

# **Enquiries about Results and Appeals Policy V 3 December 2025**

## **Contents**

<b>Document Version Control</b> .....	<b>3</b>
<b>Introduction</b> .....	<b>4</b>
<b>Who needs to know about this policy?</b> .....	<b>4</b>
<b>Policy Scope</b> .....	<b>4</b>
<b>Enquiries About Results</b> .....	<b>5</b>
<b>Review of Marking</b> .....	<b>5</b>
<b>Formal Appeals</b> .....	<b>6</b>
<b>How to Submit an Enquiry about Results or an Appeal</b> .....	<b>7</b>
<b>Fees</b> .....	<b>8</b>
<b>Policy Review</b> .....	<b>8</b>

## Document Version Control

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V 3	December 2025	Revision to ensure alignment to the L7 Operational Research Specialist assessment plan regarding timing of requests

## Introduction

This policy outlines the Operational Research Society's (OR Society) framework for dealing with enquiries about assessment results and appeals. It is aimed at OR Society approved centres, training providers, employers and apprentices who are delivering or working towards a standard where the OR Society is providing the End-point Assessment (EPA).

It is also for use by OR Society staff to ensure they deal with all enquires and appeals in a transparent and consistent manner.

## Who needs to know about this policy?

Training providers and employers must ensure that apprentices and staff (including site, sub site and contractors) who are involved in the design, delivery, management, assessment and quality assurance of OR Society EPA's, are fully aware of the contents of this policy.

It is also the responsibility of the training provider and/or employer to ensure that the apprentice is aware of the OR Society Appeals Policy to ensure that it is accessible should there be a need to appeal the results of an EPA.

## Policy Scope

This policy covers the delivery of OR Society EPA which are subject to internal and external quality assurance. In conjunction with other OR Society EPA policies, this policy serves to protect the interest of OR Society registered apprentices, minimise the risk of an Adverse Effect occurring and support OR Society in its approach to managing risk.

There are two stages of enquiry or appeal depending on the nature of the relevant decision.

These are:

- Enquiry About Results – Stage One
- Appeal – Stage Two

An enquiry or an appeal can be submitted by the employer or training provider directly responsible for the apprentices' registration of the EPA when they believe an EPA assessment decision is inaccurate.

An appeal can be made:

- Against a decision, penalty or sanction made following the outcome of a malpractice investigation
- Where the OR Society has declined applications for access arrangements and special consideration
- Following the outcome of an enquiry if you believe that the OR Society did not apply its policies and procedures consistently or properly

## Enquiries About Results

If Training Providers or Employers, believe that an administrative error may have occurred in the recording of results, they may submit a request for an enquiry. Enquiries can only be made in relation to results formally released by the Society after all assessment methods have been completed and an overall grade has been awarded.

An enquiry is an administrative (clerical) check designed to confirm that marks and grades have been accurately recorded and correctly released for each EPA component and the overall grade. It does not constitute a review or re-assessment of the original assessment decisions.

Enquiries about results must be submitted within 10 working days of the overall grade being awarded. As part of the process, employers and training providers must ensure that they retain all evidence relating to the enquiry submission.

Enquiries are conducted by an OR Society member of staff that has not been involved in the original marking decision and who does not have a personal interest in the enquiry outcome. However, they will be experienced in all applicable processes, procedures and policies.

We aim to acknowledge receipt of the enquiry within three working days and provide a written response within 15 working days.

## Review of Marking

Once a clerical check is completed and the appellant informed of the outcome, an appellant may request a further review (re-marking) of the original marking to establish if the mark scheme has been applied accurately.

The review will determine if the mark scheme has been applied correctly and where applicable, academic judgements are reasonable.

Remarks are conducted by an assessor not involved in the original assessment(s) and does not have a personal interest in the outcome. The assessor will not reassess the entire assessment but will act to amend any errors identified in the original marking.

We will acknowledge your request within three working days of receipt and aim to respond within 15 working days of receipt.

The possible outcomes of the enquiry will be:

- The result (s) remain unchanged
- The result (s) is amended, which may be a negative or positive change, and our records revised accordingly

Should the outcome of a request identify errors within OR Society policies or procedures the OR Society EPA Operations Manager will correct them and investigate reasons for change to the OR Society internal quality assurance process, systems, processes and also identify any other apprentices who have been affected by the same issue and make amendments to results where necessary. Should it be identified that an adverse effect has occurred or could have occurred our regulator, Ofqual, will be notified.

The EPA Operations Manager will produce an action plan for implementation that will mitigate any further issues. The action plan will also highlight where a training and development need has been identified that involves members of the EPA team.

Should dissatisfaction remain with a decision following an enquiry because you believe we did not apply our policies or procedures consistently and properly, an appeal request can be submitted within 10 working days of receipt of the enquiry outcome.

## Formal Appeals

An appeal can only be made on the basis that OR Society did not apply its procedures consistently, or that procedures were not followed properly and fairly.

Where employers and/or training providers are unhappy with an OR Society decision that relates to the following they may submit an appeal against that decision:

- a decision relating to reasonable adjustments or special considerations
- the outcome of a maladministration or malpractice investigation, or
- the outcome of a decision to impose a sanction resulting from a maladministration malpractice investigation, or any decision that affects an apprentice, they may submit an appeal against that decision

An appeal request must be submitted within 10 working days of the date OR Society notified them of the decision.

Following the outcome of an enquiry should an employer or training provider directly responsible for the apprentices' registration of the EPA believe that OR Society did not apply its policies and procedures consistently or properly, an appeal can be submitted within 10 working days of the date OR Society notified them of the outcome of the review.

Employers and training providers must ensure that they retain all evidence relating to the appeal submission.

Any appeal submitted on behalf of an apprentice must have been discussed with the apprentice(s) and written permission evidenced before it is submitted to the OR Society, as assessment results and grades can go down as well as up as a result of an appeal.

We will acknowledge receipt of the appeal within three working days and aim to complete the appeals process within 20 working days from the day the appeal was received. This date will be communicated with the Appellant on receipt of the appeal.

Appeals submitted to OR Society will be heard by a Panel that includes the Responsible Officer (the Chair) and an independent representative appointed by OR Society that is not a member of any of its Committees, Groups or its Governing Board, is not a OR Society member of staff, a Society member or an OR Society contractor and is not otherwise connected to the OR Society.

The Panel members will have appropriate competence, knowledge and skills, will not have been involved in the original decisions or processes, or at the Enquiry about Results stage and will not have a personal interest in the appeal outcome.

A note taker shall be present at each meeting of the panel to take notes of the meeting but will not be involved in the appeal proceedings.

The Panel will consider whether OR Society has properly and fairly applied the relevant policies and processes in light of the evidence presented. The Panel will also consider any readily available advice on similar matters from our regulators and also any readily available EPA precedents.

There are two possible outcomes of the hearing:

- the appeal is rejected
- the appeal is upheld

The Panel's decision is final and is the final stage of the enquiries about results and appeals procedure and no further appeal will be accepted or considered.

Should the outcome of an appeal identify errors within OR Society policies or procedures the EPA Operations Manager will correct them and make any necessary changes to internal quality assurance processes and/or systems/processes and also identify any other apprentices who have been affected by the same issue and make amendments to results where necessary.

Should it be identified that an adverse effect has occurred or could have occurred the Responsible Officer will notify Ofqual.

The EPA Operations Manager will produce an action plan for implementation that will mitigate any further issues. The action plan will also highlight where a training and development need has been identified that involved members of the EPA team.

If an appellant remains dissatisfied after fully exhausting the OR Society enquires about results and appeals process, they may wish to contact Ofqual directly to raise a formal complaint.

However, Ofqual will only consider whether the due process has been followed by OR Society in considering the appeal and will not conduct a further appeal of any kind.

All enquiries and appeals, and their outcomes are reported to the awarding organisation Management Team and to the Governing Board. Outcomes will be used to inform our self-assessment activities and will feedback into our EPA development and review processes where necessary.

## How to Submit an Enquiry about Results or an Appeal

An Enquiry or an Appeal must be requested via the ACE360 Appeal function by the training provider. You must complete and submit the EPA enquiries about results and/or appeals form along with your request, which can be accessed via the ACE360 document store.

Please ensure that you complete the form in full and provide clear details of why they believe that an enquiry/appeal should be considered. Please note that enquiry/appeal applications without clear details or that do not fall within the scope of this policy may not be accepted.

You must ensure that all appropriate evidence is submitted with the form.

## Fees

There is a charge of £25 plus VAT for an enquiry about results application that falls in scope only of a clerical check. The full cost of the invoice must be made within five working days of the invoice date.

Should a review of marking be requested by an appellant following a request for a clerical check, the charge per assessment is £250 plus VAT. The full cost of the invoice must be made within five working days of the invoice date.

On receipt of an appeal, an invoice will be raised for £150 plus VAT and the full cost of the invoice must be made within five working days of the invoice date. Where a review of marking of a component is required and this was not requested/did not take place at an earlier stage, a fee per assessment of £250 plus VAT will be added to the invoice.

Please note that if the invoice payment is overdue, the enquiry or appeal will be paused until full payment has been received.

Where an appeal is upheld, the appeal fee will be refunded.

Types of appeals:

- Appeal against assessment decision (per apprentice)
- Appeal against a reasonable adjustment's decision (per apprentice)
- Appeal against special considerations decision (per apprentice)
- Appeal relating to any action to be taken against an apprentice following an investigation into malpractice or maladministration (per apprentice)
- Appeal relating to any action to be taken against a training provider or employer following an investigation into malpractice or maladministration

## Policy Review

Ofqual may require the OR Society to change this policy at any time to ensure compliance with its requirements.

This policy is reviewed as part of the OR Society's continuous improvement monitoring through its annual self-assessment arrangements. It may be reviewed earlier should any feedback or concern be brought to the attention of the OR Society to ensure it remains fit for purpose and the process and its outcomes are deliverable.