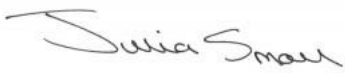


# Appeals Policy

<b>Version</b>	8
<b>Date</b>	August 2023
<b>Reason for review</b>	Annual policy review
<b>Reviewed by</b>	M Lovell - Responsible Officer D Clueit – External Verifier
<b>Ratified by</b>	
<b>Changes made</b>	Centres can arrange reassessment. Appeals information to be recorded and retained by Centre.
<b>Date of next review</b>	August 2024

## Introduction

This policy is aimed at our customers such as Centres, who are delivering our qualifications and learners who are, registered on, or have taken a RoSPA qualification.

This policy sets out the process to follow when submitting appeals to us, and the process we will follow when responding to enquiries and appeals.

Appeals can be made by:

- Learners
- Trainer/Assessors
- Centre staff
- Anyone involved with RoSPA Qualifications.

This policy is also for use by RoSPA Qualifications staff to ensure they deal with all appeals in a consistent manner.

## Centre's responsibility

Centres should give Learners, Trainers/Assessors and Centre staff information about their own appeals process and access to a copy of the RoSPA Qualifications Appeals Policy. It's important that staff, who are involved in the management, assessment and quality assurance of our qualifications, and learners, are aware of the contents of the policy.

In addition, a Centre must have internal appeal arrangements in place which learners can access if they wish to appeal against a decision taken by the Centre. If an individual wishes to appeal against a decision taken by a Centre, it must complete the Centre's internal appeals process **before** escalating the matter to RoSPA Qualifications.

Centres can arrange reassessment of a Learner or have their work checked by a different Trainer/Assessor. If the Centre does not have an alternative Trainer/Assessor, they should contact RoSPA Qualifications who will look to appoint one on their behalf.

Centres are responsible for keeping a record of all information relating to an appeal, including who carried out any reassessment and the outcome of the appeal. Centres must forward these records to RoSPA Qualifications when requested, for the purpose of monitoring and make them available for inspection at subsequent quality assurance visits.

## Fees

We will **not** charge you or your learners a fee to cover the administrative costs of dealing with appeals.

## Areas covered by the policy

This policy covers:

- Appeals from learners or Centres on the basis that we did not apply procedures consistently, or that procedures were not followed properly and fairly, in relation to assessment decisions
- Appeals from Centres in relation to a RoSPA Qualifications decision on a Centre's application to offer a RoSPA qualification
- Appeals from Centres concerning the content of a Centre monitoring report
- Appeals from Centres or learners relating to a RoSPA Qualifications decision to decline a Centre's request to make reasonable adjustments or give special considerations
- Appeals from Centres or learners in relation to the application by RoSPA Qualifications, of a sanction or action on a Centre. This could be because of a verification visit, an investigation into malpractice or maladministration, or a decision to amend a learner result following a malpractice or maladministration investigation
- Appeals from Centres relating to a decision made by RoSPA Qualifications following an investigation into a complaint about a Centre
- Appeals on the basis that we have not applied our procedures consistently, or that procedures were not followed properly, consistently and fairly.

## Appeal Records

RoSPA Qualifications will keep records of all appeals we receive and submit information about their amount, type and appeal outcomes from investigation to the Qualification Regulators (e.g. Ofqual) as and when required.

## Process for raising an appeal

The appellant has **four** weeks from the date we notified you of the decision you are appealing against, in which to lodge an appeal. This includes assessment results, therefore advise learners and staff to retain their course/assessment evidence until their result has been finalised.

If a Centre appeals on behalf of a learner, they must ensure that they have obtained the written permission of the learner concerned, as grades may be affected positively or negatively as the result of an investigation.

Learners who wish to appeal about their assessment results, or a related decision, should be supported by their Centre or should have exhausted their Centre's own appeals process before appealing directly to us. In the latter case, learners must provide us with evidence that they have first appealed through their Centre. It is expected that learners will only appeal directly to us in exceptional circumstances.

Centres should complete the Appeals Form in the online Qualifications Management System (QMS), <https://www.rosqualqms.com/Account/Dashboard> to submit an appeal on behalf of a learner or the Centre. The following supporting information should be supplied:

- Learner's name and RoSPA Qualifications registration number (ULN)

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- Date of notification, of RoSPA Qualifications decision being appealed against
- Title and number of the RoSPA qualification affected or the details of the service affected
- Full nature of the appeal
- Contents and outcomes of any relevant investigations already carried out by the Centre.

## Situations brought to our attention by the qualification's regulator

Where the Qualifications Regulator notifies us of failures that have been discovered in the assessment process of another awarding organisation, we will review whether a similar failure could affect our own assessment processes and arrangements.

## Initial review of the appeal details

Upon receipt of all appeals, the Responsible Officer will acknowledge receipt of the appeal within five working days and aim to respond fully on the initial review of the appeal within 20 working days. (In the absence of Responsible Officer, this duty will be fulfilled by the Director of Achievements). Please note that in some cases the review processes may take longer, for example, if a Centre visit is required. In such instances, we will contact all parties concerned to inform them of the likely revised timescale.

At all times, we will ensure that RoSPA Qualifications staff assigned to the appeal investigation have the appropriate level of training and competence, and no previous involvement or personal interest in the matter.

If the External Verifier has an involvement in the appeal matter, they will not be responsible for allocating a member of staff to carry out the investigation, or for overseeing and managing the investigation. In this situation it will be the responsibility of the Responsible Officer to allocate the appropriate person.

Initially, we will undertake an informal assessment of all appeals to ensure the application is complete, and to establish if the issue can be resolved before it proceeds to a formal appeal. In all instances, we will ensure that the person carrying out this initial check will **not** have a personal interest in the matter. (Condition I1.2)

Following the initial review, we will write to the appellant, or, if they are a Centre, notify them through the QMS, whether we have decided to:

1. Amend our original decision based on any new evidence, or a new rationale, which has emerged as part of the review.
2. Stand by our original decision, and, as such, the rationale for the original decision. In this instance, we request that you confirm, within 15 days, whether you now accept the decision, or if you wish to proceed to our formal appeals process which will be managed by an independent party.

## Seeking an independent review

If you decide to proceed to a formal appeal, we will arrange for an independent review to be carried out.

This will be carried out by someone who is **not** a RoSPA Qualifications employee, or an assessor working for us, or otherwise connected to our organisation (Independent Reviewer). They will also have the necessary competence to be able to make a decision in relation to the appeal and will have not a personal interest in the matter.

The Independent Reviewer will review all the evidence from previous stages and ensure that we have applied our procedures fairly, appropriately and consistently, in line with our policy.

The independent review process may involve:

- A discussion with the appellant, the learner, or RoSPA Qualifications staff
- A request for further information from the appellant, the learner, or RoSPA Qualifications staff
- A Centre visit by authorised RoSPA Qualifications staff.

The Independent Reviewer's decision will be final, and we will notify you about the outcome of the review within **20** days of receipt of the formal appeal. If the appellant remains unhappy with the outcome at this stage, they are entitled to raise the matter with the Qualification's Regulator.

## Successful appeals or issues brought to our attention by the Qualification's Regulator

In situations where an appeal has been successful, or where we are notified by the Qualifications Regulator (Ofqual) about a failure in our processes, RoSPA Qualifications will take all appropriate actions including:

- Amending the profile of the Centre concerned in the QMS
- Identifying, in the context of an appropriate investigation, any other learners who have been affected, and correct, or mitigate as far as possible, the impact of the failure. For example, by amending their results
- Reviewing our associated processes and policies to ensure that the 'failure' does not recur and correcting or mitigating the impact of the 'failure' as far as possible.

We will also cooperate with any follow-up investigations required by the Qualification's Regulator and, if appropriate, agree any remedial actions with them.

## If an appeal outcome affects Learners results

If an appeal outcome casts any doubt on other results, RoSPA Qualifications will also investigate these results. We will do everything required to safeguard the interests of all Learners and the integrity of our qualifications. We will cooperate fully with the Qualification Regulators in any follow-up investigations and take agreed corrective action, such as:

- Identify any other Learners affected
- Arrange for all affected Learners' work to be reassessed by another Assessor or Moderator

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- Inform the Centre's that certification is suspended for decisions by the Trainer/Assessor involved, pending re-training
- Arrange for a sample of other Learners' work from that Centre, to be re-checked by another Assessor or Moderator to mitigate any failure in the assessment process and ensure it does not happen again
- Make the Centre aware if other Trainer/Assessors are included in the investigation and any actions
- Keep a record of action taken against the relevant Trainer/Assessors on the QMS for transparency for all
- Amend the original assessment results where required and inform the Centre
- Contact the Centre to arrange an external quality assurance visit to draw up an action plan with the Head of Centre
- External Verifier will feedback the completion of any action plan to RoSPA Qualifications and Responsible Officer
- Apply an appropriate risk rating status to the Centre/Award and Trainer/Assessor or Internal Verifier and apply ongoing monitoring procedures to the Centre at appropriate intervals to ensure consistent accurate assessment decisions are being made and amend risk status once we are satisfied with outcomes.

## Review arrangements

We will review and update this policy annually and revise it on an ad hoc basis, in response to customer and learner feedback, observations from our monitoring data, changes in our practices, current best practice, guidance from the qualifications regulator or external agencies, or changes in relevant legislation.

If you would like to feed back any views or opinions or have a query about any aspect of this policy, please contact us using the details below.

## Contact us

Telephone RoSPA Qualifications on 0121 248 2115

Email us at [enquiries-rq@ROSPA.com](mailto:enquiries-rq@ROSPA.com)

Or write to us at:

RoSPA Qualifications  
RoSPA House  
28 Calthorpe Road  
Birmingham  
B15 1RP

