

Enquiries and Appeals

1 General

- 1.1 This Policy sets out the Quality Licence Schemes approach to Enquiries and Appeals.
- 1.2 We endeavour at all times to ensure that all enquiries are resolved to the satisfaction of the Provider and the learner before the any full appeals process is invoked.
- 1.3 We value all types of feedback in order to help us and our customers improve ours and their services.
- 1.4 Were the enquire or appeals are about an approved Provider and its provision or assessment decisions then the learner must first go through the Providers Initial Enquiries, Enquiries and Appeals Procedure prior to contacting us. As part of our contractual arrangements with approved Providers, they all must have an Initial Enquiries, Enquiries and Appeals Procedure in place for learners
- 1.5 In turn, we require all Providers which have a duty of care for its learners to have an accessible enquiries and appeals policy and procedure to enable expressions of dissatisfaction about results or any decisions affecting the outcomes of assessment.
 - 1.5.1 For internal assessment decisions the Provider procedure should:
 - Identify the person with whom the learner should lodge an initial enquiry or appeal: this would usually be the learner's tutor or Assessor;
 - State the method by which an appeal should be made;
 - State what the next steps should be if still unresolved: this may include submission to the Head of Department/Quality, or to other persons who are independent of the internal assessment decision making process;
 - Include procedures for a referral if the learner is still unhappy with the outcome;
 - Stipulate clear timelines for dealing with each step and retention of evidence.

2 Malpractice and Maladministration

- 2.1 The Provider will take all necessary steps (including implementation Procedures) to prevent and look into any incidents of malpractice or maladministration and will ensure that any satellite sites or organisations are aware of what needs to be done to make sure that no malpractice or maladministration occurs.
- 2.2 The Provider will continually look at how well procedures for preventing and investigating incidents of malpractice or maladministration are working and make any changes necessary to make sure they are effective.
- 2.3 The Provider will take reasonable steps to stop incidents of malpractice or maladministration from happening.
- 2.4 The Provider will look into any incidents which might be malpractice or maladministration and take all necessary steps to reduce the effect of the incident.
- 2.5 The Provider will create an action plan for managing and putting right the negative impact of any incidents of malpractice or maladministration and make this action plan available to us as required. This plan should also set out any area of improvement needed to make sure that the malpractice or maladministration does not happen again.
- 2.6 The Provider will take appropriate and proportionate action against those responsible for the malpractice or maladministration to make sure that it does not happen again.
- 2.7 The Provider will take all necessary actions to control and put right any incidents of malpractice and maladministration that have happened.
- 2.8 The Provider will let us know as soon as possible about any incidents of malpractice and maladministration.
- 2.9 The Provider will give us access to any documents, records, data, staff, satellite sites or organisations, Sub-contractors, learners, or any other resource requires by us when we are looking into an incident of malpractice or maladministration.

3 Learner Enquiries

3.1 Internal Assessment Decisions

3.1.2 A learner must follow the Provider's procedures when disputing any internal assessment decisions.

3.1.3 If the dispute remains unresolved we may act as an independent adjudicator.

3.2 The Provider must confirm that it:

- Has discussed the rationale for the original decision with the learner;
- Will facilitate the re-assessment of the learners work if this is appropriate.

3.3 Learners may nominate an appropriate representative to act on their behalf **only** if they are unable to represent themselves, for example by reason of disability, on medical grounds, or because they are under the age of 18. Learners wishing to nominate a representative must do so at the beginning of the process giving a clear reason why they cannot represent themselves. If this is not done, we will be unable to communicate with that nominated representative.

4 Appeals

4.1 Once an appeal has been received, we will notify the Provider/learner of the procedures and steps to be taken at the start of the appeals process. At this stage the focus will be on the procedures followed and the evidence initially provided. No new evidence will be admitted at this stage.

4.2 Gathering appropriate evidence which may include:

- Original learner evidence;
- Initial enquiry and appeals reports;
- Relevant policy and procedure;
- Timelines throughout the process.

4.3 The outcome of the Appeal will be final and the outcome communicated to the appellant within 5 working days.

5 Outcomes of Enquiries and Appeals

5.1 Where an enquiry or an appeal is upheld and the outcome is seen to have a wider impact on the Provider and its learners, we will ensure that:

- The error is corrected, or if it cannot be corrected for any reason, the effect of such an outcome is mitigated, and;
- The Providers policies and procedures are reviewed to prevent any future recurrence;
- The Provider may undertake additional training of staff and its sub-contractors

6 Appeals against other Decisions

Any other enquiries /appeals against decisions made will be dealt with via our Complaints Policy.

7 Quality Assurance

This policy is reviewed annually to ensure it continues to meet the needs of our approved Providers and their learners.