

Appeals Policy and Procedure 2022-2023

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Ratified By:	David Hampton
Last Update:	3 rd May 2022 Louise Warren
Other applicable and relevant policies	<p>This policy should also be read in conjunction with the following policies:</p> <ul style="list-style-type: none">• Malpractice and Maladministration Policy• Conflict of Interest Policy• Reasonable Adjustments and Special Considerations Policy• Whistleblowing Policy• Complaints Policy

Introduction

The purpose of this policy is to outline our policy and intentions in relation to appeals.

We understand that sometimes, apprentices or training providers may not agree with our assessment decisions and so we have designed a robust and simple to access appeals process to support apprentices.

We understand how important it is to deliver excellent customer service. This philosophy is shared throughout the team, with an emphasis on putting apprentices' needs at the heart of everything we do, this includes dealing with appeals in an efficient, fair, and robust manner.

Our team are experienced in the subjects we assess and committed to ensuring quality, independent assessment along with robust compliance and high quality, consistent service.

Our independent end point assessors (IEPAs) have been trained to provide a standardised and fair approach to assessment and our aim is that apprentices are given the best possible opportunity to succeed whilst maintaining the integrity of robust and fair testing.

We aim to ensure that:

- Making an appeal is as easy as possible
- The review is conducted in a fair, professional, reasonable, and legal manner, ensuring that all relevant information is considered without bias
- We deal with it as promptly as possible, politely and, when appropriate, confidentially
- We respond in the right way, for example, by giving you an explanation or an apology where we have got things wrong, and letting you know what action we've taken
- Appeals are dealt with by someone not involved in the original assessment decision
- We learn from appeals that were upheld and use them to improve our service

Rationale

- All candidates have the right to challenge the assessment decision made by an independent end point assessor (IEPA) in relation to their EPA grade
- All candidates have the right to challenge the decision of the internal verifier or IQA

Range

- This procedure is applicable to all Apprentices who have been assessed with us for End Point Assessment.
- We cannot be held responsible for any appeals in relation to their training providers' assessment decisions, internal or external quality assurance procedures.

Applicability

This policy is applicable to all apprentices using our EPA service, training providers and colleges, and may also support staff in understanding how to process appeals.

Types of appeal may include:

Appeals of varying nature from providers, apprentices, or employers
Appeals in relation to the grade awarded
Appeals relating to our decision to decline a request to make a reasonable adjustment or give special consideration
Appeals relating to a decision following an investigation into malpractice or maladministration or other such query
Appeals in relation to the results of multiple-choice tests or any element of the EPA
This list is not exhaustive and there may be other examples where this policy is applicable

Some things that cannot be appealed include:

Appeals made more than 20 working days after the EPA date or other relevant event leading to the appeal
Issues that may have occurred prior to the apprentice's interaction with us
Issues that have been or should be dealt with under an employer's disciplinary or grievance procedure
Issues involving points of law
Issues relating to any part of the apprenticeship other than the EPA
Issues involving the training provider, employer or college
This list is not exhaustive and there may be other examples where appeals may not be relevant under this policy

Overview of our appeals process:

<p>Fee for appeals</p>	<p>There is a £300 fee for an appeal. This is non-refundable if the appeal is unsuccessful</p> <p>We will refund the fee in full following the outcome of an appeal where a result is higher than initially awarded, or in the case of other successful appeals at the discretion of the Director and/or Quality Assurance Manager</p>
<p>Timelines</p>	<p>Appeals must be received in writing within 20 working days of the event which is being appealed about (e.g., The date of the EPA event). All appeals should be submitted using the form at the end of this document</p>
<p>Appeals must be made in writing to</p>	<p>info@advancedanalyticssolutions.co.uk</p>
<p>Format of appeals</p>	<p>All appeals must be sent to us using the form provided within this policy</p> <p>If there is an instance when this cannot be done, please email any queries to info@advancedanalyticssolutions.co.uk</p>
<p>Appeal reviewer(s)</p>	<p>Appeals are dealt with our Quality Assurance Manager, who will review the nature of the appeal, investigate fully, and ask for subject matter experts, other suitable staff or IEPAs not involved in the original decision (as required) to review evidence again, including, but not limited to a full re-mark, reassessment, and QA. Final appeal decisions will always be made by someone who was not involved in the original decision being appealed against.</p> <p>Louise Warren (Quality Assurance Manager) will be the first line reviewer for all appeals, with Sarah Clutterbuck (QA support). We may also</p>

	<p>send appeals to Quantum Awards for final review (in line with GDPR and with permission from the appellant) in instances where our own appeals and complaints processes have been exhausted. Quantum Awards are independent to us and will have final decision making on the outcome of an appeal. See website for contact details:</p> <p>Quantum Awards – The End Point Assessment Organisation (EPAO) for Quality, Lean and Improvement Apprenticeship Standards (quantum-awards.com)</p>
Informing other organisations	<p>We will inform IfATE and/or Ofqual or other relevant organisation if required and co-operate with any investigation deemed necessary by them</p>
Incomplete applications	<p>We reserve the right NOT to progress with an appeal where there is not a clear and complete application</p>
Apprentice approval for an appeal	<p>Our Quality Assurance Manager will contact the apprentice, prior to any appeal being investigated to gain approval to proceed in writing and inform the apprentice that grades can be downgraded as a result of a re-assessment. We will accept this via email</p>
Payment of fees for appeals	<p>Upon receipt of a request to invoke the appeal process AAS will invoice the training provider, appellant, or their employer or other representative and the appeal fee needs to be paid within 7 working days</p>
Refunded fees following a successful appeal	<p>The appeal fee will be refunded in full if the appeal is successful, for example if a grade is increased. We will refund within 7 working days of the close of the appeal. An example of a successful appeal could be one where a grade has been increased from a pass to a merit. Outcomes are final</p>

Acknowledgement of appeals	We aim to acknowledge receipt of the appeal within five working days via email or letter
Formal recording of all appeals	We will log all formal complaints centrally
Providing progress updates	Appeals can be complex and may require gathering additional expert opinion and a full investigation. We aim to give an update on the appeal with 10 working days.
Outcome of appeals	Due to the complex nature of appeals we will respond formally and finally within 30 days. Our decision will be final
Complaints	Please refer to our complaints procedure if required

Appeals Form

Appendix 1

Appeals Form

We would prefer appeals to be sent via the Training Provider whenever possible, however will accept appeals from apprentices, employers, or other stakeholders. Please note the outcome of appeals can lead grades being upgraded, downgraded or remaining the same.

Name and contact details of person(s) raising the appeal (please include name, phone number, email and preferred contact method)	
Relationship to the apprentice e.g., employer/provider	

Apprentice Name	
Employer name and contact details	
Training Provider name and contact details	
Apprenticeship Standard	
Date of EPA event if applicable	
Name of staff involved if applicable/known	
Please provide a brief overview of the nature of the appeal	

Any other information you could give to help support us in dealing with your appeal

Please tell us why you feel the need to appeal and what outcome you are hoping for:

Appendix 2

Appeal Investigation Form

Appeal details	
Appeal dealt with by	
Date of responses at each stage of appeal	
Overview or notes	
All correspondence signposted/dates etc.	

Outcome and next steps if applicable	