



SafeCert Awards Ltd
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Enquiries and Appeals Policy

SafeCert Awards Ltd

Version 1.4

Enquiries and Appeals Policy & Procedures

Introduction

This policy is provided for the use of Approved Centres that are delivering SafeCert Awards approved Units or qualifications, as well as candidates who have enrolled on, or taken, such units or qualifications. It sets out the steps you follow when submitting your appeals and enquiries about results to SafeCert Awards and the steps we will follow when reviewing the cases. It covers enquiries about results and the assessment methods used in determining results.

Approved Centre's responsibility

It is important that your staff is involved in the management, assessment and quality assurance of our qualifications and your candidates are fully aware of the contents of the policy. Please ensure that you've made your colleagues and candidates aware of the policy.

On their Centre visits, our External Quality Assurers may check that your relevant colleagues and candidates are aware of its contents and purpose.

Review arrangements

SafeCert will review the policy on a three-year cycle or sooner with any regulatory or legislation changes.

Fees

We will **only** charge you or your candidates a fee to cover the administrative and personnel costs in the following instances:

- If the appeal or enquiry about a result is not upheld
- In the case of group appeals, for those candidates whose results do not change

Areas covered by the policy

In addition to covering appeals and enquiries from candidates and/or centres in relation to results, our policy also covers the following types of enquiries and appeals:

- SafeCert's decision concerning a Centre's application to offer a SafeCert qualification
- The contents of a Centre approval or verification monitoring report and/or an approval/verification decision
- SafeCert's decision to decline a Centre's request to make reasonable adjustments or give special considerations
- A SafeCert sanction as a result of malpractice or maladministration
- The outcome of a SafeCert investigation into a complaint raised by the centre

Stage 1 - Process for raising an enquiry or appeal about a result

- You (and your candidates) have 4 weeks from the date we notified you of the outcome in which to lodge an appeal against our decision or an enquiry about an assessment result. Hence please advise your candidates/staff to retain their assessment evidence for a minimum of 8 weeks in case they wish to lodge an appeal.
- If you appeal on behalf of your candidates please obtain the candidates' permission in the first instance.
- Candidates who wish to appeal about their assessment results or about a decision affecting their learning, should either be supported by your Centre or should have exhausted your Centre's own appeals process before appealing to us. In the latter case, candidates must provide us with evidence that they have first appealed to your Centre. It's expected that candidates will only appeal directly to us in exceptional circumstances.
- Please complete the SafeCert Appeals and Enquiries about Results Form on page 5, which is available from our website www.safecertawards.com or on request from fiona@safecertawards.com or telephone 0845 500 2 100. Alternatively, you may submit your own report accompanied by documents and supporting evidence. Reports must include:
 - Centre name, address and number
 - candidate's name and SafeCert registration number
 - date(s) you or the candidate received notification of SafeCert's decision
 - title and number of the SafeCert qualification affected or nature of service affected
 - full nature of the appeal or enquiry about a result
 - contents and outcome of any investigation carried out by you or the candidate relating to the issue
 - date of the report and the appellant's name, position and signature

What SafeCert will do next?

- We will acknowledge your enquiry/appeal within 10 working days of receipt
- We will arrange for appropriate independent SafeCert personnel to review your enquiry/appeal – someone who has not had any previous involvement in the matter
- We aim to have reviewed the enquiry/appeal and respond to you within 20 working days of receipt of your report. Please note that in some cases the review and appeals processes may take longer, for example, if a centre visit is required. In such instances, we'll contact all parties concerned to inform them of the likely revised timescale.
- We will inform you of the outcome within 5 working days of making our decision.

Stage 2 - Appealing the outcome of our review

If you or your candidates are dissatisfied with the outcome of our review of your enquiry/appeal, you may apply to our Appeals Panel, which will comprise, as appropriate:

- two members of SafeCert staff/subject experts not previously involved with the matter under appeal.
- an independent member

Where possible, and appropriate, the Panel will contain an experienced External or Internal Verifier.

We will arrange for the panel to review the case and we'll let you know the outcome of the review. The review process may involve:

- a discussion with you or the candidate and SafeCert personnel
- a request for further information from you, the candidate or SafeCert personnel
- a Centre visit by authorised SafeCert personnel

In cases where panel decisions are required, the majority vote will apply.

Stage 3 – Final Stage Contacting Regulatory Body if Appeal is not Agreed after Stage 2

If you are unhappy with the decisions of the review panel and the case is still unresolved, you may request that the matter be referred to the appropriate qualification regulator (e.g. CCEA Regulation or SQA Accreditation) or that SafeCert should arrange for an independent review to be carried out. The Independent Reviewer will review all the evidence which took place in the above stages and review if we've applied our procedures fairly, appropriately and consistently in line with our policy.

The Independent Reviewer will not be or will not have been a member of SafeCert's Board or committees, a SafeCert employee or a SafeCert External Contractor, at any time during the past 7 years.

The independent review process may involve:

- a discussion with you or the candidate and SafeCert personnel
- a request for further information from you, the candidate or SafeCert personnel
- a Centre visit by authorised SafeCert personnel.

The Independent Reviewer's decision is not final, therefore you still have the right to refer to the regulator SQA Accreditation. For SQA Accredited qualifications you can make a referral to SQA Accreditation. For CCEA Accredited qualification you can make a referral to CCEA Regulation. They may undertake activities to assess the effectiveness of SafeCert and/or the provider's appeals process to ensure they are in line with their regulatory requirements.

Please note: SQA Accreditation is unable to overturn assessment decisions or academic judgments. Also CCEA Regulation is also unable to overturn assessment decisions or academic judgments.

Contact us

If you've any queries about the contents of the policy, please contact our support team:

Contact can be made by:

Telephone: 0845 500 2 100
 Email: fiona@safecertawards.com
 Web: www.safecertawards.com
 Fax: 0845 500 2 101
 Post: SafeCert Awards Ltd - 38 Main Street, Gortin, BT79 8PH

Office Hours: 9.30 am to 4.00 pm Monday to Friday

Voicemail: Available outside of normal office hours.

Whom to contact: Enquiries will be received initially by the Centre's Support and Administration Staff and then, if necessary, transferred to the relevant member of staff.

SafeCert Awards - Appeals Form

Please complete this form using BLOCK CAPITALS Use this form to submit an appeal, whether on behalf of a Candidate or a Centre. Anyone making an appeal should read the SafeCert Awards Appeals Policy.

Email the complete form to fiona@safecertawards.com

Centre Details

Centre Name			
Street Address			
Town		Postcode	
Tel		Position	
Telephone		Email	

Qualification

Qualification Title	
Course/Assessment Date	

Details of Candidates Affected

Learner Name			
Address			
Town		Postcode	

Candidate Appeal (tick as appropriate)

<input type="checkbox"/>	Assessment result/decision	<input type="checkbox"/>	Special consideration/Reasonable Adjustments Decision
<input type="checkbox"/>	Findings of Malpractice/Maladministration Enquiry	<input type="checkbox"/>	Other (please give details below)

Details of Reasons for Appeal

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Centre Appeal (tick as appropriate)

<input type="checkbox"/>	Centre application	<input type="checkbox"/>	Provision of Qualification Decision
<input type="checkbox"/>	Decision external	<input type="checkbox"/>	The finding of Malpractice/Maladministration
<input type="checkbox"/>	External Quality Assurer Report	<input type="checkbox"/>	Other (please give details below)

Details of Reasons for Appeal

Supporting documentation attached?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
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SafeCert Awards use only

Date form received		Date Action taken	
Any action necessary:			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Signed (SafeCert Awards)		Date	

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Company Name	SafeCert Awards Ltd	Company Address	38 Main Street, Gortin BT79 8PH
Responsible Person Name	Paul Horsburgh	Position	General Manager
Responsible Person Signature	<i>Paul Horsburgh</i>	Date	15 Aug 2023