



Appeals Policy

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Introduction

This policy is aimed at our customers, including Learners, who are delivering/enrolled on or have taken a Focus Awards-approved qualification or unit. It sets out the process you should follow when submitting appeals to us and the process we will follow when responding to enquiries and appeals. It is also for use by our staff to ensure they deal with all appeals in a consistent manner.

Centre's Responsibility

It's important that your staff are involved in the management, assessment, and quality assurance of our qualifications and your learners are aware of the contents of the policy.

In addition, you must have internal appeal arrangements which Learners can access if they wish to appeal against a decision taken by your Centre. If an individual wishes to appeal against a decision taken by a Centre, it must first of all go through the Centre's appeals process before bringing the matter to Focus Awards.

Fees

An appellant requesting an appeal is required to pay a £200 + VAT fee before the request will be accepted. This fee is refundable if the appeal is upheld.

Review Arrangements

We will review the policy annually as part of our self-evaluation arrangements and revise it, as and when necessary, in response to customer and learner feedback or requests from, or good practice guidance issued by, the regulatory authorities (e.g., to align with any appeals and complaints process established by the regulatory authorities such as Ofqual). If you would like to provide feedback on any views, please contact us via the details provided at the end of this policy.

Areas Covered by the Policy

This policy covers:

- Appeals from Learners and/or Centres in relation to an assessment decision on the basis that we did not apply procedures consistently or that procedures were not followed properly and fairly
- Appeals from Centres in relation to a Focus Awards decision concerning a Centre's application to offer a Focus Awards qualification.
- Appeals from Centres concerning the contents of a Centre monitoring report.
- Appeals from Centres and/or Learners relating to a Focus Award 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 Focus Awards of a sanction/action on a Centre resulting from a verification visit, an investigation into malpractice or maladministration, or a decision to amend
- A Learner/set of Learners' results following a malpractice or maladministration investigation
- Appeals from Centres relating to a decision made by Focus Awards following an investigation into a complaint about a Centre
- Appeals if you believe we have not applied our procedures consistently or those procedures were not followed properly, consistently, and fairly

Process for Raising an Appeal

You (and your learners) have 20 working days from the date we notified you of the decision you are appealing against in which to lodge an appeal against our decision, which includes assessment results. Due to this, please advise your learners/staff to retain their course evidence until they receive their result.

If you appeal on behalf of your Learners, you must ensure that you have obtained the written permission of the Learner(s) concerned as grades/results can go down as well as up as a result of an investigation.

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

Centres should complete the Appeals form in order to submit an Appeal on behalf of a Learner and/or the Centre and in doing so supply relevant information such as the following, where relevant:

- Learner's name and Focus Awards registration number
- date(s) you or the Learner received notification of Focus Awards decision
- title and number of the Focus Awards qualification affected, or nature of service affected (if appropriate)
- full nature of the appeal, contents, and outcome of any investigation carried out by you relating to the issue

Situations Brought to our Attention by the Regulatory Authorities

Where the regulators notify 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 we will acknowledge receipt within 48 hours and aim to respond fully to the initial review of the potential appeal within 20 days. Please note that in some cases the review process 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 Focus Awards personnel assigned to the appeal investigation have the appropriate level of training and competence and that they have had no previous involvement or personal interest in the matter. If the Head of Quality Assurance is involved 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.

The first stage will be for us to undertake an initial, informal assessment of all potential appeals, to ensure the application is complete and to ascertain if the issue can be resolved before it goes 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 decision being appealed.

Following the initial review of the potential appeal we will then write to the appellant with details of our decision to either:

- amend our original decision in light of the new rationale/evidence being put forward and which has now been reviewed
- to confirm we stand by our original decision and in doing so the rationale for this decision and request that you confirm, within 15 days, whether you now accept this decision or if you wish to formally proceed to our formal appeals process which will be carried out by an independent party

Seeking an Independent Review

If you decide to proceed to the independent appeal stage we will arrange for an independent review to be carried out. This will be carried out by someone who is not an employee of ours, or otherwise connected to

our organisation. They will also be someone with the relevant competence to make a decision in relation to the appeal and will not have a personal interest in the decision being appealed.

The Independent Reviewer will review all the evidence which took place in the above stages and review if 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 or the Learner and Focus Awards personnel
- a request for further information from the appellant, the learner or Focus Awards personnel
- a centre visit by authorised Focus Awards personnel.

The Independent Reviewer's decision is final in relation to how Focus Awards will consider such appeals and we will let you know the outcome of the review within 20 days of receipt of the third appeal. If the Centre/Learner is still unhappy with the outcome at this stage they are entitled to raise the matter with the relevant qualification regulator (e.g. Ofqual in England).

Successful Appeals and/or Issues Brought to our Attention by Ofqual

In situations where an appeal has been successful, or where an investigation following notification from Ofqual indicates a failure in our processes, Focus Awards will give due consideration to the outcome and will as appropriate take actions such as:

- amend the profile of the Centre concerned
- identify any other Learners who have been affected and correct the situation or, where it cannot be corrected, mitigate as far as possible the effect of the failure (e.g. amend the results for the Learner(s) affected following an appropriate investigation)
- review our associated processes and policies to ensure that the 'failure' does not occur again or mitigate the situation as far as possible if the failure that occurred cannot be corrected
- if applicable, change our approach to the development, delivery, and award of qualifications in order to ensure our approach remains appropriate

We will also cooperate with any follow-up investigations required by the qualifications regulators and if appropriate agree to any remedial action with them.

Contact us

If you have any queries about the contents of the policy, please contact our support team:

E: info@focusawards.org.uk

T: +44(0)333 3447 388

Version History

The version history for this policy is maintained within the Focus Awards Policy Document Control List.

Focus Awards Appeal Form

Please complete the appeals form below and return this to Focus Awards using the email address/postal address provided below the form. We will acknowledge receipt within 48 hours and explain what action will be taken next.

Appellant Details			
Centre Name		Centre Number	
Type of Appeal (please tick)			
☐	Centre Appeal		
☐	Learner Appeal (submitted by centre)		
Primary Contact Name			
Job Title			
Email Address			
Contact number			

Learner Details (If applicable) (Complete for each learner affected. Add additional pages if required)	
Learner Name:	
Registration Number (ULN if known):	
Qualification Title and Number:	

Decision Being Appealed	
☐	Assessment Decision
☐	EQA/Monitoring Outcome
☐	Sanction/ Action Applied
☐	Malpractice / Maladministration Outcome
☐	Reasonable Adjustments / Special Considerations Decisions
☐	Centre Approval / Application Decision
☐	Complaint Outcome
☐	Other (Please Specify):
Date of original decision:	
Reference number (if applicable)	

Grounds for Appeal

Please indicate the grounds for your appeal (tick all that apply):

☐ Procedures were not followed correctly

☐ Procedures were applied inconsistently

☐ Relevant evidence was not considered

☐ Decision was unreasonable based on available evidence

☐ New evidence is now available

☐ Conflict of interest or bias

☐ Other (Please Specify):

Details of Appeal

Please provide a clear and concise explanation of:

- The decision you are appealing
- Why you believe the decision is incorrect
- The grounds selected above
- Any supporting context or timeline

Outcome Sought

Please specify what outcome you are seeking:

- | | |
|--------------------------|----------------------------------|
| ☐ | Review and amendment of decision |
| ☐ | Removal or amendment of sanction |
| ☐ | Reconsideration of evidence |
| ☐ | Other (please specify): |

Centre Internal Appeals Process

Has the Centre's internal appeals process been completed?

- | | | | |
|--------------------------|-----|--|--|
| ☐ | Yes | | |
| ☐ | No | | |

If yes:

Date Completed:

Outcome:

If no, please explain why this has not been completed (learner appeals only):

Supporting Evidence Checklist

Please confirm what evidence is attached:

- | | |
|--------------------------|-----------------------------------|
| ☐ | Assessment records |
| ☐ | IQA records |
| ☐ | EQA report(s) |
| ☐ | Learner work / portfolio evidence |
| ☐ | Correspondence (emails/letters) |
| ☐ | Centre investigation report |
| ☐ | Witness statements |

☐	Policies/procedures referenced
☐	Other (Please Specify):

Learner Consent (if applicable)

Where this appeal is submitted on behalf of a learner:

☐ I confirm that written consent has been obtained from the learner(s)

Fee Payment

A £200 + VAT appeal fee is required prior to the appeal being formally accepted.

☐ I confirm payment has been made

☐ I understand the fee is refundable if the appeal is upheld

Payment Reference:

Declaration

I confirm that:

- The information provided is accurate and complete
- This appeal meets the requirements outlined in the Appeals Policy
- All relevant evidence has been included

Name:

Position:

Signature:

Date: