

INTRODUCTION

IC Training Centre is committed to providing the highest levels of service to its customers, including employers, training providers and learners. It anticipates that issues or complaints can be resolved through the complaints or enquiries procedures and these procedures will be followed in the first instance. However, where a learner remains dissatisfied having exhausted these procedures, they have recourse to the appeals process.

IC Training Centre has and will maintain a robust policy and associated procedure for handling appeals from centres and individual learners. These procedures will ensure that:

- All appeal decisions are taken by individuals who have no personal interest in the decision being appealed
- All appeal decisions are taken by individuals who have appropriate competence
- Appellants are kept informed of the progress of their appeal
- Appeals are dealt with within published timescales
- The specific needs and interests of learners are considered and protected
- Customer facing versions of the appeals policy and procedure are communicated to learners and centres and published using appropriate media
- Every endeavour is made to ensure compliance with relevant legislation and in particular the handling of sensitive data in accordance with the GDPR
- Where an appeal results in the identification of a failure in the assessment process, IC Training Centre takes all reasonable steps to identify any other learners affected, correct or mitigate as far as is possible the effect of the failure, and ensure that the failure does not recur
- An appeal may be only made on the grounds that IC Training Centre did not apply its procedures consistently, or that its procedures were not followed properly and fairly
- Learners (or a centre on behalf of a learner(s)) undertaking end point assessment with the EPAO may appeal against the grade(s) on receipt of their results.

RESPONSIBILITIES

- Tutors should make learners aware of the Assessment Appeals Policy during induction.
- Learners should familiarise themselves with the Assessment Appeals Policy and inform their tutor if they are not satisfied with an assessment
- The IAG Team will offer support to learners throughout the appeals procedure
- The Centre Manager will:-
 - Record, track and validate any learner assessment appeal.
 - Forward any appeals to the Awarding Body as appropriate.
 - Keep appeals records for inspection by the Awarding Body for a minimum of 18 months.
 - Will take appropriate action to protect the interests of learners and the integrity of IC Training Centre and the qualification or apprenticeship

Appeals Policy and Procedure

- Monitor appeals to inform quality improvements
- Co-ordinate the arrangements for the Assessment Appeals Panel

POTENTIAL IMPACT ON EQUALITY, DIVERSITY AND INCLUSIVITY

IC Training Centre will ensure all procedures are in line with its Equality Policy and that reasonable adjustments are made if necessary, to enable a fair process to be adhered to.

IC Training Centre's Appeals Procedure allow clients who are registered at the Centre to challenge the outcome of their assessment at the level of a unit/module/component if they consider that the assessment has not been carried out properly.

Examples of areas where an appeal may be raised are as follows:

- The conduct of assessment
- Opportunities available for assessment
- Opportunities available for re-assessment
- Appropriate coverage of the evidence assessed in terms of national standards and the awarding organisation requirements
- Failure of the assessor to provide assessment agreed in the learner's assessment plan
- Assessment decisions/grades

(Should a learner wish to appeal against a decision made after a complaint has been investigated then please refer to our Complaints Procedure).

IC Training Centre in line with its values of fairness and openness, encourages learners to discuss any concerns with the Assessor in the first instance. If they remain dissatisfied, they should follow the appeals procedure outlined below.

Details of any learner appeal should only be discussed with others involved in the appeals process. The learner's confidentiality must be respected at all times. Any enquiry, question or appeal should be made as soon as possible after the assessment decision. An appeal must be made within 10 working days after receiving the assessment results.

APPEALS PROCEDURE

Stage 1 – Tutor/Assessor and Learner

The learner must present the completed appeal form to the Assessor within 10 working days of receiving the assessment result. The form should include details of why they feel that the work has been assessed unfairly, inconsistently or not in accordance with the standards and level required by the Awarding Body. Any evidence or correspondence relevant to the appeal should be attached.

The Assessor will carry out relevant investigations based on the nature of the appeal. There are two possible outcomes:-

- The original assessment decision remains unchanged
- The assessment decision is amended – this could be both up or down.

The Assessor should document the decision with their reasons on the appeal form.

Appeals Policy and Procedure

The Assessor will advise the learner of the decision no later than 5 working days after the appeal is made. The decision should be documented on the appeal form and a copy of the form given to the learner.

The learner should consider the Assessor's comments and decision and decide whether to accept the outcome of the formal re-assessment. This should be indicated on the appeal form and signed and dated by the learner. The appeal form should be returned to the Assessor within 5 working days of receiving the re-assessment decision.

The appeal form should be passed to the Centre Manager for tracking and monitoring purposes.

If the learner has not accepted the re-assessment decision, the Centre Manager will co-ordinate the move to Stage 2 of the appeals procedure.

Stage 2 – Lead Internal Verifier

Following notification that the learner is still unhappy with the assessment decision, the tutor must give the Lead Internal Verifier the following information within two working days of the appeal reaching Stage 2: the original assessment record and learner's evidence, where appropriate; and the written explanation and confirmation of the assessment decision.

The Lead Internal Verifier will reconsider the assessment decision, taking the following into account:

- the learner's reason for appeal;
- the learner's evidence and associated records;
- the assessor's reason for the decision; and
- the opinion of another assessor from the centre.

The Lead Internal Verifier must then give the reconsidered decision, in writing, within five working days of receiving the appeal, to both learner and Tutor.

The learner must tell the Lead Internal Verifier and confirm in writing if they are still unhappy with the reconsidered assessment decision within five working days of receipt of the decision. If so, the appeal moves to Stage 3.

Stage 3 – Assessment Appeals Panel

If an assessment appeal remains unresolved at Stage 1 of the procedure, an Assessment Panel will review the appeal. The staff member who conducted the Stage 2 process must send the following details to the Centre Manager or Quality Nominee:

- the written explanation and confirmation of the assessment decision
- the assessment record sheets; and
- any written comments.

Within ten working days of receiving the appeal, the Centre Manager or Quality Nominee will convene an Appeals Panel to hear the appeal. The Appeals Panel will consist of the Centre Manager or Quality Nominee, a subject expert and the senior manager of the department concerned.

The learner may speak to the Appeals Panel and may be accompanied by an adviser*, and/or make a written submission. The tutor who made the original decision will be asked to attend the Appeals Panel to answer questions.

The Appeals Panel will then discuss the matter in private and reach a majority decision. All parties will then be informed of the decision. The decision of the Appeals Panel is final, although learners may appeal to the Awarding Body once the internal appeals decision has been completed.

ESCALATION TO AWARDING BODY

If the learner remains dissatisfied with the decision of the Assessment Panel, the Centre Manager will help facilitate escalation to the relevant Awarding Body.

GROUP ASSESSMENTS

The appeals procedure should be followed irrespective of whether the assessment is for work completed by an individual or for an assessment as part of a group allocated grade. These additional points should be followed in the case of a group assessment where a shared mark is given.

If the entire group wishes to appeal the assessment decision

As a group, the procedures detailed above should be followed. If the appeal moves to Stage 1, the group should agree the reasons for appeal and document this on the appeal form. All learners within the group should sign the form.

Whatever the appeal outcome, this will be applied to the assessment decision for all learners in the group.

If an individual(s) within the group wish to appeal the assessment decision

There may be circumstances where an individual(s) within the group wishes to appeal the assessment decision whilst the rest of the group is satisfied with the assessment and accepts the decision. The individual(s) wishing to appeal the assessment decision should be aware that the appeal decision will be applied to their individual assessment only. They should follow the normal appeals procedure.

Other members of the group will be asked to sign a declaration form to state that they are satisfied and accept the assessment given. This will secure the assessment decision already given to them and will remain unchanged regardless of the outcome of the individual appeal. They will not be able to make an individual appeal at a later date.

Please note learner confidentiality must be respected at all times. In the case of group assessments, the group will be informed that an appeal has been made but it would not be appropriate to disclose details of any individual(s) appeal.

The Centre's Complaints Procedure allows clients who are registered at the Centre to challenge an appropriate aspect of the Centre's Operation.

Candidates could complain about the following areas:

- Access to assessment
- Process of assessment
- Access to internal verification
- Handling of an Appeal
- Administrative Issues e.g., failure to register

Assessors/Tutors could complain about the following areas:

- Access to support and guidance

- Access to internal verification
- Administrative issues
- Insufficient time to undertake the function

IQAs could complain to the centre about the following areas:

- Access to support and guidance
- Insufficient time to undertake the function

SUGGESTIONS AND COMPLIMENTS

Your views and feedback are important to us. We would like to hear from you whether or not you are satisfied with our services, this will help us recognise our strengths and weaknesses and therefore make it possible to improve our standards of service.

Complaints, Compliments and Suggestion Forms are available from our administration staff and can also be found in our training rooms. When you have completed the Form, (your name and address is optional,) you can either post in the suggestion box or give to a member of the administration staff. We also provide Evaluation Forms from time to time and Exit Evaluations so as to help us monitor our services.

Our aim is to respond to any of the above within 10 working days of receiving it. If however, we cannot respond we will notify you of the reason why and give you some idea of when we will reply.

REVIEW

This policy will be reviewed on an annual basis or following changes to Government updates and statutory guidance in relation to Covid-19 and company risk assessment policies and processes.

Appeals Policy and Procedure

Learner Appeals Form 1 (stage 1)

Learners are required to complete this form when making an appeal against the outcomes of an assessment decision and forward to the assessor.

| | | | |
|---|--|-------------|--|
| Learner's name | | | |
| Date of assessment | | | |
| Name of assessor (against whose decision the appeal is being made) | | | |
| Nature of the Appeal | | | |
| | | | |
| Details of Original Assessment Decision | | | |
| | | | |
| Learner's signature | | Date | |

To be completed by the assessor

| | | | |
|--------------------------|--|--|--|
| Date of meeting | | | |
| Assessor Response | | | |
| | | | |

| | | | |
|-----------------------------|--|-------------|--|
| Assessor's signature | | Date | |
|-----------------------------|--|-------------|--|

| | | | |
|----------------------------|--|-------------|--|
| Learner's signature | | Date | |
|----------------------------|--|-------------|--|

Appeals Policy and Procedure

Learner Appeal Form 2 (stage 2)

Learners are required to complete this form to make a formal appeal if they are still dissatisfied after having informally appealed to their assessor.

| | |
|---|--|
| Course title | |
| Learner's name | |
| Learner registration number (if applicable) | |
| Email address | |
| Contact number | |
| Date of assessment | |
| Date appeal submitted | |
| Name of assessor (against whose decision the appeal is made) | |

Describe the reasons for your appeal as fully as possible. Please include copies of any associated documents (e.g., record of achievement, record of feedback from the assessor involved). Learners should keep a copy of this form).

| | | | |
|--|--|-------------|--|
| Type of assessment and nature of the appeal | | | |
| | | | |
| Details of original assessment decision | | | |
| | | | |
| Learner signature | | Date | |

To be completed by the lead investigator

| | |
|-------------------------------------|--|
| Name of investigator | |
| Investigation participants | |
| Date of appeal investigation | |

Appeals Policy and Procedure

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|---------------------------------|--|
| Summary of investigation | |
|---------------------------------|--|

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|--|--|-------------|--|
| Outcome (Tick one only): | | | |
| Uphold the original assessment decision | | | |
| Offer the learner an opportunity for a re-sit/reassessment free of charge | | | |
| Overturn the original decision | | | |
| Investigator signature | | Date | |