

HISTORY

Date	Amendments Made
21.11.2024	The whole Policy has been reviewed along with the templates used within this document
27/02/2023	Thorough review of whole document in context to Ofqual General Conditions of Recognition- I1, I2, current CMI policy and procedure
22/02/2022	Thorough review and update of whole document in context to Ofqual General Conditions of Recognition- I1, I2, current CMI policy and procedure
10/03/2021	Thorough review and update of whole document

DISTRIBUTION

Distribution List

- This policy will be published on the CMI website
- Awarding Body
- All EPA Managers
- Employers
- Training Providers
- Associated Third Parties

PURPOSE

Document Purpose

The purpose of this policy is to set out the guidelines and procedures for raising, managing and responding to Enquiries or Appeals relating to the delivery of CMI End-point Assessments (EPA).

SCOPE

This policy applies to all CMI EPA staff, and all training provider/employer staff, involved in CMI EPA.

DEFINITIONS

Enquiry - Section 1

Questioning around a perceived administrative error relating to final results for example:

- result not released within service level agreement (SLA)
- result transcript contains errors

An Enquiry cannot be raised if the grade is not deemed as being appropriate by the apprentice, training provider or employer.

Appeals about EPA assessment - Section 2

An Appeal can be raised if there is a perception of an unfair assessment for example:

- unfair assessment
- significant technical issue which impacts the assessment
- unprofessional behaviour

An Appeal cannot be raised if the grade is not deemed as being appropriate by the apprentice, training provider or employer

Generic Appeals - Section 3

A Generic Appeal may happen when training providers, employers or apprentices are unhappy with other decisions formed by CMI in relation to EPA, such as a decision relating to reasonable adjustments, special consideration or failure to meet a deadline; or the outcome of an EPA malpractice investigation.

ENQUIRIES

Enquiries about EPA results

Where training providers, employers or apprentices believe that there may have been an administrative error in recording of results, they may request an Enquiry about these results.

It does not involve review or re-assessment of assessment decisions.

Enquiries are conducted by a CMI Quality Assurance colleague who does not have a personal interest in the outcome. They will, however, be experienced in the standards, all applicable processes, procedures and policies.

There is no cost to make an Enquiry.

SUBMITTING AN EPA RESULTS ENQUIRY

Raising an Enquiry

To request an Enquiry, the training provider, employer or apprentice should complete the relevant boxes on the EPA Enquiries and Appeals form.

The form should be completed in full and provide clear details of why they believe that an Enquiry should be considered. **Please note that Enquiry applications without clear details may not be accepted.** Enquiries should be supported by relevant evidence, where appropriate.

Link to the form for completion, please click the submit button and this will automatically be submitted to CMI <https://docs.google.com/forms/d/e/1FAIpQLSeiRD4yo4jhb2Bf21eO81Vzhsm5FNesSOYPua9J3nTE-BLDPg/viwwform>

TIMESCALES FOR EPA RESULTS ENQUIRIES

Timescales guidance

All Enquiries must be submitted to CMI within 10 working days of the overall result being released. CMI will acknowledge receipt of the Enquiry within 5 working days, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Enquiry response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

APPEALS ABOUT EPA ASSESSMENT

General guidance

Appeals about assessment decisions can only be submitted once all methods of assessment have taken place and all marks and grades have been recorded and released correctly for each of the EPA components and the overall grade awarded by CMI.

The purpose of an EPA Appeal is to identify if the correct assessment, internal quality assurance and/or administration processes, procedures and policies were followed by CMI which resulted in the apprentice finding their assessment has been unclear, unfair or believed to have caused disadvantage. Appeals are divided into 3 stages and should be followed in order.

The Appeals process is not used when an apprentice has concerns about their training provider, to challenge assessment grades, or to gain feedback from CMI regarding their overall assessment decision.

An Appeal is not appropriate when an apprentice feels they did not achieve the grade that they expected, thus wanting their assessment to be remarked or wish to resit their EPA. *(For information please note that, in line with government apprenticeship guidance, a resit cannot be taken with the intention of increasing the original grade if an apprentice has passed their EPA - resits are only to be taken in the event of a failure.)*

[\(Apprenticeship gateway and resits for end-point assessment \(EPA\) - GOV.UK\)](#)

All Appeals are conducted by a CMI Quality Assurance colleague who does not have a personal interest in the outcome or was involved in the original assessment decision. They will, however, be experienced in the standards, all applicable processes, procedures and policies.

The cost for an Appeal is £250. This is non-refundable. See below for the Appeal Stages and the process to follow.

SUBMITTING AN EPA ASSESSMENT APPEAL

Appeal submission

All Appeals should be submitted to CMI by the training provider/employer who made the EPA registration on behalf of the apprentice, and it should be noted that the Appeal cost will be invoiced back to the training provider/employer who made the registration for the apprenticeship. Employers/training providers should gain the consent of the apprentice before submitting any Appeal.

To request an Appeal, the training provider or employer should complete the relevant boxes on the EPA Enquiries and Appeals form.

The form should be completed in full and provide clear details of why it is believed that an Appeal should be considered. **Please note that Appeal applications without clear details may not be accepted.** Appeals should be supported by relevant evidence, where appropriate.

Link to the form for completion, please click the submit button and this will automatically be submitted to CMI <https://docs.google.com/forms/d/e/1FAIpQLSeiRD4yo4jhb2Bf21eO81Vzhsm5FNesSOYPua9J3nTE-BLDPg/vie wform>

EPA ASSESSMENT APPEAL STAGES

Stage 1

The areas of concern in the original EPA are reviewed by one of CMI's EPA Internal Quality Assurance colleagues who will make a recommendation. This recommendation will be sent to a CMI Quality Manager to agree on a final decision.

Stage 2

Should the appellant remain dissatisfied with the outcome of the Stage 1 procedure, they have a right to submit an application to progress to Stage 2. Stage 2 Appeals will review the process and outcome decision of the Stage 1 procedure and will be undertaken by a qualified Quality Assurance employee of CMI who is independent from the Stage 1 Appeal and does not have a personal interest in the Appeal outcome or was involved in the original assessment decision. They will, however, be experienced in the standards, all applicable processes, procedures and policies. This recommendation will be sent to a CMI Senior Quality Manager to agree on a final decision.

Stage 3

Independent Review of the process

In the event that there is cause to believe that CMI has not followed its own published procedure, CMI will direct the Appeal to an independent decision maker, who is not an employee of CMI.

The independent decision maker will only review documentation and evidence from Stage 1 and Stage 2 and verify that CMI have followed fairly and consistently their own procedures.

Escalation

If, after a Stage 3 Appeal concludes, the appellant still believes that CMI has not followed its processes and/or procedures fairly and consistently, they are able to raise the matter with the relevant External Quality Assurance organisation.

TIMESCALES FOR EPA ASSESSMENT APPEALS

Timescale guidance

All **Stage 1 Appeals**. Appeals about assessment decisions can only be submitted once all methods of assessment have taken place and all marks and grades have been recorded and released correctly for each of the EPA components and the overall grade awarded by CMI.

CMI will acknowledge receipt of the Stage 1 Appeal within 5 working days, and pass it to the CMI Quality Manager who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

The outcome of an Appeal decision could be:

- upheld
- not upheld

All **Stage 2 Appeals** must be submitted to CMI within 10 working days of CMI issuing the outcome of the Stage 1 Appeal.

CMI will acknowledge receipt of the Stage 2 Appeal within 5 working days, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

The outcome of a Stage 2 Appeal decision could be:

- upheld
- not upheld

Where a decision changes as a result of an Appeal at either stage, CMI will:

- amend their training provider/employer and/or apprentice records accordingly;
- investigate reasons for change through their robust internal quality assurance;
- review and make any necessary corrections to their systems and processes to ensure no recurrence, and make sure no other apprentice is affected by the same or similar issue.

For each stage, CMI Quality Manager/Senior Quality Manager will notify the training provider/employer of the outcome in writing.

All **Stage 3 Appeals** must be made within 10 working days of receiving CMI's decision following the Stage 2 Appeal. CMI will acknowledge receipt of the Stage 3 Appeal within 5 working days, and pass it to the external independent decision maker who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

GENERIC APPEAL (any other decision formed by CMI in relation to EPA pre Assessment activity)

Generic Appeal guidance

There may be occasions when training providers, employers or apprentices are unhappy with other decisions formed by CMI in relation to pre EPA Live Assessment activity, such as a decision relating to reasonable adjustments, special consideration or failure to meet a deadline; or the outcome of an EPA malpractice investigation.

The Generic Appeal will be conducted by a Quality Assurance colleague and other appropriate colleagues within the EPA team who were not involved in the original decision(s) and who do not have a personal interest in the Appeal outcome. They will, however, be experienced in the standards and all applicable processes, procedures and policies.

The cost for an Appeal is £250.

SUBMITTING A GENERIC APPEAL (not related to EPA Assessment)

Generic Appeal procedure

To request a Generic Appeal, the training provider, employer or apprentice should complete the relevant boxes on the EPA Enquiries and Appeals form.

The form should be completed in full and provide clear details of why they believe that a Generic Appeal should be considered. **Please note that Generic Appeal applications without clear details may not be accepted.** Generic Appeal requests should be supported by relevant evidence, where appropriate.

Link to the form for completion, please click the submit button and this will automatically be submitted to CMI <https://docs.google.com/forms/d/e/1FAIpQLSeiRD4yo4jhb2Bf21eO81Vzhsm5FNesSQYPua9J3nTE-BLDPq/viwwform>

TIMESCALES FOR GENERIC APPEALS

Timescale guidance

All Generic Appeals must be submitted to CMI within 10 working days of the CMI decision.

CMI will acknowledge receipt of the Generic Appeal within 5 working days, and pass it to the CMI Quality Manager who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the enquiry response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

The outcome of the Generic Appeal relating to the decision will be:

- upheld
- not upheld.

ACCEPTANCE OF ENQUIRIES/APPEALS/GENERIC APPEALS

CMI reserves the right to reject an Enquiry, Appeal or Generic Appeal. This decision is based on whether:

- the Enquiry/Appeal/Generic Appeal is submitted properly and constituted as outlined in this policy document;
- any other relevant / required process has first been completed;
- a review of decisions has already been conducted during an investigation within another process, such as malpractice;
- there is evidence that our relevant policies and procedures have not been properly and fairly applied.

The timescale of the application will also be taken into account.

If an application for an Enquiry/Appeal/Generic Appeal is not accepted, the reason(s) for this will be provided in writing within 20 working days.

Monitoring and Review

CMI will review this policy annually as part of our self-evaluation arrangements and revise it in line with any feedback from stakeholders, regulatory authorities or external agencies, or changes in our practices.

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