

# Enquiries and Appeals Policy

## 1. Introduction

- 1.1 This policy is aimed at Swim England Qualifications (SEQ) Approved Training Centres (ATC's) and learners.
- 1.2 It sets out what they should do when submitting enquires and appeals to SEQ and the timescales which will be followed by SEQ when responding to enquiries and appeals.
- 1.3 This policy is also for use by SEQ staff to ensure that all enquiries and appeals are dealt with in a consistent manner.
- 1.4 Swim England Qualifications (SEQ) aims to ensure that all decisions are fair, consistent and based on valid judgements, however acknowledges that there may be occasions where an Approved Training Centre (ATC) or learner may wish to appeal a decision made.
- 1.5 SEQ requires ATC's to have an appeals policy and procedure which learners can access if they wish to appeal against a decision taken by the ATC. If an individual wishes to appeal against a decision taken by an ATC it must first go through the ATC's appeals procedure before pursuing the matter with SEQ.
- 1.6 Below are examples of enquiries and appeals that can be made to SEQ:
  - External Verification Decisions
  - Centre Review Outcomes
  - Reasonable Adjustments or Special Consideration Decisions
  - Malpractice and Maladministration Decisions
  - Adjudication of Internal Assessments Decisions

## 1.7 Adjudication of Internal Assessment

## 2. Stage 1 Enquiry

- 2.1 The enquiry stage is one that precedes an appeal and is a stage that endeavours to resolve disputes before they reach the appeals procedure.
- 2.2 ATC's (and learners) have 14 working days from the date SEQ notified the ATC / learner of the decision in which to make an enquiry.
- 2.3 Hence ATC / learners must retain course evidence, where appropriate until results are received.
- 2.4 If an ATC appeals on behalf of the learner they must ensure that they have obtained the written permission of the learner(s) concerned as results can go down as well as up following an investigation. Learners who have registered and been assessed via an ATC and wish to appeal their assessment results or about a related decision should either be supported by their ATC and / or should have exhausted their ATC's own appeals process before appealing directly to SEQ.

- 2.5 The ATC must email SEQ with their enquiry or provide a copy of this policy directly to the learner. The following details should be provided for all enquiries:
- 2.5.1 ATC Name
  - 2.5.2 ATC Centre (and Number if known)
  - 2.5.3 Learner Name (and Registration Number if known)
  - 2.5.4 Title / QAN and or Reference Number of the qualification if applicable
  - 2.5.5 Type of enquiry (see section 1.6 above)
  - 2.5.6 Details of any decision dates known
  - 2.5.7 Contact details (email / telephone number) for the individual making the enquiry (e.g. Key Centre Contact or learner)
  - 2.5.8 As much detail about the decision and what aspects of the decision are being challenged
- 2.6 All enquiries should be sent to [qualityassurance@swimenglandqualifications.com](mailto:qualityassurance@swimenglandqualifications.com)
- 2.7 SEQ will review the enquiry and notify the ATC Key Centre Contact or Learner (hereby known as individual) within 10 working days wherever possible of the outcome. Should it not be possible to provide an outcome within 10 working days SEQ will inform the individual of the alternative anticipated outcome date.

### 3. Stage 2 Formal Appeal

- 3.1 If the individual remains dissatisfied after receiving the outcome of the enquiry, they can pursue a formal appeal against the decision.
- 3.2 All appeals must be made in writing and within 10 working days of SEQ confirming the enquiry outcome. All appeals should be emailed to [qualityassurance@swimenglandqualifications.com](mailto:qualityassurance@swimenglandqualifications.com)
- 3.3 SEQ will acknowledge the formal appeal within 10 working days of receipt of the formal appeal.
- 3.4 SEQ will establish an appeals panel, consisting of one or more individuals, who will be competent to act on the panel and have no personal interest in the outcome of the appeal.
- 3.5 SEQ will inform the individual of the result of the appeal within 20 working days of receipt of the formal appeal and payment. In the event that the panel is unable to complete its investigations and determine an outcome within 20 working days, SEQ will inform the individual and will advise of the extent of any delay.
- 3.6 The following charges will be applied to the individual:
  - External Verification = £150
  - Centre Review = £300 plus reasonable expenses
  - Reasonable Adjustments or Special Considerations = £150
  - Malpractice and Maladministration = £150
  - Adjudication of Internal Assessment = £300 plus reasonable expenses
- 3.7 The fee will be refunded if the appeal is successful.

## 4. Stage 3 Panel Investigation

- 4.1 If the individual remains dissatisfied after receiving the outcome of the formal appeal, they can request a panel investigation. All requests should be emailed to [qualityassurance@swimenglandqualifications.com](mailto:qualityassurance@swimenglandqualifications.com)
- 4.2 All panel investigations must be made in writing and within 10 working days of SEQ confirming the formal appeal outcome.
- 4.3 SEQ will acknowledge the panel investigation request within 10 working days of receipt of the formal appeal.
- 4.4 The charge for this process payable by the individual will be £600 plus reasonable expenses. On receipt of payment, the panel investigation will be arranged at the Swim England headquarters along with representation from the individual and SEQ.
- 4.5 The decision from the panel will be final.
- 4.6 The fee will be refunded if the appeal is successful.

## 5. Quality Assurance

- 5.1 This policy supports regulatory conditions; C2; H2; I1; I2.
- 5.2 This policy is reviewed annually to ensure it continues to meet the needs of SEQ and the Regulators.

- 1.1 In the first instance, learners wishing to appeal against results should follow the internal appeals procedure with their ATC. Only when the learner continues to remain dissatisfied with the outcome should they contact SEQ.

## Appendix 1: Appeal Form

*This form should be completed by the individual appealing. If you are a learner wishing to appeal against the assessment decisions by an educator you should contact the ATC who ran the course and follow their appeals process.*

*Please give as much detail as possible when completing the form, if further evidence is required you will be asked to add additional commentary.*

Name	
Role	
Address	
Telephone number	
Email address	

SEQ Approved Training Centre		
Type of Appeal	An External Verification Decision	Y / N
	A Centre Review Outcome	Y / N
	The Results of a Standardisation Test	Y / N
	Decision made by SEQ	Y / N
Details of the appeal		

Declaration
I confirm that the information in this form is accurate, to the best of my knowledge, and that the ATC will provide arrangements in accordance with the guidance given by SEQ.

Signature	
Date	

Please return to SE Qualifications, Allegations, SportPark, 3 Oakwood Drive, Loughborough, LE11 3QF

or email [qualityassurance@swimenglandqualifications.com](mailto:qualityassurance@swimenglandqualifications.com)