

# Appeals Policy and Process

Regulatory References: I1, I2

## Purpose

The purpose of this policy is to outline the steps a learner/apprentice or centre/employer must take when submitting an appeal.

## Who does this policy/process apply to?

This policy is aimed at centres/employers and learners/apprentices, who are using, or have used, any of the products or services offered by Innovate Awarding, and want to submit an appeal regarding:

- The results of assessments
- Decisions regarding an enquiry
- Decisions regarding Reasonable Adjustments and Special Considerations
- Decisions relating to any action to be taken against a learner/apprentice or a centre/employer following an investigation into malpractice or maladministration, or decisions relating to Recognition of Prior Learning
- The way in which a complaint has been handled
- When to use this policy

Appeals can be made by Head of Centre or manager on behalf of the centre/employer or individual learner/apprentice, or a cohort of learners/apprentices. Individual learners undertaking qualifications can appeal provided they have already exhausted the centre appeals process.

## The Policy

### Response times

We will acknowledge receipt of all appeals within two working days. A decision will be made and communicated to you within a maximum of 5 working days following acknowledgement for a stage one appeal and 20 working days for a stage 2.

### Fees

Innovate Awarding charges a fee for a stage 2 appeal if it is not upheld. The amount is £500.

We do not make any charges for appeals against malpractice decisions, access arrangements, centre approval decisions or other procedural decisions.

## **Where other learners/apprentices may be affected by Innovate Awarding decisions**

In cases where the result or outcome of an appeal may affect other learners/apprentices or centres, then appropriate action will be taken dependent upon the nature of the appeal.

This action could include a full review of standardisation procedures or processes, training for Innovate Awarding or centre staff, additional sampling of learner/apprentice's assessments or additional quality assurance support to the centre.

We will always keep learners/apprentices and centres/employers informed of our actions.

## **How to appeal**

The appeal request must be made within 10 working days of the centre/employer or learner/apprentice being informed of the decision or outcome. The correct forms must be completed.

Learners/apprentices who wish to appeal their assessment results, or a decision affecting their learning/achievement, should either be supported by the centre/employer or have already exhausted the Centre appeals process if the appeal is relating to a qualification.

For appeals against end-point assessment decisions there are two stages to the appeal process.

**Stage 1** - is a review of the assessment decision. This is conducted by an Innovate Awarding employee, who was not part of the original decision but who is qualified to verify assessments. The findings and results of this review will take no longer than 5 working days. If the appellant is not satisfied with the outcome of stage one, they can submit the appeal for stage two.

**Stage 2** – The appeal goes to an appeal panel and all paperwork and decisions are reviewed. The appeals panel decision is final. If the appeal is not upheld a charge of £500 will be incurred by the appellant.

## The process

A formal appeal must be submitted in writing to Innovate Awarding using the Centre/employer appeals form or Learner/apprentice appeals form; copies can be downloaded from epaPRO, QuartzWeb or our website [www.innovateawarding.org](http://www.innovateawarding.org)

The forms prompt the centre/employer or learner/apprentice for the information we require, and these forms and any supporting documentation should be sent to Innovate Awarding.

### By email to:

compliance@innovateawarding.org

### Or by post:

FAO Compliance  
Innovate Awarding  
Block F  
291 Paintworks  
Arnos Vale  
BS4 3AW

## Stage 1

For end-point assessment appeals, this will trigger the stage one process as follows:

The appeal will be reviewed by an End-point Assessment Manager or Internal Quality Assurer, who was not involved in the original assessment decision.

This individual will review all the assessment materials and decide regarding the stage one appeal. We will inform the centre or learner/apprentice as soon as possible, but always within 5 working days of receipt of the stage one appeal.

If the appellant is not satisfied with the stage one appeal outcome, they can request it is progress to stage two. This must be done in writing with 5 working days of receiving the results of stage one.

## Stage 2

The appeal will be reviewed by Innovate Awarding's appeals panel.

This panel comprises of a minimum of five of the following people:

- Independent person with knowledge of the awarding sector (this person's participation on the panel is compulsory).
- Managing Director of Innovate Awarding
- Director of Compliance
- Director of Finance & Operations

- Director of Product and Assessment Services
- Head of Operations
- Operations Assessment Manager
- EPA Quality Manager
- End Point Assessment Manager (EPAM) with subject specialism
- Quality Assurer with subject specialism
- Head of Development
- Development Manager with subject specialism
- Technical Assessment Manager
- Compliance Event Manager
- Qualifications Manager
- Appellant (if they choose to attend)

They will meet to review all the evidence submitted as well as reviewing the procedures followed to ensure we have applied them consistently and fairly and in line with our policy. The appellant will be invited to attend the meeting in person/via Microsoft Teams depending on how the meeting is being conducted. Although the appellant can attend the panel meeting, they are not permitted to contribute to the meeting/discussion unless input is requested by the panel.

The panel may ask for additional information or even request a visit to a centre.

The decision of this panel is final, and we will inform the centre or learner/apprentice as soon as possible, but always within 20 working days of receipt of the stage 2 appeal.

## Help and guidance

If you would like to talk to an Innovate Awarding member of staff about any aspect of this policy or process, then please email us at [compliance@innovateawarding.org](mailto:compliance@innovateawarding.org)

## Associate policies/documents

- Appeals log
- Enquiries policy and procedure
- Enquiry form - centre
- Enquiry form - learner
- Appeals form – centre
- Appeals form – learner
- Reasonable adjustments and special considerations policy
- Recognition of prior learning policy
- Malpractice and maladministration policy
- Complaints policy
- Complaints procedure