



HealthyBabiesUK

*Because every baby matters*

## **HBUK Enquiries, Appeals and Complaints Policy**

### ***Procedures for Dealing with Enquiries about Results for HBUK Qualifications***

The Awarding Body is required to have in place a system whereby learners and Centres can enquire about their results.

### **Enquiries about availability of results**

In most instances learner and Centre enquiries will relate to when results and/or certificates will become available. In this case HBUK must respond to learners with accurate information for example:

- If recommendations for credit awards for internally assessed units have not yet been received from the centre.
- If Verification of results has not yet taken place.
- If the verified results are at HBUK, but have not yet been checked for accuracy and processed.
- If external assessment results have not yet been received from the Lead HBUK.

In all cases above, HBUK should:

- Record the enquiry, including the learner's name, learner number and the nature of the enquiry, logging contact details for responding to the learner.
- Within five working days of the enquiry, assess the status of the results. This will include internal investigation, but also may include contacting the Centre, Verifier or Lead HBUK.
- Once the status of the results has been established the learner should be contacted with the outcomes and a clear response given with respect to:
  - The explanation of the reasons for the delay.
  - A timescale within which results will be issued.

In all cases regardless of the mode of enquiry (e.g. telephone, e-mail, letter) a written record of the response will be forwarded to the learner. If the learner requests that a written response is not required a file note of the response must be made.

If a full response cannot be given within five days of the enquiry, the learner must be contacted within the five-day period with:

- Confirmation that the enquiry is being dealt with.
- A timescale when a full response will be provided to the learner

## Enquiries about Results

In all cases:

- The learner will receive communication within five working days.
- The full response to the enquiry will be within ten working days.

Learners and centres may enquire about actual results. For learners, these enquiries may relate to the results for unit credits and external assessment. For centres the enquiries will normally only relate to the results of external assessment, as the centre will already have unit result records. In most instances both sets of enquiries are likely to relate to non-achievement of credit or external assessment.

Learners' enquiries about the results of the unit achievement, which are assessed through internally, set tasks.

Where a learner is enquiring about the non-achievement of internally assessed unit credit, the following procedure must be followed...

- Record the enquiry, including the learner's name, learner number, centre name and the nature of the enquiry, logging contact details for responses.
- Where the learner has not already requested information from the centre, the learner should be advised to make the enquiry directly to the centre. The learner should also be advised that if the centre fails to respond to the enquiry, they should contact HBUK again. A file note to this effect should be made.
- Where the learner has already enquired with the centre, but feels further information is necessary, HBUK will respond to the enquiry.
- Within five working days of the enquiry, HBUK will assess the position of the results with respect to the enquiry. This will include:
  - Contacting the assessor for factual information.
  - Contacting the External Moderator for factual information.
  - The learner or centre will be informed of any information or action with a timescale for receipt of the outcomes of the enquiry.
- The factual outcomes of the HBUK investigation will be conveyed to the learner in writing. If the factual information conveyed confirms non-achievement of the credit awards, the learner will be forwarded a copy of the appeals procedure.

## Enquiries about Results of External Assessments

If the factual investigation shows that an error was made and the learner should have been awarded credit the learner will be informed. The following is the minimum information to be conveyed:

- That an error had been made in their results.
- The actual results obtained with unit titles credit value and level.
- An apology for the error and an explanation as to how the error occurred.
- A copy of the HBUK complaints procedure.

In all cases the learner will receive communication including details of when the outcomes of the enquiry will be available. The full outcomes of the enquiry will be available to the learner within twenty working days from the date of the original enquiry.

### Role of the HBUKs

Where HBUK gets an enquiry by telephone from a centre about a learner's results of external assessment, HBUK is required to ask the centre to put its enquiry in writing (email or letter) providing centre contact details.

On receipt of the written enquiry, HBUK will forward within five working days, the enquiry to the Lead HBUK (it would be helpful if HBUK could alert the Lead HBUK by telephone that an enquiry is being forwarded).

Under no circumstances should HBUK enquire directly to the lead HBUK/HBUK on behalf of the centre and/or learners. The enquiry must come directly from the party seeking the information.

### Lead HBUKs Response to Enquiries

On receipt of the written enquiry, the Lead HBUK will assess the nature of the enquiry. Enquiries are likely to fall into two categories:

- Category 1. Enquiries about a cohort results (failure to achieve)
- Category 2. Enquiries about a named individual learner's results

For each category above, the Lead HBUK will supply to the Centre:

#### Category 1 – Enquiries about cohort results (failure to achieve)

A report detailing general issues relating to the performance across the cohort as a whole. This report cannot be used as the basis for individual appeals. The report will be made available to all centres.

### Category 2 – Enquiries about a named individual learner’s results

A report detailing the assessment criterion/a that were not demonstrated through the learner’s submitted evidence. This may be used as the basis for an individual’s appeal, and will only be available to the party seeking the information.

When an enquiry results in the Lead HBUK producing a report in either category above, the HBUK Director of Quality must be informed and copied into all correspondence.

## **Other Enquiries**

Any enquiries that fall outside these procedures, especially any enquiries which may indicate a failure in quality assurance, must be notified immediately to the HBUK Director of Quality in writing. In particular, but not exclusively, this includes results incorrectly awarded to learners for either internally assessed units or for external assessment.

## ***HBUK Arrangements for Considering Appeals and Complaints concerning HBUK Qualifications and Units of HBUK Qualifications***

This document sets out HBUK's procedures for considering appeals and complaints about HBUK Qualifications and units of HBUK Qualifications. Issues of malpractice are addressed in the document titled 'Guidelines and Arrangements for dealing with Suspected Malpractice with reference to HBUK Qualifications and Units of HBUK Qualifications'.

### **Appeals and Complaints**

This procedure is intended to ensure that any appeals or complaints received by HBUK are dealt with quickly, fairly and effectively. HBUK aims to resolve appeals and complaints promptly. However, these matters can be complex and may require scrutiny of extensive documentation. HBUK will aim to reach its final conclusion within three months of receiving the written appeal or complaint.

The Appeals/Complaints procedure may be used to:

- Appeal against a decision concerning a Centre's application to offer an HBUK Qualification or units of a Qualification.
- Appeal by a learner against an internal assessment decision, once the Centre's own appeals process has been exhausted.
- Appeal and/or complaint by a Centre against the contents of a Quality Reviewer report or conduct during a Quality Reviewer visit.
- Appeals against the outcome of an investigation into suspected malpractice.
- Appeal by a Centre against the decision to decline its request for reasonable adjustment arrangements.
- Enquiry or Appeal by a Centre and/or learner concerning external assessment results.
- Appeal by a Centre concerning removal of its approved status to deliver HBUK Qualifications.

Applications to appeal against results of external assessment should be made as soon as possible after the assessment concerned and, at the latest, within *four* weeks of the learner receiving notification of results.

Appeals on the outcomes of Internal Assessment should be made as soon as possible to the Centre following the assessment decision. Once the Centre's own process is exhausted, any appeal to HBUK should then be made within *four* weeks of the learner receiving the outcomes of the Centre's Appeal Process.

HBUK will consider appeals or complaints from individual learners or their advocates, groups of students or their representatives, or from a Centre or a group of Centres.

## **Procedure**

The following procedure will be used when an appeal or complaint is made to HBUK concerning HBUK Qualifications and Units of HBUK Qualifications. An appeal or complaint will normally be made in writing although, where this presents difficulty, other means of communicating will be accepted.

### **Stage 1**

The Managing Director or Representative of HBUK will acknowledge the appeal or complaint within five working days of receipt. S/he will also determine whether the matter falls within the scope of HBUK's remit as outlined above. Where the appeal or complaint is not within its scope, the Managing Director or Representative will write to the appellant/complainant giving the reasons why the appeal or complaint cannot be acted upon. If the appellant/complainant should follow an alternative complaints/appeals procedure, the matter will be referred as appropriate.

## Stage 2

Within 15 working days the Managing Director or Representative will seek relevant information and documentation from both the appellant/complainant and any other parties, for example, HBUK, Moderator, External Assessor.

Within 10 working days of receiving the full documentation, the Managing Director or Representative will consider whether the evidence presented is sufficient to reach a decision. If it is not, further documentation may be requested from relevant parties, or further clarification from the complainant/appellant.

Once the Managing Director or Representative is satisfied that all relevant documentation is present, s/he shall reach an initial conclusion on the matter and write to the complainant/appellant, providing a judgement on each point raised and referencing this judgement with relevant evidence. The initial conclusions will, if appropriate, identify any recommendation or implications of the outcome.

The appellant/complainant will be invited to comment on the factual accuracy of HBUK's initial conclusion within 10 working days.

The Managing Director or Representative will consider any additional information provided before reaching a final conclusion. A final conclusion will be confirmed to the appellant / complainant within 10 working days.

## Independent review

If the appeal is unresolved or if the appellant/complainant is dissatisfied with the decision s/he may request that the appeal or complaint be referred to the Chair of HBUK Board of Directors for review. The HBUK chair will undertake the review with *two* independent members. The HBUK Chair will respond within *ten* working days. The decision of the HBUK Chair is final but centres or candidates are entitled to complain to the qualifications regulators.

Independent in this context means that the independent member is not and has not been a member of HBUK board or committee, or an employee, moderator or assessor, at any time during the past seven years. In addition, the independent members will have had no interest or involvement in the complaint/appeal.



## Outcomes of an Appeal

Where the outcome of an appeal against an assessment decision is such as to bring into question the accuracy or results of other learners in the same assessment, HBUK will take appropriate steps to protect the interests of all learners and the integrity of the qualification.

HBUK will report annually to the HBUK Board of Directors on the operation of its appeals and complaints arrangements (including enquiries related to appeals or complaints). This Report will cover the number and nature of enquiries and appeals submitted and their outcomes. Relevant records and data will be shared with the Qualification authorities on request.

## Fees

### 1. Centre Enquiry

An enquiry by a centre, on the results of a cohort of learners, will be charged as follows:

- £65 flat fee, plus £1 per learner in the cohort.

HBUK will produce a centre report for the centre.

### 2. Individual Learner Enquiry

An enquiry about an individual learner's results (from the learner or the centre) will be charged as follows:

- £40 flat fee.

HBUK will provide a report for the learner.

### 3. Refunds

If the assessment decision is reversed a full refund will be made to the centre / learner.