
- The Provision is advised to use registered post or courier service when sending appeals to the External Appeals Office.
- Only evidence that has previously been presented by the learner and has been securely retained in the Provision following the initial assessment, can be considered as part of an appeal. **No new evidence can be submitted.**
- If learner evidence is of such a nature that it cannot readily be forwarded to the External Appeals Office, and a visit to the Provision by an Appeals Examiner is required, the Provision will indicate this on the External Appeal Application Form (N10) and will forward the N10 form to the External Appeals Office.
- The Provision will be informed by the External Appeals Office regarding the outcome of the appeal by letter or email and the Provision will then inform the learner of the outcome of their appeal within a reasonable timeframe. The Provision will return the €40 appeal fee to the learner following successful appeal decision.

- Following the completion of the External Appeals Process, QQI will be informed by the External Appeals Office of appeal outcomes. QQI will make any required amendments to grades on the QQI Business System

### **3.2 The Learner**

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

- Note the grounds for appeal (assessment result appeal or assessment process appeal)
- Note the timeframe for appeal (see Section 1.4)
- Lodge an appeal (with fee if applicable) (see Section 5 or 6).

Only assessment evidence that has already been submitted as part of the final assessment can be considered as part of an appeal; no new evidence can be submitted.

### **3.3 The External Appeals Office**

- The External Appeals process will involve a re-examination of:
  - The learner evidence presented for the component/module under appeal
  - The assessment result awarded for the component/module
- An Appeals Examiner will be assigned by the External Appeals Office for the purpose of the appeal. The Appeals Examiner who re-examines a learner appeal will not be the internal assessor who made the original assessment decision, or the External Authenticator assigned to the Provision during the assessment period for that award.
- In the case of Assessment Process Appeal the External Appeals Office will examine the learner appeal, investigate whether relevant assessment procedures were followed and make a decision on the appeal.
- The External Appeals Office will communicate the outcome of the appeal directly to the Provision via letter or e-mail and will return all evidence to the Provision.
- The External Appeals Office will generate the Successful and Unsuccessful letters and will forward them to the Provision to be distributed to the learners. The office will also include an overall summary sheet for each Provision.
- The Appeal Report Form completed by the Appeals Examiner is held by the External Appeals Office. Scanned copies will be sent to the Provision for their records and relevant feedback should be given to the assessor.
- The Provision will communicate the outcome of the appeal directly to the learner. If an appeal is successful, the €40 fee will be refunded by the Provision to the learner.
- The External Appeals Office will communicate the outcome of the appeal directly to QQI. In cases where an appeal is successful, QQI will amend the original result on the QQI Business System (QBS) and will issue a new certificate directly to the Provision.

- The External Appeals Office will not communicate directly with learners and will not respond to communications that do not emanate from the Provision.
- The External Appeals Office is located in -  
Limerick and Clare Education and Training Board External Appeals Office  
Quality Assurance Support Service  
Further Education & Training Centre  
Clonroad Campus  
Clonroad  
Ennis, County Clare  
E-mail: [appealsoffice@lcefb.ie](mailto:appealsoffice@lcefb.ie)

### **3.4 The Appeals Examiner**

An Appeals Examiner must:

- Examine the External Appeals Application Form (N10) and learner assessment evidence
- Make a decision regarding the appeal
- Complete an Appeal Report Form for each learner

#### **4. Implication for CAO offers**

The outcome of an appeal may have a significant bearing on whether an applicant through the CAO is offered a place on a Higher Education programme. The CAO operate to extremely strict timelines, and results that are not communicated to them in time **will not** be included in the points' calculations, and subsequent candidate place offers.

All appeals by learners who have applied through the CAO for Higher Education programmes should be clearly marked on the External Appeal Application Form (N10) as **"CAO APPLICANT"**. A note to that effect should also be included on the External Appeals Summary Sheet.

Applications for appeals in these cases must be received by the External Appeals Office as per the **Authentication Calendar/Timeline which is created for each authentication period.**

## 5. Assessment Result Appeals Process

### Note:

- The learner is notified by the Provision of the deadline for appeals within the given assessment period.
- Assessment result appeals should be made within the minimum requirement of **10 working days' notice**.
- The Limerick and Clare Education and Training Board will endeavour to complete all appeals within a reasonable timeframe (**recommended timeframe: twenty (20) working days**) on receipt of appeal. Every effort should be made to process the application as promptly as possible, especially if CAO/other deadlines may be impacted.

Where possible, the learner discusses the potential result appeal with the Assessor and/or Provision Co-ordinator and examines grounds for appeal and timeframe before proceeding.

Only approved results can be formally appealed: no new assessment evidence can be submitted.

### 5.1 Learner completes the Assessment Appeals Application Form and submits form to Provision together with the Appeals Fee

The learner must complete and return the [Assessment Appeals Application Form](#) and fee to their Provision. Appeals received after the deadline will not be processed. A fee of €40 is payable in respect of each module/component being appealed. The fee is refundable in the case of successful appeals. The fee of €40 per appeal **must be paid by the learner directly to the Provision**.

Learners should be informed that Appeals cannot be processed without the payment of fees.

Learners must communicate directly with the Provision **and under no circumstances** should contact the **External Appeals Office**.

The Assessment Appeals Application form must be signed by the learner and by the Provision.

### 5.2 Provision submits application to External Appeals Office

Provision submits the [Provision External Appeals form \(N10\)](#), [External Appeals Summary sheet](#), the original evidence (including any digital evidence) and any other relevant documentation to the External Appeals Office.

Provision emails a copy of the [External Appeals Summary Sheet](#) to the following email address – [appealoffice@lcteb.ie](mailto:appealoffice@lcteb.ie)

All assessment evidence, as required by the validated programme or module, must be available for the appeal. Any evidence not available will be assumed not to have been completed or submitted.

The Provision retains the learner's Assessment Appeal Application form for their records and should not forward it to the External Appeals Office.

### **5.3 External Appeals Office assigns an Appeals Examiner**

The External Appeals Office assigns an Appeals Examiner who will endeavour to complete all appeals within **twenty (20) working days** on receipt of appeal. **Every effort should be made to process the application as promptly as possible, especially if CAO/other deadlines may be impacted.**

### **5.4 Assessment Appeals Examiner makes a decision on the appeal and informs the External Appeals Office**

The Assessment Appeals Examiner completes a:

1. **Totting/recording check** to check for any errors. If an error is found, marks are changed.
2. **Review** of the assessment evidence and makes a decision as to whether grade is upheld or changed
3. Makes a **decision** on the appeal and informs the External Appeals Office of the outcome.

### **5.5 External Appeals Office informs the Provision of the outcome of the appeal** (successful or unsuccessful) within a **maximum two (2) working days**. The External Appeals Office will generate the Successful and Unsuccessful letters and will forward them to the Provision to be distributed to the learners. The office will also include an overall summary sheet for each Provision.

### **5.6 If successful, the External Appeals Office informs the awarding body of change.**

### **5.7 The Provision informs the learner of the outcome of the appeal application**

The Provision informs the learner of the outcome of the appeal within a reasonable timeframe a **maximum five (5) working days**. Where applicable, the fee is refunded to learner.

### **5.8 At the next Results Approval Meeting, all appeal results from previous assessment period are ratified.**

**The appeal result is final.**

## 6. Assessment Process Appeals

### Note:

- The learner is notified by the Provision of the deadline for appeals within the given assessment period.
- Assessment process appeals should be made within the minimum requirement of **10 working days' notice**.
- The Limerick and Clare Education and Training Board will endeavour to complete all appeals within a reasonable timeframe (**recommended timeframe: twenty (20) working days**) on receipt of appeal. Every effort should be made to process the application as promptly as possible, especially if CAO/other deadlines may be impacted.

Where possible, the learner discusses the potential process appeal with the Assessor and/or Provision Co-ordinator and examines grounds for appeal and timeframe before proceeding.

### 6.1 Learner completes the Assessment Appeals Application Form and submits form to Provision together with the Appeals Fee

- The learner must complete and return the [Assessment Appeals Application Form](#) and fee to their Provision. Appeals received after the deadline will not be processed. A fee of €40 is payable in respect of each module/component being appealed. The fee is refundable in the case of successful appeals. The fee of €40 per appeal **must be paid by the learner directly to the Provision**.
- Learners should be informed that Appeals cannot be processed without the payment of fees.
- Learners must communicate directly with the Provision **and under no circumstances** should contact the **External Appeals Office**.
- The Learner Appeals Application form must be signed by the learner and by the Provision or Provision Co-ordinator.

### 6.2 Provision submits Appeals documentation to the External Appeals Office

Provision submits the [Provision External Appeals form \(N10\)](#), [External Appeals Summary sheet](#), the original evidence (including any digital evidence) and any other relevant documentation to the External Appeals Office.

Provision emails a copy of the [External Appeals Summary Sheet](#) to the following email address – [appealoffice@lcteb.ie](mailto:appealoffice@lcteb.ie)

All assessment evidence, as required by the validated programme or module, must be available for the appeal. Any evidence not available will be assumed not to have been completed or submitted.

### **6.3 External Appeals Office informs Provision of outcome**

The External Appeals Office will examine the learner appeal, investigate whether relevant assessment procedures were followed and make a decision on the appeal. External Appeals Office informs Provision of outcome.

**6.4 External Appeals Office informs the Provision of the outcome of the appeal** (successful or unsuccessful) within a **maximum two (2) working days**. The External Appeals Office will generate the Successful and Unsuccessful letters and will forward them to the Provision to be distributed to the learners. The office will also include an overall summary sheet for each Provision.

**6.5 If successful, the External Appeals Office informs the awarding body of change.**

### **6.6 The Provision informs the learner of the outcome of the appeal application**

The Provision informs the learner of the outcome of the appeal within a reasonable timeframe a **maximum five (5) working days**. Where applicable, the fee is refunded to learner.

**6.7 At the next Results Approval Panel meeting, all appeal results from previous assessment period are ratified.**

**The appeal result is final.**

---

## **References**

QQI (2018 Revised) *Quality Assuring Assessment Guidelines for Providers*. Ireland: QQI. Available from: <https://www.qqi.ie/Downloads/Quality%20Assuring%20Assessment%20-%20Guidelines%20for%20Providers%20Revised%202013.pdf> [accessed 2<sup>nd</sup> April 2019].