

# ASQ Appeals Procedure

# C1a

1	<h2>The Appeals Procedure</h2>
1.1	<h3>Appeals Arrangements</h3> <p>a Whenever approved centres, assessment sites or candidates do not agree with the decision outcomes of a centre appeal, whether this be decisions related to assessment, reasonable adjustment/special consideration outcomes or decisions taken against a candidate or centre regarding maladministration/malpractice they may lodge a formal appeal. Whether it is the approved centre or the candidate wishing to appeal, an appeal must always be submitted in writing (email is acceptable) by the approved centre and clearly outline the reason why it is being submitted. All documents submitted and recorded by ASQ will be retained with ASQ for the duration of the candidate/centre being active.</p> <p>b Appeals should be made within one month of the decision having been made and should be directed to the approved centre (qualification manager) in the first Instance, details of which can be found within your candidate pack.</p> <p>If in the event the appeal needs escalation, it should then be referred to ASQ Operations Manager using contact details below.  <a href="mailto:Rachelpalmer@asq.org.uk">Rachelpalmer@asq.org.uk</a>          The Belfry          Ping House          Sutton Coldfield          B76 9PW</p> <p>c. Appeals will be heard by the Appeals Panel, which will comprise of at least three members of appropriate competence which may or may not include the Operations Manager; the Senior External Verifier for the relevant sport and at least one independent person who is not, and has not been at any time been an employee of the awarding body or anyway connected to it, an assessor or a member of its committees who will have no personal interest in the decision being upheld. (Other unpaid awarding body representatives may be utilised as an independent appeal representative)</p>
1.2	<h3>Appeals principles</h3> <p>a. In case of appeals process against assessment decisions, the appeals procedure will focus on whether ASQ used procedures that were consistent with the regulators' criteria and applied those Procedures properly and fairly in arriving judgements. Once a failure has been identified ASQ will endeavour to correct, or where it cannot be corrected, mitigate as far as possible the failure to avoid any future occurrence.</p>
1.3	<h3>Timescales for Dealing with Appeals</h3> <p>a. Appeals will be acknowledged within <b>five working days of their receipt</b> by ASQ and considered within <b>20 working days of receipt</b>.</p> <p>b. The outcome of the appeal will be notified to the appellant in writing within three days of the decision of the Appeals Panel having been reached. This notification will include the reason for decision (e.g. revoke or amendment of invalid certificates due to the appeals process identifying occurrence of malpractice or inaccurate results etc.).</p>

<p><b>1.4</b></p>	<p><b>Appeals Fees</b></p> <p>a. We have set reasonable appeal fees so as to avoid deterring appellants on financial grounds. The fees are given in the fees table, which can be obtained from the Operations Manager and Which is sent to each new centre as part of the registration pack.</p> <p>b. We operate an equitable system of refunds for individual and group appeals. Whenever an appeal is upheld- be it for an individual candidate or a group of candidates- the approval fee will be refunded in full. In cases of group appeals which uphold the original assessment decisions for some candidates but not for others, a proportionate refund will be made.</p>
<p><b>1.5</b></p>	<p><b>Independent Review of Unresolved Appeals</b></p> <p>a. If the first stage of the appeal process, outlined above, ends in no majority decision being made, such unresolved appeals will be referred to independent review carried by a committee made up of a minimum of 3 representatives totally independent of ASQ (to ensure no conflict of interest can arise, Conflict of interest policy <b>F7</b> refers)-the Independent Appeals Review panel. The panel may be made up of other Awarding body or sport representatives providing they have no current or past connection to ASQ. The decision of the Independent Appeals Review Panel will be the final ASQ decision however candidates who are not happy with our decision may be able to express their dissatisfaction to the relevant and appropriate regulators – see ASQ Complaints procedure <b>C1</b> for regulator web address details.</p>
<p><b>1.6</b></p>	<p><b>Protecting the Interests of all Candidates</b></p> <p>a. If the validity and accuracy of assessment results have been brought into question by an appeal, the Appeals Panel, or if the appeal reaches the wholly independent stage, the Independent Appeals review Panel, will evaluate, in light of the outcome of the appeal, the accuracy of assessment results documented on assessment forms for the candidate affected and all other candidates who have taken the same assessment at the same time and/or have been assessed by the same Assessor. If either panel concludes that these results should also be changed, ASQ will authorise those changes in order to protect the interest of all affected candidates, the integrity of the qualifications and, ultimately, the integrity of the relevant regulatory framework.</p>
<p><b>1.7</b></p>	<p><b>Monitoring the Appeals Service</b></p> <p>a. As part of our monitoring arrangements, we will monitor the operation not only of our enquiry service but also of our appeals service. This is why we welcome centres’ and candidates’ views, and regulatory reports of findings from other Awarding bodies which can be conveyed to us informally and/or formally. Formal feedback from approved centres can be gathered through our annual customer satisfaction surveys (<b>H19</b>), while candidates’ views are captured via the Candidate Feedback Form (<b>H20</b>), which we would encourage all candidates to complete. In addition we will record relevant details whilst investigating the enquiry, using Procedure (<b>C1A</b>) and form (<b>H33</b>) to mitigate a repeat occurrence of any appeal/maladministration/malpractice situation arising.</p> <p><b>Escalation</b> ASQ Appeal outcome is final however if candidates wish to complain about the appeal process please refer to ASQ Complaints Policy.</p>
	<p><b>ASQ Policy review date: March 2019</b></p>
	<p><b>Policy read, understood and cascaded where relevant by;</b> <b>Signature:</b> _____ <b>Date:</b> _____ <b>Job role:</b> _____</p>