



ENQUIRIES

Learners or centres wishing to make a formal enquiry to CABWI to check on assessment affecting learners' results or regarding any other decisions that affect centres or learners must submit their enquiry in writing to:

The Customer Service Manager
CABWI Awarding Body
Holland House
1-4 Bury Street
London EC3A 5AW.

CABWI Awarding Body seeks to establish and maintain good working relationships with its learners, centres, assessors and quality assurers. It is recognised, however, that situations could arise in which an individual or organisation wishes to report a complaint to the awarding body or to appeal against a decision taken by CABWI. In handling complaints and appeals, the awarding body will follow the procedure set out below.

Enquiries, complaints and appeals can relate to any of CABWI's qualifications schemes. These include regulated qualifications, the Street Works Scheme and the Street Works Reassessment Scheme. CABWI's regulated qualifications are subject to regulation by Ofqual and/or CCEA. Details of enquiries, complaints and appeals relating to regulated qualifications may be provided to the regulatory authorities on request.

COMPLAINTS

CABWI aims to ensure that the awarding organisation, its staff and external quality assurers carry out their roles and provide its services in a professional and appropriate manner. Where an individual or organisation has a complaint regarding the awarding organisation, its staff or services, they are asked to contact the Customer Service Manager in writing, explaining the details of their complaint.

The awarding body will review all complaints, and a written response will be provided to the complainant within **21 days** of receipt of the complaint.

APPEALS

An individual or organisation may wish to appeal against a CABWI decision in a number of different situations. This procedure provides the framework for the review and resolution of appeals.

Types of appeals

While CABWI seeks to ensure that its relationships with learners, centres and licensed personnel are maintained effectively, it is recognised that disputes may arise, which require resolution through its formal appeals procedure. An appeal may be made to the awarding organisation by a learner, centre, assessor or quality assurer.



All CABWI centres must have an appeals procedure, which provides for learners to appeal against an assessment decision or any other aspect of the delivery of their qualification. Learners who have a grievance against their centre must in the first instance follow the centre's appeals procedure. If a learner is not satisfied with the outcome of the centre's appeals procedure, an appeal may be submitted in writing to CABWI at the address above.

If an assessor has a grievance against their centre or another member of staff at the centre, they must contact their internal quality assurer or centre manager in the first instance, before seeking resolution through CABWI's appeals process.

Learners

Learners undertaking CABWI qualifications may submit an appeal to CABWI in different circumstances, including the following:

- an appeal against an assessment or quality assurance decision at their centre
- an appeal against an awarding organisation decision (including those relating to the issue of certificates).

When a learner wishes to make an appeal, they must contact the Customer Service Manager of CABWI, at the above address, in writing. The letter must include the following information:

- the learner's name(s), CABWI registration number (if known), date of birth and contact details
- details of the qualification(s) they are undertaking or have undertaken
- details of the centre where they are registered
- details of their grievance and their grounds for appeal.

Centres

Centres may submit an appeal to CABWI in various situations, including the following:

- if they have a grievance regarding a centre approval decision (relating either to CABWI centre recognition or to approval to offer specific CABWI qualifications)
- if they have a grievance regarding a decision to withdraw a centre licence (either for a particular qualification or for all CABWI provision)
- if they have a grievance relating to external quality assurance activity at their centre (including the external quality assurance of assessment decisions or internal quality assurance decisions taken at the centre)
- if they have a grievance regarding the awarding organisation's implementation of its processes or requirements.

When a centre wishes to submit an appeal, they must contact the Customer Service Manager at CABWI, at the above address, in writing. The letter must include the following details:

- the centre name and number
- the name and contact details of the individual at the centre to whom correspondence regarding the appeal should be addressed
- details of any qualifications to which the appeal relates



- details, if appropriate, of any learners whose certificates could be affected by the appeal
- details of the grievance and the grounds for appeal.

Centre personnel

Centre personnel (assessors, internal quality assurers, or assessor- or IQA-candidates) may submit an appeal to CABWI, either personally or via their centre, in circumstances where, for example:

- they have a grievance relating to their personnel licence approval
- they have a grievance relating to the withdrawal of their personnel licence
- they have a grievance relating to a decision taken within the centre (relating to their assessment or quality assurance activity) which could not be resolved by the centre's appeals procedures.

Where an assessor or quality assurer wishes to make an appeal, they must submit their appeal in writing to the Customer Service Manager, at the above address. The appeal submission should include the following details:

- the name and licence number of the assessor or quality assurer
- the name and number of their centre
- details of any qualifications to which the appeal relates
- details of the grievance and their grounds for appeal.

Please note: It is recognised that situations may arise that are not outlined above, where an individual or organisation wishes to submit an appeal under CABWI's appeals procedure. All formal appeals made to CABWI will be reviewed and investigated.

Appeal Stage 1 – CABWI internal review

All formal appeals made to CABWI Awarding Body will be logged with the awarding organisation and acknowledged within five working days of receipt at the CABWI office. Every effort will be made to ensure that the case is reviewed and any further investigations are carried out promptly.

All appeals, with the exception of those relating to a malpractice investigation, will initially be reviewed by a CABWI manager. Appeals relating directly to the findings of a malpractice investigation will be referred immediately to CABWI's appeals panel. Further written information or records may be requested from the learner, centre or personnel to complete the review process.

Where appropriate, CABWI reserves the right to instruct an external quality assurer to visit a centre in connection with an appeal review. The external quality assurer appointed will be independent of the centre affected by the appeal. If an external quality assurance visit or other quality assurance activity is required, CABWI will advise the centre or personnel affected in writing within ten days of receipt of the appeal, and will state the reasons for taking this action.



Throughout the review process, CABWI will seek to ensure that the appellant is kept informed of the progress of their appeal, and that every effort is made to ensure that the review is conducted promptly.

If the appellant or any other individual is required to attend a meeting with the awarding organisation as part of the review process, CABWI will advise them of the need for a meeting at the earliest opportunity.

Upon completion of all review activities, CABWI will contact the appellant in writing and will summarise the findings of the review process, giving reasons for the decision taken. Details of appeals will be held on file at the CABWI office.

If the appellant is not satisfied with the outcome of the review, they may request that the matter is referred to a second appeal stage. This further appeal will be brought before an appeals panel, as outlined below.

Appeals submitted and resolved under Appeal Stage 1 will normally be considered within **21 working days** of receipt, but learners and centres should be aware that timescales for the conclusion of the appeal may vary if, for example, additional centre visits or meetings need to be scheduled.

Appeal Stage 2 – Appeals panel

If an appellant is not satisfied with the outcome of an appeal review or with the outcome of any malpractice investigation, they may request that their case is heard by CABWI's appeal panel. Any such request must be made to CABWI in writing. Throughout this stage of an appeal process, the appellant will be kept informed of the progress of their case, and will be advised of the timescales for the review process.

Composition of the appeals panel

The appeals panel for any appeal not relating to a malpractice investigation will consist of the Chief Operating Officer of CABWI, a CABWI Board member and a third person, who is independent of both the awarding organisation and the appellant.

The appeals panel for appeals relating to the outcome of a malpractice investigation will consist of two CABWI Board members and a third person who is independent of both the awarding organisation and the appellant.

(Independence in this context is defined as an individual who is not and has not been a member of the board or committees of CABWI and has not been employed by either party at any time during the seven years prior to the appeal.)

Appeals panel process

The appeal panel will gather information from the relevant parties, including both the appellant and any appropriate awarding organisation staff, and will seek to determine whether CABWI has:



- acted in accordance with the requirements of the codes of practice under which it operates
- applied its procedures in a fair and appropriate manner in making its decisions and recommendations.

If the appellant or any other individual is required to attend a meeting as part of the appeals process, the appeal panel will advise them of its requirements at the earliest opportunity. The appellant will also be advised of the date of any meeting of the appeal panel to discuss the situation.

The appeal panel will notify the appellant and CABWI staff of the outcome of its findings in writing and may make recommendations as necessary for action to resolve the situation.

Details of the results of all appeals will be held separately on file at the CABWI office, will be reported to the CABWI Board, and will be made available as required to the relevant regulatory authorities.

Appeals submitted and resolved under Appeal Stage 2 will normally be considered within **60 working days** of receipt, but learners and centres should be aware that timescales for the conclusion of the appeal may vary if the schedule needs to accommodate meetings or further deliberations of the appeals panel.

The decision of the CABWI appeals panel under Appeal Stage 2 will be final and binding.

Costs of making an appeal

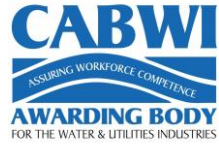
Centres wishing to make an appeal to CABWI Awarding Body will be charged a fee of £50 plus VAT at the point of submitting the appeal. Where the appeal is upheld, CABWI will reimburse this cost.

If an external quality assurance visit to a centre or other quality assurance activity is required as part of the appeal process, the cost of the visit will be re-charged to the assessment centre at the current rate (as outlined in CABWI's fees sheets) plus VAT. If an appeal is successful, CABWI will reimburse the centre for the cost of any external quality assurance activity carried out in connection with that appeal.

If a learner or a centre representative attends a meeting as part of an appeal process, they will be liable for the travel costs incurred in attending the meeting. Where the appeal is successful, CABWI will reimburse the learner or centre for these costs, on production of the relevant travel receipts.

Provision of information relating to appeals

Copies of records relating to all appeals will be held on file at the CABWI office. These records may be made available to CABWI staff, members of the CABWI Board and to relevant regulatory authorities on request.



Appeals made to CABWI will be subject to monitoring by the awarding organisation, and may also be subject to monitoring by the relevant regulatory authorities.