

## **INTRODUCTION**

Step4Training Ltd. Training Centre is dedicated to providing the best service possible to its clients, who include businesses, training providers, and learners. It expects that difficulties or complaints will be handled through the complaints or enquiries procedures, which will be undertaken in the first instance. However, if a student is still unsatisfied after exhausting these procedures, they can file an appeal.

Step4Training Ltd. Training Centre has and will continue to have a strong policy and related system in place for dealing with appeals from centers and individual learners. These methods will ensure the following:

- All appeal judgments are made by people who have no personal stake in the issue under consideration.
- All appeal judgments are made by professionals with the necessary expertise.
- Appellants are brought up to date on the status of their appeal.
- Appeals are handled within the timeframes that have been established.
- Learners' particular needs and interests are acknowledged and safeguarded.
- Customer-facing versions of the appeals policy and procedure are conveyed to learners and centres, and suitable media is used to promote them.
- Every effort is taken to guarantee compliance with applicable legislation, particularly with regard to the management of sensitive data in line with the GDPR.
- When an appeal identifies a fault in the assessment process, Step4Training Ltd. Training Centre takes all reasonable measures to identify any additional learners impacted, fix or reduce the consequences of the failure as far as practicable, and ensure that the failure does not reoccur.
- Only on the grounds that Step4Training Ltd. Training Centre did not apply its processes consistently, or that its procedures were not implemented effectively and equitably, may an appeal be filed.
- Learners (or a centre acting on behalf of a learner(s)) completing end point assessment with the EPAO may appeal their grade(s) upon receiving their results.

## **RESPONSIBILITIES**

- During introduction, tutors should make learners aware of the Assessment Appeals Policy.

- Learners should get acquainted with the Assessment Appeals Policy and notify their tutor if they are dissatisfied with an assessment.
- The IAG Team will assist students throughout the appeals process.
- The Centre Manager will do the following: -
  - Any learner assessment appeal should be documented, tracked, and validated.
  - Any eligible appeals should be forwarded to the Awarding Body.
  - Keep appeals records for at least 18 months in order for the Awarding Body to review them.
  - Will take necessary action to safeguard learners' interests as well as the reputation of Step4Training Ltd. Training Centre and the qualification or apprenticeship.
  - Keep track of appeals in order to guide quality improvements.
  - Coordination of the Assessment Appeals Panel's preparations

### **POTENTIAL IMPACT ON EQUALITY, DIVERSITY AND INCLUSIVITY**

Step4Training Ltd. Training Centre shall guarantee that all procedures are in accordance with its Equality Policy and that reasonable changes are made, as needed, to ensure that a fair process is followed.

The Appeals Procedure at Step4Training Ltd. Training Centre allows customers who are enrolled at the Centre to contest the conclusion of their assessment at the level of a unit/module/component if they believe the assessment was not 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 organization requirements
- Failure of the assessor to provide assessment agreed in the learner's assessment plan
- Assessment decisions/grades

(If a student wishes to challenge a decision made after a complaint has been investigated, please see our Complaints Procedure.)

In accordance with its ideals of fairness and transparency, Step4Training Ltd. Training Centre encourages learners to raise any problems with the Assessor in the first instance. If they are still unhappy, they should pursue the appeals procedure indicated below.

The specifics of any learner appeal should be disclosed only with those participating in the appeals process. The confidentiality of the learner must be maintained at all times. Any inquiry, query, or appeal should be sent as soon as possible following the evaluation decision. After obtaining the evaluation findings, an appeal must be filed within 10 working days.

## **APPEALS PROCEDURE**

### **Stage 1 – Tutor/Assessor and Learner**

Within 10 working days of obtaining the assessment result, the learner must deliver the completed appeal form to the Assessor. The form should include information about why they believe the work was graded unjustly, inconsistently, or not in line with the Awarding Body's criteria and level. Any relevant documentation or communication should be provided to the appeal.

Based on the nature of the appeal, the Assessor will conduct necessary investigations. There are two possibilities: -

- The original evaluation judgement is unaltered.
- The assessment judgement is changed - this might be for the better or for the worse.

On the appeal form, the Assessor should document the judgement and their reasoning,

The Assessor will notify the learner of the decision within 5 working days of the appeal being filed. The judgement should be noted on the appeal form, and the learner should be provided a copy of the form.

The learner should evaluate the Assessor's remarks and judgement before accepting the results of the official re-assessment. The learner should note this on the appeal form and sign and date it. The appeal form must be submitted to the Assessor within 5 working days after obtaining the re-evaluation decision.

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

If the learner does not accept the re-assessment decision, the Centre Manager will coordinate the transfer to another center and the process will move to the 2<sup>nd</sup> stage of the Procedure.

### **Stage 2 – Lead Internal Verifier**

Following notification that the learner is still dissatisfied with the assessment decision, the tutor must provide the following information to the Lead Internal Verifier within two working days of the appeal reaching Stage 2: the original assessment record and learner's evidence, where

applicable; and the written explanation and confirmation of the assessment decision.

The assessment judgement will be reconsidered by the Lead Internal Verifier, taking the following factors into account:

- The learner's cause for appealing
- The learner's evidence and accompanying documents
- The assessor's judgement; and
- The opinion of another center assessor.

The Lead Internal Verifier must then communicate the revised judgement to both the learner and the Tutor in writing within five working days of receiving the appeal.

If the learner is still dissatisfied with the revised assessment result, they must notify the Lead Internal Verifier and affirm in writing within five working days of receiving the decision. If this is the case, the appeal will proceed 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 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 center 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 recognize 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 aim to 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.

## 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.

<b>Learner's name</b>			
<b>Date of assessment</b>			
<b>Name of assessor (against whose decision on the appeal is being made)</b>			
<b>Nature of the Appeal</b>			
<b>Details of Original Assessment Decision</b>			
<b>Learner's signature</b>		<b>Date</b>	

### To be completed by the assessor

<b>Date of meeting</b>			
<b>Assessor Response</b>			

<b>Assessor's signature</b>		<b>Date</b>	
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<b>Learner's signature</b>		<b>Date</b>	
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## 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.

<b>Course title</b>	
<b>Learner's name</b>	
<b>Learner registration number (if applicable)</b>	
<b>Email address</b>	
<b>Contact number</b>	
<b>Date of assessment</b>	
<b>Date appeal submitted</b>	
<b>Name of assessor (Against whose decision the appeal is made)</b>	

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).

<b>Type of assessment and nature of the appeal</b>			
<b>Details of original assessment decision</b>			
<b>Learner signature</b>		<b>Date</b>	

To be completed by the lead investigator

<b>Name of investigator</b>	
<b>Investigation participants</b>	
<b>Date of appeal investigation</b>	



<b>Summary of investigation</b>	
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<b>Outcome (Tick one only):</b>			
<b>Uphold the original assessment decision</b>			<input type="checkbox"/>
<b>Offer the learner an opportunity for a re-sit / reassessment free of charge</b>			<input type="checkbox"/>
<b>Overturn the original decision</b>			<input type="checkbox"/>
<b>Investigator signature</b>		<b>Date</b>	