



Pearson

End-point assessment enquiries and appeals policy

UK BTEC and Apprenticeships

Who and what is this policy for:

This policy is for employers, providers and apprentices.

It includes information about how to make an enquiry or appeal about results or assessment decisions in Pearson's end-point assessment service.

For specific queries or matters not covered in this policy, please contact us by email at epadelivery@pearson.com.

Pearson Education Ltd – Our Mission and Values

Welcome to Pearson, the world's learning company. We have a simple mission: to help people make more of their lives through learning. Whether it's at home, in the classroom or in the workplace, learning is the key to improving our life chances. We are the UK's largest awarding body and we are regulated by Ofqual (England), SQA Accreditation (Scotland), CCEA Regulation (Northern Ireland) and Qualifications Wales (Wales). We offer academic and vocational qualifications that are globally recognised and benchmarked, with educational excellence rooted in names like Edexcel, BTEC, and LCCL.

Our regulatory policies are integral to our approach and articulate in a consistent way how we meet regulatory requirements. These policies are designed to support centres and learners with the design, delivery and award of Pearson qualifications and services.

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End-point assessment enquiries and appeals policy

Owner Head of End-Point Assessment Delivery

Authorised by Responsible Officer

November 2018 version 1 DCL 1: Public (Unclassified)

Ratified by PUKLT December 2018

1. Policy scope

- 1.1 This policy applies to Pearson's end-point assessment service.
- 1.2 It is important that the provider / employer complies with this policy as this is part of your EPA service agreement with us.
- 1.3 You cannot appeal against decisions to terminate your end-point assessment agreement because Pearson's terms and conditions have been broken (including where a member of employer or provider staff has been found guilty of a criminal offence).

2. When to make an enquiry or appeal

- 2.1 An enquiry or appeal can be made:
 - Against a decision, penalty or sanction made resulting from a malpractice investigation.
 - Where we have declined applications for access arrangements and special consideration.
 - If you are not happy with the outcome of the enquiry.
- 2.2 Post-result enquiries and appeals should be made after final confirmation by Pearson, of the overall EPA result for the apprentice.

3. The enquiries and appeals process

Enquiry about results– First Stage

- 3.1 Enquiries give employers and providers the opportunity to query the EPA assessment decisions, if they believe they are inaccurate. Employers and providers must have the consent of the apprentice before making an application and must also make sure the apprentice understands all the possible outcomes.
- 3.2 Any results enquiries need to be submitted to epadelivery@pearson.com within 14 days of the apprentice's notification of results.
- 3.3 While an enquiry is happening, it is important that you keep all evidence relating to the case.
- 3.4 The process typically includes a clerical check, to assess whether we used procedures that were consistent with our EPA Specification and associated materials. The enquiry will not typically involve the re-assessment of an apprentice's work; however, a review may be needed if the outcome of the enquiry requires it.
- 3.5 All cases are reviewed by our assessment experts who have responsibility for the matter.
- 3.6 We will:
 - Acknowledge your enquiry application within three working days.
 - Respond to your enquiry within ten working days of receiving it.
- 3.7 If you are not happy with the outcome of the enquiry, you have 14 days in which to request that an Appeal Hearing is undertaken.

The outcomes of the enquiry

- 3.8 If the enquiry identifies any errors within Pearson's procedures, the EPA Delivery Team will:
 - Correct any errors
 - Produce and implement an action plan to mitigate any further issues/ risks.

- Provide feedback / further training and development to relevant members of the EPA Delivery Team.

3.9 The possible outcomes of the enquiry will be:

- results remain unchanged
- results are amended, which may be a negative or positive change

3.10 If the provider/employer is still unhappy with the results of the end-point assessment, they can apply for an appeal.

4. Pearson Appeal Hearing – Second Stage

4.1 The appeal hearing will consider all the information in the case to establish whether our policies and procedures were correctly followed. It will review whether we applied them properly and fairly in arriving at our judgements. The hearing will not typically involve the re-assessment of an apprentice's work; however, a review may be needed if the outcome of the appeal requires it.

4.2 Appeals cannot be submitted unless the applicant has first been through the Enquiries about Results stage.

4.3 While an enquiry is happening, it is important that you keep all evidence relating to the case. The report should include:

- provider and employer organisation name and contact details
- the apprentice name(s) and unique learner number
- the date of the end-point assessment
- the date on which the provider/employer received notification of results
- the name of the EPA standard / part of the service affected
- details of the appeal, setting out the reasons why the applicant believes we did not apply or follow our procedures consistently or fairly;
- the contents and outcome of any investigation carried out by the applicant, or the apprentice(s), relating to the issue
- the date of the report
- applicant name, position and signature.

4.4 The decision whether to accept the application for an appeal is based on:

- whether the appeal was submitted as outlined in 4.2-4.5;
- whether there is evidence that our relevant policies and procedures have not been properly and fairly applied.

4.5 We will acknowledge your application for an appeal hearing within three working days. We have up to ten working days to hold an appeal hearing.

4.6 The appeals hearing is the final stage of our process and its decisions are final.

5. The Appeals Panel

5.1 The Pearson Appeal Hearing panel normally consists of three panellists: a senior member of the Apprenticeships Team and two other members who are independent of the end-point assessment process of the apprentice. Panellists will be asked to confirm at the start of the

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appeal hearing that they have not had a previous connection with, or any personal interest in the case. Specifically, that he/she has not been involved in any marking, moderation, review of marking or review of moderation of the apprentice's work, or the apprentice's provider/employer, in the end-point assessment series in which the appeal arises.

- 5.2 If the end-point assessment is externally quality assured by Ofqual, at least one member of the panel needs to be independent of Pearson.
- 5.3 The key personnel named within your end-point assessment services agreement, apprentice or delegated representative may be asked to attend the hearing.
- 5.4 The Appeal Hearing Panel will follow the procedure in the [JCQ Guide to the Awarding Bodies Appeals Processes](#).

Making an appeal

- 5.5 The chair of the Appeals Panel will consider an appeal if:
 - The key personnel named within your end-point assessment services agreement makes the appeal in writing within 14 days of the outcome of the Enquiry about results stage.

Outcomes of the Appeal Panel

- 5.6 There are two possible outcomes of the hearing:
 - the appeal is rejected
 - the appeal is upheld
- 5.7 If the appeal identifies any errors within Pearson's procedures, the EPA Delivery Team will:
 - Correct any errors
 - Produce and implement an action plan to mitigate any further issues/ risks
 - Provide feedback / further training and development to relevant members of the EPA Delivery Team.
- 5.8 The appeals office will:
 - Let the key personnel named within your end-point assessment services agreement or apprentice know the decision of the Appeals Panel within two days of the hearing.
 - Send a letter to the key personnel named within your end-point assessment services agreement or apprentice describing what was discussed at the hearing and explaining the panel's decision.
- 5.9 There is a further option to appeal or complain, for some end-point assessments, via the relevant external quality assurance organisation.

6. Fees

- 6.1 We do not charge for the Enquiry about Results stage.
- 6.2 We do not charge for special consideration appeals.
- 6.3 The maximum amount that we will charge for the appeal hearing is £150 for each end-point assessment component. There is no requirement for any fee to be submitted with the initial letter of appeal. If your appeal is upheld, we will not charge you.
- 6.4 We reserve the right not to enter discussions on the repayment of any expenses incurred by the centre or third parties about the appeal hearing.

7. Policy review date

7.1 November 2019