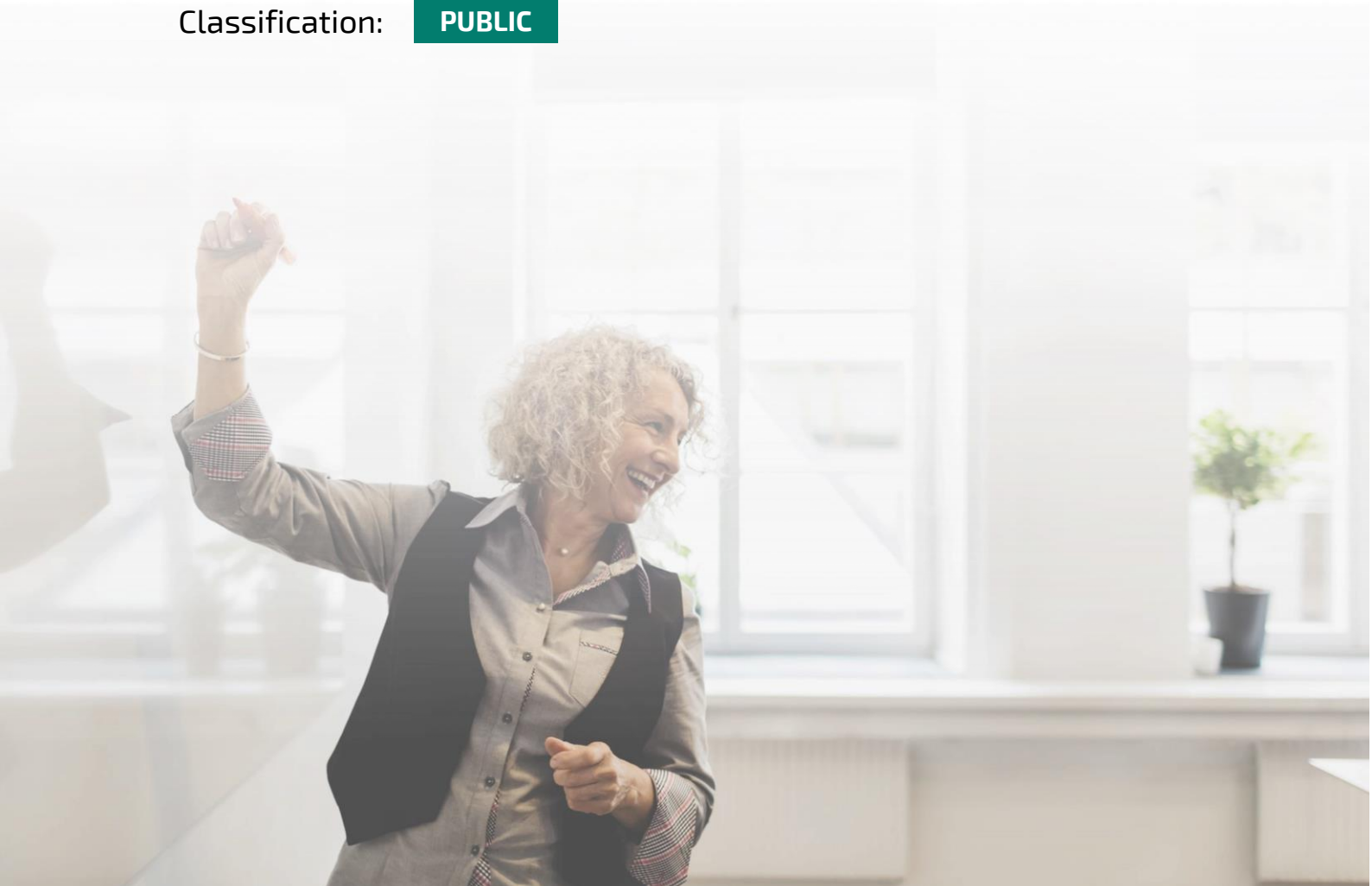


Education and training policies and procedures:

Appeals policy and procedures

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Contents page

Appeals policy and procedures.....	1
1. Introduction	3
2. Responsibilities.....	5
3. Grounds for an appeal	6
4. General principles.....	7
5. Appeals process	8
6. Appeal outcome affects learners.....	10
7. Assessment methods challenged because of an appeal	11
8. Policy adoption and review	12

1. Introduction

1.1. Purpose

The policy sets out a clear and concise way for learners to raise an appeal against an academic decision or assessment outcome. This policy must not be used for complaints or other alleged failings, such as malpractice as these each have their own separate processes.

1.2. Scope

This policy applies to all students undertaking courses with LFAS, whether accredited internally or externally through an Awarding Organisation. All staff involved in training delivery (including the Centre Manager, Lead IQA, IQAs, Trainers and Assessors) should be aware of this policy and their rights and responsibilities under it.

Appeals can be made by:

- ✓ Learners
- ✓ Training staff
- ✓ Anyone involved with LFAS

LFAS staff must follow the processes outlined in this document. A failure to do this may adversely impact learners, our accreditations and our reputation, and may also amount to malpractice or maladministration for the individual concerned. If staff have queries about the processes in this document they should speak to their line manager or the IQA for the qualification suite that the appeal relates to.

1.3. Accessing this document

This policy is available on our website, [Pulse](#), the [DigitalStaffroom](#) and in uncontrolled hard copy formats, if required. This policy is available to the public and training staff must ensure that they provide learners with a copy of this policy at the start of all training if this has not already been done at an earlier stage, for example alongside joining instructions.

1.4. Definitions and acronyms

Phrase / acronym	Explanation
Appeal	A process through which LFAS may be challenged on the outcome of an enquiry (see below) or, where appropriate, other procedural decision affecting a learner or staff member. This will often be related to the procedures around assessment and awarding of qualifications.

Assessment	The act of measuring (or evaluating) what a learner has learned or what they already know, understand or can do, or even the values, attitudes or beliefs they hold. It can also refer to the measurement tool itself. Assessment for LFAS qualifications involves generating and collecting evidence of a learner's attainment of knowledge, understanding and skills, and judging that evidence against defined standards for formal certification.
Awarding Organisation (AO)	Awarding Organisations, sometimes known as Awarding Bodies, are accredited by Ofqual to deliver regulated qualifications to learners either directly or via 'Centres'. LFAS may deliver some qualifications through AOs and others may be non-accredited.
Enquiry	A process through which a learner may be asked to check one or more of the steps leading to a reported result, by a learner or with the permission of the learner, by the accredited trainer / assessor.
Ofqual	The Office of Qualifications and Examinations Regulation. The national regulator of qualifications in England. Ofqual has a UK-wide regulatory remit. NEBOSH is an Ofqual-recognised Awarding Organisation and offers Ofqual-accredited qualifications, which appear on the RQF.
Reviewing officer (RO)	Reviewing officer – the person responsible for assessing an appeal and deciding an outcome.

2. Responsibilities

2.1. Director of Training Services

The Director of Training Services is responsible for ensuring that adequate resources are available to support our Training Services division. This includes time, finances, physical resources, staffing and more. Specifically, the Director also acts as our Centre manager and oversees our qualification delivery with external stakeholders.

The Director of Training Services will appoint a Reviewing officer when an appeal is received. The Director may appoint himself to this role, provided that no conflict of interest exists.

2.2. Reviewing officer (RO)

A Reviewing officer (RO) is responsible for reviewing an appeal and making a decision whether to uphold it, in line with this policy. The RO must be suitably qualified and experienced for this task and will often be a qualified IQA. The RO must be occupationally competent in the subject that they are reviewing, as they may be required to re-mark or grade assessment materials.

On conclusion of the review, the RO must compile a short report showing any actions taken and recommendations made. This report must be sent to the Director of Training Services for audit and wider action.

2.3. Training staff

All training staff must be aware of this policy and the procedures to recognise when an appeal has been made by a learner. Training staff also have the right to raise appeals under this policy. When training staff receive an appeal, it must be flagged to the Director of Training Services within 2 working days of receipt, so that it can be acknowledged and actioned.

Training staff may be interviewed, or required to supply documentary evidence related to an appeal and must comply in full with these requests whether internal or requested by our awarding organisations or stakeholders.

2.4. Learners

Learners should make themselves aware of this policy and how to exercise their rights if required. Learners are encouraged to speak to their training staff if they have any queries regarding this policy.

3. Grounds for an appeal

Appeals can be made about an assessment or any other decision made by LFAS including:

- ✓ Quality or results of assessments
- ✓ Decisions for reasonable adjustments or special considerations
- ✓ Administration errors
- ✓ Withdrawal of certification or action plans resulting from monitoring audits
- ✓ Decisions relating to any action following a malpractice or maladministration investigation.

Learners have the right to appeal against assessment decisions if they think:

- ✓ The Trainer has made the wrong assessment decision
- ✓ There has been a clerical error in recording a result.

If a learner is not satisfied with the outcome of the LFAS appeals process, they can appeal to an external Awarding Body, where one is responsible for the qualification in question.

4. General principles

Training staff must make all learners aware of their rights to appeal at the earliest possible time. This should be referenced in course joining instructions and mentioned in all course overviews. For courses that take place online a link to our website should be provided or, in the case of Pulse e-learning courses, this policy is available in the key documents area.

Appeals help to uphold the validity of our qualifications and therefore it is vital that only people who have appropriate competence undertake appeal investigations. This will usually be a qualified IQA or a senior manager. Those undertaking appeal investigations must have no personal interest in the decision being appealed or any unmanaged conflict of interest.

We must record and document all evidence and information about every appeal, including who carried out the reassessment and the appeal outcome. The reviewing officer must forward these records to the IQA for reporting purposes and make them available for inspection, quality assurance and audit purposes.

Appeals will be tracked and trended by the Centre manager for any patterns or causes of concern on the [DigitalStaffroom](#). This will be reported to the Board of Directors not less than annually.

5. Appeals process

5.1. Stage 1 – Internal enquiry



Learners must submit their internal enquiry within **5 working days** of receiving the decision they wish to appeal and LFAS must respond within **5 working days**.

The first stage of any appeals process is the learner lodging an informal enquiry with the trainer, assessor or IQA of their course. This must be submitted no later than 5 working days after the decision that they wish to appeal.

Wherever possible, the training staff should address the issue immediately or provide a full response by phone or letter shortly after the course. The full response should be received by the student no later than 5 working days after the conclusion of the course. If this timescale cannot be met for any reason, the student will be kept informed at all stages.

There is no cost for making an informal enquiry, unless administrative processes incur a cost (e.g. printing), in this case a reasonable fee may be charged, not usually more than £10.

5.2. Stage 2 – Internal appeal



Learners must submit their internal appeal within **20 working days** of receiving the informal enquiry result and LFAS must respond within **20 working days**.

If the alternatives have failed to produce a satisfactory outcome for the person lodging the appeal and they feel that they have grounds for an appeal, they should register this formally with LFAS.

They can do this by completing an [Appeals form](#) (available on the LFAS website) and by emailing this to training@lfas.org.uk. Appellants are required to pay a fee of £35 before any appeal will be accepted.

They must include all relevant information, including their reasons for the appeal and all supporting evidence, and this must be done within 20 working days from receipt of the informal appeal decision or other situation giving rise to the appeal. Any appeal received more than 20 working days after this time or which does not include all relevant supporting evidence will be rejected.

Appellants will receive an acknowledgement from LFAS within five working days.

We will then:

- ✓ Log the appeal and allocate a reference code. If applicable, links will be made to the appropriate LFAS or awarding organisation policies or Ofqual's Conditions of Recognition.
- ✓ Complete an investigation within 20 working days of receiving the query, unless further information or a visit / interview is needed.
- ✓ Tell the appellant whether the appeal is:

Upheld – detailing the action(s) to be taken, by who and in what time frame.

Not upheld – detailing the reasons for this and their right to request an enquiry / appeal to the awarding organisation or Ofqual. In the case of non-accredited qualifications, the decision of LFAS at this stage is final.

In the case of assessment decisions, the RO will focus on whether the procedure followed was:

- ✓ Consistent with the appropriate regulatory Conditions of Recognition
- ✓ Applied properly and fairly when making assessment decisions

If we find a discrepancy, we will inform the appellant and trainer / assessor and issue a corrected result immediately to the Learner.

5.3. Stage 3 – Awarding organisation enquiry

Where a qualification is accredited by an external body or awarding organisation, the student may follow that organisation's enquiry process if they remain dissatisfied.

LFAS will provide access to this process, including copies of policies, forms and guidance for any student that requests it. There is usually a fee for this service.

5.4. Stage 4 – Awarding organisation appeal

Where a qualification is accredited by an external body or awarding organisation, the student may follow that organisation's appeal process if they remain dissatisfied having followed their enquiry process.

LFAS will provide access to this process, including copies of policies, forms and guidance for any student that requests it. There is usually a fee for this service.

LFAS training staff can appeal a decision using this procedure on behalf of a learner (or cohort of learners) if they feel there are appropriate grounds.

5.5. Stage 5 – Ofqual appeal

For qualifications accredited by an awarding organisation, the final stage of any process is an appeal to the regulator Ofqual.

Ofqual can be contacted by email to public.enquiries@ofqual.gov.uk or by telephone: 0300 303 3344 Monday to Friday, 9am to 5pm

6. Appeal outcome affects learners

If an appeal outcome raises doubts about other learner results, LFAS will also investigate these results. We will do everything we can to protect the interests of all learners and the integrity of the qualifications and courses that we offer. We will cooperate fully with other relevant stakeholders and in any follow-up investigations.

We will take agreed remedial action, which may include:

- ✓ Identifying any other learners affected.
- ✓ Arranging for all affected learners' evidence to be reassessed by another assessor.
- ✓ Informing the trainer / assessor that certificate rights are suspended pending relevant retraining or reassessment.
- ✓ Arranging for a cross section of learners' evidence from the relevant site, assessor, course, time and assessment results to be re-checked by another assessor to make sure the failure in the assessment process does not recur.
- ✓ Identifying other assessors that are included in the investigation and notifying them of any actions required.
- ✓ Recording of action taken against the relevant assessors on our quality assurance systems to make sure inappropriate actions cannot take place.
- ✓ Amending original judgements when required and inform the learner, providing revised documentation as necessary.
- ✓ Re-instating the training staff with an appropriate risk rating status.
- ✓ Re-checking learners' evidence for trainers at appropriate intervals to ensure consistent accurate judgements are being made.
- ✓ Lowering the risk rating of training staff once we are satisfied that judgements are accurate.

7. Assessment methods challenged because of an appeal

If the validity of a particular assessment method is challenged as a result of an appeal, LFAS will take the action to maintain the integrity of the qualification and protect the cohort of learners, including:

- ✓ Forwarding the assessment process for consideration to an occupationally competent panel. They will inform LFAS of their findings and any action to be taken to protect the cohort of learners.
- ✓ Immediately contacting all affected learners and telling them what will happen next.
- ✓ Informing all affected training staff of the suspect assessment process and taking appropriate action to protect the integrity of the qualification.
- ✓ Keeping a record of all suspect material to make sure it is not used in future assessments.
- ✓ Keeping a record of the appeal and outcome and provide details to our stakeholders as required

8. Policy adoption and review

This policy is adopted on **15 February 2024** as **version 1.1**.

We will review this document as part of our continuous improvement activities and revise it when necessary. Any revisions will consider:

- ✓ Changes in legislation, case law, approved codes of practice or other similar authoritative sources of information.
- ✓ Staff, volunteer and customer feedback.
- ✓ Complaints, compliments and investigations undertaken.
- ✓ Changes to our business processes or practices.

Signed for, and on behalf of, Lifesaver First Aid Services,



Ben Robinson
Director of Training Services

Annexes:

- A. Appeal form

Related policies:

- Centre management policy and procedures
- Access to assessment policy and procedures
- Malpractice and maladministration policy and procedures
- Reasonable adjustment and special consideration policy and procedures
- Conflict of interest policy and procedures
- Internal quality assurance policy and procedures

Regulatory references:

- Ofqual General Conditions of Recognition – C2 and I1

Document version control

Version	Date	Author	Description
1.0	2 Aug 2020	Ben Robinson	Original issue.
1.1	15 Feb 2024	Ben Robinson	Rebranded. Wider impact of appeals added.
This record must show the last five revisions to this document.			

Equality impact assessment screening tool

Protected characteristic group	Impact			Evidence and action plan
	↑	↔	↓	
Age		X		Policy does not differentiate on this characteristic.
Disability		X		Policy does not differentiate on this characteristic.
Race		X		Policy does not differentiate on this characteristic.
Gender re-assignment		X		Policy does not differentiate on this characteristic.
Religion or belief		X		Policy does not differentiate on this characteristic.
Sexual orientation		X		Policy does not differentiate on this characteristic.
Sex		X		Policy does not differentiate on this characteristic.
Marriage or civil partnership		X		Policy does not differentiate on this characteristic.
Pregnancy or maternity		X		Policy does not differentiate on this characteristic.
Gender identity		X		Policy does not differentiate on this characteristic.
Is this process new or being reviewed / updated?				<input type="checkbox"/> New process <input checked="" type="checkbox"/> Review or update of existing process
Is a full EqIA required?				<input type="checkbox"/> EqIA required – attach as an Annex once complete <input checked="" type="checkbox"/> EqIA not required
Other comments in support of this assessment?				None.
Who completed this tool?				14001 Ben Robinson, Director of Training Services