



ENQUIRIES & APPEALS PROCEDURES

ENQUIRIES

Learners or centres wishing to make a formal enquiry to CABWI to check on assessment affecting learners' results or regarding any other decisions that affect centres or learners must submit their enquiry in writing to:

The General Manager
CABWI Awarding Body
1 Queen Anne's Gate
London
SW1H 9BT.

CABWI Awarding Body seeks to establish and maintain good working relationships with its learners, centres, assessors and verifiers. It is recognised, however, that situations may arise where an individual or organisation wishes to report a complaint to the awarding body or to appeal against a decision taken by CABWI. In handling complaints and appeals, the awarding body will follow the procedures set out below.

Please note that enquiries, complaints and appeals may relate to any of the qualifications schemes run by CABWI. These include NVQs, QCF qualifications¹, the Street Works Scheme and the Street Works Reassessment Scheme.

COMPLAINTS

CABWI aims to ensure that the awarding body, its staff and external verifiers carry out their duties and provide the awarding body's services in a professional and appropriate manner. Where an individual or organisation has a complaint regarding the awarding body, its staff or services, they are asked to contact the General Manager in writing, explaining the details of their complaint.

The awarding body will review all complaints, and a written response will be provided to the complainant within **21 days** of receipt of the complaint.

APPEALS

An individual or organisation may wish to appeal against a CABWI decision in a number of different situations. This procedure provides the framework for the review and resolution of appeals.

Types of appeals

While the awarding body seeks to ensure that its relationships with learners, centres and licensed personnel are maintained effectively, it is recognised that disputes may arise, which require resolution through CABWI's formal appeals procedure. An appeal may be made to the awarding body by a learner, centre, assessor or verifier.

¹ NVQs and QCF qualifications are subject to Ofqual regulation. Information relating to NVQ and QCF enquiries, complaints and appeals may be provided to Ofqual on request.

All CABWI centres must have an appeals procedure, which provides for learners to appeal against an assessment decision or any other aspect of the delivery of their qualification. Learners who have any grievance against their centre must in the first instance follow the centre's appeals procedure. If a learner is not satisfied with the outcome after going through the centre's appeals procedure, an appeal may be submitted in writing to CABWI at the address above.

If an assessor has a grievance against their centre or another member of staff at the centre, they are required to contact their internal verifier or centre manager in the first instance, before seeking resolution through CABWI's appeals process.

Learners

Registered learners may submit an appeal to CABWI in different circumstances, including the following:

- an appeal against an assessment or verification decision at their centre
- an appeal against an awarding body decision (including those relating to the issue of certificates).

When a learner wishes to make an appeal, they must contact the General Manager of CABWI, at the above address, in writing. The letter should include the following information:

- the learner's name(s), CABWI registration number (if known), date of birth and contact details
- details of the qualification(s) they are undertaking or have undertaken
- details of the centre where they are registered
- details of their grievance and their grounds for appeal.

Centres

Centres may submit an appeal to CABWI in various situations, including the following:

- they have a grievance regarding a centre approval decision (relating either to CABWI centre recognition or to approval to offer specific CABWI qualifications)
- they have a grievance regarding a decision to withdraw a centre licence (either for all awards or for a particular qualification)
- they have a grievance relating to external verification activity at their centre (including external verification of assessment or internal verification decisions taken at the centre)
- they have a grievance regarding the awarding body's implementation of its processes or requirements.

When a centre wishes to submit an appeal, they must contact the General Manager at CABWI, at the above address, in writing. The letter should include the following details:

- the centre name and number
- the name and contact details of the individual at the centre to whom correspondence regarding the appeal should be addressed
- details of any qualifications to which the appeal relates
- details, if appropriate, of any learners whose certificates could be affected by the appeal
- details of the grievance and the grounds for appeal.

Centre personnel

Centre personnel (assessors, internal verifiers, or assessor- or IV-learners) may submit an appeal to CABWI, either personally or via their centre, in circumstances where, for example:

- they have a grievance relating to their personnel licence approval
- they have a grievance relating to the withdrawal of their personnel licence
- they have a grievance relating to a decision taken within the centre (relating to their assessment or verification activity) which could not be resolved by the centre's own appeals procedures.

Where an assessor or verifier wishes to make an appeal, they must submit their appeal in writing to the General Manager of CABWI, at the above address. The appeal submission should include the following details:

- the name and licence number of the assessor or verifier
- the name and number of their centre
- details of any qualifications to which the appeal relates
- details of the grievance and their grounds for appeal.

Please note: It is recognised that situations may arise that are not outlined above, where an individual or organisation wishes to submit an appeal under CABWI's appeals procedure. All formal appeals made to CABWI will be reviewed and investigated.

Appeal Stage 1 - CABWI internal review

All formal appeals made to CABWI Awarding Body will be logged with the awarding body and acknowledged within five working days of receipt at the CABWI office. Every effort will be made to ensure that the case is reviewed and any further investigations are carried out promptly.

All appeals, with the exception of those relating to a malpractice investigation, will initially be reviewed by the General Manager. Appeals relating directly to the findings of a malpractice investigation will be referred immediately to CABWI's appeals panel. Further written information or records may be requested from the learner, centre or personnel to complete the review process.

Where appropriate, CABWI reserves the right to instruct an external verifier to visit a centre in connection with an appeal review. The external verifier appointed will be independent of the centre affected by the appeal. If an external verification visit or other verification activity is required, CABWI will advise the centre or personnel affected in writing within ten days of receipt of the appeal, and will state the reasons for taking this action.

Throughout the review process, CABWI will seek to ensure that the appellant is kept informed of the progress of their appeal, and that every effort is made to ensure that the review is conducted promptly.

If the appellant or any other individual is required to attend a meeting with the awarding body as part of the review process, CABWI will advise them of the need for a meeting at the earliest opportunity.

Upon completion of all review activities, the awarding body will contact the appellant in writing and will summarise the findings of the review process, giving reasons for the decision taken. Details of appeals will be held on file at the CABWI office.

If the appellant is not satisfied with the outcome of the review, they may request that the matter is referred to a second appeal stage. This further appeal will be brought before an appeals panel, as outlined below.

Appeals submitted and resolved under Appeal Stage 1 will normally be considered within **21 working days** of receipt, but learners and centres should be aware that timescales for the conclusion of the appeal may vary if, for example, additional centre visits or meetings need to be scheduled.

Appeal Stage 2 - Appeals panel

If an appellant is not satisfied with the outcome of an appeal review or with the outcome of any malpractice investigation, they may request that their case is heard by CABWI's appeal panel. Any such request must be made to CABWI in writing. Throughout this stage of an appeal process, the appellant will be kept informed of the progress of their case, and will be advised of the timescales for the review process.

The appeal panel will consist of two CABWI Board members and a third person, who is independent of both the awarding body and the appellant. (*Independence* in this context is defined as an individual who is not and has not been a member of the board or committees of and has not been employed by either party at any time during the seven years prior to the appeal.)

The appeal panel will gather information from the relevant parties, including both the appellant and any appropriate awarding body staff, and will seek to determine whether CABWI has:

- acted in accordance with the requirements of the codes of practice under which it operates
- applied its procedures in a fair and appropriate manner in making its decisions and recommendations.

If the appellant or any other individual is required to attend a meeting as part of the appeals process, the appeal panel will advise them of its requirements at the earliest opportunity. The appellant will also be advised of the date of any meeting of the appeal panel to discuss the situation.

The appeal panel will notify the appellant and the awarding body of the outcome of its findings in writing and may make recommendations as necessary for action to resolve the situation.

Details of the results of all appeals will be held separately on file at the CABWI office, will be reported to the CABWI Board, and will be made available as required to the relevant regulatory authorities.

Appeals submitted and resolved under Appeal Stage 2 will normally be considered within **60 working days** of receipt, but learners and centres should be aware that timescales for the conclusion of the appeal may vary if the schedule needs to accommodate meetings or further deliberations of the appeals panel.

Costs of making an appeal

Learners wishing to make an appeal to CABWI Awarding Body will be charged a fee of £50 plus VAT towards the cost of the appeal. Where the appeal is upheld, CABWI will reimburse this cost.

If an external verification visit to a centre is made as part of the appeal process, the cost of the visit will be re-charged to the assessment centre at the current rate (as outlined in CABWI's fees sheets) plus VAT. If an appeal is successful, CABWI will reimburse the centre for the cost of any external verification visits made in connection with that appeal.

If a learner or a centre representative attends a meeting as part of an appeal process, they will be liable for the travel costs incurred in attending the meeting. Where the appeal is successful, CABWI will reimburse the learner or centre for these costs, on production of the appropriate travel receipts.

Provision of information relating to appeals

Copies of records relating to all appeals will be held on file at the CABWI office. These records may be made available to CABWI staff, members of the CABWI Board and to relevant regulatory authorities on request.

Appeals made to CABWI will be subject to regular monitoring by the awarding body. They may also be subject to monitoring by relevant regulatory authorities.