

Quality Procedures and Policies	LER-007	Issue Number	11
		Issue Date	November 2024
Vocational Qualification Assessment Appeals		Originator	Peter Hurlstone
		Amended by	Peter Hurlstone
		Approved by	Peter Hurlstone

1. Scope

The aim of this policy is to ensure any Learner undertaking a vocational qualification at SETA is aware of the appeals procedure, how it works and how it can be instigated.

2. ECITB Qualifications

A Learner undertaking an ECITB NVQ qualification must be given a copy of SETA's Appeals procedure (**Please see Annex A**) at the beginning of their programme. This must be read and signed by the Learner and kept in the appropriate part of their portfolio.

An unsuccessful appeal will result in the Learner being given the ECITB Appeals procedure to follow if they wish to pursue it further (**Please see Annex B**).

3. EAL Qualifications

A Learner undertaking an EAL qualification must be given a copy of SETA's Appeals procedure (**Please see Annex A**) at the beginning of their programme. This must be read and signed by the Learner and kept in the appropriate part of their portfolio.

An unsuccessful appeal will result in the Learner being given the EAL Appeals procedure to follow if they wish to pursue it further. This procedure is entitled 'EAL Appeals Policy' (**Please see Annex C**).

4. Non-regulated Qualifications

A Learner undertaking a SETA owned and written qualification or course must be given a copy of SETA's Appeals procedure (**Please see Annex D**) at the beginning of their programme. This must be read and signed by the Learner and kept in the appropriate part of their portfolio.

5. Process

EAL/ECITB Qualifications

This process applies to both EAL and ECITB NVQ Qualifications:

1. *The Learner discusses their objection with the Assessor in question.*
2. *If the Learner is satisfied and agrees with the Assessors decision after talks, no further action is required.*
3. *If the Assessor agrees and changes their Assessment decision after talks, no further action is required.*
4. *If the Learner is still unhappy with the Assessors decision, they must contact the Centre Compliance Manager including as much information as possible within 14 days of when they were notified of the assessment decision against which the appeal is being made*
5. *The Centre Compliance Manager, with the assistance of the assigned IQA will investigate the objection within 21 days of receiving it with the Assessor and Candidate, and the main points of the conversation will be logged on a 'ADAIF1 Assessment Decision Appeal Investigation' form (**Please see Annex E**).*
6. *If the Candidate is unhappy with the decision, the Centre Compliance Manager will discuss matters and issue the relevant Awarding Body's own Appeals Procedures for the Candidate to pursue (**Please see Annex B and C**).*

Non-regulated Qualifications

This process applies to all SETA designed, written and owned qualifications and courses:

1. *The Learner discusses their objection with the Tutor in question*
2. *If the Learner is satisfied and agrees with the Tutor decision after talks, no further action is required*
3. *If the Tutor agrees and changes their Assessment decision after talks, no further action is required*
4. *If the Learner is still unhappy with the Tutors decision, they must write to the Centre Compliance Manager including as much information as possible, within 7 days of when they were notified of the assessment decision against which the appeal is being made*
5. *The Centre Compliance Manager will investigate the objection within 21 days of receiving it with the Tutor and Learner, and the main points of the conversation will be logged on a 'ADAIF1 Assessment Decision Appeal Investigation' form (Please see Annex E)*
6. *If the Learner is unhappy with the decision, they must contact their employer, who in turn should contact the Centre Compliance Manager to discuss matters. Assistance will be provided by the Curriculum Manager and discussions and can take place between all parties*
7. SETA's decision will be final

6. Records

The Centre Compliance Manager will retain all records of the Appeal for no less than 5 years from the closure of the Appeal.

7. Review

The Centre Compliance Manager, Operations Manager and Workshop Manager will meet twice yearly to update this policy, or amendments will be made when any updates from the awarding bodies are received.

NVQ Assessment Appeals Procedure

Introduction

As a Learner carrying out a regulated NVQ Qualification provided by SETA, you may appeal against any assessment decision if you believe it to be unfair or unreasonable.

Stage 1: Informal Appeal

Whenever possible, you should discuss your objections with your Assessor prior to making a formal appeal. If a solution cannot be achieved, you have the right to a formal appeal.

Stage 2: Formal Appeal

A formal appeal must be made in writing to SETA's Centre Compliance Manager within 14 days of when you were notified of the assessment decision against which the appeal is being made. Please include:

- *Your name*
- *Your Assessors name*
- *Title of qualification and unit/s your appeal is regarding*
- *A statement a statement of why you wish to appeal against an Assessment decision Including as much information as possible*

The Centre Compliance Manager will investigate the appeal with all parties and complete an 'NVQAP1' form.

Conclusion

The judgment will be communicated in writing to you as the Learner, your Assessor and the Internal Quality Assurer, by the Centre Compliance Manager within 21 days of the appeal being received.

If the appeal is successful, the Centre Compliance Manager will identify the specific failure in the assessment regime and implement corrective actions.

If the appeal is unsuccessful, you have the opportunity to instigate stage 3.

Stage 3: Awarding Body Appeal

You will be referred to Centre Compliance Manager, who will supply you with full details of the Awarding Body's own appeals procedure and contacts for you to initiate an appeal with them should you wish the appeal to be taken further.

The Centre Compliance Manager will retain full details of the appeal for not less than 5 years.

Acceptance

I have received an introduction to the NVQ process detailing the unit requirements and the appeals procedure should I encounter a problem.

Name (print)..... Signed

Date.....

Contacts

SETA's Centre Compliance Manager
(023) 8087 8307
phurlstone@seta-training.co.uk

Non-regulated Qualification Appeals Procedure

Introduction

As a Learner carrying out a SETA designed, written and owned qualification or course, you may appeal against any assessment decision if you believe it to be unfair or unreasonable.

Stage 1: Informal Appeal

Whenever possible, you should discuss your objections with your Tutor prior to making a formal appeal. If a solution cannot be achieved, you have the right to a formal appeal.

Stage 2: Formal Appeal

A formal appeal must be made in writing to SETA's Centre Compliance Manager within 7 days of when you were notified of the assessment decision against which the appeal is being made. Please include:

- *Your name*
- *Your Tutors name*
- *Unit/s title your appeal is regarding*
- *A statement a statement of why you wish to appeal against an Assessment decision Including as much information as possible*

The Centre Compliance Manager will investigate the appeal with all parties and complete an 'ADAIF1' form.

Conclusion

The judgment will be communicated in writing to you and your Tutor by the Centre Compliance Manager within 21 days of the appeal being received.

If the appeal is successful, the Centre Compliance Manager will identify the specific failure in the assessment regime and implement corrective actions.

If the appeal is unsuccessful, you have the right to instigate stage 3.

Stage 3: Employer Appeal

You will need to contact your employer if you wish the appeal to be taken further. Your employer will need to contact the Centre Compliance Manager, who in turn will seek the support of the Workshop Manager so discussions and can take place between all parties; SETA's decision will be final.

The Centre Compliance Manager will retain full details of the appeal for not less than 5 years.

Acceptance

I have read and understood this appeals procedure and confirm that I know what to do should I encounter a problem.

Name (print)..... Signed

Date.....

Contacts

SETA's Centre Compliance Manager
Peter Hurlstone
(023) 8087 8307
phurlstone@seta-training.co.uk

SETA's Workshop Manager
Dave Payne
(023) 8077 1908
dpayne@seta-training.co.uk

Assessment Decision Appeal Investigation Form

Learner Name		Date	
Tutor/Assessor Name			
Internal Quality Assurer <i>(for regulated NVQ Qualifications only)</i>			
Qualification Title/Unit No.			

Details of Appeal

Investigation of Appeal

Assessment Decision Appeal Investigation Form

Outcome of Appeal

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Recommendations

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Learner Signature:

Centre Compliance Manager Signature:

Date:

Date: