

CMI Awarding Body

Apprenticeship Assessment Enquiries and
Appeals Policy v4

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AB/POL/0034 - November 2025 - V4

History

Date	Amendments Made
03/09/2025	Review of document and inclusion/amendments to the reporting process to include CPC actions.
21/11/2024	The whole Policy has been reviewed along with the templates used within this document
27/02/2023	Thorough review of the whole document in context to Ofqual General Conditions of Recognition- I1, I2, current CMI policy and procedure
22/02/2022	Thorough review and update of the whole document in context to Ofqual General Conditions of Recognition- I1, I2, current CMI policy and procedure
10/03/2021	Thorough review and update of the whole document

Intended Audience

- Employers and Centres
- CMI staff and associated third parties

All of CMI's policies are published on the [CMI Policies Webpage](#)

Purpose

The purpose of this policy is to set out the guidelines and procedures for raising, managing and responding to Enquiries or Appeals relating to the delivery of CMI Apprenticeship assessment.

Scope

This policy applies to all CMI Apprenticeship assessment staff and all Centre/Employer staff involved in CMI Apprenticeship assessment.

Regulatory Requirements

This policy meets the regulatory requirements set out by our regulators: Ofqual

[Ofqual - Conditions of Recognition](#)

Regulator or Relevant Regulatory Body	Reference Details	Legislation/Regulatory Reference
Ofqual	General Conditions of Recognition	Principle 2 Principle 3 Condition J1 2.0 Process and Fairness Condition I1: Condition C1 Condition G8

Definitions

Enquiry - Section 1

Questioning around a perceived administrative error relating to final results, for example:

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- result not released within service level agreement (SLA)
 - result transcript contains errors

An Enquiry cannot be raised if the grade is not deemed as being appropriate by the Apprentice, Centre or Employer.

Appeals about Apprenticeship assessment - Section 2

An Appeal can be raised if there is a perception of an unfair assessment, for example:

- unfair assessment
- significant technical issue which impacts the assessment
- unprofessional behaviour
- concerning the contents and/or findings of a CMI Centre Quality Assurance visit
- concerning the contents and/or findings of a malpractice/maladministration investigation
- in relation to a declined reasonable adjustment request
- in relation to a declined special consideration request

An Appeal cannot be raised if the grade is not deemed as being appropriate by the Apprentice, Centre or Employer.

If a fail grade is issued following a missed deadline, the capping of a pass based on extenuating circumstances may be appealed.

Enquiries

Enquiries about Apprenticeship assessment results

Where Centres, Employers or Apprentices believe that there may have been an administrative error in the recording of results, they may request an Enquiry about these results.

It does not involve review or re-assessment of assessment decisions.

Enquiries are conducted by a CMI Quality Assurance colleague who does not have a personal interest in the outcome. They will, however, be experienced in the standards, all applicable processes, procedures and policies.

There is no cost to make an Enquiry.

Raising an Enquiry

To request an Enquiry, the Centre itself (or on behalf of an Employer or Apprentice) should complete the relevant boxes on the Enquiries form in CMI Partner Connect (CPC).

The form should be completed in full and provide clear details of why they believe that an Enquiry should be considered. Please note that Enquiry applications without clear details will be returned for editing. Enquiries should be supported by relevant evidence, where appropriate.

Timescales guidance

All Enquiries must be submitted to CMI within 10 working days of the overall result being released. CMI will acknowledge receipt of the Enquiry as a public comment on CPC, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Enquiry response may take longer than the specified timescale(s). In such instances, CMI will advise the Enquirer of the reasons why and the revised timescale.

Appeals

General guidance

Appeals about the assessment process can only be submitted once all methods of assessment have taken place and all marks and grades have been recorded and released correctly for each of the Apprenticeship assessment components and the overall grade awarded by CMI.

The purpose of an Apprenticeship assessment Appeal is to identify if the correct assessment, internal quality assurance and/or administration processes, procedures and policies were followed by CMI which resulted in the Apprentice finding their assessment has been unclear, unfair or believed to have caused disadvantage. Appeals are divided into 3 stages and should be followed in order.

The Appeals process is not used when an Apprentice has concerns about their Centre, to challenge assessment grades, or to gain feedback from CMI regarding their overall assessment decision.

An Apprenticeship assessment Appeal is not appropriate when an Apprentice feels they did not achieve the grade that they expected, thus wanting their assessment to be remarked or wish to resit their Apprenticeship assessment. (For information please note that, in line with government Apprenticeship guidance, a resit cannot be taken with the intention of increasing the original grade if an Apprentice has

passed their Apprenticeship assessment - resits are only to be taken in the event of a failure.)
(Apprenticeship gateway and resits for end-point assessment (Apprenticeship assessment) - GOV.UK)

All Appeals are conducted by a CMI Quality Assurance colleague who does not have a personal interest in the outcome or was not involved in the original assessment decision. They will, however, be experienced in the standards, all applicable processes, procedures and policies.

The cost for an Appeal is £250 this is only chargeable if the Appeal is not upheld. This is non-refundable. See below for the Appeal Stages and the process to follow.

Appeal submission

All Appeals should be submitted to CMI by the Centre that made the Apprenticeship assessment registration on behalf of the Apprentice, and it should be noted that the Appeal cost will be invoiced back to the Centre that made the registration for the apprenticeship. Centres should gain the consent of the Apprentice/Employer before submitting any Appeal.

To request an Appeal, the Centre should complete the relevant boxes on the CPC Appeals form.

The form should be completed in full and provide clear details of why it is believed that an Appeal should be considered. Please note that Appeal applications without clear details may be returned for editing. Appeals should be supported by relevant evidence, where appropriate.

Appeal Stages

Stage 1

The areas of concern in the original Apprenticeship assessment are reviewed by one of CMI's Apprenticeship assessment Internal Quality Assurance colleagues who will make a recommendation. This recommendation will be sent to a CMI Quality Manager to agree on a final decision.

Stage 2

Should the Appellant remain dissatisfied with the outcome of the Stage 1 procedure, they have a right to submit an application to progress to Stage 2. Stage 2 Appeals will review the process and outcome decision of the Stage 1 procedure and will be undertaken by a qualified Quality Assurance employee of CMI who is independent from the Stage 1 Appeal and does not have a personal interest in the Appeal outcome or was not involved in the original assessment decision. They will, however, be experienced in

the standards, all applicable processes, procedures and policies. This recommendation will be sent to a CMI Senior Quality Manager to agree on a final decision.

Stage 3

Independent Review of the process

In the event that there is cause to believe that CMI has not followed its own published procedure, CMI will direct the Appeal to an independent decision maker.

The independent decision maker will only review documentation and evidence from Stage 1 and Stage 2 and verify that CMI have followed fairly and consistently their own procedures.

Escalation

If, after a Stage 3 Appeal concludes, the Appellant still believes that CMI has not followed its processes and/or procedures fairly and consistently, they are able to raise the matter with Ofqual.

Timescale guidance

All Appeals must be submitted to CMI within 10 working days of the overall result being released. CMI will acknowledge receipt of the Appeal as a public comment on CPC, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the Appellant of the reasons why and the revised timescale.

The outcome of an Appeal decision could be:

- Appeal upheld
- Appeal Partially Upheld
- Appeal not upheld
- Not an Appeal

All Stage 2 Appeals must be submitted to CMI within 10 working days of CMI issuing the outcome of the Stage 1 Appeal.

CMI will acknowledge receipt of the Stage 2 Appeal and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the Appellant of the reasons why and the revised timescale.

The outcome of a Stage 2 Appeal decision could be:

- Appeal upheld
- Appeal not upheld
- Appeal Partially upheld
- Not an Appeal

All Stage 3 Appeals must be made within 10 working days of receiving CMI's decision following the Stage 2 Appeal. CMI will acknowledge receipt of the Stage 3 Appeal, and pass it to the external independent decision maker who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the Appellant of the reasons why and the revised timescale.

Where a decision changes as a result of an Appeal at either stage, CMI will:

- amend their Centre/Employer and/or Apprentice records accordingly;
- investigate reasons for change through their robust internal quality assurance;
- review and make any necessary corrections to their systems and processes to ensure no recurrence, and make sure no other Apprentice is affected by the same or similar issue.

For each stage, the CMI Quality Manager/Senior Quality Manager/Independent Decision Maker will notify the Centre of the outcome via CPC.

Rejections

CMI reserves the right to reject an Appeal. This decision is based on whether:

- the Appeal is submitted properly and constituted as outlined in this policy document;
- any other relevant / required process has first been completed;

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- a review of decisions has already been conducted during an investigation within another process, such as malpractice;
 - there is evidence that our relevant policies and procedures have not been properly and fairly applied. The timescale of the application will also be taken into account.

If an application for an Appeal is not accepted, the reason(s) for this will be provided in writing within 20 working days.

Monitoring and Review

This policy will be reviewed in line with CMI's Document Control Policy.