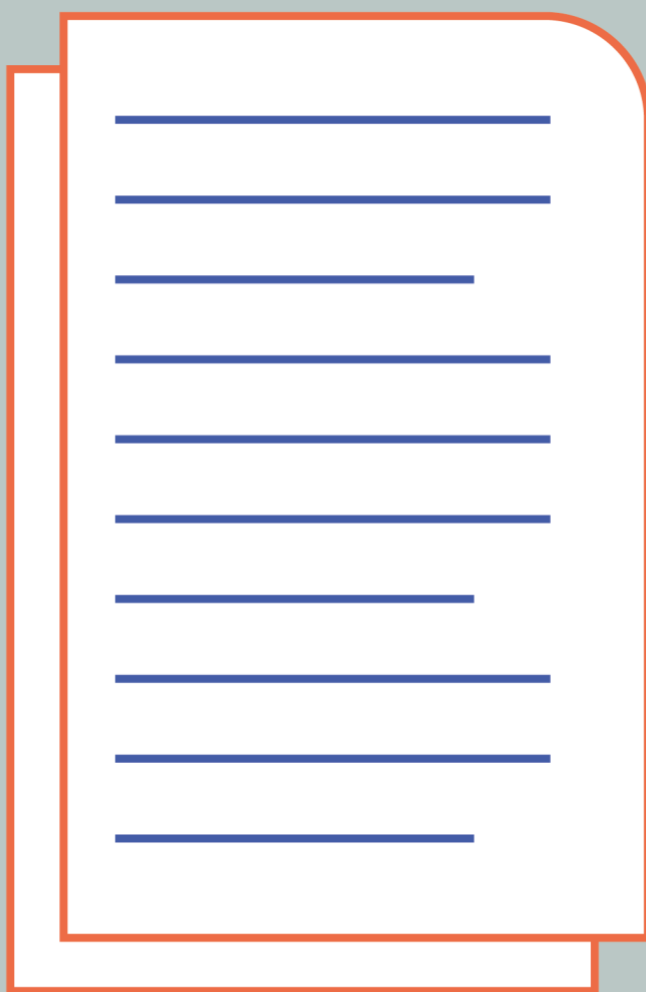


Enquiries and Appeals Policy



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INTRODUCTION

Fairness to all learners is central to this policy and we are committed to quality assurance processes that are based on impartial, evidence-based judgements. However, all Centres and learners are entitled to enquire about, or appeal against, assessment or other decisions.

The purpose of this policy is to make sure that Centres and/or individual learners know how they can enquire about assessment, or other decisions, or appeal against an outcome of an enquiry.

This document details the process that should be followed when submitting enquiries about results and appeals to CTQ and the process in which we will respond.

It is intended for all Centre staff involved in the management, administration, delivery, assessment and quality assurance of CTQ qualifications. Centres must ensure that all relevant personnel are made aware of the information contained in this policy.

The policy is also intended for use by CTQ staff to ensure that all enquiries about results and appeals are dealt with consistently.

CENTRE RESPONSIBILITIES

All CTQ approved Centres must have their own auditable internal appeal arrangements which learners can access if they wish to make an enquiry about an assessment result or appeal against a decision taken by a Centre. All appeals must be clearly documented and Centres are required to inform learners of the procedure they should follow in the event of an appeal against an assessment decision.

If an individual wishes to appeal against a decision taken by a Centre it must first go through the Centre's appeals process before bringing the matter to CTQ.

If the Centres internal appeals procedure is exhausted or the appeal is against an external assessment decision, learners may appeal to CTQ but only on the basis that the Centre or CTQ did not apply procedures consistently or that procedures were not followed properly and fairly.

ENQUIRIES ABOUT RESULTS

When a learner's internally assessed results vary considerably from the result they expect, the learner may make an enquiry about the assessment result to the Centre that will follow its own internal procedures. An enquiry about results is a formal request, in writing, for a review of an assessment decision.

If the assessment was set and marked by CTQ, learners must enquire about their results before making an appeal.

An appeal is a formal request, in writing, for a review of the outcome of the enquiry that is conducted by CTQ.

For a learner to make an enquiry, either of the Centre or of CTQ, they must have been registered with CTQ and been allocated a learner registration number before any assessment decision was made.

A Centre may make an enquiry about a test or assessment result on behalf of one or more learners. Learners should discuss their case with the Centre before the request is made. It is only possible to request an enquiry for an assessment that is marked by CTQ.

A request can be made either for an administration check, or for a re-mark. A fixed fee is charged when a request is made for this service. The fee is refunded if the outcome of the test or assessment is changed as a result of the enquiry.

For multiple choice question examinations taken through our online assessment system that we use for the delivery and automated marking of multiple-choice tests, we will check the learners' completed answers against the responses held in the system. This will ensure the system has correctly picked up and recorded the learner's response. We will then check to ensure the correct outcome was awarded.

If an administration check is requested, this will involve:

- a check to ensure the mark has been added correctly;
- a check that all sections have been marked; and
- that the final mark or grade has been calculated properly.

SCOPE OF POLICY

This policy covers:

- enquiries from a learner and/or Centres that is not satisfied with an assessment result that has been set and marked by CTQ and/or online multiple choice automated test results
- appeal of results on the basis that the awarding organisation did not apply procedures consistently or that procedures were not followed properly and fairly,
- appeals from a learner that is not satisfied with the outcome of the Centre's internal appeals procedure
- appeals from learners and/or Centres in relation to results or an assessment decision on the basis that we did not apply procedures consistently or that procedures were not followed properly and fairly
- appeals from approved Centres in relation to a CTQ decision concerning an application to offer an additional CTQ qualification.
- appeals from Centres that disagree with the outcome(s) from the External Quality Assurance process including decisions that affect assessment outcomes
- appeals from Centres and/or learners relating to a CTQ decision to decline a Centre's request to make reasonable adjustments or give special considerations
- appeals from Centres or learners in relation to the outcome of an investigation into a report of malpractice and/or maladministration including sanctions imposed

- appeals from Centres or learners if there is evidence that we have not applied our procedures consistently or that procedures were not followed properly, consistently and fairly.

ENQUIRIES

The enquiry stage allows Centres and registered learners to question the following decisions made by CTQ:

- When a Centre or registered learner believes the marking of an assessment that has been set and marked by CTQ and/or online multiple-choice test results are inaccurate. In such circumstances an enquiry should be made within 20 working days of receipt of the result¹.

The enquiry stage is not available for the following:

- When a registered learner is not satisfied with the outcome of the Centre's internal appeals procedure following an assessment decision made by the Centre
- Decisions regarding the outcome of the EQA process following an external quality assurance visit; i.e. decisions that affect assessment outcomes and sanctions relating to non-compliance
- Decisions, penalties and sanctions resulting from a malpractice investigation including specific sanctions imposed on a member of Centre staff or a learner
- Outcomes of applications for reasonable adjustment arrangements or special consideration

For these decisions the Enquiries and Appeals process is documented in the Appeals section of this policy.

CTQ timescales for completion are:

- Administrative check request within 5 working days upon receipt of request
- Re-mark within 30 working days upon receipt of request.

To submit an Enquiry, a Centre or registered learner must submit an Enquiry and Learner Consent form which can be downloaded from our website. An example of the form can be found in Appendix One.

Centres should ensure that learners are aware that an assessment result may be affected negatively or positively following an Enquiry; i.e. an assessment result downgraded from a pass to a fail or upgraded to a pass from a fail, or a change in grade.

An Enquiry involves a competent individual who was not involved in the original decision reviewing the assessment decisions and correcting any errors that are identified.

¹ If an administrative check had previously been requested, a re-mark request must be made within 5 working days of receiving the result of the administrative check

There are two possible outcomes following an Enquiry:

- The assessment result is confirmed
- The assessment decision is changed, which could result in a positive or negative outcome; i.e. fail to pass or pass to fail, or a change of grade (if the assessment is graded)

CTQ will notify the Centre or learner of the outcome and amend Centre/learner records accordingly and, if necessary, dependent on the outcome, make changes to its processes and systems. Where relevant, CTQ will notify third parties of the change of result or grade.

APPEALS

The purpose of an appeal is to identify if CTQ used procedures consistent with regulatory requirements and/or followed the correct processes, procedures and policies for any of the judgements given below:

- The outcome of an Enquiry
- Decisions regarding the outcome of the EQA process following an external quality assurance visit; i.e. decisions that affect assessment outcomes and sanctions relating to non-compliance
- Decisions, penalties and sanctions resulting from a malpractice investigation
- Outcomes of applications for reasonable adjustment arrangements or special consideration
- In such circumstances an appeal should be made within 20 working days of receipt of the outcome

Registered learners may also submit an appeal if they have exhausted the Centres Appeals process. When submitting an Appeal, learners must provide CTQ with evidence that they first appealed to the Centre without reaching a satisfactory conclusion.

To submit an Appeal, a Centre or registered learner must submit an Appeal form which can be downloaded from our website. An example of the form can be found in Appendix Two.

The Appeal request must include clear reasons for the appeal and as much detail as possible about the specific instances where CTQ did not follow correct processes or procedures in reaching its original decision.

Additional supporting documentation can be included to support the request but must be clearly referenced, to aid the review process and reduce any additional requests for information.

Centres should ensure that learners are aware that an assessment result may be affected negatively or positively following an Appeal; i.e. an assessment result downgraded from a pass to a fail, or upgraded to a pass from a fail.

The process

Appeals submitted to CTQ will be heard by an Appeals Panel comprised of the Responsible Officer, a subject specialist EQA and an independent representative appointed by CTQ that is not a member of any CTQ Committees, Groups or its Governing Board, is not a CTQ member of staff or a CTQ contractor and is not otherwise connected to CTQ.

The Panel members will have appropriate competence, knowledge and skills will not have been involved in the original decisions or processes, or at the Enquiry stage and will not have a personal interest in the appeal outcome.

A note taker shall be present at each meeting of the panel to take notes of the meeting but will not be involved in the appeal proceedings.

The Panel will consider whether CTQ has properly and fairly applied the relevant policies and processes in light of the evidence presented. The Panel will also consider any readily available advice on similar matters from our regulators and also any readily available precedents.

There are two possible outcomes of the hearing:

- the appeal is rejected
- the appeal is upheld

The Panel's decision is final and is the end stage of the enquiries about results and appeals procedure and no further appeal will be accepted or considered.

Should the outcome of an appeal identify errors within CTQ policies or procedures the Head of Quality will correct any errors and make any necessary changes to CTQ quality assurance processes and/or CTQ systems/processes and also identify any other learners or Centre who have been affected by the same issue and make amendments to results where necessary.

Should it be identified that an adverse effect has occurred or could have occurred the qualifications regulator will be notified.

The Head of Quality will produce an action plan for implementation that will mitigate any further issues. The action plan will also highlight where a training and development need has been identified that involved members of the EQA or wider CTQ team.

Should an appeal relate to an assessment that is regulated by Ofqual and the appellant remains dissatisfied after fully exhausting the CTQ enquires about results and appeals process they may wish to contact the regulator directly to raise a formal complaint.

However, Ofqual will only consider whether the due process has been followed by CTQ in considering the appeal and will not conduct a further appeal of any kind.

All enquires and appeals and their outcomes are reported to the Leadership Team and to CTQ's Governing Board. Outcomes will be used to inform our self-assessment activities and will feedback into our qualification development and review processes where necessary.

Outcomes of an appeal

In a situation where an appeal has been successful, or where an investigation has taken place following a notification from the regulatory authorities that indicates a failure in our processes, we will consider the outcome and take actions such as:

- Amend the record of the Centre or learner concerned
- Convene a standardisation meeting
- Identify any other learners who have been affected and correct or, if it cannot be corrected, mitigate as far as possible the effect of the failure (e.g. reassess the learner at a Centre and/or reassess learners taking the same assessment at other Centres and amend the results for the learner(s) affected)
- review our associated processes and policies to ensure that the 'failure' does not occur again or mitigate the situation as far as possible if the failure that occurred cannot be corrected
- agree any remedial action required by the regulatory authorities and/or co-operate with any follow-up investigations
- If the matter under appeal has led to an adverse effect that the regulatory authorities are unaware of, CTQ will inform the relevant regulator

FEES

CTQ will not undertake any work associated with an Enquiry or Appeal request until payment of the relevant fee has been made.

All fees will be refunded where an enquiry outcome involves a change of result and where an appeal is upheld. Fees are listed in the **CTQ Fees and Charges** document, available on our website.

CONTACT DETAILS

All forms and documentation can be submitted to the Head of Quality by email to XXXXXXXXXX

POLICY REVIEW ARRANGEMENTS

This policy is subject to a three-year review cycle, or earlier should any feedback or concern be brought to the attention of CTQ, to ensure it remains fit for purpose and the process and its outcomes are deliverable.

It is also reviewed as part of CTQ continuous improvement monitoring through its annual self-assessment arrangements.

APPENDIX 1 – CTQ ENQUIRY AND LEARNER CONSENT FORM

Guidance and instructions

Before completing this form, it is important that you have read the CTQ Enquiry and Appeals Policy which is published on our website.

An enquiry can be submitted by a Centre or a learner when they believe an assessment decision is inaccurate.

When making an application on behalf of a registered learner, it must obtain written learner consent for enquiry requests by completing the Learner Consent Form which is at the end of this form.

The form confirms that learners are aware that an assessment result may be affected negatively or positively following an enquiry meaning that an assessment result could be downgraded from a pass to a fail, or upgraded to a pass from a fail or a change in grade.

Completing the form

Please provide as much information as possible regarding your enquiry and complete each entry below in full:

Centre Name	
Centre Number	
Contact Name	
Contact Job Title	
Contact's Email Address	
Contact's Phone Number	
Qualification Title	
Component Title	
Date of assessment	

Please delete as required:	
An administrative check only:	Yes/No
A re-mark of one component of the qualification (this includes an administrative check)	Yes/No
Learner Details:	
Name of Learner	
Learner Registration Number	

Details of Enquiry: <i>(Please explain as fully as possible)</i>

Declaration

I accept that CTQ will process and store the information provided in an electronic format.

I agree that it may be used for any purpose deemed relevant to this enquiry and will be retained for as long as the information is required, and that CTQ may use the personal data if required by law, or to conform to the legal responsibilities it holds to its regulatory bodies.

Signature	
Full Name	
Job Title	
Date	

All forms and documentation can be submitted to the Head of Quality by email to xxxxxxxxxx

Information for Learners

The following information explains what may happen following an Enquiry.

There are two possible outcomes following an Enquiry:

- The assessment result is confirmed
- The assessment decision is changed which could result in a positive or negative outcome; i.e. fail to pass or pass to fail, or a change in grade

To proceed with the Enquiry, you **must** sign the form below to inform CTQ that you have understood what the outcome might be, and that you give your consent to the clerical check or review/remark being submitted.

Learner consent form

Centre Name	
Learner Name	
CTQ Learner Number	

I give my consent to my Centre to submit an Enquiry for the qualification listed in the Enquiry Form.

In giving consent, I understand that the assessment decision may be confirmed or change, which could result in a positive or negative outcome.

Signature	
Full Name	
Date	

APPENDIX 2 – APPEAL AND LEARNER CONSENT FORM

Guidance and instructions

Before completing this form, it is important that you have read the CTQ Enquiry and Appeals Policy which is published on our website.

An appeal against a CTQ decision that affects a Centre or learner can be submitted directly to CTQ.

When making an application on behalf of a learner, a Centre must obtain written learner consent for appeal requests by completing the Learner Consent Form which is at the end of this form.

The form confirms that Learner is aware that an assessment result may be affected negatively or positively following an enquiry meaning that an assessment result could be downgraded from a pass to a fail, or upgraded to a pass from a fail or a change in grade.

Completing the form

Please provide as much information as possible regarding your enquiry and complete each entry below in full:

Centre Name	
Centre Number	
Contact Name	
Contact Job Title	
Contact's Email Address	
Contact's Phone Number	
Qualification Title	
Component Title	
Date of assessment	

Details of Appeal:

(Please explain the reason for the appeal as fully as possible and provide a clear statement of the grounds for the appeal including full details of the nature of the appeal, including any evidence that is relevant to the appeal.)

Declaration

I accept that CTQ will process and store the information provided in an electronic format.

I agree that it may be used for any purpose deemed relevant to this appeal and will be retained for as long as the information is required, and that CTQ may use the personal data if required by law, or to conform to the legal responsibilities it holds to its regulatory bodies.

Signature	
Full Name	
Job Title	
Date	

All forms and documentation can be submitted to the Head of Quality by email to **XXXXXXXXXX**

Information for Learners

The following information explains what may happen following an Appeal.

There are two possible outcomes following an Appeal:

- The Appeal is upheld because one or more of the correct processes, procedures or policy documents were not followed
- The Appeal is rejected because all the correct processes, procedures and policy documents were followed

To proceed with the Appeal, you **must** sign the form below to inform CTQ that you have understood what the outcome might be, and that you give your consent to the Appeal being submitted.

Learner consent form

Centre Name	
Learner Name	
CTQ Learner Number	

I give my consent to my Centre to submit an Appeal for the qualification listed in the Enquiry Form.

In giving consent, I understand that the assessment decision may be confirmed or change, which could result in a positive or negative outcome.

Signature	
Full Name	
Date	

APPENDIX 3 – CTQ INDEPENDENT APPEALS PANEL TERMS OF REFERENCE

The CTQ Independent Appeals Panel, known as the Panel, shall consider and determine appeals submitted to it by those wishing to challenge a decision or decisions reached during the appeals process.

Composition

The CTQ Independent Appeals Panel is made up of CTQ's Responsible Officer (Chair of the Panel), a subject specialist EQA that has not been involved in the original appeal and an independent person that is not employed by CTQ, or in any other way connected to the organisation that has the appropriate knowledge and skills to make a decision on the subject matter.

A note taker shall be present at each meeting of the Panel to take notes of the meeting but shall not be involved in the appeal proceedings.

Proceedings of meetings

The Panel may appoint advisers to provide advice at the meeting but they will not be involved in the decision making process of the appeal outcome.

The Panel shall convene when necessary to ensure that appeals are heard promptly. This will usually be within 10 working days of the appeal being received by CTQ.

At each meeting of the Panel all members must be present for the proceedings to be valid, except in the event of exceptional circumstances outside the control of the Panel or any member.

The Panel will review the appeal and any further evidence provided by the appellant as part of his/her request for an appeal to ensure that procedures were applied consistently, properly and fairly.

The Panel may request additional information from the Centre/learner, arrange discussions with Centre staff and/or visit the Centre if necessary.

The Chair may, at their discretion, adjourn or suspend proceedings for any such period as the Chair deems reasonable if the additional information is not readily available or arrangements need to be made to visit a Centre.

The Chair of the panel will notify the appellant, in writing, of the Panel's decision within 20 working days.

All notes of the proceedings shall be evidence of the appeal and must be kept securely by CTQ for a minimum of 3 years.