

Enquiries About Results and Appeals Policy

Introduction

The Summit Qualifications UK aims to provide fair, reliable and responsible decisions in relation to its assessments and qualifications. Summit Qualifications UK seeks to make sure its decisions and processes are open to legitimate enquiry and challenge; this policy and procedure aims to support that.

This policy document deals with

- Centre enquiries about a result, and
- Appeals from Learners and Centres.

Scope

This policy applies to Summit Qualifications UK Centres and Providers and their staff, Learners and Apprentices.

Centre/Provider Enquiries About a Result

If a Centre/Provider believes a Learner's result is inconsistent with their expectations, based upon the Centre Assessor(s) reasonable judgement on a Learner's expected level of attainment, the Centre/Provider may submit an Enquiry About a Result.

The Centre/Provider must submit an Enquiry About a Result to Summit Qualifications UK **within 10 working days** of the results having been formally issued by Summit Qualifications UK.

An 'Enquiry About a Result' is a process whereby Summit Qualifications UK checks that the assessment outcome has been accurately marked and recorded, and that the marks have been totalled up correctly.

An 'Enquiry About a Result' is NOT a re-mark of a Learner's work. It is a series of clerical checks.

An 'Enquiry About a Result' is concerned with a single result and not multiple results.

Depending on what is found an 'Enquiry About a Result' could lead to marks and grades being lowered, as well as the potential for them being raised.

There is a charge attached to submitting an 'Enquiry About a Result' which is payable when an application is made. If the enquiry finds that incorrect marks have been attributed to the Learner then the fee will be reimbursed. Please see the fee information in the application form at the back of this policy document.

Procedure to be followed by a Centre in submitting an Enquiry About a Result

The Centre/Provider must have the Learner's permission to submit an 'Enquiry About a Result' for the Learner. The Learner must be made aware that their marks and any grades may be lowered, as well as being raised or remain the same, and therefore must provide their written consent to the Centre/Provider before an application is submitted.

The Centre/Provider must complete the form at Appendix 1 of this policy and submit it to Summit Qualifications UK **within 10 working days** of a result having been issued by Summit Qualifications UK. The enquiry will be acknowledged by Summit Qualifications UK.

Summit Qualifications UK's Quality Manager will carry out the required check to see that all the information required to process the application is complete. If the form is complete, Summit Qualifications UK will undertake the required 'Enquiry About a Result' clerical checks.

If any discrepancy is found from the clerical checks it will be brought to the attention of the Quality Assurance Adviser to recommend any changes to marks, based upon any discrepancy.

The Responsible Officer, or their nominee, will be advised of any discrepancy and confirm where any changes to marks are to be made based upon the findings.

Summit Qualifications UK will write to the Centre with their findings **within 12 working days** of receipt of the enquiry. The findings will determine if:

- The result is upgraded, or lowered, or
- The result remains the same.

If there is a discrepancy between the result originally awarded to the Learner and the result found following the clerical checks the fee paid will be reimbursed.

Appeals

Centres/Providers, their staff, Learners and Apprentices may submit an Appeal that asks Summit Qualifications UK to look at:

- Decisions on results, reasonable adjustments or special considerations for a Learner.
- Results, following on from an 'Enquiry About a Results' application finding.
- Decisions to reject an application for approval by a prospective Centre.
- Decisions to not approve the use of a named teacher or assessor.
- Decisions to withdraw or suspend a Centre from providing a given qualification(s).
- Decision to withdraw approval of a Centre.
- Decisions made in respect of a malpractice or maladministration investigation.
- Decisions to apply sanctions, or the level of sanction, following a malpractice or maladministration investigation. Including any sanctions levied against Learners.

Appeals look at whether Summit Qualifications UK has correctly applied its policies and procedures. Appeals should therefore only be submitted if the Centre/Provider, their staff, Learner or Apprentice genuinely believes that Summit Qualifications UK has not followed the correct procedures; or if they consider a vital piece of evidence or information has not been properly considered.

Appeals must be submitted **within 10 working days** of the date on any outcome letter on an enquiry about a result, or of a result having been issued by Summit Qualifications UK and using the correct form. The appeal must clearly provide only relevant, clear and valid reasons for the appeal.

There is a charge attached to submitting an Appeal which is payable when the application is made. If the finding is that the appeal is upheld, the fee will be reimbursed. Please see the fee in the application form at the back of this policy document.

An appeal application may be rejected by Summit Qualifications UK if the grounds upon which the application is made is not considered valid. This decision is taken by the Quality Manager, or their nominee, and advised to the appellant **within 15 working days** of the appeal being received by Summit Qualifications UK.

Investigation of an appeal

Where the Appeal application is considered valid, the Appeal will be heard by an independent person (appeal investigator) with the required competence and understanding of the matter at hand.

In order for the independent appeal investigator to be considered independent they must:

- have no conflict of interest, or knowledge of the appellant or the Centre/Provider concerned
- have no prior knowledge of, or involvement in the case that led to the appeal
- have no interest or incentive linked to the outcome of the appeal
- not be an assessor or involved in quality assurance of qualifications or awards
- not be an employee of Summit Qualifications UK, or on its board

The independent appeal investigator will be appropriately qualified and experienced to carry out the investigation. They will be presented with all relevant evidence and reports and may request further information to carry out their investigations where appropriate.

The independent appeal investigator will present their findings and recommendation on the appeal and their justification for the recommendation.

The appeal will be heard by an Appeal Panel that includes the independent investigator and 2 independent members of the Summit Qualifications UK Awards and Quality Assurance Advisory Group. The Panel will consider the report and recommendation made by the independent appeal investigator. The Panel, including the independent investigator, will collectively make the final decision on the appeal.

Informing the appellant

The appellant will be advised of the outcome **within 20 working days** of the appeal being received by Summit Qualifications UK. A decision letter will advise on whether the appeal is:

- Valid, and should be upheld; or
- Rejected.

The grounds for the rejection will be provided to the appellant in the outcome letter.

Where an appeal is upheld, the fee paid will be refunded to the appellant.

The outcome of an appeal decision is final.

Procedure for Submitting an Appeal

The appellant must submit the appropriate form **within 10 working days** of the date on any outcome letter on the matter from Summit Qualifications UK. The form is provided at Appendix 2 and must also include the fee payable at the same time. Summit Qualifications UK will acknowledge receipt of an Appeal.

Where the appeal is heard by Summit Qualifications UK's Appeal Panel the appellant will be advised of the outcome **within 20 working days** of the appeal being received by Summit Qualifications UK.

A decision letter will advise on the grounds for any rejection, if that is the case.

Fees

All fees must be paid at the point of application.

	Amount due
Enquiry About Results	£25
Appeal	£110
	Total Cost £135

Enquiry About a Result Application Form

Appendix 1

This form is to be used by a Centre wishing to make an Enquiry About a Result on behalf of a Learner.

Please ensure you submit this form to Summit Qualifications UK **within 10 working days** of the results having been issued by Summit Qualifications UK. An Enquiry About a Result is concerned with a result for one assessment and NOT multiple results.

The required fee must be submitted at the time of application. Please complete all sections of the form, making sure it is legible.

Centre name:

Centre number:

Centre address:

Name of centre contact making this application – Full name:

Centre contact position:

Email of contact:

Phone number of contact



Relationship of the contact to the Learner e.g. assessor:

Name of Learner (full name):

Learner registration number:

Please confirm that the Learner has given written permission for this Enquiry About a Result and they are aware that it could lead to marks and any grades being lowered.

Learner has given confirmation:

YES

NO

Signed by contact (named above):

Date this enquiry was submitted to Summit Qualifications UK:

Qualification and unit this Enquiry About a Results relates to:

Assessment details – including assessment reference and date of assessment:

Please provide your reasons for making this application:



Fees

All fees must be paid at the point of application.

	Amount due
Enquiry About Results	£25

How to pay the applicable fee:

Incoming payments by bank transfer made to:

Account Name: The British Institute of Recruiters

Account Number: 37000960

Sort Code: 09 01 28

Bank - Santander bank

Or contact Accounts Department accounts@ior.org • 0161 232 0991

0161 232 0991

All information will be treated as confidential and according to Summit Qualifications UK AO Privacy Policy.

Please send this form to contact@summitqualifications.co.uk

Appeal Application Form

Appendix 2

This form is to be used by an appellant wishing to make an Appeal

Please ensure you submit this form to Summit Qualifications UK within 20 working days of the date of the outcome letter issued by Summit Qualifications UK.

The required fee must be submitted at the time of application. Please complete all sections of the form, making sure it is legible.

Appellant name in full:

If this appeal is being made on behalf of the appellant please state your name and relationship to the appellant:

Email address of appellant/applicant:

Phone number of appellant/applicant:

Address of appellant/applicant:

Summit Qualifications UK reference or case number, where provided:



Please confirm, where applicable, the appellant has given you written permission for this Appeal application:

Learner has given written permission:

YES

NO

Signed by:

Date this enquiry was submitted to Summit Qualifications UK:

Please set out clearly and concisely the grounds for the appeal:

Fees

All fees must be paid at the point of application.

	Amount due
Appeal	£110



How to pay the applicable fee:

Incoming payments by bank transfer made to:

Account Name: The British Institute of Recruiters

Account Number: 37000960

Sort Code: 09 01 28

Bank - Santander bank

Or contact Accounts Department accounts@ior.org • 0161 232 0991

All information will be treated as confidential and according to Summit Qualifications UK Privacy Policy.

Please send this form to contact@summitqualifications.co.uk