

Complaints and Appeals Policy and Procedure

Introduction

This policy is aimed at our learners, including learners, who are delivering/training/enrolled on or have taken a Shreeji Training approved qualification or unit. It sets out the process they should follow when submitting an appeal or complaint to Shreeji Training along with the process which will be followed when responding to appeals and complaints. It is also for use by Shreeji Training to ensure that all appeals and complaints are dealt with in a consistently professional manner.

Centre's responsibility

It is the responsibility of all Shreeji Training learners and staff involved in the management, training, assessment and quality assurance of qualifications to be aware of the contents of the policy.

All centres must have internal appeals and complaints arrangements in place which learners can access if they wish to appeal against a decision taken the centre or make a complaint. If an individual wish to appeal against a decision taken by a centre it must first go through the centre's appeals process before bringing the matter to Shreeji Training senior management.

Review arrangements

Shreeji Training will review the policy annually as part of our self-evaluation arrangements under the SAR and revise it as and when necessary in response to staff 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)

This policy covers:

- complaints and appeals from learners and/or centres in relation to an assessment or training decision on the basis that we did not apply procedures consistently or that procedures were not followed properly and fairly
- complaints and appeals from centres in relation to a SHREEJI TRAINING decision concerning a centre's application to offer a SHREEJI TRAINING qualification.
- complaints and appeals from centres concerning the contents of a centre monitoring review.
- complaints and appeals from centres and/or learners relating to a SHREEJI TRAINING decision to decline a centre's request to make reasonable adjustments or give special considerations
- complaints and appeals from centres or learners in relation to the application by SHREEJI TRAINING of a sanction/action on a centre resulting from a verification visit or an investigation into malpractice or maladministration or

a decision to amend a learner/set of learners' results following a malpractice or malpractice investigation

- appeals from centres relating to a decision made by SHREEJI TRAINING following an investigation into a complaint about a centre.
- appeals if you believe we have not applied our procedures consistently or that procedures were not followed properly, consistently and fairly.

Complaints Procedure

Grounds for Complaint:

A complaint may only be made or filed using this procedure on the grounds that the assessment centre has failed its duty and responsibilities or commitments as described in Our Centre's regulations.

- Complaints about assessment decisions will be made using the appeal procedure.
- Complaints by individuals against their employers should be made using the grievance procedure of the appropriate employing authority.

Procedure:

1. Where possible the complaint should be resolved at the earliest Opportunity and lowest level among the parties.
2. The learner will discuss the complaint with the QCF Assessor. Where it is not possible to achieve resolution, the internal Quality Assurer will be informed and involved.
3. If they are unable to achieve a satisfactory resolution the Complainant will inform Shreeji Training's Centre Manager, in writing and formal, of the nature of the complaint as well what attempts have been made to resolve the situation.
4. Receipt will be acknowledged in writing.
5. The Centre Manager will convene a panel meeting within twenty working days of the receipt of the complaint. The panel will consist of:
 - A member of the Assessment Board
 - An Internal Quality Assurer (not involved in the complaint)
 - The Centre Manager
6. The Complainant has the right to attend the panel meeting accompanied by a person of their choice for personal support.
7. The Outcome of the complaint will either be
 - the complaint is not upheld against Shreeji Training
 - the complaint is upheld, that restorative action has been identified and the appropriate individuals to be informed.
8. The Centre Manager, will inform the complainant and members of the panel of the decision within five working days of the panel meeting.
9. The Centre Manager will be responsible for necessary actions have been taken.

Process for raising an appeal

Centres (and learners) have 14 days from the date Shreeji Training notified the centre/learner of the decision in which to lodge an appeal against Shreeji Training's decision - this includes assessment results; hence learners/staff must retain course evidence, where appropriate until results are received.

If a centre appeals on behalf of the learner, 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 have registered and been assessed via a centre and 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 or provide evidence to Shreeji Training that they have first appealed via the delivery centre.

Similarly, learners registered with a centre solely for the purpose of training must appeal via the centre first however learners just appealing their result/s.

When submitting an appeal relevant supporting information must be supplied such as the following:

- Learner's name and *Shreeji Training* registration number
- Date the centre or the learner received notification of a *Shreeji Training* decision
- Title and number of the *Shreeji Training* qualification affected, or nature of service affected (if appropriate)
- Full nature of the appeal in detail with timelines
- Contents and outcome of any investigation carried out relating to the issue

Situations brought to SHREEJI TRAINING' attention by the regulatory authorities-

Where the regulators notify Shreeji Training of failures that have been discovered in the assessment process, Shreeji Training will review whether or not a similar failure could affect Shreeji Training assessment processes and arrangements for any other awarding bodies.

Successful appeals and/or issues brought to our attention by external body-

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

- amend the record of Shreeji Training concerned
- identify any other learners who have been affected correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure (eg and 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 a learner is not satisfied with the final decision that is made by Shreeji Training regarding their complaint or appeal, the learner has a right to escalate the complaint or appeal to the relevant awarding body using their procedure and furthermore if the learner still remains unhappy, the learner can raise their complaint or appeal to the Qualification Regulator (Ofqual).

Shreeji Training will and does cooperate with any follow-up investigations required by the qualifications regulators and if appropriate agree any remedial action with them and the learner.

Appeals Procedure

If a candidate is dissatisfied with an assessment outcome, he/she has the right of appeal.

The main reasons for an appeal are likely to be: -

1. The candidate does not understand why he/she is not yet regarded as competent, due to lack or unclear feedback from the Assessor.
2. The candidate believes he/she is competent, and that the Assessor has misjudged him/ her.

There are three stages within any appeals procedure:

Stage 1 -

Appeal directly in writing to the Assessor who carried out the assessment stating:

- Points of disagreement and reasons.
- Evidence to which the disagreement relates.

(Timescale 10 days)

Stage 2 -

Candidates who are not satisfied with the outcome of Stage 1 appeal, can next appeal in writing to the Internal Verifier, contact details below, including all documentation from Stage 1.

(Timescale 10 days)

Stage 3 -

Candidates who are not satisfied with the outcome of Stage 2 may appeal in writing to the Centre Manager, contact details below, including all documentation from both Stages 1 & 2.

(Timescale 10 days)

Stage 4 –

Candidates who are not satisfied with the outcome of Stage 3 may also contact external body and any relevant awarding body. The external body will work according to their timescale.

Pooja Barot
Internal Verifier / Quality
Assurance manager
Shreeji Training Ltd.