



AIMASSESSMENT

Policies

For apprentices, employers,
and training providers



Enquiries and appeals

15/05/EPA

Document version history

Version Number	Date	Description
1	March 2020	- Document created
2	May 2021	- Updated booklet name from <i>'enquiries about results and appeals'</i> to <i>'Results and appeals'</i> (see front cover) - Updated information in <i>'Enquiries and appeals'</i> section (see page 2) - Updated information in <i>'Enquiries process'</i> section (see page 3 - 4) - Added flowchart (see page 5) - Added <i>'Appeals'</i> section and updated appeals process (see page 5) - Removed appendices
3	May 2022	- Document branding updated
4	August 2022	- Removed typo (see page 7)
5	August 2023	- Reviewed and updated to bring in line with Qualifications Enquiries and appeals policy

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Introduction

Scope

This Enquiries and Appeals Policy applies to AIM Qualifications and Assessment Group (AIM) approved apprenticeship Standards.

This policy is intended for:

- Apprentices completed an AIM apprenticeship standards
- Employers and Training Providers contracted with AIM for apprenticeship Standards
- AIM staff to ensure that reviews and appeals are dealt with to meet the requirements of regulations and in a consistent and fair manner

The purpose of this policy is to:

- define enquiries and appeals
- set out the basis on which enquiries and appeals can be made
- detail the responsibilities AIM, apprentices, employer and training providers have to enquiries and appeals
- set out the processes involved in enquiries and appeals
- detail the way in which AIM will respond to reviews and appeals and communicate with key stakeholders
- state follow-up actions after enquires and appeals have been upheld by AIM

About us

AIM Qualification and Assessment Group is an end-point assessment organisation approved on the register for a range of apprenticeship standards. AIM Group are also a regulated awarding organisation and Access Validating Agency.

Enquiries and appeals

Definition

Enquiries allow centres and/or learners to ask for clarification or exemplification on specific or general issues.

Appeals allow centres and/or learners to question a decision or judgement. An appeal is a process through which the outcome of a decision may be challenged.

Grounds for enquiries and appeals

We aim to ensure that all decisions we make are fair, consistent, and based on valid judgments. However, we recognise that employers or apprentices may wish to enquire about or appeal a decision, **which may relate to:**

- an assessment result
- a request to make reasonable adjustments
- a request to allow special considerations
- the response to a complaint

Results and appeals policy

Introduction to enquiries

The AIM Results Enquiry Service is available for apprentices, training providers and employers who wish to enquire about end-point assessment results, normally in cases where the results vary considerably from those expected.

An enquiry may be made on behalf of one or more than one apprentice and is a formal written request from the employer to AIM for a review of the assessment decision. **This may take the form of a request for one of the following:**

1. Performance report

We will provide further feedback from the apprentice's assessments, including a breakdown of each assessment criteria. In the case of an examination the performance report provides a breakdown of the marks awarded for each subject area.

2. Re-mark

This service allows you to request a re-mark of your apprentice's assessment.

To ensure that the enquiry can be dealt with as soon as possible, it is important to adhere to the timescales for submission set out in the enquiries process ([see below](#)).

Enquiries process

1. Apprentice, Training provider or Employer submits [Enquiry about results application form](#), **within 25 working days** of results being issued, to assessment@aim-group.org.uk with full details of the enquiry, accompanied by all supporting documentation and the written permission of each apprentice involved (if applicable).
2. AIM acknowledges receipt of written enquiries about results **within five working days** from receiving a request.
3. AIM undertakes the relevant action and notifies the designated employer contact **within 10 working days** from receipt the outcome of the enquiry. If for any reason these timescales cannot be achieved, AIM informs the employer contact of the anticipated timescale.
4. A written report is sent and provides details of any recommendations as well as the decision (if relevant).

Possible outcomes of the enquiry are:

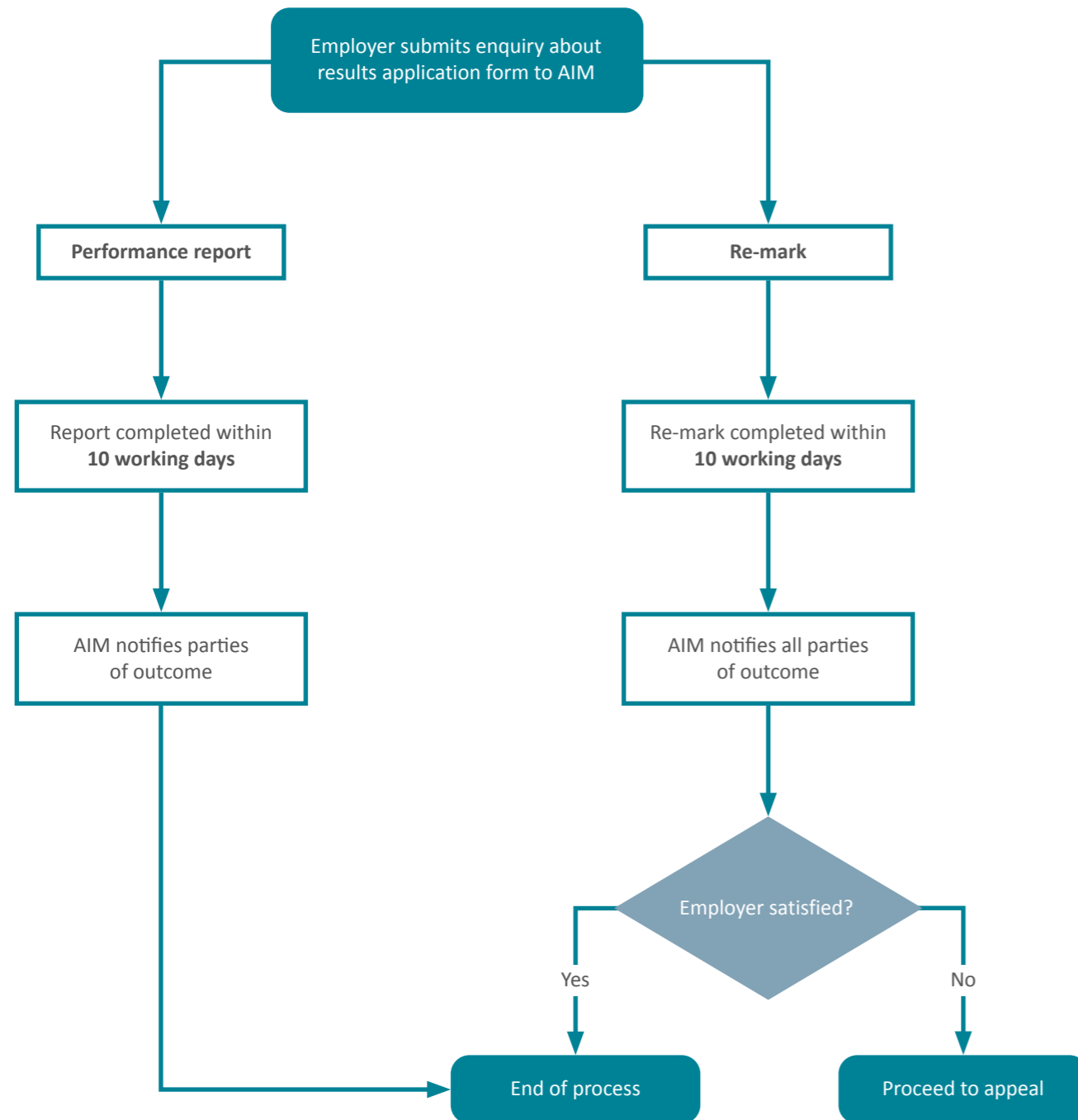
- ✓ no change
- ✓ a change to the results
- ✓ we will amend apprentice records accordingly

If you or the apprentice(s) are not satisfied with the outcome of the enquiry, an appeal may be submitted in line with the **AIM appeals procedures** ([see section 4](#)).

Fees and charges

- Performance reports are free of charge
- Remark will incur additional costs to the employer, details of the fees for each of these can be found in our end-point assessment pricing policy document which is available on our website.

Flowchart – Enquiry about results



Appeals

If you disagree with a decision we have reached and believe we have not followed procedures consistently, or that procedures were not followed properly and fairly you are able to submit an appeal.

This appeals policy covers:

- Appeals from apprentices and their employers in relation to an assessment decision on the basis that AIM Group did not apply procedures consistently or that procedures were not followed properly and fairly.
- Appeals from apprentices relating to an AIM Group decision to decline a request to make reasonable adjustments or give special considerations.
- Appeals from apprentices relating to a decision made by AIM Group following an investigation into a complaint.

All appeals are heard by an Appeals Panel of at least three members including AIM staff and an independent person (educational or subject experts) who is not an employee of AIM, a contractor working for it, or otherwise connected to it and has no personal interest in the decision being applied.

Apprentices who wish to appeal about their assessment results or about a related decision should be supported by their employer/provider. If an employer/provider is appealing on behalf of its apprentice(s), they must ensure that they have obtained written permission from the apprentice(s) concerned as grades/results can go down as well as up as a result of an investigation.

EPA appeals process

1. Submit the completed appeal form **within 25 days** receipt of the decision. [The appeal form can be found on our website](#) and should be submitted via assessment@aim-group.org.uk.
 - All sections of the form **must be completed**, and all supporting information included. An incomplete application will be returned to the employer for completion before it is processed by AIM, and as such could delay the process.
2. AIM will acknowledge the appeal and indicate within **five working days** of receiving the appeal request if it can be progressed.
3. In the event it does move forward, AIM undertakes to report its findings and decision to the appellant within **10 working days** of notification to progress the appeal.

4. It may be that we will seek any further information and documentation required from the appellant and any other parties to progress the appeal. In this case AIM will request this information **within the five working days** of receiving the appeal, with the appellant having a **further 10 working days** to provide that information.
5. AIM will hold a panel to discuss the information provided.
6. AIM will report its findings and decision to the appellant **within 10 working days** of receiving this information. **The decision will be:**
 - **Appeal upheld** – evidence demonstrated procedures had not been applied properly, fairly or consistently.
 - **Appeal partially upheld** – evidence demonstrated that whilst some procedures had been applied properly, fairly and consistently there were other failings identified.
 - **Appeal declined** – evidence demonstrated procedures had been applied properly, fairly and consistently.
7. The appellant will be invited to comment on the factual accuracy of this finding and may challenge any decision through submission of further information **within 10 working days**.
8. AIM will issue a final decision within **10 working days** of receipt of any comment/further information

If the appeal is upheld AIM will:

- issue any new results
- identify any other apprentice/employer who has been affected by the failure
- update all related records held by us
- review related policies and procedures and take remedial action to prevent or mitigate a recurrence of the circumstances giving rise to the appeal
- recall and review any other decisions which may be affected by the outcome of such an appeal
- correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure, **and**
 - ensure that the failure does not recur in the future
 -
 -

Fees and charges

Please note should you wish to submit an appeal there will be additional charges applicable, details of the fees can be found in our end-point assessment **pricing policy document** [which is available on our website.](#)

Regulatory references

This policy is intended to meet the regulatory requirements of Ofqual. www.gov.uk/government/organisations/ofqual

Relevant conditions

Section	Condition
Conflict of interest	A4
Identification and management of risks	A6
Management of incidents	A7
Notification of certain events	A8
Arrangements with third parties	C1
Responding to enquireies and complaints procedures	D4
Appeals process	I1
Complying with regulator appeals and complaints process	I2

Appendix 1 - Useful contacts

The following provides contact details for AIM Qualifications and Assessment Group and its regulators.

AIM contact details

If you have any queries about the contents of the policy, please contact our EPA Director
 Telephone: [01332 224654](tel:01332224654)
 Email: assessment@aimgroup.org.uk

Regulators' contact details

Ofqual
 Telephone: [0300 303 3344](tel:03003033344)
 Email: public.enquiries@ofqual.gov.uk



+44 (0)1332 224654



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