



## QUEEN ETHELBURGA'S TRAINING ACADEMY ENQUIRES, APPEALS AND COMPLAINTS POLICY

### 1. Introduction

- 1.1. This policy applies to Queen Ethelburga's Training Academy and is prepared for the benefit of all learners, trainers, and assessors.
- 1.2. This policy is published on our website because we are committed to transparent and high ethical standards that provide equal opportunity for learners, trainers, and assessors to communicate with us.
- 1.3. This policy is also available on request by contacting [Training@qe.org](mailto:Training@qe.org), therefore if a learner, trainer, or assessor wishes to enquire or appeal against an assessment decision, they have clear guidance on how to proceed.
- 1.4. For the purpose of this policy the following key terms are defined as follows:

Key Term	Definition
Learner	A participant of training that is subject to assessment of competence/performance. This could include employees of Queen Ethelburga's and/or visiting training delegates.
Trainer	The designated person delivering training. This could include employees of Queen Ethelburga's and/or visiting trainer/instructors.
Assessor	The nominated person, qualified to evaluate the quality of participant's work/performance using the appropriate/required assessment strategy for the qualification being taught and assessed. This could include employees of Queen Ethelburga's and/or visiting assessors.
Enquiries	In terms of assessment, an enquiry is a request for clarification, exemplification explanation about an assessment result.
Appeals	In terms of assessment, an appeal is the process of challenging an assessment result.
Complaints	An expression of dissatisfaction with service, decisions, or the application of our policies and procedures.
Learner Appeal	The process whereby a learner challenges an assessment result to have it changed, reversed, or disregarded.

Provider Appeal	The process whereby QE Training Academy challenges an assessment result for one or more learners.
Enquirer	The learner or trainer raising a query.
Appellant	The learner, trainer or provider making an appeal.
Complainant	The learner, trainer or provider making a complaint.

## 2. Key Staff Involved in the Policy

Role	Name(s)
Head of QE Training Academy (Head of Centre)	Emma Chapman
Head of Regulation	Karin Bunting
QE Training Academy Administrator (Exams Officer)	Gillian Dewar
Internal Quality Assessor	Anna Potter

## 3. Aims

- 3.1. This policy's purpose is to:
  - 3.1.1. Outline the basis on which enquires, appeals and complaints can be made.
  - 3.1.2. Publish the process by which QE Training Academy will ensure that any enquiry, appeal, or complaint is dealt with promptly, fairly, and effectively.
  - 3.1.3. Ensure procedures are in place to prevent the unlawful discrimination against any learner, trainer or assessor who raises an enquiry, appeal, or complaint.

## 4. Staff Responsibilities

- 4.1. QE Training Academy follows a rigorous Internal Quality Assurance Policy (available on our website or on request) to ensure that assessment outcomes are fair, consistent, and reliable.
- 4.2. The Head of QE Training Academy is responsible for ensuring all trainers, employed by, or working on behalf of the academy, have appropriate knowledge, understanding, skill, and recent training in the subject they are delivering, and where required have the pre-requisite qualification to deliver, or be working towards the qualification and therefor delivering under the direct supervision of an appropriately qualified trainer.
- 4.3. Assessors, employed by or working on behalf of QE Training Academy, are required to have appropriate knowledge, understanding, skill and recent training, in addition to holding the relevant qualifications and expertise to make informed judgements and implement the appropriate/required assessment strategy for the qualification being taught and assessed.
- 4.4. Assessors are to inform learners of internally assessed results so that they may request copies of assessment materials (generally as a minimum, a copy of the marked assessment paper and the mark scheme or assessment criteria) to assist them in considering whether to request a review of marking before results are submitted to the awarding body. Learners should be provided the materials within 5 working days of their request and raise an enquiry within 5 calendar days of receipt.
- 4.5. QE Training Academy staff are expected to handle any expressions of difference and dissatisfaction with an assessment decision with appropriate consideration and assist to resolve enquiries or concerns at the preliminary stage and as quickly as possible, whilst ensuring learners have sufficient time to review the aforementioned assessment materials to reach a decision about appealing an assessment decision.

## 5. Stage 1 – Enquiries or Raising a Concern

- 5.1. QE Training Academy does understand that occasions may arise where the learner or trainer may wish to question an assessment decision or result. Examples of areas where a query may be raised are as follows:
  - 5.1.1. If the learner believes that an assessor, employed by or working on behalf of QE Training Academy, has not applied assessment procedures, including the assessment criteria, consistently or that procedures were not followed properly, consistently, and fairly.
  - 5.1.2. If the learner is not satisfied with the conduct of the assessment and believed it disadvantaged them.
  - 5.1.3. If the learner feels that the premises/environment for assessment has disadvantaged them.
- 5.2. QE Training Academy advises all learners, trainers, and assessors to discuss, and endeavour to resolve any enquiry with the people immediately involved, or any concern relating to the result of an assessment with the lead assessor in the first instance and as soon as possible once the result has been received. If the lead assessor is not immediately available, the enquirer can contact them via [Training@qe.org](mailto:Training@qe.org), or 01423 333245.
- 5.3. Enquirers will be offered a facilitated meeting to discuss the enquiry, with the aim to seek a prompt, effective, informal resolution first.
- 5.4. If resolution is not possible, or the enquirer is dissatisfied with the outcome, they should submit a written enquiry to [Training@qe.org](mailto:Training@qe.org), marked 'for the attention of the Head of QE Training Academy' within 28 days of the assessment result being received. Postal enquiries should be addressed to Head of QE Training Academy, Queen Ethelburga's Collegiate, Thorpe Underwood Estate, York, YO26 9SS.
- 5.5. QE Training Academy will acknowledge receipt of the enquiry within 7 working days and appoint an adjudicator who has not had any involvement in the case.
- 5.6. The adjudicator will review the procedures that were followed to reach the assessment decision. This may include contacting other participants and instructors or assessors involved in the course and reviewing assessment documentation.
- 5.7. The adjudicator must reach one of the following two decisions, and communicate this to the enquirer within 28 working days of their appointment to the case:
  - 5.7.1. Assessment procedures were not adequately followed - a further re-mark or reassessment should take place; or
  - 5.7.2. Assessment procedures were adequately followed, the result stands.
- 5.8. Should the enquiry be of a complex nature then the enquirer will be notified that a decision could take longer.
- 5.9. If the enquirer is dissatisfied with the enquiry outcome at Stage 1, they can proceed to Stage 2.

## 6. Stage 2 - Appeals

- 6.1. An appellant can submit a Stage 2 Appeal directly to the Awarding Body, who will liaise directly with the appellant with regards to response and decision timelines, consent for clerical re-checks, reviews of marking and access to assessment papers, and the related administration fees for these.
- 6.2. In such circumstances, whereby QE Training Academy concurs with the appeal, it will raise a Provider Appeal directly to the awarding body on the learner's behalf.

- 6.3. QE Training Academy will provide the relevant awarding body with the details and outcome of any Stage 1 Enquiry, including any mitigating circumstances for the learner, trainer, or assessor.
- 6.4. QE Training Academy will comply with any reasonable requests for information from an awarding body or investigate at their request in a timely manner/by a deadline.
- 6.5. A Stage 2 Appeal can also be submitted in writing to [trainingappeals@qe.org](mailto:trainingappeals@qe.org), with supporting evidence, within 14 days of the Stage 1 Enquiry decision being received. Postal appeals should be addressed to the Head of QE Academy, Queen Ethelburga's Collegiate, Thorpe Underwood Estate, York, YO26 9SS. All written appeals should include:
  - Date of the appeal
  - Centre Number
  - Course title, location, date(s), and time of assessment
  - Name of learner, trainer, and assessor involved
  - A full description of the nature of the concern raised, with dates/timeline and any other factors for consideration
  - A chronology of who the concern has been raised with to date
  - Contact details and signature of the appellant
- 6.6. On receipt of the appeal, QE Training Academy will assign a reference number (see Appeal and Complaints Log at Appendix 1) and acknowledge receipt of the appeal within 7 working days and aim to investigate and respond to appeals within 28 working days. Should the appeal be of a complex nature then the appellant will be notified that a response could take longer.
- 6.7. All appeals will be thoroughly and impartially investigated, with oversight by the Head of Regulation who may request a review panel is formed in some cases to reach a decision or forwarded to the relevant qualification awarding body as appropriate.
- 6.8. Once satisfied that all information is available a conclusion will be reached, and a response sent to the appellant within 28 working days, either:
  - 6.8.1. Appeal upheld - assessment procedures were not adequately followed; a further re-mark or reassessment should take place; or
  - 6.8.2. Appeal denied - Assessment procedures were adequately followed, the result stands.
- 6.9. Appellants should be mindful that submitting an appeal could affect their results; final achievements could be either increased or decreased should the investigations and outcome of the appeal lead to a re-mark/re-assessment. Re-mark fees will be payable by the appellant to the relevant awarding body.
- 6.10. QE Training Academy is committed to the wellbeing of its learners, trainers and assessors and is equipped to signpost anyone involved in an appeal to the relevant services and support during an appeal and to move forward from the outcome.
- 6.11. Should the appellant remain dissatisfied with an awarding body's final assessment decision, they can make a complaint to the appropriate Regulatory Authority (e.g., Ofqual England for any Qualsafe qualification), noting that a Regulatory Authority are unable to overturn an assessment decision/result.
- 6.12. Should the appellant be dissatisfied with how QE Training Academy has applied this policy in response to their appeal they can raise a formal complaint.

## **7. Stage 3 – Complaints to Head of QE Training Academy**

- 7.1. QE Training Academy is committed to resolve legitimate complaints transparently and as promptly as possible. Examples of the grounds on which a complaint can be made include:
  - 7.1.1. Quality of teaching and learning

- 7.1.2. Access arrangements and special consideration
- 7.1.3. Conduct of assessment
- 7.1.4. Assessment decision
- 7.2. To make a complaint, in the first instance complainants should speak to the Head of QE Academy in person, or email [Training@qe.org](mailto:Training@qe.org) to arrange a telephone or video meeting, to discuss the complaint and commit to finding an agreeable resolution as soon as possible.
- 7.3. In cases which cannot be resolved informally, the complainant should submit a written complaint outlining the reason for dissatisfaction to [Training@qe.org](mailto:Training@qe.org), marked 'for the attention of the Head of QE Training Academy'. Postal complaints should be addressed to Head of QE Training Academy, Queen Ethelburga's Collegiate, Thorpe Underwood Estate, York, YO26 9SS.
- 7.4. If the complaint is in relation to the Head of QE Training Academy, written complaints should be submitted to the Head of Regulation using the aforementioned contact details, who will lead any investigation.
- 7.5. The Complainant should provide the following information, with supporting evidence, to ensure the Head of QE Academy / Head of Regulation can understand the complaint:
  - 7.5.1. Date of complaint
  - 7.5.2. A full description of the nature of the complaint and its impact, relevant dates/timelines, including when the complainant became aware of the issue being raised.
  - 7.5.3. A chronology of who the concern has been raised with to date.
  - 7.5.4. Contact details and signature of the complainant
- 7.6. On receipt of the complaint, QE Training Academy will assign a reference number (see Appeal and Complaints Log at Appendix 1) and acknowledge receipt of a complaint within 7 working days and commence an investigation. Once satisfied that all information is available a conclusion will be reached, and a response sent to the complainant within 28 working days.
- 7.7. Should more information be required, or the complaint be of a complex nature and a conclusion cannot be reached within this time frame, the complainant will be notified of the reasons why a response may take longer.
- 7.8. Should the complaint fall outside the scope of QE Training Academy, complainants will be advised of this in writing within 7 working days of receipt of the complaint.

## **8. Stage 4 Complaints to Head of Regulation**

- 8.1. Should the complainant be dissatisfied with the response received from the Head of QE Academy, they can escalate the complaint to the Head of Regulation.
- 8.2. Stage 4 Complaints must be made in writing to [trainingappeals@qe.org](mailto:trainingappeals@qe.org), with supporting evidence, within 14 days of the Stage 3 Complaint response being received. Stage 4 postal complaints should be addressed to Head of Regulation, Queen Ethelburga's Collegiate, Thorpe Underwood Estate, York, YO26 9SS.
- 8.3. If the Stage 3 Complaint was investigated by the Head of Regulation, a member of Queen Ethelburga's Strategic Team will oversee the Stage 4 Complaint.
- 8.4. The Head of Regulation/Strategic Team will acknowledge receipt of a Stage 4 Complaint within 14 working days and commence an investigation in liaison with Queen Ethelburga's legal team, which may include meetings with the complainant.
- 8.5. Once satisfied the investigation has concluded, a final response will be sent to the complainant.

## **9. Exclusions to this Policy**

- 9.1. QE Training Academy reserves the right to decline to engage with or investigate any enquiry/appeal/complaint that is vexatious or abusive or enter into lengthy correspondence about these. This could include:
  - 9.1.1. abusive or threatening correspondence/conduct of an enquirer/appellant/complainant, either on the telephone, in person, or in written correspondence.
  - 9.1.2. an enquirer/appellant/complainant persistently and repeatedly contacting QE Training Academy in person, via telephone or email without offering new evidence or information and prior to the aforementioned response times.
  - 9.1.3. an appellant/complainant making unreasonable demands on QE Training Academy outside of the agreed remit of the investigation.
  - 9.1.4. an enquirer/appellant/complainant making accusatory remarks about QE Training Academy or the staff member managing the case.
- 9.2. In such circumstances, the enquirer/appellant/complainant will be referred to the Queen Ethelburga's Collegiate Board and Chief Executive Officer.
- 9.3. QE Training Academy strives to provide an exemplary service to its employees, learners, visiting instructors and training delegates, that is prompt, courteous and supportive, and prioritises wellbeing to be inclusive and responsive to everyone's needs.
- 9.4. QE Training Academy routinely reminds all employees, learners, visiting instructors and training delegates to respect the venue, the learning environment and each other, by ensuring language, conduct, dress, use of devices, and engagement is to a professional standard throughout a training course.
- 9.5. QE Training Academy operates a zero-tolerance approach to verbal abuse, harassment, disruptive behaviour, and violence. In the event of any of these occurring, we will not hesitate to take action which could lead to removal from the training venue, withholding of our services or payment, or prosecution.

## **10. Monitoring and Review**

- 10.1. This policy and its procedures is review annually as part of QE Training Academy's quality assurance process to ensure it meets the needs of our learners, trainers and assessors and reflects the types of appeals we may have in order to uphold the integrity of our assessment practices.
- 10.2. Should the assessment process at QE Training Academy fall short of our own high standards and that of an awarding body, and consequently an appeal decision is upheld, our policies, procedures and staff competence and training will be reviewed by the Head of Regulation to ensure that failure does not reoccur.

**Appendix 1 – Appeal and Complaints Log**

On receipt, all appeals and complaints are assigned a reference number and logged. The outcome and outcome date is also recorded [QE Training Academy Appeals and Complaints Log.xlsx](#)

Ref No.	Date received	Appellant / Complainant Full Name	Outcome	Outcome date

**Version Control Table**

Version Number	Purpose/Change	Author	Date