



## **APPEALS POLICY AND PROCEDURE**

### **INTRODUCTION**

Sol Institute Appeals Procedure allow clients who are registered at Sol Institute to challenge the outcome of their assessment at the level of a unit/module/component if they consider that the assessment has not been carried out properly. Examples of areas where an appeal may be raised are as follows:

- The conduct of assessment.
- Opportunities available for assessment.
- Opportunities available for re-assessment.
- Appropriate coverage of the evidence assessed in terms of national standards and the awarding organisation requirements.
- Failure of the assessor to provide assessment agreed in the learner's assessment plan.
- Assessment decisions/grades.

(Should a learner wish to appeal against a decision made after a complaint has been investigated then please refer to our Complaints Procedure).

Sol Institute in line with its values of fairness and openness, encourages learners to discuss any concerns with the Assessor in the first instance. If they remain dissatisfied, they should follow the appeals procedure outlined below. Details of any learner appeal should only be discussed with others involved in the appeals process. The learner's confidentiality must be respected at all times. Any enquiry, question or appeal should be made as soon as possible after the assessment decision. An appeal must be made within 10 working days after receiving the assessment results.

### **APPEALS PROCEDURE**

#### **Stage 1 – Tutor/Assessor and Learner**

The learner must present the completed appeal form to the Assessor within 10 working days of receiving the assessment result. The form should include details of why they feel that the work has been assessed unfairly, inconsistently or not in accordance with the standards and level required by the Awarding Body. Any evidence or correspondence relevant to the appeal should be attached. The Assessor will carry out relevant investigations based on the nature of the appeal. There are two possible outcomes:-

- The original assessment decision remains unchanged
- The assessment decision is amended – this could be both up or down.

The Assessor should document the decision with their reasons on the appeal form. The Assessor will advise the learner of the decision no later than 5 working days after the appeal is made. The decision should be documented on the appeal form and a copy of the form given to the learner.

The learner should consider the Assessor's comments and decision and decide whether to accept the outcome of the formal re-assessment. This should be indicated on the appeal form and signed and dated by the learner. The appeal form should be returned to the Assessor within 5 working days of receiving the reassessment decision. The appeal form should be passed to the Customer Relations Manager for tracking and monitoring purposes. If the learner has not accepted the re-assessment decision, the Customer Relations Manager will co-ordinate the move to Stage 2 of the appeals procedure.

### **Stage 2 – Lead Internal Verifier**

Following notification that the learner is still unhappy with the assessment decision, the tutor must give the Lead Internal Verifier the following information within two working days of the appeal reaching Stage two:

- the original assessment record and learner's evidence, where appropriate; and the written explanation and confirmation of the assessment decision. The Lead Internal Verifier will reconsider the assessment decision, taking the following into account:
  - the learner's reason for appeal;
  - the learner's evidence and associated records;
  - the assessor's reason for the decision; and
  - the opinion of another assessor from the centre

The Lead Internal Verifier must then give the reconsidered decision, in writing, within five working days of receiving the appeal, to both learner and Tutor.

The learner must tell the Lead Internal Verifier and confirm in writing if they are still unhappy with the reconsidered assessment decision within five working days of receipt of the decision. If so, the appeal moves to Stage 3.

### **Stage 3 – Assessment Appeals Panel**

If an assessment appeal remains unresolved at Stage 2 of the procedure, an Assessment Panel will review the appeal. The staff member who conducted the Stage 2 process must send the following details to the Customer Relations Manager:

- the written explanation and confirmation of the assessment decision
- the assessment record sheets; and
- any written comments.

Within **ten** working days of receiving the appeal, the Customer Relations Manager will convene an Appeals Panel to hear the appeal. The Appeals Panel will consist of the Customer Relations Manager, a subject expert and the Head of the Institute. The learner may speak to the Appeals Panel and may be accompanied by an adviser\*, and/or make a written submission. The tutor who made the original decision will be asked to attend the Appeals Panel to answer questions. The Appeals Panel will then discuss the matter in private and reach a majority decision. All parties will then be informed of the decision. The decision of the Appeals Panel is final, although learners may appeal to the Awarding Body once the internal appeals decision has been completed.

### **ESCALATION TO AWARDING BODY**

If the learner remains dissatisfied with the decision of the Assessment Panel, the Customer Relations Manager will help facilitate escalation to the relevant Awarding Body.

### **GROUP ASSESSMENTS**

The appeals procedure should be followed irrespective of whether the assessment is for work completed by an individual or for an assessment as part of a group allocated grade. These additional points should be followed in the case of a group assessment where a shared mark is given.

#### **If the entire group wishes to appeal the assessment decision**

As a group, the procedures detailed above should be followed. If the appeal moves to Stage 1, the group should agree the reasons for appeal and document this on the appeal form. All learners within the group should sign the form.

Whatever the appeal outcome, this will be applied to the assessment decision for all learners in the group.

#### **If an individual(s) within the group wish to appeal the assessment decision**

There may be circumstances where an individual(s) within the group wishes to appeal the assessment decision whilst the rest of the group is satisfied with the assessment and accepts the decision. The individual(s) wishing to appeal the assessment decision should be aware that the appeal decision will be applied to their individual assessment only. They should follow the normal appeals procedure. Other members of the group will be asked to sign a declaration form to state that they are satisfied and accept the assessment given. This will secure the assessment decision already given to them and will remain unchanged regardless of the outcome of the individual appeal. They will not be able to make an individual appeal at a later date. Please note learner confidentiality must be respected at all times. In the case of group assessments, the group will be informed that an appeal has been made but it would not be appropriate to disclose details of any individual(s) appeal.

Sol Institute Complaints Procedure allows clients who are registered at Sol Institute to challenge an appropriate aspect of the Sol Institute operations. Candidates could complain about the following areas:

- Access to assessment
- Process of assessment
- Access to internal verification
- Handling of an Appeal
- Administrative Issues e.g., failure to register

Assessors/Tutors/Staff could complain about the following areas:

- Access to support and guidance
- Access to internal verification
- Administrative issues
- Insufficient time to undertake the function