

GUIDANCE

# Appeals

Guide to the data submission process

**ofqual**

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# Introduction

In order to fulfil our regulatory and accreditation functions as set out in the [Apprenticeships, Skills, Children and Learning Act 2009](#), we require awarding organisations to provide exams delivery data for regulated qualifications.

## When data will be collected

Data will be collected according to the [reporting schedule](#) which is agreed and maintained by Ofqual's data services team.

## Data to be collected

Appeals data will be collected for GCSE, AS, A level, Project L1, Project L2, Project L3 and Advanced Extension Awards.

# General completion guidelines

Guidance relating specifically to summer 2021 is highlighted in bold below.

1. Appeals with multiple grounds should have rows of data repeated for each ground given in the 'Nature of appeal' field.
2. Data showing the preliminary stage of an appeal should remain in each submission, even if the appeal progresses to the appeal hearing stage.
3. Appeals involving centre staff should have a unique identifier preceded by 'Staff\_'. For example, Staff\_123456A. This should be entered into the UCI field.
4. The Post Appeal qualification UMS (modular) / Scale score (linear) and the Post Appeal qualification grade fields, should reflect the overall outcome at the qualification level. Therefore, if a candidate has an appeal on more than one unit for the same specification the values in these fields should be consistent, even if one of the units did not result in a change.
5. This also applies to appeals progressing to an appeal hearing (stage 2). If the grade change did not occur until stage 2, the row of data for stage 1 must still show the grade change. Identification of which unit or stage resulted in the change will be made possible from the unit level fields.
6. Nature of appeal field has new values for summer 2021:
  - a. Centre Procedural Error: Access Arrangements
  - b. Centre Procedural Error: Other Procedural review
  - c. Centre Procedural Error: Special Consideration/Mitigating Circumstances
  - d. Centre Procedural Error: Access Arrangements/Mitigating Circumstances

- e. Centre Procedural Error: Mitigating Circumstances
  - f. Administrative error – AO
  - g. Administrative error – centre
  - h. Unreasonable exercise of academic judgement – Determination of Grade
  - i. Unreasonable exercise of academic judgement – Selection/range of evidence
7. Mark fields (fields 17-22), unit code (field 25) and the date scripts and reasons were requested (fields 26 and 27) do not apply for summer 2021. Please include these fields in data returns and provide values of -2 for fields 17-22 and 25 and '2999-12-31' in fields 26 and 27.
  8. For summer 2021 returns, please include all appeals data from the start of the appeals process (i.e., results days) to as near as possible to submission by noon on Tuesday. There is no designated cut-off date or time for these returns.
  9. For summer 2021 returns, please classify centre reviews as 'Stage 1' and AO appeals as 'Stage 2' for the 'Current stage of appeal' and 'What stage was appeal resolved' fields.
  10. Data on stage 1 appeals will only be expected when the centre has notified you of a grade change upon completion of the appeal.

## File format

The file must be CSV format and the first row must be headers as displayed in the '**Name**' column of the table below. The subsequent rows must have the values of the data to be reported which must match the format and validation rules below.

Name	Description	Position	Validation Regular Expression	Description of Regular Expression
Exam Series	Exam series data relates to, for example June 2021	1	^(June) ([0-9][0-9][0-9][0-9])\$	Full month name of exam series and year.
Reporting Date	Date the file was due to be submitted regardless of when it was actually uploaded. Format accepted 120 ODBC canonical <b>yyyy-mm-dd</b> .	2	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$	The date in the following format: year (4 digits), a dash, month (4 digits), a dash, day (4 digits).
Awarding Organisation	Name of the awarding organisation	3	^.{1,100}\$	1 to 100 characters accepted
Case Ref No.	Unique identifier for appeal case. Awarding organisations to supply unique identifier in any appropriate format.	4	^.{1,25}\$	1 to 25 characters accepted
Centre No.	Centre number (NCN)	5	^\d{1,5}\$	Up to 5-digit integer accepted
Unique Candidate Identifier	Unique Candidate Identifier (UCI)	6	^.{1,13}\$	Alpha numeric 13 characters accepted. <b>This field can also be used for unique centre staff identifier where relevant.</b>
QAN	Qualification Accreditation Number, for example 123/1234/1	7	^.{1,10}\$	1 to 10 characters accepted
Specification title	Specification title also known as subject title	8	^.{1,150}\$	1 to 150 characters accepted
Specification code	Specification code also known as Subject Award Code and Cash-in Code	9	^.{1,7}\$	1 to 7 characters accepted

Qualification level	Level of qualification e.g. GCSE	10	^(GCSE GCSE linear GCSE full course GCSE short course AS A level Project L1 Project L2 Project L3 AEA)\$	One of the following list: GCSE, GCSE linear, GCSE full course, GCSE short course, AS, A level, Project L1, Project L2, Project L3 or AEA.
Date received	Date received	11	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$	DATETIME in the following format: year (4 digits), a dash, month (2 digits), a dash, day (2 digits), a space, hour (2 digits), a colon, minutes (2 digits), a colon, seconds (2 digits).  <b>If time is not recorded please just submit a date yyyy-mm-dd.</b>
Date completed	Date completed <b>Defined as the date when an appeal is completed and decision letter is sent.</b>	12	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$	DATETIME in the following format: year (4 digits), a dash, month (2 digits), a dash, day (2 digits), a space, hour (2 digits), a colon, minutes (2 digits), a colon, seconds (2 digits).  <b>2999-12-31 00:00:00.000 accepted for appeals still in process.</b>  <b>If time is not recorded please just submit a date yyyy-mm-dd.</b>

Nature of appeal	Nature of appeal	13	<p>^ ( Malpractice   Maladministration   Administrative error - centre   Procedural inconsistencies - centre   Administrative error - AO   Unreasonable exercise of academic judgement - centre ) \$</p>	<p><b>Accepted values:</b></p> <p><b>Values expected for summer 2021</b></p> <p>Malpractice</p> <p>Maladministration</p> <p>Centre Procedural Error: Access Arrangements</p> <p>Centre Procedural Error: Other Procedural review</p> <p>Centre Procedural Error: Special Consideration/Mitigating Circumstances</p> <p>Centre Procedural Error: Access Arrangements/Mitigating Circumstances</p> <p>Centre Procedural Error: Mitigating Circumstances</p> <p>Administrative error – AO</p> <p>Administrative error – centre</p> <p>Unreasonable exercise of academic judgement – Determination of Grade</p> <p>Unreasonable exercise of academic judgement – Selection/range of evidence</p> <p><b>Values not expected for summer 2021</b></p> <p>Review of moderation - marking error</p> <p>Review of moderation – procedural</p>
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				<p>Review of marking – procedural</p> <p>Review of marking - marking error</p> <p>Reasonable adjustment or special consideration</p>
Current stage of appeal	Current stage of appeal at the time data reported	14	^(Stage 1 Stage 2 Stage 2 Priority N/A - referred to EPRS)\$	<p><b>Accepted values:</b></p> <p>Stage 1</p> <p>Stage 2</p> <p>Stage 2 Priority</p> <p>N/A - referred to EPRS</p>
What stage was appeal resolved	Stage appeal was resolved	15	^( Stage 1 Stage 2 Stage 2 Priority With AO but still in process  N/A - referred to EPRS Remitted back to AO from EPRS -2)\$	<p><b>Accepted values:</b></p> <p>Stage 1</p> <p>Stage 2</p> <p>Stage 2 Priority</p> <p>With AO but still in process</p> <p>N/A - referred to EPRS</p> <p>Remitted back to AO from EPRS.</p> <p>-2 accepted if none of the above values apply</p>
Appeal upheld	To indicate if the appeals was upheld	16	^(Y N Partially TBC -2)\$	<p>Y, N, Partially, or TBC accepted values</p> <p><b>-2 accepted if outcome not recorded or available</b></p>



Pre Appeal unit raw mark	Raw mark at beginning of appeal	17	$^{\wedge}\backslash d\{1,3\}\$$	<p>Three-digit integer accepted.</p> <p><b>NB:</b> Mark at beginning of Appeals stage rather than original mark. For example, original mark of 44, changed to 46 at review of marking stage but candidate still went on to appeals stage – awarding organisation should enter 46.</p> <p><b>-2 accepted for teacher appeals.</b></p> <p><b>-2 expected for appeals relating to teacher assessed grades</b></p>
Post Appeal raw mark	Raw mark after appeal	18	$^{\wedge}\backslash d\{1,3\}\$$	<p>Three-digit integer.</p> <p><b>-2 accepted where the post Appeal raw mark is unknown.</b></p> <p><b>-2 accepted for teacher appeals.</b></p> <p><b>-2 expected for appeals relating to teacher assessed grades</b></p>

Pre Appeal unit UMS	Unit UMS at beginning of appeal	19	$^{\wedge}\backslash d\{1,3\}\$$	<p>Three-digit integer accepted. A float value also accepted for a three-digit integer with up to two decimal places.</p> <p><b>-2 accepted for subjects that do not convert to UMS.</b></p> <p><b>NB:</b> Mark at beginning of Appeals stage rather than original mark. For example, original mark of 44, changed to 46 at review of marking stage but candidate still went on to appeals stage – awarding organisation should enter 46.</p> <p><b>-2 accepted for teacher appeals.</b></p> <p><b>-2 expected for appeals relating to teacher assessed grades</b></p>
Post Appeal UMS	Unit UMS after appeal	20	$^{\wedge}\backslash d\{1,3\}\$$	<p>Three-digit integer accepted. A float value also accepted for a three-digit integer with up to two decimal places.</p> <p><b>-2 accepted for subjects that do not convert to UMS or value unknown.</b></p> <p><b>-2 accepted for teacher appeals.</b></p> <p><b>-2 expected for appeals relating to teacher assessed grades</b></p>

<p>Pre Appeal qualification UMS (modular) / Scale score (linear)</p>	<p>Qualification UMS at beginning of appeal</p>	<p>21</p>	<p><math>^{\wedge}\backslash d\{1,3\}\\$</math></p>	<p>Three-digit integer accepted. Float also accepted for a three digit integer with up to two decimal places.</p> <p><b>-2 accepted for subjects that do not convert to UMS.</b></p> <p><b>Note:</b> Candidates with an appeal that involves multiple units/ components on the same specification should have consistent original qualification UMS across all units.</p> <p><b>NB:</b> Mark at beginning of Appeals stage rather than original mark. For example, original mark of 44, changed to 46 at review of marking stage but candidate still went on to appeals stage – awarding organisation should enter 46.</p> <p><b>-2 accepted for teacher appeals.</b></p> <p><b>-2 expected for appeals relating to teacher assessed grades</b></p>
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<p>Post Appeal qualification UMS (modular) / Scale score (linear)</p>	<p>Qualification UMS after appeal</p>	<p>22</p>	<p><math>^{\wedge}\backslash d\{1,3\}\\$</math></p>	<p>Three-digit integer accepted. A float value also accepted for a three-digit integer with up to two decimal places.</p> <p><b>-2 accepted for subjects that do not convert to UMS or value unknown.</b></p> <p><b>Note:</b> Candidates with an appeal that involves multiple units/components on the same specification should have consistent post qualification UMS across all units.</p> <p><b>-2 accepted for teacher appeals.</b></p> <p><b>-2 expected for appeals relating to teacher assessed grades</b></p>
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<p>Pre Appeal qualification grade</p>	<p>Qualification grade at beginning of appeal</p>	<p>23</p>	<p>^(A* A*A* A*A A Star A Star A Star A Star A Star A AA AB BB BC CC CD DD DE EE EF F FG GG UU A B C C* D E F G U 1 2 3 4 5 6 7 8 9 1-1 2-1 2-2 3-2 3-3 4-3 4-4 5-4 5-5 6-5 6-6 7-6 7-7 8-7 8-8 9-8 9-Merit Distinction -2)§</p>	<p>One of the following list:  <b>Merit, Distinction, A*, A Star, A***, A Star A Star, A*A, A Star A, AA*, AA, AB, BB, BC, CC, CD, DD, DE, EE,EF, FF, FG, GG, A, B, C, C*, D, E, F, G, U, 9 to1, 9-9 to 1-1</b></p> <p><b>-2 also accepted for unknown or not applicable value.</b></p> <p><b>NB:</b> Qualification grade at beginning of appeals stage rather than original grade. For example, original grade D, changed to C at review of marking stage, but candidate still went on to appeals stage – awarding organisation should enter C.</p> <p><b>-2 accepted for teacher appeals.</b></p>
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<p>Post Appeal qualification grade</p>	<p>Qualification grade after appeal</p>	<p>24</p>	<p>^(A* A*A* A* A A Star  A Star A Star  A Star A AA AB BB B C CC CD DD D E EE EF FF F G GG UU A B  C C* D E F G  U 1 2 3 4 5  6 7 8 9 1- 1 2-1 2-2 3- 2 3-3 4-3 4- 4 5-4 5-5 6- 5 6-6 7-6 7- 7 8-7 8-8 9- 8 9-9  Merit Distin ction -2)\$</p>	<p>One of the following list: Merit, Distinction, A*, A Star, A*A*, A Star A Star, A*A, A Star A, AA*, AA, AB, BB, BC, CC, CD,DD, DE, EE,EF, FF, FG, GG, A, B, C, C*, D, E, F, G, U, 9 to1, 9-9 to 1-1</p> <p><b>-2 also accepted for unknown or not applicable value.</b></p> <p><b>-2 accepted for teacher appeals.</b></p>
<p>Unit code</p>	<p>Unit code</p>	<p>25</p>	<p>^.{1,10}\$</p>	<p>1 to 10 characters accepted.</p> <p><b>Note:</b> If a unit has sub- components, they should be identifiable from a unique value within the unit code, for example MA02 1, MA02 2.</p> <p><b>-2 accepted where not available or not applicable</b></p> <p><b>-2 expected for appeals relating to teacher assessed grades</b></p>

<p>Date script requested</p>	<p>Date script requested <i>(at any stage during the post-results service process)</i></p>	<p>26</p>	<p><code>^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$</code></p>	<p>DATE TIME in the following format: year (4 digits), a dash, month (2 digits), a dash, day (2 digits), a space, hour (2 digits), a colon, minutes (2 digits), a colon, seconds (2 digits).</p> <p><b>Where not applicable or for Appeals that have not had a script request, a value of 2999-12-31 00:00:00.000 may be entered.</b></p> <p><b>If time is not recorded please just submit a date yyyy-mm-dd.</b></p>
<p>Date reason requested</p>	<p>Date reason requested</p>	<p>27</p>	<p><code>^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$</code></p>	<p>DATE in the following format: year (4 digits), a dash, month (2 digits), a dash, day (2 digits)</p> <p><b>Where not applicable or for Appeals where the reason was not requested a value of 2999-12-31 may be entered</b></p>

# Contacts

For all queries relating to the data collection process, amendments to data previously provided, or for general guidance, please contact:

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