

ENQUIRIES AND APPEALS POLICY

CPCAB's enquiries and appeals policy is designed to meet the requirements set out in paragraphs 5.24 to 5.28 of *Regulatory arrangements for the Qualifications and Credit Framework* (Ofqual, August 2008).

EXTERNAL ASSESSMENT

Enquiries about external assessment results:

Tutors/coordinators can contact CPCAB with an enquiry about the external assessment results for individual candidates and/or groups in order to determine whether, in the light of the evidence presented, an appeal may be indicated. Limited feedback will be provided by telephone and an appointment for this must be arranged in advance, by contacting the CPCAB EA Co-ordinator within four weeks of receipt of the external assessment results. There is currently no charge for this service.

CPCAB operates a clear policy of communicating only with centres, not with individual candidates directly. All candidates with enquiries about external assessment results are therefore referred back to their centre.

Please read these notes carefully before instituting the appeals procedure.

1. Appeals can be accepted in relation to any external assessment.
2. Any appeal must be submitted within eight weeks from the date of publication of the original external assessment results by CPCAB.
3. An appeal should only be lodged when the external assessment decision conflicts with the centre's actual or predicted internal assessment decision.
4. An appeal can only be lodged in writing by the approved centre and not by the candidate.
5. Once started, the appeals procedure must be completed before a candidate can opt to register to re-sit.
6. Centres lodging an appeal will be required to pay the *administrative appeals fee* in advance, specific to the qualification or unit concerned. Details of the current fees are available from CPCAB. The fee will be refunded in full if the appeal is successful.
7. No candidate registration fees will be refunded in relation to any outcome of this appeals procedure.
8. In considering appeals against external assessment decisions, CPCAB will follow the published appeals procedure (see overleaf). In addition, CPCAB will check whether it has (a) used procedures that were consistent with the regulatory criteria; and (b) applied the procedures properly and fairly in arriving at judgements. This process may be quality assured by an independent consultant (see 16).
9. In the event of an assessment decision being overturned during the appeals process CPCAB will take all necessary steps to ensure that any other candidates

likely to be affected by the accuracy of the original decision are re-moderated and the outcome published to the centre concerned.

Group appeals

10. Appeals will be accepted on behalf of whole candidate groups if, following the enquiry process, the centre has reason to question the overall assessment of the group.
11. Any group re-assessment will apply to all members of the group, including any candidates already assessed as Proficient.
12. A group appeal must be lodged in writing by the centre within the time frame set out in paragraph 2.
13. The group appeals fee is charged, and will consist of 50% of the combined full individual appeals fee for each member of the group.
14. In the event of assessment decisions being changed by the group appeal process, the group appeal fee will be refunded.

Appeals against internal assessment or RPL (recognition of prior learning) decisions


15. CPCAB normally expects appeals regarding internal assessment or RPL requirements to be resolved in the centre according to the centre's own appeals policy. CPCAB requires each centre to follow procedures that are consistent with the centre's own appeals policy.

Enquiries & appeals against other CPCAB decisions affecting centres

16. Occasionally a centre may wish to enquire or appeal against other CPCAB decisions affecting the centre, e.g. the decision to withhold the annual practising certificate (APC) or to deregister a centre. In this event CPCAB will accept an appeal in writing from the head of centre and will respond according to the time frame and other provisions set out for external assessment appeals.
17. In the event of an unresolved appeal, where appropriate CPCAB will appoint a suitable independent consultant, eg drawn from the Federation of Awarding Bodies list.

Quality assurance

18. A report of enquiries and appeals is presented annually to the Qualification Service Committee and forms part of the annual report to the Executive Committee.
19. This appeals policy replaces all previous CPCAB appeals policies and will be reviewed periodically by CPCAB.

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THE APPEALS PROCEDURE

A. The centre is responsible for:

1. Providing a copy of this appeals procedure to each tutor;
2. Advising those candidates/groups who have been (or are predicted to be) successful in the internal assessment, but unsuccessful in the external assessment, that they can *either* register to re-sit *or* lodge an appeal within eight weeks of publication of the results by CPCAB;
3. Advising candidates/groups that, if they appeal, they will need to wait for the outcome of that appeal before they can register to re-sit the external assessment;
4. Providing the candidate with a copy of this appeals procedure in cases where a candidate is considering appealing against an external assessment decision;
5. Writing to CPCAB with their reasons for appealing. Please note that the centre and not the candidate/group must write to institute the appeals procedure. The letter should be clearly headed 'Formal letter of appeal' and be accompanied by the relevant *administrative appeals fee*;
6. Informing the candidate/group of the result of the appeal.

B. On receipt of a formal letter of appeal, CPCAB will:

1. Acknowledge receipt of the appeal;
2. Appoint an appeals assessor with no previous involvement with the assessment, who will re-assess the candidate's work or grounds for appeal;
3. Where the result is again NP, appoint an appeals moderator with no previous involvement with the assessment;
4. Inform the centre in writing of the result of the appeal. This decision in all cases will be final and the appeals procedure will thereby be terminated;
5. Issue the candidate with the qualification or unit and refund the administrative appeals fee, in those cases where the appeal is successful.

C. Time limit for the appeal

The appeals procedure will be completed within 8 weeks from the date of receipt of the 'formal letter of appeal', except when an independent appeals assessor has to be appointed for whatever reason. In these cases, the appeal will be completed within a further four or eight weeks as appropriate.