

ITC First

**P5
Appeals Policy & Procedures 2017 [1.1]**

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ITC First

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Website Access

For all policy statements and downloadable documents,

Upload to:

RITS	QR	SR	ITC Public	ITC Server
✓	✓	✓	✓	✓

Appeals Policy and Procedures

1. Introduction to the Document

This document has two sections

Section 1 (page 2 – 4) relating to Candidate appeals.

Section 2 (page 5 – 7) relating to Centre appeals

1.1 Appeals

Any individual or organisation that is affected by an assessment decision made by ITC or their approved Centres or Trainers is eligible to take advantage of the appeals process.

1.2 Candidate Appeals

All areas of concern to candidates, including but not limited to administration and assessment errors, perceived discrimination and failure to take into account any special circumstances or decisions relating to malpractice or misconduct.

1.3 Centre Appeals

All areas of concern to those delivering courses, including but not limited to decisions regarding approvals and sanctions, External Quality Assurance decisions, requests for reasonable adjustments or special consideration, or decisions relating to malpractice or misconduct.

1.4 Specific point of contact:

Ask for	Awards Manager	–	Bernie Hartshorn
Or	CEO	–	Mark Moore

1.5 Summary of full Appeals Process

The full appeals process is summarised below. It is anticipated that most queries will be resolved informally with a minimum of delay. Time deadlines can be found in the ITC Customer Charter.

- Clarification of the original decision
- Informal dialogue to review the context and criteria of the decision
- Administration, procedure and systems check
- Appeals Committee meets
- Appeals Committee decision
- Appellant informed of subsequent actions
- Appeals Review Committee meets upon payment of fee (refundable if appeal review is upheld)
- Appeals Review Committee decision
- Appellant informed of subsequent actions
- Report produced for ITC First to action and Annual Report

1.6 Personal interest

All appeal decisions to be taken by individuals who have no personal interest in the decisions being appealed.

Section 1

2. Candidate Appeals

2.1 Introduction

This section of the document contains the procedures for use by candidates should they wish to appeal against an assessment decision. The procedures are transparent, impartial and confidential.

Candidates are strongly recommended to pursue any enquiry, complaint or grievance informally by making a telephone or email enquiry, before following formal systems, as many appeals can be resolved satisfactorily through these informal means.

There is a time limit for making appeals (3 weeks after awarding decision). There is a time limit of a further 3 weeks to review this appeal, an appeal review fee is payable (refundable if the appeal is upheld).

2.2 An Appeal

Is a request for a review of an assessment outcome if the candidate is not satisfied with the result of the assessment, where it appears to the candidate, that an approved Centre or Trainer has failed to meet the criteria upon which their approval, for course delivery and assessment was granted.

2.3 Grounds for Appeal

Disagreement with an assessment judgement is not normally grounds for an appeal. ITC Trainers & Assessors follow strict criteria when making their assessment decisions

Appeals generally fall into the following categories:

- a) Administration error - typically a mistake in recording results.
- b) Assessment error - perhaps using criteria other than those specified in the qualification.
- c) Discrimination - the method of assessment was not fair and reasonable under the circumstances, or the assessor was biased or prejudiced.
- d) Decisions regarding Reasonable Adjustments and Special Considerations
- e) Decisions relating to any action taken against a Learner or Centre following an investigation into malpractice of maladministration.

2.4 Disagreement with Appeal Decisions

All appeals are considered carefully, impartially and confidentially. If after careful consideration the Candidate wishes for the appeal decision to be reviewed then a fee £75 + vat (£90) is required (returnable if the appeal decision is overturned), made payable to ITC.

This fee is designed to avoid deterring appellants on financial grounds yet discourage frivolous appeals. The Appeals Review Committee consists of two independent professionals and an ITC First representative, normally the Awards Manager, its function is to independently resolve disagreement with appeal decisions.

2.5 Monitoring Evaluation and Reporting Appeal Decisions

Candidates appeal enquiries will be dealt with according to the ITC Customer Charter (P1). The number, nature of enquiries and appeals and their outcomes will form part of the ITC Annual Performance Report. Should the result of an appeal call into question the accuracy of other results then each of the questionable results will be investigated by the Awards Manager and Chief Verifier. Appropriate proportionate action will then be taken which may include:

- a) An increased level of external verification.
- b) The withdrawal of approval for Centre to deliver one or more qualifications.
- c) Future Registrations will not be accepted.

- d) Centre approval status completely withdrawn.
- e) Certification for previous courses may be invalidated.

3. Candidate Appeals Procedure

3.1 When an informal route has proven unsatisfactory and where a candidate believes that they have grounds for an appeal they should contact the ITC Office directly, in writing, giving all relevant details.

- a) The ITC CEO will acknowledge receipt of the appeal within 5 working days of receiving the correspondence and initiate the following
- b) The ITC CEO and the Centre Manager or Trainer/Assessor with whom the disagreement occurred perform an administrative check to ensure that the assessment result has been carried out according to the course syllabus and assessment criteria and has been recorded properly.
- c) The ITC Appeals Committee will then consider the appeal. This Committee (2016/17) consists of:
 - I. The ITC Awards Manager - BH
 - II. An ITC External Quality Assurer with no link to the candidate (assigned from out of area)
 - III. Mr J. Stafford. A Senior Teacher of 35 years experience, a professional person with background knowledge of management systems. Mr Stafford has never delivered ITC training, or been involved in any way with the delivery of ITC qualifications, but has expertise in process, procedures and the education system developed during a teaching career that included senior management of a large comprehensive school.

3.2 In the case of appeals against assessment decisions the Committee procedure will focus on whether ITC:

- a) Used procedures that were consistent with regulatory criteria
- b) Applied the procedures properly and fairly when arriving at judgements

3.3 This Committee will either uphold the appeal or not uphold the appeal.

- a) The candidate will be informed of the decision within 15 working days. A written account of the outcome of the appeal will be posted or e-mailed to their contact address within a further 5 working days from the candidate being informed of the decision.
- b) If the appeal is **upheld** the candidate will be informed of the appropriate actions that then will be taken. The Centre will be notified of the result of the appeal and any subsequent actions to be undertaken.
- c) If the appeal is **not upheld** the candidate will be given the reasons and advised of their right to make an appeal to the Appeals Review Committee. The Centre will be notified of the result of the appeal and any subsequent actions to be undertaken.

Note

- a) Candidates cannot normally appeal the professional judgements of the internal assessor.
- b) When making an appeal against assessment decisions ITC will focus on whether ITC used procedures that were consistent with the External Regulator [Ofqual, SQA, QW] regulations current at the time of the appeal and applied the procedures properly and fairly in arriving at any judgements.

4. Appeals Review Procedure for Candidates

4.1 When the candidate has been informed of the Appeals Committee decision and wishes to take matters further then they can request that ITC reviews the Appeals Procedure, conduct and decisions by a meeting of the Appeals Review Committee.

- a) This request should be made in writing, within 3 weeks of the Appeals Procedure decision and should contain:
 - I. The original appeal
 - II. A statement detailing why the original Appeals Committee decision was inaccurate, or the process leading to the decision was faulty.
 - III. A cheque for £75 + vat (£90), made payable to 'ITC'. An appeal to the Appeals Review Committee will not be accepted without the correct fee.
- b) The Appeals Review Committee will then consider the appeal review. This Committee (2015/16) is composed of
 - I. An independent consultant. Ms E. Harris. HR specialist in higher education and currently with Scottish National Trust.
 - II. An independent consultant. Mr D. Preece has a lifetime of experience in the education & management sectors a particular interest in the development of NVQ/SVQ.
- c) This Committee will either uphold the appeal review or not uphold the appeal review. The candidate will be informed of the decision within 15 working days. A written account of the outcome of the appeal will be posted or e-mailed to the contact address within a further 5 working days from the candidate being informed of the decision.
- d) If the appeal is **upheld** the candidate will be informed of the appropriate actions that then will be taken. The Centre will be notified of the result of the appeal and any subsequent actions to be undertaken. The Appeals Review Fee will be refunded.
- e) If the appeal is **not upheld** the candidate will be informed of the decision and given the reasons. The Centre will be notified of the result of the appeal and any subsequent actions to be undertaken.

5. Complaint Against the Awarding Body

If you have a complaint regarding the operating systems of the Awarding Body then please contact the Regulators of Qualifications in England (Ofqual), Wales (Qualifications Wales) or Scotland (SQA).

<http://www.ofqual.gov.uk/>

<http://www.qualificationswales.org>

<http://www.sqa.org.uk>

Section 2

6. Centre Appeals

6.1 Introduction

This section of the document contains the procedures for use by ITC Centres should they wish to appeal against a decision.

The procedures are transparent, impartial and confidential.

Centres are strongly recommended to pursue any complaint or grievance informally, before following formal systems, as many appeals can be resolved satisfactorily through these informal means.

There is a time limit for making appeals (3 weeks). There is a time limit of a further 3 weeks to review this appeal, an appeal review fee is payable (refundable if the appeal is upheld).

6.2 An Appeal

Is a request for the review of decisions made by ITC or their representatives. If the Centre is not satisfied with the decision or where it appears, to the Centre, that the ITC representative has failed to meet the criteria upon which their approval was based.

6.3 Grounds for Appeal

Typical areas for appeal could be:

- a) A decision or recommendation regarding the Centre approval procedure.
- b) A decision or recommendation by an External Quality Assurer.
- c) A decision to decline a request for reasonable adjustments or special consideration.
- d) A decision regarding a malpractice or misconduct report.

6.4 Disagreement with Appeal Decisions

All appeals are considered carefully, impartially and confidentially. If after careful consideration the Centre wishes for the appeal decision to be reviewed then a fee £75 + vat (£90) is required (returnable if the appeal decision is overturned) made payable to ITC. This fee is designed to avoid deterring appellants on financial grounds yet discourage frivolous appeals. The Appeals Review Committee consists of an independent professional person, an external verifier not directly involved with the Centre and an ITC representative, normally the Awards Manager. Its function is to independently resolve disagreement with appeal decisions.

6.5 Monitoring Evaluation and Reporting Appeal Decisions

Candidate and Centres appeal enquiries will be dealt with according to the ITC Customer Charter. The number, nature of enquiries and appeals and their outcomes will form part of the ITC Annual Performance Report. Should the result of an appeal call into question the accuracy of other results then each of the questionable results will be investigated by the Awards Manager and Chief Verifier. Appropriate proportionate action will then be taken which may include:

- a) An increased level of external verification.
- b) The withdrawal of approval for Centre to deliver one or more qualifications.
- c) Future Registrations will not be accepted.
- d) Centre approval status completely withdrawn.
- e) Certification for previous courses may be invalidated.

7. Centre Appeals Procedure

7.1

When an informal route has proven unsatisfactory and where a Centre believes that they have grounds for an appeal they should contact the ITC Office directly, in writing, giving all relevant details.

- a) The ITC Awards Manager will acknowledge receipt of the appeal within 5 working days of receiving the correspondence and initiate the following.
- b) The ITC Awards Manager and the Centre Manager or Provider with whom the disagreement occurred will investigate the appeal, scrutinising all documentation carefully for error or ambiguity.
- c) The ITC Appeals Committee will then consider the appeal. This Committee (2015/16) is composed of:
 - I. The ITC Awards Manager – BH
 - II. An ITC External Quality Assurer with no link to the Centre
 - III. Mr J. Stafford. A Senior Teacher of 35 years experience, a professional person with background knowledge of management systems. Mr Stafford has never delivered first aid training but has expertise in process, procedures and the education system developed during a teaching career that included senior management of a large comprehensive school.

7.2 In the case of appeals against assessment decisions the Committee procedure will focus on whether ITC:

- a) Used procedures that were consistent with regulatory criteria
- b) Applied the procedures properly and fairly when arriving at judgements

7.3 This Committee will either uphold the appeal or not uphold the appeal.

- a) The Centre or Trainer will be informed of the decision within 15 working days. A written account of the outcome of the appeal will be posted or e-mailed to their contact address within a further 5 working days from the Centre or Trainer being informed of the decision.
- b) If the appeal is **upheld** the Centre or Trainer will be informed of the appropriate actions that then will be taken. They will be notified of the result of the appeal and any subsequent actions to be undertaken.
- c) If the appeal is **not upheld** the Centre or Trainer will be given the reasons and advised of their right to make an appeal to the Appeals Review Committee. The Centre or Trainer will be notified of the result of the appeal and any subsequent actions to be undertaken.

8. Centres Appeals Review Procedure

8.1 When the Centre has been informed of the Appeals Committee decision and wishes to take matters further then they can request that ITC reviews the Appeals Procedure, conduct and decisions by a meeting of the Appeals Review Committee.

- a) This request should be made in writing, within 3 weeks of the Appeals Procedure decision and should contain:
 - I. The original appeal
 - II. A statement detailing why the original Appeals Committee decision was inaccurate, or the process leading to the decision was faulty.
 - III. A cheque for £75 + vat (£90), made payable to ITC. An appeal to the Appeals Review Committee will not be accepted without the correct fee.
- b) The Appeals Review Committee will then consider the appeal review. This Committee is made up of:
 - i. An independent professional, 2015/16 Ms E. Harris
 - ii. A second independent professional, 2015/16 this person is Mr D. Preece
- c) This Committee will either uphold the appeal review or not uphold the appeal review. The candidate will be informed of the decision within 15 working days.
- d) If the appeal is **upheld** the Centre will be informed of the appropriate actions that then will be taken. The Appeals Review Fee will be refunded.
- e) If the appeal is **not upheld** the Centre will be informed of the decision and rationale along with any subsequent actions to be undertaken.

9. Complaint Against the Awarding Body

9.1 If you have a complaint regarding the operating systems of the Awarding Body then please contact the Regulators of Qualifications in England (Ofqual), Wales (QW) or Scotland (SQA Accreditation):

<http://www.ofqual.gov.uk/> www.qualificationswales.org <http://www.sqa.org.uk/>

9.2 ITC will comply with the requirements of any Appeals and Complaints process established by the external regulators (Ofqual, QW & SQA)

10. Appeals & Complaints Results

10.1 If ITC discovers any failures in its processes due to the appeals process ITC will:

- a) Identify any other Learner or Centre who has been affected by the failure,
- b) Correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure,
- c) Ensure that the failure does not recur in the future.
- d) Give due regard to the outcome of Appeals or Complaints in relation to all ITC qualifications.

10.2 If notified of failures in other Awarding Bodies ITC will review whether a similar failure could affect any ITC processes, including the assessment process, and will act as though the failure had been discovered with ITC processes.