

LMETB Assessment Appeals Procedure: Process or Results

LMETB has adapted the following Assessment procedure from the work carried out by the ETBI National Assessment Working Group. This assessment procedure has been approved and adopted for use by all LMETB Further Education and Training Services by the LMETB Quality Assurance Governance Management Committee (QAGMC).

June 2019.

NOTE:

Procedure reviewed, changes made and approved by the QAGMC

September 2021

LMETB ASSESSMENT PROCEDURES

GLOSSARY OF TERMS

Appeals Examiner	<p>The Appeals Examiner refers to the individual who examines the learner assessment appeal evidence and makes a decision on the appeal.</p> <p>An Appeals Examiner is appointed by the ETB and is a person who MUST be:</p> <ul style="list-style-type: none"> ▪ A subject-matter expert ▪ External to the original assessment process ▪ Has no conflict of interest with the learner or Learning Practitioner(s) ▪ External to the provider or to the original assessment process <p>Ideally, the Appeals Examiner should be an External Authenticator</p>
Assessment Appeals Facilitator	<p>The Assessment Appeals Facilitator or designated person refers to the individual who facilitates the learner assessment appeal. The Assessment Appeals Facilitator must have a working knowledge of assessment and quality assurance procedures; ensure that no conflict of interest exists; and have had no prior involvement in the assessment processes relating to the particular piece of assessment.</p>
Centre	<p>The Centre refers to any ETB College or ETB Education/Training Centre.</p>
Centre Manager	<p>The Centre Manager refers to the Centre Manager, Centre Director, Principal or the manager of any ETB College or ETB Education/Training Centre. In the event of the absence of a Centre Manager, an appropriate designated person should be assigned.</p>
ETB	<p>Education and Training Board</p>
ETB Manager	<p>The ETB Manager refers to any manager within the ETB.</p>

Independent Appeals Committee	<p>The Independent Appeals Committee refers to the committee which examines the assessment process appeals. The committee is appointed by the ETB and MUST:</p> <ul style="list-style-type: none"> Consists of a minimum of two ETB senior personnel who are external to the Centre Have knowledge of QA procedures <p>The Independent Appeals Committee should be supported by internal QA personnel.</p> <p>Depending on the nature of the appeal, personnel from outside the ETB may be required. This is at the discretion of the ETB.</p>
Invigilator	<p>The Invigilator refers to the individual who supervises an examination.</p> <p>Ideally, an alternative invigilator other than the Learning Practitioner should supervise an examination.</p> <p>The Invigilator (appointed by the Programme Co-ordinator) must:</p> <ul style="list-style-type: none"> sign a declaration of impartiality be appointed in line with the specific guidelines of the awarding body, if such guidelines exist.
Learning Practitioner	<p>The Learning Practitioner term refers to all teaching staff and includes teachers, tutors, lecturers, instructors, educators, facilitators etc.</p>
Programme Co-ordinator	<p>The Programme Co-ordinator refers to Programme Co-ordinator, Programme Manager or other relevant manager of course or programme. In the event of the absence of a Programme Manager, an appropriate designated person should be assigned.</p>
RPL Mentor/ Facilitator	<p>The RPL Mentor/Facilitator refers to an individual who:</p> <ul style="list-style-type: none"> is familiar with RPL policies has received training in RPL is a subject matter expert

ASSESSMENT PROCESS APPEALS

Principles of Assessment in relation to Assessment Process 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 for assessment.

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

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.

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.

Quality

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

Transparency

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

Based on QQI Principles for Assessment (QQI, Revised 2018)

Learners have the right to appeal the assessment process within a specified timeframe. In order to ensure adherence to the principles of assessment, the following process should be followed in relation to **ASSESSMENT PROCESS** appeals. For **ASSESSMENT RESULT** appeals please see p.10 of this procedure document. This will thus ensure that assessment is fair for all learners along with being reliable and consistent across LMETB's programmes and modules.

Assessment Process Appeal

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

Assessment Result Appeal

An assessment result appeal refers to the appeal of an approved result. In such cases, the learner is not satisfied with their 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.

Definitions

Approved Result

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.

Assessment Process Appeal

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

Timeframe for lodging an assessment process appeal

Assessment process appeals should be made within 1 (one) week of the issuing of approved results.

Assessment Appeals Roles and Responsibilities

Ideally, learner complaints relating to the assessment process, and their immediate reporting to a relevant staff member, should be both encouraged and facilitated during the programme. It is expected that most learner complaints in relation to the assessment process can be addressed internally by the centre. It may be appropriate to allow learners to view their assessment material before a decision to appeal is made or not by the learner. It will be necessary for centres to document formal complaints. In the event of an assessment process appeal by the learner to LMETB, the Independent Appeals Committee will request any centre records that pertain to the learner's appeal.

The Programme/Centre Co-ordinator/Designated Person

The Programme/Centre Co-ordinator/Designated Person must:

- Ensure that all learners are made aware of:
 - the grounds for making an appeal (assessment result appeal or assessment process appeal, see p.18 for more information on the grounds for appeal)
 - the maximum time allowed to lodge an appeal
- Communicate the deadline date for requesting an appeal to the learner (1 week after issue of approved results). Learners may not appeal after this date.
- Receive the appeal application from the learner
- Submit [Assessment Appeals Application Form](#) to the Independent Appeals Committee
- Inform the awarding body of the result change (if successful)
- Inform the learner of the outcome of the appeals application.

The Learner

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

- Note the grounds for appeal (assessment **process** appeal application, see p.18 for more information on the grounds for appeal)
- Note the timeframe for appeal (within 1 (one) week of results)
- Lodge an appeal (with fee if applicable) by completing the [Assessment Appeals Application Form](#)

The Independent Appeals Committee

The Independent Appeals Committee must:

- Examine the learner appeal
- Investigate whether relevant assessment procedures were followed
- Make a decision on the appeal

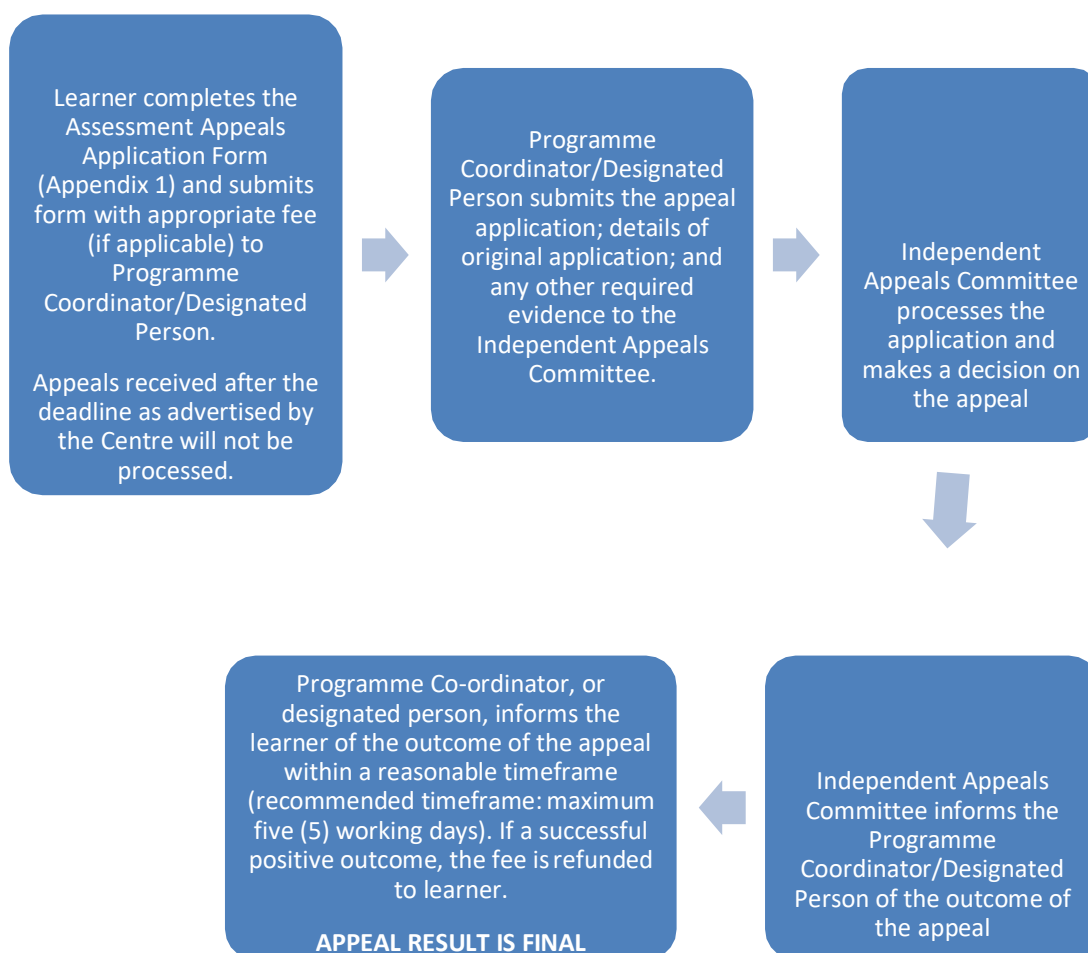
Assessment Process Appeals

Note:

- The learner is notified by the Centre of the deadline for appeals within the given assessment period.
- LMETB 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.

Where possible, the learner discusses the appeal application with the Learning Practitioner and/or Programme/Centre Co-ordinator/Designated Person and examines grounds for appeal and timeframe before proceeding.

The following process outlines the steps involved in an assessment process appeal. **PLEASE NOTE THAT THE APPEAL RESULT IS FINAL.**



References

QQI (2018 Revised) Quality Assuring Assessment Guidelines for Providers. Ireland: QQI. Available from:

[QQI Quality Assuring Assessment Guidelines \(2013, Revised 2018\)](#)

LMETB Assessment Appeals Procedure: Process or Results (Revised 2021)

ASSESSMENT RESULT APPEALS

Definitions

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.

Assessment Result Appeal

An assessment result appeal refers to the appeal of an approved result. In such cases, the learner is not satisfied with their 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.

Timeframe for lodging an assessment result appeal

Assessment process appeals should be made within 1 (one) week of the issuing of approved results.

Assessment Result Appeals Roles and Responsibilities

The Programme Co-ordinator

The Programme Co-ordinator must:

- Ensure that all learners are made aware of:
 - the grounds for making an appeal (assessment result appeal and assessment process appeal, see p.18 for more information on the grounds for appeal)
 - the maximum time allowed to lodge an appeal
- Communicate the deadline date for requesting an appeal to the learner (1 week after issue of approved results). Learners may not appeal after this date.
- Receive the appeal application from the learner
- Submit [Assessment Appeals Application Form](#) to the Assessment Appeals Facilitator
- Inform the awarding body of the result change¹ (if successful)
- Inform the learner of the outcome of the appeals application.

The Learner

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

- Note the grounds for appeal (assessment **result** appeal application, see p.18 for more information on the grounds for appeal)
- Note the timeframe for appeal (within 1 (one) week of issue of approved results)
- Lodge an appeal (with fee if applicable) by completing the [Assessment Appeals Application Form](#)

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.**

The Assessment Appeals Facilitator

The Assessment Appeals Facilitator must:

- Ensure that all documentation is available for the appeal (completed appeals form, learner evidence etc.)
- Assign an Appeals Examiner
- Receive the decision of Appeals Examiner
- Inform the awarding body of the result change² (if successful)
- Report appeal outcome decision to the Programme Co-ordinator.

The Appeals Examiner

An Appeals Examiner must:

- Examine the Assessment result appeal application and learner assessment evidence
- Make a decision regarding the appeal
- Report appeal outcome decision to the Assessment Appeals Facilitator

¹ This role may be completed by the Assessment Appeals Facilitator

² This role may be completed by the Programme Co-ordinator

Assessment Result Appeals Process

Note:

- The learner is notified by the Centre of the deadline for appeals within the given assessment period.
- LMETB will endeavour to complete all appeals within a **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 appeal application with the Learning Practitioner and/or Programme 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.

The following process outlines the steps involved in an Assessment Result appeal.

1. Learner completes the [Assessment Appeals Application Form](#) and submits form to Programme/Centre Co-ordinator/Designated Person (DP) together with the appeals fee³ (if applicable)
2. Programme/Centre Co-ordinator/DP submits application to Assessment Appeals Facilitator. All assessment evidence, as required by the component specification/validated programme or module, must be available for the appeal. Any evidence not available will be assumed not to have been completed or submitted.
3. Assessment Appeals Facilitator processes the application and:
 - Assigns an Appeals Examiner
 - Will endeavour to complete all appeals within twenty (20) 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.
4. Assessment Appeals Examiner makes a decision on the appeal and informs the Assessment Appeals Facilitator. The Assessment Appeals Examiner completes a:
 - **Totting/recording check** to check for any errors. If an error is found, marks are changed.
 - **Review** of the assessment evidence and makes a decision as to whether grades are upheld or changed.

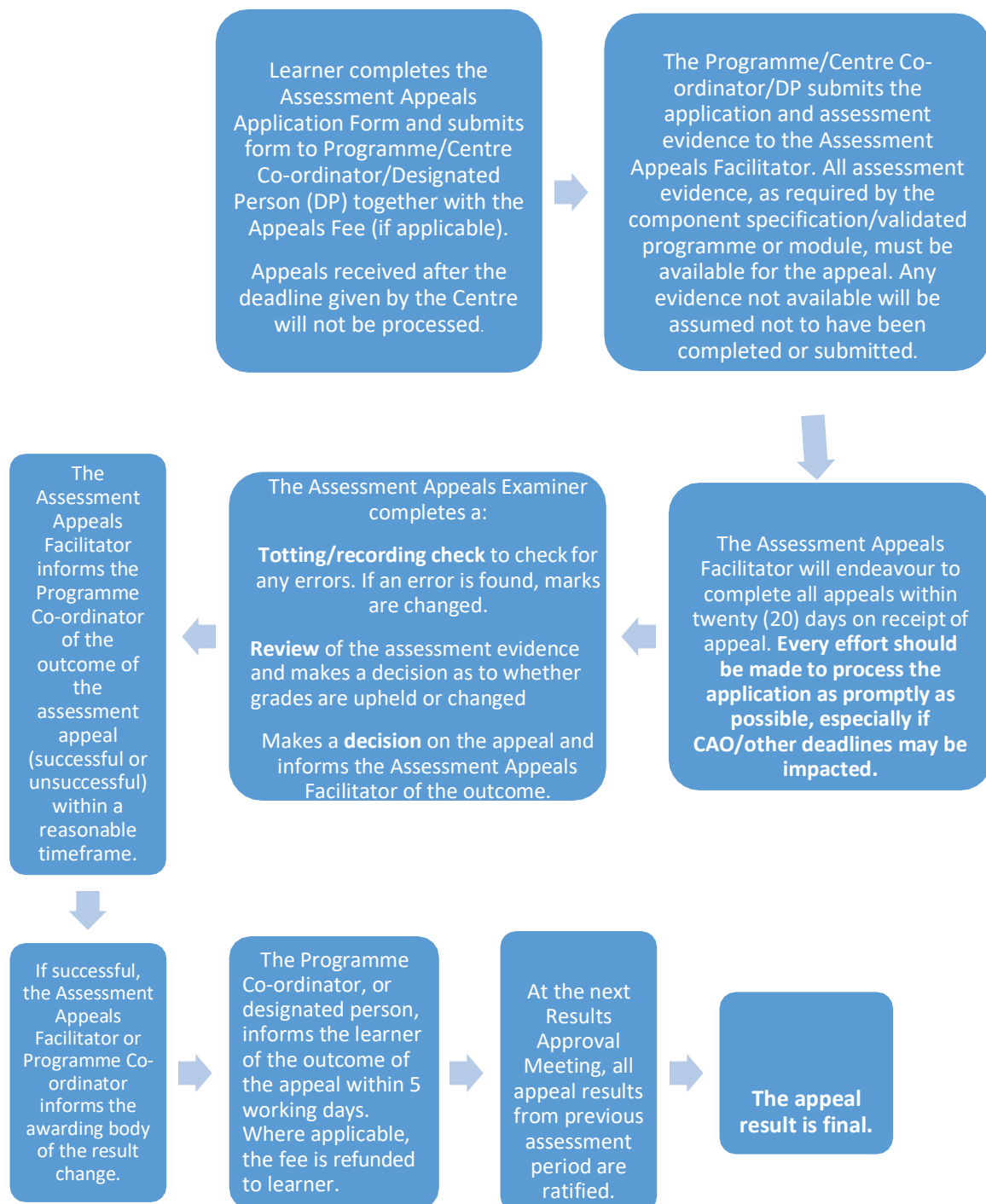
Makes a **decision** on the appeal and informs the Assessment Appeals Facilitator of the outcome.

³ Appeal fee only applicable for appeal of results: this fee is refunded if appeal is successful

5. Assessment Appeals Facilitator informs the Programme/Centre Co-ordinator/DP of the outcome of the appeal (successful or unsuccessful) within a reasonable timeframe (recommended timeframe: maximum two (2) working days).
6. If successful, the Assessment Appeals Facilitator or Programme Co-ordinator informs the awarding body of the change.
7. Programme Co-ordinator or designated person, informs the learner of the outcome of the appeal within a 5 working days. Where applicable, the fee is refunded to learner.
8. At the next Results Approval Meeting, all appeal results from previous assessment period are ratified.

The appeal result is final.

The steps involved in an Assessment Result appeal.



References

QQI (2018 Revised) Quality Assuring Assessment Guidelines for Providers. Ireland: QQI. Available from:

[QQI Quality Assuring Assessment Guidelines \(2013, Revised 2018\)](#)

Appendix 1: Assessment Appeals Application Form

Part A: To be completed by the learner and returned to the Programme /Centre Co-ordinator/Designated Person (DP) by a specified deadline

Please tick appropriate appeal type:

Assessment **Result** Appeal ☐

Tick this box **ONLY** if you are appealing the results of your assessment.

Assessment **Process** Appeal ☐

Tick this box **ONLY** if you believe the assessment conditions and/or process negatively impacted your assessment performance.

Centre Name:

Learner Name:

Learner Email/Contact Number

Programme Code/Title:

Are there impending deadlines which may need to be considered with this application: CAO Applicant/Other Applicant:	Yes/No
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Please note: If you have applied to the CAO, please check with your FET Centre for the last date for appeal submissions. Appeals received after this date may not be considered by the CAO for the purpose of offers.

Please give details of any deadlines here:

Details of application – Please explain why you are appealing your result:

Module Code	Module Title	Module Level	Original Result	Ground for Appeal (see Table 1.1)	Fee
				Total Fee €	

Candidates wishing to Appeal their final result must complete this form and return to the Programme Co-ordinator, **[Insert name and address of centre here]**, on or before **xx/xx/xx**. Appeals received after this date will not be processed.

There is an administrative fee of €50* per module result that you wish to appeal. This fee must be made payable to **[Insert name of Centre here]**. Fee should be paid by EFT, cheque, postal order or bank draft. NO CASH. The outcome of the Appeal will be communicated directly to you in xx. If successful, the administrative fee of €50 per module will be refunded.

Appeals will not be processed without payment of fee.

Please note: There is no appeal fee for Apprenticeship programmes

I can confirm that I have read and understand the appeals procedure including the grounds for appeal. I can confirm that I have enclosed a **total fee of €** . This fee is refundable if the appeal is successful.

Learner Signature:	Date:
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Programme Coordinator Signature:	Date:
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Part B: To be completed by the Programme Co-ordinator and forwarded to the Assessment Appeals Facilitator	
Centre Name:	
Centre Contact Name:	
Centre Contact Email address:	
Learner Name:	
External Authenticator:	
Fee Paid:	Yes/No
Assessment Appeals Facilitator Signature:	
Date Received:	

Appeals Examiner Signature:	
Date Received:	
Appeal Decision:	Appeal Successful/Unsuccessful
Details of appeal investigation	
Details of designated person to communicate outcome of appeal to learner:	

Appendix 2: Grounds for Appeals

GROUNDS FOR LEARNER APPEALS

Learners may lodge an appeal if they are not satisfied with the grade awarded and/or if they perceive that there was an irregularity within the assessment process itself.

An **Assessment Process Appeal** is where the learner believes that the assessment did not comply with LMETB's assessment conditions, specifications or procedures and that the learner's assessment performance was negatively impacted as a result.

Learners may submit an appeal of the **assessment process** under the following areas of assessment:

- communications and information – insufficient notice or information was provided to the learner in relation to the assessment
- planning and design – the assessment did not assess what it claimed to assess, or the format was not as outlined in the award descriptor
- conducting and implementing an assessment event – the assessment regulations were not properly implemented
- deadlines
- compassionate consideration – approved compassionate circumstances were not considered
- reasonable accommodation
- security of the assessment materials, records and documentation
- feedback to learners
- malpractice
- marking and grading
- repeats
- internal verification and authentication process
- appeals process
- results approval process

An **Assessment Result Appeal** is where the learner believes that the marks awarded are not representative of the quality of the work submitted. Only approved results can be appealed by the learner. No new assessment evidence can be submitted. The learner portfolio of evidence will be sent to an independent Appeals Examiner for review.