

GUIDANCE

Appeals in Vocational and Technical qualifications

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.

What data will be collected?

Data on appeals made for assessments taken or decisions made during the 2018/19 (1 September 2018 to 31 August 2019) and the 2019/20 (1 September 2019 to 31 August 2020) academic year.

The data should include all appeals relating to all VTQ Performance Table Qualifications (PTQs), Functional Skills Qualifications (FSQs) and Other General Qualifications only to learners in centres in England. You will be provided with a list of qualifications that this applies to.

The data should only include appeals against assessments taken or decisions made during the two academic years named above and should only include completed appeals. Appeals made outside of these time periods, or which are still in progress, should not be included. For example, an appeal completed in 2018/19 for an appeal made in 2017/18 should not be included.

When will data be collected?

Data will be collected according to the [reporting schedule](#) which is agreed and maintained by Ofqual's data services team. There will be 2 reporting deadlines for this collection, to capture the number of completed appeals at different points in time:

- 26 November 2020
- 28 January 2021 (this should include all appeals submitted on 26 November 2020 plus any appeals which have been completed since that submission)

General completion guidelines

1. Please see the appendix for further clarification of field values.
2. Numeric values must not have any formatting.

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.

NB. If a file needs to be submitted again, any previous files submitted will need to be rejected by Ofqual's Data Services team before an updated file can be submitted.

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Name	Description	Position	Validation Regular Expression	Description of Regular Expression
ReportingDate	Date the file was due to be submitted regardless of when it was actually uploaded	1	^(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 (2 digits), a dash, day (2 digits) Format accepted 120 ODBC canonical yyyy-mm-dd
AcademicYear	Academic year that the appeal was requested	2	^(20)\d\d[-](20)\d\d \$	The academic year in the following format: start year (4 digits), a dash, end year (4 digits) Format accepted yyyy-yyyy
AwardingOrganisation	Name of the awarding organisation	3	^.{1,100}\$	1 to 100 characters accepted
QualificationNumber	Qualification Number e.g. 123/1234/1	4	^.{1,10}\$	1 to 10 characters accepted
QualificationTitle	The qualification title as it appears on Ofqual's Register	5	^.{1,100}\$	1 to 100 characters accepted
TotalCompletedAppealsPerQualification	The total number of completed appeals for each qualification (this number should be the same for all rows of data for the qualification).	6	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted

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NatureOfAppeal	Nature of appeal	7	^(Malpractice Maladministration Enquiry about results outcome (assessment results) Procedural inconsistencies Incorrect result issued Centre error Incorrect dataset - AO error Error introduced by AO Exceptional factor Reasonable adjustment or special consideration)\$	Accepted values: <ul style="list-style-type: none"> • Malpractice • Maladministration • Enquiry about results outcome (assessment results) • Procedural inconsistencies • Incorrect result issued • Centre error • Incorrect dataset – AO error • Error introduced by AO • Exceptional factor • Reasonable adjustment or special consideration
CompletedAppeals	Number of completed appeals, for each nature of appeal, per qualification	8	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted
AppealsUpheld	Number of appeals upheld, for each nature of appeal, per qualification	9	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted
AppealsNotUpheld	Number of appeals not upheld, for each nature of appeal, per qualification	10	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted
GradesChallenged	Number of grades challenged, for each nature of appeal, per qualification	11	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted
NoGradeChange	Number of grades that remained unchanged, for each nature of appeal, per qualification	12	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted

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GradeChangeUp	Number of grades changed upwards, for each nature of appeal, per qualification	13	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted
GradeChangeDown	Number of grades changed downwards, for each nature of appeal, per qualification	14	^\d{1,5}\$	A numeric value between 0 and 99,999 accepted

Annex: Nature of appeals

Some guidance that may be helpful to understand the nature of appeals values specific to calculated results from summer 2020 is given below:

- Procedural inconsistencies: the awarding organisation did not apply procedures consistently or that procedures were not followed properly and fairly
- Incorrect result issued: that a result was incorrectly issued by the awarding organisation in respect of one or more learners
- Centre error: the centre provided the awarding organisation with incorrect data
- Incorrect dataset - AO error: where the awarding organisation used an incorrect data set, which includes the transposition of data sets from two or more centres
- Error introduced by AO: the awarding organisation introduced errors into a specified data set
- Exceptional factor: in exceptional circumstances, the centre establishes an exceptional factor that undermines the assumption that using a default data set for statistical standardisation is the most likely to lead to consistent results.

Contacts

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

Ofqual
Earlsdon Park
53-55 Butts Road
Coventry
CV1 3BH

Email Data.Services@ofqual.gov.uk



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