



Appeals

Guide to the data submission process

September 2019

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Appeals

Introduction

In order to fulfil our regulatory and accreditation functions as set out in the Qualifications Wales Act 2015¹, we require awarding bodies to provide exams data for regulated qualifications.

This guidance is based on Ofqual's *Guidance for appeals*² document.

When will data be collected?

Data will be collected according to the reporting schedule which is agreed and maintained by Qualifications Wales' statistics team.

What data will be collected?

Appeals data will be collected for GCSE, AS, A level and Welsh Baccalaureate Qualification Skills Challenge Certificate.

General completion guidelines

- This data return is for data relating to learners in Wales only.
- Appeals with multiple grounds should have rows of data repeated for each ground.
- Data showing the preliminary stage of an appeal should remain in each submission, even if the appeal progresses to the appeal hearing stage.
- Appeals involving centre staff should have a unique identifier preceded by 'Staff_'. For example, Staff_123456A. This should be entered into the UCI field.

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.

¹ <http://www.legislation.gov.uk/anaw/2015/5/contents/enacted>

² https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742667/Guidance_for_Appeals.pdf

Name	Description	Position	Validation Regular Expression	Description of Regular Expression
Exam Series	Exam series data relates to, for example June 2018	1	^(June November)([0-9][0-9][0-9][0-9])\$	Full month name of exam series and year
Awarding Organisation	Name of the awarding organisation	2	^.{1,100}\$	1 to 100 characters accepted
Reporting Date	Date the file was due to be submitted regardless of when it was actually uploaded. Format accepted 120 ODBC canonical yyyy-mm-dd	3	^(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)
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 This field can also be used for unique centre staff identifier where relevant
QAN	Qualification Accreditation Number, for example 23/1234/1	7	^.{1,10}\$	1 to 10 characters accepted

QW Number	QW Approval/ Designation Number, for example C00/1234/1	8	^.{1,10}\$	1 to 10 characters accepted, beginning with C A blank value is accepted if the qualification does not have a QW number
Specification title	Specification title also known as subject title	9	^.{1,150}\$	1 to 150 characters accepted
Specification code	Specification code also known as Subject Award Code and Cash in Code	10	^.{1,7}\$	1 to 7 characters accepted
Qualification level	Level of qualification e.g. GCSE	11	^(GCSE GCSE linear GCSE full course GCSE short course AS A level National/Found ation Skills Challenge Certificate Advanced Skills Challenge Certificate Foundatio n (post 16) Skills Challenge Certificate National (post 16) Skills Challenge Certificate)\$	One of the following list: GCSE, GCSE linear, CSE full course, GCSE short course, AS, A level, National/Foundation Skills Challenge Certificate, Advanced Skills Challenge Certificate, Foundation (post 16) Skills Challenge Certificate, National (post 16) Skills Challenge Certificate
Date received	Date received	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) If time is not recorded please just submit a date yyyy- mm-dd

Date completed	Date completed Defined as the date when an appeal is completed and decision letter is sent	13	^(20)\d\d[-](0[1-9])1[012])[-](0[1-9])1[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) 2999-12-31 00:00:00.000 accepted for appeals still in process If time is not recorded please just submit a date yyyy-mm-dd
Nature of appeal	Nature of appeal	14	^(Malpractice Maladministration Review of moderation – marking error Review of Marking – procedural Review of marking – marking error Reasonable adjustment or special consideration)\$	Accepted values: Malpractice Maladministration Review of moderation - marking error Review of moderation – procedural Review of marking – procedural Review of marking – marking error Reasonable adjustment or special consideration
Current stage of appeal	Current stage of appeal at the time data reported	15	^(Stage 1 Stage 2 N/A - referred to EPRS)\$	Accepted values: Stage 1 Stage 2 N/A - referred to EPRS
What stage was appeal resolved	Stage appeal was resolved	16	^(Stage 1 Stage 2 With AO but still in process N/A – referred to EPRS Remitted back to AO from EPRS)\$	Accepted values: Stage 1 Stage 2

				<p>With AO but still in process</p> <p>N/A - referred to EPRS</p> <p>Remitted back to AO from EPRS</p>
Appeal upheld	To indicate if the appeals was upheld	17	^(Y N TBC)\$	Y, N, or TBC accepted
Pre Appeal unit raw mark	Raw mark at beginning of appeal	18	^\d{1,3}\$	<p>Three-digit integer accepted</p> <p>NB: 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>-2 accepted for teacher appeals</p>
Post Appeal raw mark	Raw mark after appeal	19	^\d{1,3}\$	<p>Three-digit integer</p> <p>-2 accepted where the post Appeal raw mark is unknown</p> <p>-2 accepted for teacher appeals</p>
Pre Appeal unit UMS	Unit UMS at beginning of appeal	20	^\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>-2 accepted for subjects that do not convert to UMS</p> <p>NB: 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>-2 accepted for teacher appeals</p>

<p>Post Appeal UMS</p>	<p>Unit UMS after appeal</p>	<p>21</p>	<p>$\wedge\backslash d\{1,3\}\\$</p>	<p>Three-digit integer accepted. A float value also accepted for a three-digit integer with up to two decimal places</p> <p>-2 accepted for subjects that do not convert to UMS or value unknown</p> <p>-2 accepted for teacher appeals</p>
<p>Pre Appeal qualification UMS (modular) / Scale score (linear)</p>	<p>Qualification UMS at beginning of appeal</p>	<p>22</p>	<p>$\wedge\backslash d\{1,3\}\\$</p>	<p>Three-digit integer accepted. Float also accepted for a three digit integer with up to two decimal places</p> <p>-2 accepted for subjects that do not convert to UMS</p> <p>Note: Candidates with an appeal that involves multiple units/ components on the same specification should have consistent original qualification UMS across all units</p> <p>NB: 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>-2 accepted for teacher appeals</p>
<p>Post Appeal qualification UMS (modular) / Scale score (linear)</p>	<p>Qualification UMS after appeal</p>	<p>23</p>	<p>$\wedge\backslash d\{1,3\}\\$</p>	<p>Three-digit integer accepted. A float value also accepted for a three-digit integer with up to two decimal places</p> <p>-2 accepted for subjects that do not convert to UMS or value unknown</p> <p>Note: Candidates with an appeal that involves multiple units/components on the same</p>

				<p>specification should have consistent post qualification UMS across all units</p> <p>-2 accepted for teacher appeals</p>
Pre Appeal qualification grade	Qualification grade at beginning of appeal	24	<p>^(A* A*A* A*A A Star A Star A Star A Star A AA AB BB BC CC C D DD DE EE EF FF FG GG UU A B C D E F G U 1 2 3 4 5 6 7 8 9 1-1 2-1 2-2 3-2 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 P P* -2)\$</p>	<p>One of the following list: 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, D, E, F, G, U, 9-1, 1-1 to 9-9, P, P* and any of the grades listed, followed by a number from 1 to 5 for example C3</p> <p>-2 also accepted for unknown value</p> <p>NB: 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>-2 accepted for teacher appeals</p>
Post Appeal qualification grade	Qualification grade after appeal	25	<p>^(A* A*A* A*A A Star A Star A Star A Star A AA AB BB BC CC C D D DE EE EF FF FG G G U A B 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 P P* -2)\$</p>	<p>One of the following list: 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, D, E, F, G, U, 9-1, 1-1 to 9-9, P, P* and any of the grades listed, followed by a number from 1 to 5, for example C3</p> <p>-2 also accepted for unknown value</p> <p>-2 accepted for teacher appeals</p>
Unit code	Unit code	26	<p>^.{1,10}\$</p>	<p>1 to 10 characters accepted</p> <p>Note: If a unit has sub</p>

				components, they should be identifiable from a unique value within the unit code, for example MA02 1, MA02 2
Date script requested	Date script requested (at any stage during the post-results service process)	27	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$	<p>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)</p> <p>For Appeals that have not had a script request, a value of 2999-12-31 00:00:00.000 may be entered</p> <p>If time is not recorded please just submit a date yyyy-mm-dd</p>
Date reason requested	Date reason requested	28	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$	<p>DATE in the following format: year (4 digits), a dash, month (2 digits), a dash, day (2 digits)</p> <p>For Appeals where the reason was not requested a value of 2999-12-31 may be entered</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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