

 <p><i>'Creating Brighter Futures' is the underpinning mission and purpose of FNTC. (Inspiring learning to achieve success)</i></p>	<p><b>Ref: PP-OM-09</b></p> <p><b>Version: 02</b></p> <p><b>Issue Date: May 2012, February 2018</b></p> <p><b>Review Date: June 2019</b></p>
<p><b>Policy title: Appeals and Compliance Policy and Procedure</b></p>	
<p><b>Policy author:</b></p>	<p>ACEO Tina Turner</p>
<p><b>Policy owner:</b></p>	<p>Melanie Davies</p>
<p><b>Impact assessment status:</b></p>	<p>X Initial screening complete, no adverse impact/potential for adverse impact  <input type="checkbox"/> Full impact assessment required</p>
<p><b>Approved by: SLT</b></p>	<p><b>Date: May 2012</b></p>
<p>If you need help reading this document, or require it in a different format, please call 02380 866664</p> <p>Chief Executive Officer: Elizabeth Young</p>	
	

## **Appeals and Compliance Policy and Procedure**

### **1. Introduction**

The Centre's mission and core values rely upon an open and honest approach with our learners and as a Centre, it is our responsibility to provide every learner with outstanding assessment and ongoing support. This includes giving learners the opportunity to feedback formally and informally. This policy and procedure sets out a formal framework to ensure their appeals are addressed in accordance with outstanding practice.

### **2. Aim/Policy Statement (Access to fair assessment)**

All assessments will be carried out in a fair and honest manner and in accordance, where appropriate, with awarding organisations rules and regulations. The Centre is compliant with awarding organisations criteria.

### **3. Objectives**

- Fair, honest and open assessment which is free from discrimination of any kind
- Access to an open and fair academic appeals procedure
- To meet the requirement of and to comply with awarding organisations criteria, rules and regulations.

### **4. Responsibilities**

If a candidate wishes to appeal against an assessment decision, discrimination or any other matter related to training they must do so within 7 days of the event. The appeal must be logged with the coach or teacher who will reassess the competence. If the candidate wishes to take the appeal further and remains dissatisfied they must log the appeal in writing with the Curriculum Manager within 48 hours.

The Curriculum Manager will then set a date for the appeal to be considered by the appeal panel. The appeal panel consists of the Curriculum Manager involved (CM), an independent Curriculum Manager and an independent coach. The CM will notify the Director of Curriculum and Quality (DCQ) that an appeal has been logged and details of how it will be heard.

The appeals panel will meet to consider the appeal within 20 working days of the CM receiving the appeal. The appeal panel will have full accounts from all parties involved prior to the panel meeting. The candidate will be notified of the appeals panel decision within 7 days of the panel meeting. Candidates may bring a representative with them if called to attend an appeals panel.

If the candidate considers that the Centre has not conducted an appeal in the agreed way, or considers they have been treated unfairly or discriminated against, or if dissatisfied with the appeal response, they can refer it to the Awarding Organisation. The awarding organisation appeals procedure is available on individual websites and is referred to in the learner handbook.

Notification of a candidates appeal or complaint to Awarding Organisation must be made by the candidate to Awarding Organisation within one calendar month of the candidate receiving the result of their appeal to the Centre.

In making such an application to the Awarding Body the candidate must be certain that they have evidence to show that they have been treated unfairly, discriminated against or that the appeal has not been conducted in the fashion approved by the Awarding Organisation. Hearsay or conjecture cannot be classed as evidence.

The Awarding Organisation, upon receipt of the candidate's notification of appeal, will send the candidate all the necessary documentation for processing the appeal; thereafter the published awarding body procedure will be followed.

The decision of the Awarding Body appeals panel will be final.

## **5. Support for learners in the event of approval being withdrawn**

In the case of approval being withdrawn from an awarding organisation for one or more qualifications, every endeavour will be made to find an alternative centre to allow a learner/s to complete their qualification/s.

## **6. Conflict of Interest**

No member of staff will be able to solely assess or train a learner that they may have a vested interest in. If a potential learner is known to a member of staff who is involved in their training, this must be raised to the Curriculum Manager who will ensure that appropriate supervision or an alternative coach is allocated.

## **7. Unique Learner Number (ULN)**

A Unique Learner Number (ULN) is a 10-digit reference number which is used alongside and to access the Personal Learning Record of anyone over the age of 14 involved in UK education or training. ULNs are created through the MIAP website using data collated through the PICs service, which is validated during data runs.

## **8. Learner Identification**

Identification is checked by the invigilator at the start of any on-line/electronic test administered by the Centre. This is included on the Functional Skills booking form or signed on the EDI form.

## **9. Evaluation and Review of Policy and Procedure**

The Appeals and Compliance policy and procedure is reflected upon and critically evaluated annually as part of the centres SAR report. This is done by each individual curriculum team and summarised in the headline SAR. It is also reviewed as part of the Centre's quality and review cycle and during external awarding organisation visits.

## **10. To be read in conjunction with:**

Learner Handbook  
Complaints & Compliments Policy and Procedure - PP-OM-002

Appeals procedures from Awarding Organisations  
 Staff capability policy and procedure  
 Staff Disciplinary policy and procedure

PP-HRO-10  
 PP-HRO-06

**11. This document replaces the previous documents**

FNTC Appeals Policy and Procedure POL 031

**Annex1**

<b>Initial Equality Impact Assessment</b>	
<b>Audit Prompt</b>	<b>Response</b>
Name of document: Appeals Compliance Policy and Procedure	
Author of document: Tina Turner	
<b>Initial screening questions</b>	
1. What is the aim or purpose of the document?	The Centre is compliant with awarding organisations criteria.
2. Who is affected by the document? <ul style="list-style-type: none"> <li>• Staff</li> <li>• Learners (please indicate which groups)</li> <li>• Members of the general public (please specify who)</li> </ul>	Staff Learners
3. Has anyone complained about the document? (if yes, give details)	
4. Does the document have the potential to cause adverse impact or discriminate against different groups of people?	No
5. Does the document make a positive contribution to equality & diversity in the Centre?	Yes

A full impact assessment will be needed if this initial screening reveals an adverse impact, or potential for adverse impact on people with protected characteristics.

Refer to full Impact Assessment (Yes/No) and reasons why	
If yes, Priority Level (High, Medium, Low)	

Signed: \_\_\_\_\_ Name: Tina Turner Acting CEO Date: