



Joint Council
for Qualifications

**GCSE, GCE,
Principal Learning &
Projects (including Extended Project)**

Post-Results Services

- Clerical checks
- Review of original marking
- Review of original moderation
- Access to scripts

**Information and guidance to centres for
examinations taken in:**

June 2012, November 2012 and January 2013

Produced on behalf of:



Awarding body contact points

Awarding Body	ON-LINE REGISTRATION, SUBMISSION AND INFORMATION PLEASE SUBMIT REQUESTS ON-LINE	Telephone Number Fax Number (only make requests by form if on-line application is not possible)	Postal Address (only make requests by form if on-line application is not possible)
AQA AQA – City & Guilds (Principal Learning and Projects)	e-AQA www.aqa.org.uk Select e-aqa link To register, go on-line or tel: 0844 209 6614	Tel: 0844 209 6614 EARs: Fax: 01483 556344 ATS: Fax: 0161 455 5485	AQA Stag Hill House Guildford Surrey GU2 7XJ Where centres are unable to submit a request using e-AQA they should use the JCQ forms which are available for download from the JCQ Spring 2012 memory stick.
CCEA	www.ccea.org.uk To register please go on-line or contact the Centre Support Section on 028 9026 1200 ext 2410 or 2443 or e-mail centresupport@ccea.org.uk	Tel: 028 9026 1451 Fax: 028 9026 1290	CCEA Clarendon Dock 29 Clarendon Road Belfast BT1 3BG
City & Guilds	www.cityandguilds.com For information please e-mail policy@cityandguilds.com	Tel: 020 7294 2772 Fax: 020 7294 2416	City & Guilds 1 Giltspur Street London EC1A 9DD
Edexcel	Edexcel Online www.edexcelonline.com To register for Edexcel Online please contact Edexcel Online Support on 0844 576 0024 or www.edexcel.com/help	Telephone: Home centres: 0844 463 2535 International centres: +44 (0) 1204 770696	Where centres are unable to submit a request using Edexcel Online, they should contact the Customer Service team by telephone: Home centres: 0844 463 2535 International centres: +44 (0) 1204 770696
OCR	Interchange www.ocr.org.uk To register please visit www.ocr.org.uk or contact the OCR Customer Contact Centre on 01223 553998	Tel: 01223 553998	Where centres are unable to submit a request using Interchange they should contact the OCR Customer Contact Centre on 01223 553998.
WJEC	WJEC Secure Website www.wjecservices.co.uk To register please send an email request to securewebsite@wjec.co.uk quoting centre number, centre name and contact name.	Tel: 029 2026 5104 Fax: 01443 845643	Post-Results Services WJEC Unit A16/17 Gwaelod Y Garth Road Treforest Industrial Estate Pontypridd Rhondda Cynon Taf CF37 5XF

Contents	Page
SECTION ONE: General	
1. Introduction	1
2. Key dates and deadlines for the June 2012 and January 2013 series	2
3. Fees	4
4. Private candidates	4
5. Which post-results service do I want?	5
SECTION TWO: EARs and Appeals	
6. Enquiries about Results (EARs)	
6.1 Centre responsibilities	6
6.2 Candidate consent	6
6.3 Enquiry about Results services	6
6.4 Submission of requests	9
6.5 Acknowledgement	9
6.6 Outcome of enquiries	9
6.7 If a centre is concerned about the marking of a centre cohort	10
6.8 Uniform Mark Scale (UMS) Marks	11
6.9 Candidate malpractice	11
7. Appeals	12
SECTION THREE: Access to Scripts	
8. Access to Scripts (ATS)	
8.1 Arrangements for access to marked examination scripts	14
8.2 Conditions of the Access to Scripts (ATS) service	14
8.3 Informing staff and candidates of the ATS service	14
8.4 Requesting priority copies of scripts to support Enquiries about Results	15
8.5 Requesting scripts to support teaching and learning	15
8.6 Mark schemes	15
8.7 Storing scripts	15
8.8 Tampering with original hard copy scripts (where provided)	16
8.9 Disposal of scripts	16
Appendix A - Enquiries about Results and Appeals – Candidate Consent Form and Information for candidates	17
Appendix B - Candidate consent form for use of examination scripts	18
Appendix C - Notes for guidance – Access to Scripts service	19
Appendix D - Frequently asked questions	22

SECTION ONE: General

1. Introduction

1.1 This booklet contains three sections:

- **Section One** provides an overview of the post-results services process;
- **Section Two** refers to Enquiries about Results (clerical checks, review of marking and review of moderation) and Appeals;
- **Section Three** refers to Access to Scripts.

1.2 As well as this booklet, the awarding bodies publish their own administrative guidelines on post-results services. **Please read this booklet together with the information issued by the awarding bodies.**

1.3 This booklet **does not** cover missing and incomplete results services (MIRs) which address results reported as:

- **'No Result' (X);**
- **'Partial Absence' (e.g. D#);**
- **'Missing Results';**
- **'Pending' (Q).**

To query such a result, please refer to the relevant documentation supplied by the individual awarding body.

The awarding body will investigate the query and will report the outcome without charge. Most queries can be resolved on the designated results day through processing checks.

1.4 GCSE and GCE candidates who have achieved sufficient unit results for an award but have not claimed certification may do so retrospectively through their centre. The centre must submit the request to the relevant awarding body before the published deadline for the series concerned. Each awarding body will publish its own administrative guidelines, which will detail the method of submitting requests and any fee for this service.

1.5 The provision of enquiry about results services and access to scripts services for GCSE, GCE and Principal Learning are governed by **Sections 9 and 10** of the *GCSE, GCE, Principal Learning and Project Code of Practice*, dated May 2011, which can be viewed in full on the following websites:

- Ofqual website – www.ofqual.gov.uk
- DfES website – www.wales.gov.uk
- CCEA website – www.ccea.org.uk

1.6 Reference is made throughout this publication to the levels of the National Qualifications Framework, i.e. Levels 1, 2 and 3 qualifications. In order to assist examination officers, particularly those who may be relatively new to the post, the following information provides clarity in relation to the qualifications covered by this booklet.

Level	Qualification
Level 1	Foundation Diploma Foundation Project GCSE qualifications (Grades D-G)
Level 2	Higher Diploma Higher Project GCSE qualifications (Grades A*-C)
Level 3	Advanced Diploma Progression Diploma Extended Project qualifications GCE AS and A level qualifications

2. Key dates and deadlines

2.1 To enable awarding bodies to provide an efficient service, it is essential that centres meet the following deadlines and key dates. Please note that applications must be submitted to awarding bodies by the relevant closing date.

Centres must submit applications on-line via the awarding body extranet sites.

2.2 Key dates and deadlines for the June 2012 series

KEY DATE	ENQUIRIES ABOUT RESULTS (EAR)	ACCESS TO SCRIPTS (ATS)
16 August	<ul style="list-style-type: none"> Issue of GCE results Issue of Level 3 Principal Learning results Issue of Extended Project results For Level 3 qualifications EARs may be requested now 	<ul style="list-style-type: none"> For Level 3 qualifications centres may request ATS (to support teaching and learning) or ATS (priority copies of scripts to support enquiries about results) (Priority copies of scripts are not available if requesting Priority Service 2 EARs)
23 August	<ul style="list-style-type: none"> Issue of GCSE results Issue of Level 1 and Level 2 Principal Learning results Issue of Foundation and Higher Project results EARs may be requested now 	<ul style="list-style-type: none"> For Level 1 and 2 qualifications centres may request ATS (to support teaching and learning)
24 August	<ul style="list-style-type: none"> DEADLINE for Priority Service 2 EARs (Level 3 qualifications only) Last date for awarding bodies to receive applications 	<ul style="list-style-type: none"> DEADLINE for awarding bodies to receive requests for priority copies of scripts to support enquiries about results (Level 3 qualifications only)
10 September		<ul style="list-style-type: none"> Latest date by which centres should receive priority copies of scripts to support enquiries about results (Level 3 qualifications only)
20 September	<ul style="list-style-type: none"> DEADLINE for EARs: Last date for awarding bodies to receive applications DEADLINE for awarding bodies to receive requests for late subject awards (GCSE and GCE examinations) 	
21 September		<ul style="list-style-type: none"> Earliest date* scripts to support teaching and learning will be returned to centres
4 October		<ul style="list-style-type: none"> DEADLINE for awarding bodies to receive requests for scripts to support teaching and learning
16 November		<ul style="list-style-type: none"> Date* by which centres should receive scripts
23 November		<ul style="list-style-type: none"> Earliest date for confidential disposal of unwanted scripts by centres

* The return of scripts may be delayed if a centre has requested an EAR in the same unit/component.

In exceptional cases, where results have been issued after the normal publication date, the closing date for applications will be extended by the same period as the delay.

2.3 Key dates and deadlines for the January 2013 Series

KEY DATE	ENQUIRIES ABOUT RESULTS (EAR)	ACCESS TO SCRIPTS (ATS)
7 March	<ul style="list-style-type: none"> Issue of results EARs may be requested now (Priority Service 2 EARs are not available in January) 	<ul style="list-style-type: none"> Centres may request ATS (to support teaching and learning) or For Level 3 qualifications centres may request ATS (priority copies of scripts to support enquiries about results)
15 March		<ul style="list-style-type: none"> DEADLINE for awarding bodies to receive requests for priority copies of scripts to support enquiries about results (Level 3 qualifications only)
25 March		<ul style="list-style-type: none"> Latest date by which centres should receive priority copies of scripts to support enquiries about results (Level 3 qualifications only)
16 April	<ul style="list-style-type: none"> DEADLINE for EARs: Last date for awarding bodies to receive applications DEADLINE for awarding bodies to receive requests for late subject awards (GCSE and GCE examinations) 	
17 April		<ul style="list-style-type: none"> Earliest date scripts to support teaching and learning will be returned to centres^s
28 April		<ul style="list-style-type: none"> DEADLINE for awarding bodies to receive requests for scripts to support teaching and learning
10 June		<ul style="list-style-type: none"> Date by which centres should receive scripts to support teaching and learning^s
12 June		<ul style="list-style-type: none"> Earliest date for confidential disposal of unwanted scripts by centres

^s The return of scripts may be delayed if a centre has requested an EAR in the same unit/component.

In exceptional cases, where results have been issued after the normal publication date, the closing date for applications will be extended by the same period as the delay.

2.4 For all other examinations the final closing dates for all EAR applications are **4 weeks from the publication of results**.

2.5 **Requests received after the respective closing date will not be accepted.** Further information can be found in **Section 6.5 – Acknowledgement, page 9**.

3. Fees

- 3.1 Fees for post-results services (Access to Scripts and Enquiries about Results) are set independently by each individual awarding body.
- 3.2 Awarding bodies will publish their own arrangements relating to fees charged for Access to Scripts and EAR services.
- 3.3 For clerical checks and post-results reviews of marking, the EAR fee will not be charged if subject grades are amended.
- 3.4 For post-results reviews of moderation, the EAR fees will not be charged if centre marks are reinstated.
- 3.5 Where scripts are requested as part of the Access to Scripts service, awarding bodies will normally invoice centres after the scripts have been supplied.

4. Private candidates

Awarding bodies will accept an application for access to scripts or an enquiry about results directly from a private candidate. However, an awarding body will ask for proof of identity to be established and may also ask for the appropriate fee to be paid before the request is processed. Private candidates also have the option of seeking an application through their centre in the first instance. The private candidate may appeal to the awarding body if he/she remains dissatisfied after the outcome of an enquiry about results.

In any communication with an awarding body, the private candidate should make it clear that he/she is a private candidate. When completing the JCQ EAR form, the private candidate should record their name in the 'centre' name field and fill in their address. The private candidate **must** sign the form and **must** include the fee for the service with the request form.

Where private candidates are applying directly to an awarding body, the relevant awarding body should be contacted **in advance** of the respective deadline date so that a copy of the JCQ EAR form may be obtained.

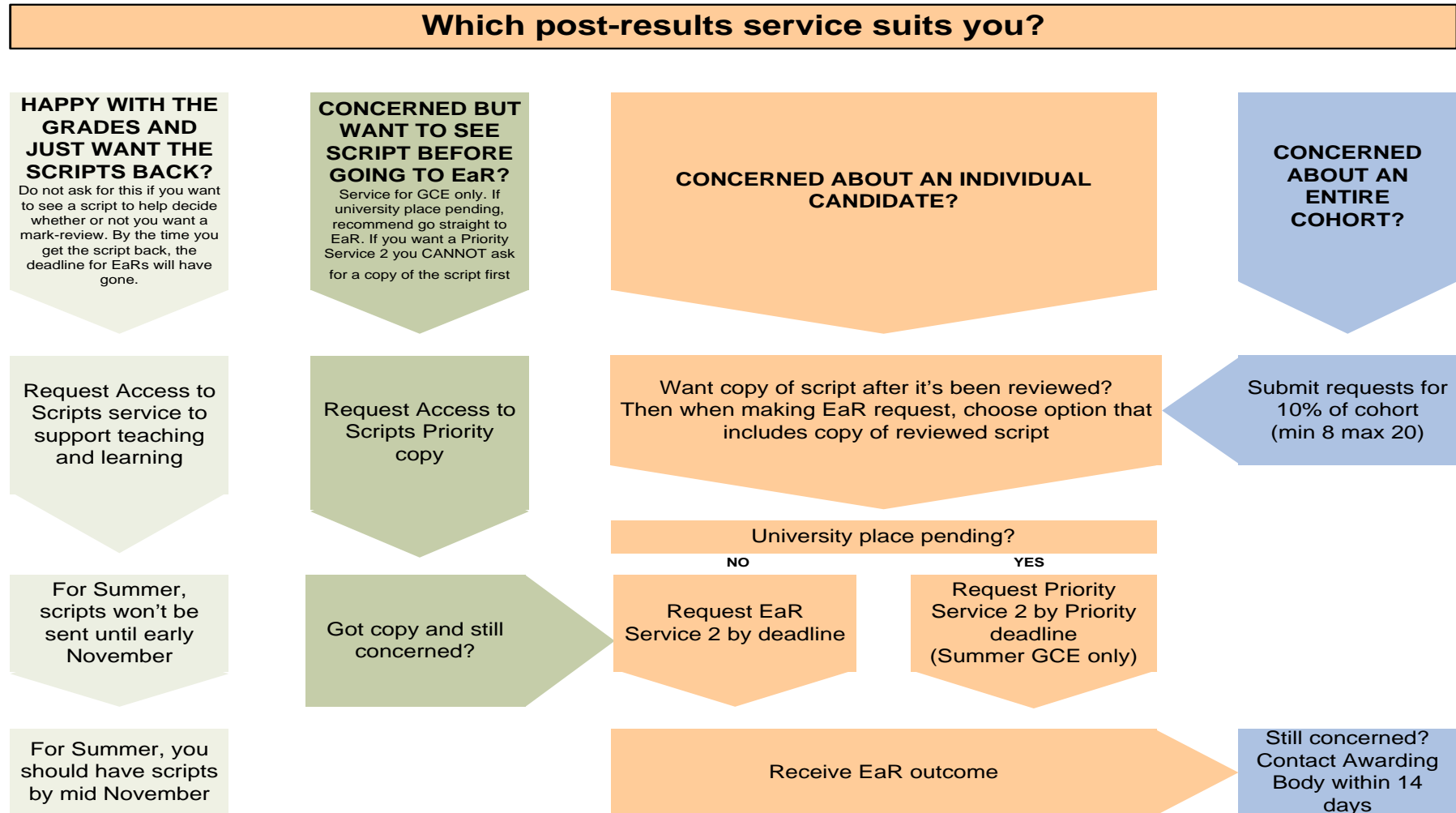
The Ofqual definition of a private candidate is: *A candidate who pursues a course of study independently but makes an entry and takes an examination at an approved examination centre. The awarding organisation must accept communications about access to scripts or enquiries about results directly from the private candidate.*

For information on Enquiries about Results, please see **Section 6, page 6**.

For information on Appeals, please see **Section 7, page 12**.

For information on Access to Scripts, please see **Section 8, page 14**.

5. Which post-results service do I want?



SECTION TWO: EARs and Appeals

6. Enquiries about Results (EARs)

6.1 Centre responsibilities

- 6.1.1 Please ensure that all centre staff are fully aware of the Enquiry about Results process.
Centres must make candidates aware of the arrangements for Enquiries about Results before they sit any examination(s).

6.2 Candidate consent

- 6.2.1 Centres **must obtain** candidate consent for **clerical checks and post-results reviews of marking**, as with these services candidates' marks and **subject grades may be lowered**.
- Candidates **must** be informed of this possible outcome and provide their informed consent in writing before an application is submitted. (A suggested form for centres to use is included as **Appendix A, page 17. Fully informed consent from the candidate is also acceptable by e-mail.**)
 - Consent forms **must** be retained by the centre and kept for at least 6 months following the outcome of the enquiry about results or any subsequent appeal.
 - An on-line application carries with it confirmation to the awarding body that the candidate's informed consent has been obtained. (The submission of a signed application form does likewise.)
- 6.2.2 Candidate consent is **not** required for **post-results review** of moderation as candidates' marks may be lowered but their **published subject grades will NOT be lowered** in the series concerned. However, centres should be aware that a lowered mark may be carried forward to future certification. For example, if a coursework mark which contributes to an AS award is lowered as a result of review of moderation, the AS grade will be protected, but the lower mark will contribute to any subsequent A-level award.

6.3 The awarding bodies offer the following Enquiry about Results services.

6.3.1 Service 1 (Clerical re-check)

This is a re-check of all clerical procedures leading to the issue of a result.

- **Submit the application on-line.**
- Candidate consent is required (**see Section 6.2**).
- For the **June 2012 examination series**, the request **must** be received by the awarding body by **20 September 2012**.
- **The target for completion is within 20 calendar days of the awarding body receiving the request.**

This service will include the following checks:

- that all parts of the script have been marked;
- the totalling of marks;
- the recording of marks;
- **if requested**, a copy of the re-checked script(s) for those units/components included in the Access to Scripts service.

The outcome of the re-check will be reported along with a statement of the total marks awarded for each unit, or component, included in the enquiry.

Only Service 1 clerical re-checks can be requested for objective tests (multiple choice tests).

6.3.2 Service 2 (Post-results review of marking)

This is a post-results review of the original marking to ensure that the agreed mark scheme has been applied correctly. **The service is available for externally assessed components of both unitised and linear specifications.**

- **Submit the application on-line.**
- Candidate consent is required (see Section 6.2, page 6).
- For the **June 2012 examination series**, the request **must** be received by the awarding body by **20 September 2012**.
- **The target for completion is within 30 calendar days of the awarding body receiving the request.**

This service will include:

- the clerical re-checks detailed in Service 1;
- a review of marking as described above;
- **if requested**, a copy of the reviewed script(s) for those units/components included as part of the Access to Scripts service. (If the nature of the unit/component is such that access to scripts cannot be arranged, such as externally assessed GCE AS and GCE A2 Modern Foreign Language Speaking tests, then a report/copy of the record sheet may be requested. Awarding bodies will advise centres of the mechanism by which reports may be requested.)

If a centre is concerned about the marking of an entire centre cohort, you must refer to Section 6.7, page 10.

6.3.3 Priority Service 2 (Post-results review of marking)

This service is as Service 2. However, it is only available if a GCE A-level candidate or a Level 3 Principal Learning candidate's place in higher education is dependent on the outcome.

Any applications not meeting these criteria will be treated as normal Service 2 requests.

- **Submit the application on-line.**
- Candidate consent is required (see Section 6.2, page 6).
- For the **June 2012 examination series**, the request **must** be received by the awarding body no later than **24 August 2012**.
- **The target for completion is within 18 calendar days of the awarding body receiving the request.**

6.3.4 Service 3 (Post-results review of moderation)

This is a review of the original moderation to ensure that the assessment criteria have been fairly, reliably and consistently applied. **Please note that if your centre's controlled assessment or coursework marks have been accepted without change by an awarding body, this service will not be available.**

- **Submit the application on-line.**
- Candidate consent is **NOT** required (see Section 6.2, page 6).
- For the **June 2012 examination series**, the request **must** be received by the awarding body by **20 September 2012**.
- **The target for completion is within 40 calendar days of the moderator receiving the original sample of work from the centre.**
- **Review of moderation will be undertaken on the original sample of candidates' work.**
- Review of moderation may include feedback similar to that provided following the original moderation.
- If centre-marks are reinstated, feedback will not be provided.
- **Review of moderation cannot be undertaken upon the work of an individual candidate or the work of candidates not in the original sample.**

Centres who are in possession of the original sample of work must ensure it is ready for despatch and they will be provided with the details of a moderator to whom the work should be sent. Centre assessed work should not be sent at the time of submitting the application.

Work submitted for review of moderation **must**:

- be despatched to the moderator within **three working days – failure to meet this undertaking may delay the outcome of the enquiry** (N/A for CCEA centres for 'A' specifications);
- be the original work submitted for moderation;
- have been kept under secure conditions and not returned to the candidates.

This service cannot be undertaken on ephemeral material unless suitable evidence (such as the video taping of theatrical performances) can be provided. Centres should note that there may be a need for them to retain a copy of the work, if a candidate intends to re-submit work at the next assessment opportunity.

Advice: Centres operating as part of a consortium **must** submit requests on behalf of all centres within the consortium. Individual centres within the consortium cannot request review of moderation solely on their own behalf. For centres in a Diploma consortium, the request for an enquiry about results must be submitted by the centre which made the entries.

6.4 Submission of requests

Centres must submit requests on-line via the awarding body extranet sites.

6.4.1 **The published EAR services are the only mechanism by which concerns about results will be addressed.**

6.4.2 Where a centre is unable to use an awarding body's extranet site, the centre **must** contact the individual awarding body immediately by telephone.

6.4.3 Letters of concern **cannot** be accepted as applications for EAR services. Centres with such concerns should use the published enquiry about results procedures. **Centres must not submit letters of concern with their applications.**

6.4.4 All requests **must** be submitted either by the head of centre, an authorised member of centre staff, or a private candidate. Awarding bodies will **not** accept applications submitted by any other individuals, e.g. by candidates entered through a centre or by parents.

6.4.5 Centres **must** have in place a formal appeals procedure for use in cases where centres and candidates, or their parents or carers, cannot agree as to whether an enquiry about results should be submitted. **Awarding bodies can only enter into discussions over enquiries about results with centres and private candidates.**

6.4.6 **Candidates must provide their informed consent for clerical checks and post-results reviews of marking (see Section 6.2, page 6, on candidate consent).**

6.4.7 Applications for unitised subjects **must** be made within the enquiry period immediately following the publication of results for the unit. **Applications cannot be made retrospectively for previous series.**

6.4.8 Please see awarding body contact points (inside front cover) for details of submitting requests to awarding bodies.

6.4.9 Awarding bodies may not cancel an enquiry after submission.

6.5 Acknowledgement

6.5.1 All applications will be acknowledged within **7 working days**.

6.5.2 If an acknowledgement is not received within this period, centres should presume that the application has not been received and contact the awarding body **immediately**. Centres should also regularly check the progress of the application.

6.5.3 If contact is not made until after the deadline for submission of enquiries about results, the awarding body is not obliged to proceed with the application.

6.6 Outcome of enquiries

6.6.1 The outcome of each enquiry will be confirmed by the respective awarding body.

6.6.2 Where a grade changes and a certificate has previously been issued, a replacement will be issued showing the revised grade, once the centre has returned the original certificate to the awarding body.

6.6.3 UCAS will be advised of any changes to Level 3 qualifications grades.

6.6.4 **Where there has been a downgrade, the request will not be revoked and the original higher grade will not be reinstated.**

6.7 If a centre is concerned about the marking of a centre cohort

6.7.1 If a centre has concerns about one of its component/subject cohorts, then it should:

- submit paid requests from a representative sample, comprising about 10% of the cohort;
- **the sample should normally be a minimum of 8 candidates.** In the case of very large centre entries where 10% would be more than 20, centres need not submit more than 20 requests for review of marking.

Please note that taking this action does not mean that an awarding body will automatically proceed to review the entire cohort.

6.7.2 Centres **must obtain** candidate consent for **post-results reviews of marking**, as with these services, candidates' marks and **subject grades may be lowered**.

- Candidates **must** be informed of this possible outcome and provide their informed consent in writing before an application is submitted. (A suggested form for centres to use is included as **Appendix A, page 17.**)
- Consent forms **must** be retained by the centre and kept for at least 6 months following the outcome of the enquiry about results or any subsequent appeal.
- An on-line application carries with it confirmation to the awarding body that the candidate's informed consent has been obtained. (The submission of a signed application form does likewise.)

6.7.3 If upon receipt of the review of marking outcomes, the centre still has concerns:

- it should raise the matter with the awarding body **within 14 days of receipt of the outcome of the last relevant review of marking result**;
- a centre does not have to submit any supporting evidence such as proofs, statistics or letters. It need only convey a simple statement of its concern to the relevant awarding body.

6.7.4 The awarding body will review the case, and will authorise an extended review of marking if it decides that a trend of significant under-marking has been revealed.

- **'Significant under-marking' is generally defined as a change of more than 5% of the total available raw marks for the paper.**
- At least 50% of the sample must have experienced significant under-marking for it to be considered a 'trend'.
- Subject grade changes **will not** be used as a criterion to determine whether an EAR should be extended.
- The evidence of a very small number of enquiries about results cannot be accepted as a trend.

6.7.5 Where an awarding body is satisfied that an 'extended review of marking' is warranted, the review may take one of the following courses of action, as the awarding body considers appropriate:

- review of the marking of some candidates or some responses;
- review of the marking of all remaining candidates in the centre cohort in the unit/component concerned;
- a statistical adjustment to the raw marks of the remaining candidates in the unit/component concerned.

- 6.7.6 Where the awarding body initiates an 'extended review of marking', candidates' marks and subject grades may only be confirmed or raised; marks and subject grades will not be lowered.
- 6.7.7 Where the awarding body initiates an 'extended review of marking', centres will not be charged a fee.
- 6.7.8 Where the awarding body initiates an 'extended review of marking', centres will not be invoiced for those reviews requested as part of the 'representative sample' (**see 6.7.1, page 10**).

6.8 Uniform Mark Scale (UMS) Marks

- 6.8.1 An explanation of how uniform marks are calculated may be found on awarding body websites. However, the following points may be helpful.
- Raw marks are the marks that are recorded on scripts by examiners – the maximum raw mark differs according to the unit/component.
 - Candidates' results in unitised subjects are reported as uniform marks – these are fixed for all units/components with equal weighting.
 - Uniform marks are calculated from raw marks.
 - There will not necessarily be an obvious direct relationship between raw and uniform marks.
 - Small variations in raw marks may lead to larger UMS differences.
 - **Awarding bodies will monitor the outcome of enquiries about results in terms of raw marks and not uniform marks.**

N.B. In the case of Principal Learning units, awarding bodies will monitor the outcome of enquiries about results in terms of raw marks and not point scores.

6.9 Candidate malpractice

- 6.9.1 If candidate malpractice is discovered during a post-results review of marking or a post-results review of moderation, the script/controlled assessment/coursework will be processed in accordance with the JCQ document *Suspected Malpractice in Examinations and Assessments – Policies and Procedures*. Candidates may lose some or all of their marks, consequently affecting grades awarded.

7. Appeals

- 7.1 The appeals process is available to centres or private candidates who remain dissatisfied after receiving the outcome of an enquiry about results. Centres or private candidates should refer to the JCQ publication *Guide to the awarding bodies' appeals processes* which is available on the JCQ website (http://www.jcq.org.uk/exams_office/appeals/). This booklet provides full details of the awarding bodies' appeals processes.
- 7.2 **Appeals can only be submitted after the outcome of an enquiry about results has been reported to the centre or private candidate.** Where an original hard copy script has been returned to a centre or a private candidate as part of an enquiry about results, its security is compromised and it **cannot** be subject to an appeal.
- An appeal against a moderation decision cannot be made on behalf of an individual candidate.**
- 7.3 Appeals **must** be submitted to **the relevant awarding body** within **14 calendar days** of the notification of the outcome of the enquiry.
- 7.4 **Only the head of centre or a private candidate can submit an appeal.**
- 7.5 Appeals **must** be made in writing and clearly state the grounds for appeal.
- 7.6 The grounds for appeal **must** relate to the awarding body's procedures or the application of these post-result service procedures.
- 7.7 **Appeals do not generally involve further reviews of marking of candidates' work.**
- 7.8 The appeals process will consider if the awarding body's procedures are consistent with the regulators' Code of Practice and have been properly and fairly applied. Centres are advised to refer to the relevant sections of the regulators' Code of Practice **prior** to submitting an appeal.
- 7.9 The procedures open to investigation may include:
- the setting of papers;
 - marking/moderation procedures;
 - the grade award;
 - EAR and Appeal procedures.
- 7.10 Awarding bodies may charge a fee for appeals. This fee will be refunded if the appeal is upheld.

7.11 The awarding body appeals process consists of two stages:

Stage 1 – Awarding Body

- A review of the case by a senior member of the awarding body's staff who has had no previous involvement with the case.
- The outcome of the stage 1 appeal will be notified in writing.
- The head of centre or private candidate **must** take any further appeal to stage 2 within **14 calendar days** of the receipt of the outcome of stage 1 of the appeal.

Stage 2 – Awarding Body Panel

- The case will be presented to the Appeals Panel convened by the awarding body.
- The Appeals Panel will be comprised of at least three members, one of whom will be an independent member.
- The Appeals Panel is not authorised to further review the marks of candidates' work.
- The Appeals Panel can instruct the awarding body to reconsider the case and may offer recommendations.
- The outcome of the stage 2 appeal will be notified in writing.
- A report on the stage 2 appeal hearing will be provided.

Awarding bodies are required to complete stages 1 and 2 of the appeal process and report the outcome within **50 working days**. Centres are therefore requested to co-operate with the awarding body in order to facilitate the appeal process.

7.12 **External Appeals to the Examinations Appeals Board (EAB)**

The EAB is independent of the awarding bodies and exists as a final avenue of appeal. A centre or a private candidate can only appeal to the EAB if they have completed a Stage 2 appeal and remain dissatisfied with the outcome.

- External appeals should be submitted to the Examinations Appeals Board (EAB).
- The EAB will only hear an appeal once stages 1 and 2 of the awarding body's appeal process have been completed.
- Appeals to the EAB must be submitted in writing **within three weeks of receipt of the draft report detailing the outcome of an appeal to an awarding body.**

Further information regarding the external appeals process to the Examinations Appeals Board (which may **only** be used after stage 1 and stage 2 appeals have been heard and completed by an awarding body) may be obtained from the EAB: www.theeab.org.uk

**The Examinations Appeals Board
Ofqual
Spring Place
Herald Avenue
Coventry
CV5 6UB**

Telephone: 024 766 71848

SECTION THREE: Access to Scripts

8. Access to Scripts (ATS)

Centres must submit applications on-line via the awarding body extranet sites.

8.1 Arrangements for access to marked examination scripts

8.1.1 Awarding bodies will provide examination centres and their candidates with access to marked scripts for the following examinations:

- GCE Advanced and Advanced Subsidiary
- GCSE
- Principal Learning

8.1.2 A 'script' refers to the written work of a candidate which has resulted from an externally assessed component. Arrangements for Access to Scripts **do not** apply to internally assessed components, orals or audio/video tapes.

8.1.3 Additional information, *Notes for guidance – Access to Scripts Service* may be found within **Appendix C, page 19**.

8.2 Conditions of Access to Scripts (ATS) service

Awarding bodies will only release scripts to centres under the following conditions:

8.2.1 Scripts **must** only be seen by teachers who are members of staff at that centre or within a consortium of centres or returned directly to candidates.

8.2.2 Where teaching staff intend to use scripts for teaching and learning purposes or as examples for other students, prior written permission **must** be obtained from the candidates concerned. This permission may be sought only after the candidates have received their results for the respective examination series. Candidates who grant their permission have the right to anonymise their scripts before use.

A specimen form for centre staff when seeking a candidate's permission to request and use scripts is attached as **Appendix B, page 18**. **Fully informed consent from the candidate is also acceptable by e-mail.**

Scripts used by teachers at the centre **must** be kept securely within the centre. Once no longer required, scripts **must** be disposed of confidentially. Confidential disposal **must not** take place earlier than three months after the publication of results or an appeal involving those scripts.

8.2.3 Candidates have the right to instruct their centres not to request their scripts.

8.2.4 The originals of scripts that are or have been the subject of any malpractice investigation can be withheld by an awarding body. In these circumstances, a photocopy of the scripts may be requested.

8.2.5 **Once an awarding body has returned an original hard copy script to a centre or a private candidate, its security is compromised and it can no longer be subject to an enquiry about results.**

8.3 Informing staff and candidates of the ATS service

8.3.1 **Centre staff must be fully aware of the guidelines controlling these arrangements.** Centres **must** make candidates aware of the arrangements for access to scripts before candidates sit any examination(s) to which these arrangements apply.

8.4 Requesting priority copies of scripts to support Enquiries about Results

Centres must submit applications on-line via the awarding body extranet sites.

- 8.4.1 Centres will be able to request priority copies of relevant **Level 3 scripts** before deciding whether to lodge an enquiry about results. **This service is not available to Priority Service 2 enquiries about results of Level 3 examinations, nor for any enquiries at Levels 1 and 2.**

Advice: If a Level 3 candidate is thinking of having a Priority Service 2 enquiry about results, an application for a priority copy **must not** be requested. Centres should progress straight to a Priority Service 2 enquiry about results, given the limited amount of time available for this service.

- 8.4.2 Requests **must** be submitted to awarding bodies no later than **24 August 2012**.

- 8.4.3 Centres will receive the copies by no later than **10 September 2012**. **Awarding bodies will provide centres with either a hard copy or an electronic image of the script.**

- 8.4.4 Requests received after the deadline **will not** be accepted.

- 8.4.5 A centre that requires a copy of the script which has been subject to either a clerical re-check or a review of marking should refer to **Section 6.3, page 6**.

8.5 Requesting scripts to support teaching and learning

Centres must submit applications on-line via the awarding body extranet sites.

- 8.5.1 Requests **must** be submitted to awarding bodies no later than **4 October 2012**.

- 8.5.2 Requests received after the deadline **will not** be accepted.

- 8.5.3 Centres will receive their scripts by no later than **16 November 2012**. **Awarding bodies will provide centres with either the original hard copy script or an electronic image of the script.**

- 8.5.4 Once scripts have been despatched as requested, they cannot be returned to the awarding body with a request for a refund.

8.6 Mark schemes

- 8.6.1 A copy of the relevant mark scheme will be made available to centres, normally via an awarding body's website after the publication of results.

- 8.6.2 To enable candidates to interpret their marks, centres may consider providing appropriate help in particular cases. **The awarding bodies will not be able to provide such a service.**

8.7 Storing scripts

- 8.7.1 Centres **must** treat scripts with care, storing them securely. The scripts **must** be seen only by teachers or the staff at the centre or within a consortium of centres, or returned directly to the candidates concerned.

8.8 Tampering with original hard copy scripts (where provided)

- 8.8.1 Centres **must** inform staff and candidates that scripts must not be written on or otherwise tampered with ahead of the earliest date for disposal – **23 November 2012**.
- 8.8.2 Candidates who have tampered with scripts which may need to be retrieved for return to the awarding body earlier than this date, are liable to be penalised in accordance with the established JCQ policies and procedures relating to candidate malpractice.
- 8.8.3 For security purposes awarding bodies will photocopy a sample of scripts, where traditionally marked, before return to centres.

8.9 Disposal of scripts

- 8.9.1 Where teachers have used scripts for teaching and learning purposes but no longer wish to retain them, they **must** ensure that the scripts are disposed of in a confidential manner.
- 8.9.2 In such cases, script disposal **must not** take place earlier than **23 November 2012** in case the awarding body requests the return of some scripts, e.g. research purposes.
- 8.9.3 In the unlikely event that one or more original hard copy scripts which become involved in an EAR have been sent to a centre with a group request, instructions will be sent to the centre by the awarding body.
- 8.9.4 Centres should note that awarding bodies will destroy all scripts remaining after those required for access to scripts, enquiries about results, appeals and research purposes have been extracted. Scripts will be disposed of in a confidential manner.

APPENDIX A



AQA City & Guilds CCEA Edexcel OCR SQA WJEC

ENQUIRIES ABOUT RESULTS AND APPEALS

Candidate consent form

Information for candidates

The following information explains what may happen following an enquiry about the result and any subsequent appeal of an examination.

If your examination centre makes an enquiry about the result and a subsequent appeal of one of your examinations after your subject grade has been issued, there are three possible outcomes:

- Your original mark is lowered, so your final grade may be lower than the original grade you received.
- Your original mark is confirmed as correct, and there is no change to your grade.
- Your original mark is raised, so your final grade may be higher than the original grade you received.

In order to proceed with the enquiry about results, you must sign the form below. This tells the head of your centre that you have understood what the outcome might be, and that you give your consent to the enquiry about results being made.

Candidate consent form

Centre Number	Centre Name
Candidate Number	Candidate Name

Details of enquiry (Awarding Body, Qualification level, Subject title, paper/unit)

.....
.....

I give my consent to the head of my examination centre to make an enquiry about the result of the examination(s) listed above. In giving consent I understand that the final subject grade awarded to me following an enquiry about the result and any subsequent appeal may be lower than, higher than, or the same as the grade which was originally awarded for this subject.

Signed: Date:

This form should be retained on the centre's files for at least 6 months following the outcome of the enquiry about results or any subsequent appeal.

APPENDIX B



AQA City & Guilds CCEA Edexcel OCR SQA WJEC

ACCESS TO SCRIPTS

Candidate consent form for use of examination scripts

Centre Number	Centre Name
Candidate Number	Candidate Name

Tick **ONE** of the boxes below:

- If any of my scripts are used in the classroom I do not want anyone to know I wrote them. My name and candidate number must be removed.

- If any of my scripts are used in the classroom I do not mind if other people know I wrote the script.

Signed: Date:

This form should be retained on the centre's files.

APPENDIX C



AQA City & Guilds CCEA Edexcel OCR SQA WJEC

Notes for guidance – Access to Scripts service

How are scripts marked?

Scripts can be marked either on-screen or traditionally.

Where scripts are marked on-screen they are collected from centres, using a secure and traceable system, and delivered to a scanning centre where they are scanned into a computer system to produce an image of the candidate's answers. The scanned images of the script are then separated into 'clips' by question (or parts of questions) according to the marking process that is appropriate. These files can be processed by computer and transmitted through the internet.

The transfer of electronic files over the internet is protected by the latest encryption technology, similar to that used by modern banking systems.

The best method for each 'clip' is selected after the exam questions have been set and the method of marking allocated accordingly.

Questions giving rise to complex answers will be allocated to an expert examiner who will be a subject specialist; questions with single correct answers can be marked by a general marker using a tightly defined mark scheme; whilst questions with single-letter, single-word or tick box answers can be auto-marked by computer.

Where scripts are marked traditionally they are collected from centres, using a secure and traceable system, and delivered to individual examiners who will mark the hard copy and return marks and scripts to the awarding body for processing.

Irrespective of the method of marking, all scripts pass through a number of quality assurance procedures. These procedures are regulated by the *GCSE, GCE, Principal Learning and Project Code of Practice* which is issued by the regulators and which all awarding bodies must follow.

Every script is marked by an examiner selected on the basis of his/her qualifications and experience. All examiners receive training on how to apply the mark scheme. During the marking period for traditional scripts the work of each examiner is checked at least twice by a more senior examiner. This monitoring process may result in some marks on scripts being changed. Every page of a script will show evidence of having been seen and marked.

For on-screen marking, the standard of the examiners and markers is checked throughout the marking period.

Examiners and markers will read the questions or items on-screen and decide the marks.

Mark Scheme

For each written component, a copy of the mark scheme will be available via an awarding body's website after the publication of results for the series concerned. Reference to the mark scheme will show how the awarding body has arrived at the final mark for each script.

Use of coloured ink on traditionally marked scripts

Examiners use red ink. Senior Examiners use different coloured ink. This helps the awarding body to monitor the marking process. Some scripts will therefore have been marked in more than one colour ink. The clerical check of scripts (see below) may be in a third colour, or pencil. If you request copies of scripts, you will not be able to tell which mark is in which colour.

(For scripts marked on-screen, a copy of the scanned image will be provided to centres. In some instances, the scanned image will be accompanied by a transcript which shows the marks awarded for each question item and the total mark for the paper.)

Comments on traditionally marked scripts

Where appropriate, examiners may write comments on scripts indicating the way in which candidates have met the requirements of the marking scheme. Examiners are asked to refer scripts to a more senior examiner where they are doubtful about how to apply the mark scheme. A script might have a note to that effect.

(Scripts marked on-screen may not show any comments when they are returned to centres.)

Clerical checks

Scripts are checked to ensure that there are no errors in totalling and that all parts of the script have been marked. Alterations to total marks will be shown where any such mistakes have been found.

Where scripts are marked on-screen, no clerical checking is necessary as the marks for questions and items are totalled by the computer.

Marks for Quality of Written Communication

The Code of Practice requires that marks be awarded in most subjects for quality of written communication. Such marks are either recorded separately on scripts or clearly shown in the mark scheme.

Other annotations on traditionally marked scripts

Some scripts may contain further indication of marking, checking or other administrative processes having been carried out, e.g. initials of examiners, examiner numbers or ink stamps such as "KEYED IN". A rubric infringement (e.g. too many questions answered) will normally be indicated as such.

Examiner Adjustments

The monitoring of examiners by senior examiners establishes whether the marking of each examiner is consistent, and identifies whether there is any leniency or severity in the marking. Where there is evidence of leniency or severity, marks may be adjusted. These adjustments will not be shown on the scripts. As a consequence, the mark on the script may not be the same as the final mark awarded for the paper which is normally reported to the school or college with the results. It is the mark held in an awarding body's database which goes towards the candidate's overall result.

Where scripts are marked on-screen, marking is monitored by a senior examiner and adjusted in real time.

Special Consideration

Where a school or college has asked for special consideration to be given to a candidate, an extra mark or marks may have been allowed by the awarding body. Any such adjustment will not be shown on the script and, as a consequence, the mark on the script may not be the same as the mark for the paper reported with the results. It is the mark held in an awarding body's database which goes towards the candidate's overall result.

Weighting of Paper Marks

For individual papers the total mark as shown on the script may be scaled. For example, a paper might be marked out of 100, but carry 25% weighting of the total marks for the subject. The mark out of 100 may have been scaled to reflect the contribution of the paper to the subject total mark. The final mark for each paper, as used by the awarding body to calculate the candidate's total marks for the subject, will normally have been provided to the school or college with the results.

Uniform Mark Scale

Marks for question papers which are part of a unitised scheme of assessment are reported in terms of a uniform mark scale. The mark reported under the uniform mark scale will be different from the mark shown on the candidate's script. Further information about the use of UMS marks may be found on awarding bodies' websites.

Enquiries

The awarding bodies cannot engage in correspondence with candidates or their parents/carers relating to the marked examination scripts. The awarding bodies operate an enquiry about results service for the review of marking and checking of scripts after results have been issued. Any queries must be part of this formal enquiry about results process and must be submitted by the centre which will have full details of the services available and their costs.

APPENDIX D

Frequently asked questions

1. Which service do I want?

1.1 I just want to see the candidate's script and do not want a review of the marking

*You should request **scripts to support teaching and learning**. (See Section 8.5, page 15, for details.)*

1.2 I want to see a script to decide whether to have its marking reviewed

*You should ask for a **priority copy of the script**. You cannot do this for Level 1 and 2 qualifications: you can only do it for Level 3 qualifications. **If you want this option, see Section 8.4, page 15, for details.***

1.3 A Higher Education place is at stake – which service shall I use?

*You should apply for a **Priority Service 2 EAR**, see section 6.3.3, Page 7. This is because you only have until 24 August 2012 to request a Priority Service 2 EAR. **Please note that you cannot ask for a priority copy of the script.***

1.4 If I ask for the return of a script (not a copy) can I use that to decide whether or not to have the marking reviewed?

***No.** Firstly, awarding bodies do not send out scripts to support teaching and learning until after the deadline for enquiries about results. Secondly, where an original hard copy script is in the possession of a centre, its security is compromised and it cannot then be accepted for a review of marking.*

1.5 I want to see a script after it has undergone a review of the original marking

*You should request **Service 2 (a mark review)** or **Priority Service 2 (a priority mark review)** and make sure that you **request a copy** when submitting your enquiry. The script will be reviewed and the copy sent to you when the service is completed.*

It is strongly recommended that you do not ask for a review of marking, and then separately ask for the return of the script to support teaching and learning.

2. Contact the awarding body if:

2.1 You have requested a Service 2 (a mark review) but omitted to request a copy of the reviewed script at the time

2.2 You have requested the return of a script for teaching and learning, but really wanted a Service 2 (a mark review)