



Appeals Policy

Version	5
Date	August 2020
Reason for review	Annual policy review
Reviewed by	M Lovell - Responsible Officer
Ratified by	J Small – Head of Qualifications
Changes made	In absence of Qualifications and Operations Manager, role to be filled by EV.
Date of next review	August 2021

Introduction

This policy is aimed at our customers, including learners, who are delivering, 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.

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

Centre's responsibility

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.

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 an 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 as a result of a verification visit, an investigation into malpractice or maladministration, or a decision to amend a learner results 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.

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 please 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), in order 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).
- 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 qualifications 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 or not a similar failure could affect our own assessment processes and arrangements.

Initial review of the appeal details

Upon receipt of all appeals, the Qualifications Development and Operations Manager (QDOM) 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 Qualifications Development and Operations Manager, this duty will be fulfilled by the External Moderator). 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 QDOM 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.

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.

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 on the basis of any new evidence, or a new rationale, that 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 or not 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 decided 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. 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 qualifications regulator.

Successful appeals or issues brought to our attention by the qualifications 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.

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- 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 qualifications regulator and, if appropriate, agree any remedial actions with them.

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@rospaqualifications.com

Or write to us at:

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