



UNITED CENTRE
of
EXCELLENCE

End Point Assessment Policies

Appeals Policy
GP08



Document History

Version	Date	Reason for Revision	Issued by
V1.1	May 2019	Initial release	Harj Dhanjal
V1.2	Nov 2020	Document review during covid-19 (No changes required)	Alan Bates
V1.3	Jul 2021	Document review for our Ofqual recognition submission	Alan Bates
V1.4	Feb 2024	External policy review and update	Alan Bates GP08
V1.5	July 2025	Review of policy practices and update	Alan Bates

Area	Update
Regulatory Alignment	Aligned with Ofqual General Conditions of Recognition (2025) , especially Condition I (Appeals).
Terminology	All references to IFATE replaced with Skills England .
IQA Enhancements	Introduced best practices including: <ul style="list-style-type: none"> – Independent review of appeals – Triangulated evidence review – Clear audit trail documentation
Modernisation Summary	Added an appendix summarising the updates for transparency and audit readiness.



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Appeals Policy

1. Introduction

United Centre of Excellence (UCE) is committed to providing a high-quality assessment experience for all Learners and undertake to treat each Learner fairly and consistently. Fairness to all is central to this policy and we are committed to quality assurance processes that are based on impartial, evidence-based judgments. Moreover, all Learners are entitled to enquire about, or appeal against, assessment or other decisions.

Note: for the purposes of this policy the term Learners includes apprentices and, where relevant their Employers.

2. Purpose

The purpose of this policy is to make sure that employers and apprentices know how they can enquire about EPA, or appeal against an outcome of an EPA. The policy is also intended for use by UCE staff to ensure that all enquiries about results and appeals are dealt with consistently.

3. Policy statement

As an Ofqual recognised end point assessment organisation we are committed to ensuring that end point assessment and any other assessment is valid, authentic and reliable. UCE will ensure that adequate resources are made available to promote this policy effectively. Our policies represent our commitment to ensure there are no adverse effects to learners and, should that be the case, that Ofqual is informed of any such adverse effect in a timely manner.

4. Definitions

Definition	Detail
Enquiries	Enquiries from an apprentice or their employer who is not satisfied with an assessment result that has been set and marked by UCE.
Appeal	<ul style="list-style-type: none">• Appeal of the final grading decision awarded by UCE• Appeal of results on the basis that UCE did not apply procedures consistently or that procedures were not followed properly and fairly

	<ul style="list-style-type: none">• Appeals from employers or apprentices relating to an UCE decision to decline a request to make reasonable adjustments• Appeal from employers that disagree with the outcome(s) from assessors• Appeals from employer or apprentices in relation to the outcome of an investigation into a report of malpractice and / or maladministration• Appeals from an employer or apprentice of bias or discrimination in the assessment and grading <p>Appeals about decisions regarding Reasonable Adjustments and Special Consideration.</p>
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5. Legislation and compliance

The policy relates to condition I of the Ofqual General Conditions of Recognition.

6. Out of Scope for Appeal

The following **cannot** be appealed:

- Appeals submitted more than 30 working days after the key date
 - Dependent on the nature of the appeal, the key date may be the date at which an employer's internal appeals procedure concluded, or when a UCE assessor reported their decision, or when a final grade decision was reached
- Events / activities that took place before UCE received the apprentice registration details
- Anything that should be dealt with under employer's own disciplinary or grievance procedure
- Anything involving an awarding organisation of regulated qualifications that have been delivered as part of the apprenticeship (either mandatory or non- mandatory)
- Anything involving the apprenticeship on-programme delivery and activities.

It should be noted that an Appeal is different to a complaint. An Appeal focuses on assessment decisions; issues relating to dissatisfaction with UCE services or staff should be raised through the UCE complaints process.



7. The Process

Information on the UCE Appeals process and how to make an Appeal is available on the UCE website.

Where a Learner or an employer believes that either they or an apprentice has grounds for an enquiry or an appeal to UCE, they should submit it in writing and addressed to United Centre of Excellence Appeals Regus Centre, 3 Centro Pl, Derby DE24 8RF, or via email to EPA@UCE.org.uk with “Appeals” in the email header.

Stage One: informal review; receipt of appeal and information check

All initial review and / or appeals will be acknowledged within three working days. Learners, Employers and apprentices have 30 working days from the key date to lodge an appeal with UCE.

If an employer appeals on behalf of the apprentice, the employer must ensure that they have obtained the written permission of the apprentice(s) concerned as results can go down as well as up as a result of an investigation into an appeal i.e. a pass grade could go down to a fail grade.

When submitting an appeal, relevant supporting information must be supplied such as:

- Learner’s name, address and contact details and unique learner number (or Employer or apprentice’s name)
- Key date(s) the Learner (or employer or the apprentice) received notification of a decision
- Date an assessment took place
- Whether a re-mark or an administrative check is required
- Title of the qualification or apprenticeship affected
- A clear statement of the grounds for the enquiry and / or appeal i.e. full details of the nature of the appeal including any evidence that is relevant to the appeal and, where an employer internal appeal has taken place, the outcome of any investigation carried out relating to the issue and the documentation relating to that appeal (in the case of an assessment appeal, this may include the appellants’ work, records of assessment, internal quality assurance and the internal appeal)
- The appellants name, position and signature.

8. Enquiry Handling

When an appellants knowledge assessment results vary considerably from the result they expect, they may make an enquiry about the assessment result to UCE. An enquiry about results is a formal request, in writing, for a review of a knowledge assessment result.



An employer may make an enquiry about a knowledge assessment result on behalf of one or more apprentices. Apprentices should discuss their case with their employer before a request is made. It is only possible to request an enquiry for an assessment that is marked by UCE.

A request can be made either for an administration check, or for a re-mark. A fixed fee is charged when a request is made for this service. The fee is refunded if the outcome of the test or assessment is changed as a result of the enquiry.

9. Appeals Handling

Stage Two: formal review

On receipt of the appeal, the responsible officer (UCE Operations Director) will convene an internal panel made up of two senior members of UCE staff not involved in the circumstances surrounding the appeal, and that have no personal interest in the outcome of the review or appeal decision.

The panel will undertake an initial assessment of the potential appeal to ensure the application is complete within the scope of the policy, and to ascertain if the issue can be resolved before it goes to a formal appeal. A UCE associate who is independent of the matter under review may provide specialist knowledge input to the panel. If the request falls within the scope of the policy the appellant will be notified within five working days.

The panel will consider the evidence submitted and, if necessary, request additional information be provided before reaching its conclusion. The panel will consider whether the required procedures were followed correctly and whether they were applied fairly, consistently and properly in arriving at judgements. The panel will recommend either the appeal is:

- Upheld; or
- Not upheld

The recommendation will be confirmed to the appellant within 10 working days.

If the review upholds the appeal, the Learner will be advised of any actions required to conclude matters and any fees will be refunded

If the review does not uphold the appeal, Learner will be told that they may make a formal appeal to the Independent Appeal Panel



10. Independent Appeals Procedure

Stage Three: Final decision by the UCE Independent Appeal Panel

If an appeal has not been upheld at the review stage, the appellant may request in writing that an appeal be passed to UCE's Independent Appeal Panel for decision. The written request to UCE responsible officer (UCE Operations Director) must be made within 10 working days of the notification of the review, re-mark, appeal or administrative check decision.

The terms of reference for the Independent Appeal Panel can be found at the rear of this policy in Appendix 2. All requests will be acknowledged within 3 working days of receipt.

UCE's Independent Appeal Panel is made up of a member of the senior leadership team, a subject specialist who has not been involved in the original appeal and an independent person who is not employed by UCE, or in any other way connected to the organisation that has the appropriate knowledge and skills to make a decision on the subject matter.

The panel will convene within 10 working days of the request being received by the responsible officer. The panel will evaluate all the evidence submitted and decide if UCE has applied the procedures fairly, appropriately and consistently in line with UCE policy and recommend either the appeal is:

- Upheld; or
- Not upheld

The decision of the Independent Appeal Panel is final. All decisions will be communicated to the Board.

11. Notification of Outcome of Appeal

The Learner will normally receive formal notification of the outcome within 20 working days of the start of the independent appeal process:

- If the appeal is upheld, the Learner will be told of any actions required to conclude matters and fees will be refunded
- If the appeal is not upheld the Learner will be given the reasons in a report
- The employer will be notified of any subsequent actions.



12. Monitoring and evaluation of Appeals and Enquiries about results

All initial reviews, appeals and subsequent outcomes are reported to UCE Senior Team. The appeal and its outcome will be used to inform our self-assessment and self-evaluation activities and will feedback into our development and review process where necessary.

The senior team give due regard to the outcome of any such appeals or complaints process in relation to an end point assessment or qualification offered. The Senior Team will consider if any other Learner has been affected by a failure or mistake e.g. a procedural error. If so, remedial or mitigating actions will be put in place. They will also consider if there has been any adverse effect and whether the incident is to be reported to Ofqual. If it is deemed that there is an adverse effect a report will be passed to the Responsible Officer to inform Ofqual of the adverse effect.

If Ofqual notifies UCE of failures that have been discovered in the assessment process of another awarding organisation, the Senior Team will review whether or not a similar failure could affect the UCE assessment process. If, following a review, we identify that a potential failure could similarly occur, UCE will take steps to remedy or mitigate any such occurrence.

13. Policy review

This policy and procedure will be reviewed, and updated as required but not less than annually, by the UCE Senior Team.

The review of the policy and procedure aims to ensure that lessons are learnt following appeals and enquiries about results, opportunities for continuous improvement are identified and that the procedure continues to be consistent with regulatory criteria (Ofqual, ESFA, Skills England).



Appendix 1 - Independent Appeals Panel Terms of Reference

UCE Independent Appeals Panel shall consider and determine appeals submitted to it by those wishing to challenge a decision or decisions reached during the appeals process.

Composition

UCE Independent Appeals Panel is made up of a member of the senior leadership team, a subject specialist that has not been involved in the original appeal and an independent person that is not employed by UCE, or in any other way connected to the organisation that has the appropriate knowledge and skills to make a decision on the subject matter. A member of UCE administrative team shall be present at each meeting of the panel to take notes of the meeting but shall not be involved in the appeal proceedings.

Proceedings of Meetings

The panel may appoint advisers to provide advice at the meeting but they will not be involved in the decision-making process of the appeal outcome.

The panel shall convene when necessary to ensure that appeals are heard promptly. This will usually be within 10 working days of the appeal being received by UCE Operations Director.

At each meeting of the panel all members must be present for the proceedings to be valid, except in the event of exceptional circumstances outside the control of the panel or any member. The panel will review the original appeal decision and any further evidence provided by the appellant as part of his / her request for an appeal to ensure that procedures were applied consistently, properly and fairly.

The panel may request additional information from the centre / learner or, in the case of EPA apprentice / employer to arrange discussions with centre staff and / or visit the centre if necessary.

The Chair may, at their discretion, adjourn or suspend proceedings for any such period as the Chair deems reasonable if the additional information is not readily available or arrangements need to be made to visit a centre.

The Chair of the panel will notify the appellant, in writing, of the panel's decision within 20 working days. The Chair will additionally ensure that the Senior Team are notified of the result.

All notes of the proceedings shall be evidence of the appeal and must be kept securely in UCE electronic information management system for a minimum of 3 years.