

# Reviews, appeals and complaints against assessments

*Policy and processes for the  
City & Guilds Group*

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# The City & Guilds Group (City & Guilds) incorporates City & Guilds, Pitman Qualifications and The Institute of Leadership & Management

## 1 Policy statement

(for publication in the Directory of Awards and other official City & Guilds publications)

### 1.1 Introduction

City & Guilds aims to ensure that all assessments and *Assessment results* issued by it are fair, consistent and based on valid judgements. However, it recognises that there may be occasions when a *Centre* or a *Candidate* may wish to question a decision made. In order to deal with such situations, City & Guilds has established processes for reviews, appeals, assessments and complaints, that are designed to

- provide a means of reviewing and, where appropriate, revising decisions made by City & Guilds
- be fair to all parties
- be readily accessible and easy to use
- have realistic target *Time limits* for each stage
- keep the *Centre* and the *Candidate* informed of the progress of the review or appeal.

The processes are based on the understanding that a *Candidate* who wishes to appeal against an *Assessment result* will not do so until it has been confirmed by the *Centre* following completion of its internal appeals arrangements.

### 1.2 Stage 1

**The Review process** (set out in section B below) is available to

- a *Candidate*, or a *Centre* acting on behalf of a *Candidate* or *Candidates*, wishing to dispute an *Assessment result* (or an assessment decision) by City & Guilds,
- a *Candidate* wishing to dispute an *Assessment result* made by a *Centre*,
- a *Candidate* wishing to complain about a *Centre-based assessment*, and
- a *Centre* wishing to dispute a decision concerning a *Centre* approval (including *Examination centre approval*) or *Scheme* approval, a *Certification status* or an *Overall centre grade* decision.

### 1.3 Stage 2

**The Appeals and assessments complaints processes** (set out in section C below) is available to

- any *Candidate* or *Centre* wishing to appeal against the outcome of the Review process to the City & Guilds Appeals Board (the Board)
- any *Candidate* wishing to appeal against the outcome of the Complaints process to the Board concerning a *Centre-based assessment*
- any *Candidate* wishing to appeal against the decision of the City & Guilds Appeals Board to the Appeals Tribunal (the Tribunal).

## Notes

- 1 The Reviews, Appeals and Assessments Complaints processes are *not* open to appeals against decisions made by, or made necessary by, the action of any other awarding authority, or of the implementation of the disciplinary or grievance procedure of any employer.

- 2 All terms printed in *Italics* in the following paragraphs are defined in the Glossary on Page 12 of this document.
- 3 While City & Guilds will make every effort to honour all published *Time limits*, there may be special circumstances beyond its control in cases involving *Centre-based assessment* that prevent them from being met. In such cases, the *Appellant* will be advised of the reason for the delay and kept informed of the progress to address their review, appeal or complaint.
- 4 The first point of contact for all reviews, appeals and assessments complaints is *Customer Relations*. Separate leaflets summarising the processes described in this document, the current fees payable and application forms may be obtained from the Unit. (See *Glossary* for details).

## 2 Stage 1 - The review process

The arrangements made by City & Guilds may differ in detail, but **must** satisfy the criteria set out in paragraphs 1.1 - 1.3 below.

### 2.1 Arrangements for the review of an *Assessment result* issued by City & Guilds

*Time limit:* A request to review an *Assessment result* **must** be received by City & Guilds within 60 *Working days* of the date of *Notification*

- a) A request for a review of an *Assessment result* by City & Guilds may be made by **either**
- a *Centre*, on behalf of one or more *Candidates*, or
  - a *Candidate*, on his/her own behalf, and **must**
  - be made within the *Time limit*, and
  - be accompanied by the required fee, and
  - include a statement of the reasons for requesting the review.
- b) A request for a review of an *Assessment result* must be for, **either**
- an administrative check of *Scripts*, to confirm that no assessment was incorrectly recorded. In such cases a clerical check of the *Candidate's Scripts* will be made to ensure that all answers have been correctly recorded, totalled and processed and the candidates will be informed of the result, **or**
  - the re-assessment of the relevant *Scripts* or *Portfolios* to confirm that no incorrect assessment was recorded. In such cases the review will be carried out by a person or persons other than someone who made the original assessment or assessments. A report will be provided to the applicant for the re-assessment on any areas of weakness in the *Scripts* or *Portfolios*.
- c) A *Candidate* wishing a *Centre* to request a review of an assessment on his or her behalf **must** apply to the *Centre*, in writing, soon enough for the *Candidate* to discuss the case with the *Centre* and for the *Centre* to prepare and make the request to City & Guilds within the *Time limit*. Unless the *Centre* specifies a longer period this means that a *Candidate's* request must be received by the *Centre* within 20 *Working days* of *Notification* of the assessment to be reviewed.
- d) A *Candidate* wishing to seek a review of an assessment on his or her own behalf **must**
- complete the appropriate form made available by their *Centre* or the City & Guilds *Customer Relations*, or
  - write a letter accompanied by a copy of the official notification of the *Candidate's* result(s)/*Candidates' results*.

This documentation must be sent, together with the required fee, to City & Guilds as soon as possible within the *Time limit*.

- e) A *Centre* requesting a review of an assessment on behalf of one or more *Candidates* **must**
  - complete the form available from *Customer Relations*, **or**
  - write a letter accompanied by a copy of the official notification of the *Candidate's* result(s)/*Candidates'* results. This documentation must be sent, together with the required fee, to City & Guilds as soon as possible within the *Time limit*. If the centre can be invoiced then no fee need be enclosed with the submission.
- f) City & Guilds will *Notify* the *Candidate* or *Centre* of its decision
  - in the case of an administrative check within 10 *Working days* of receipt of the request for the review, **or**
  - in the case of a re-assessment of a *Script* within 20 *Working days* of receipt of the request for the review, **or**
will *Notify* the *Centre* of the date when a decision will be made.
- g) If the decision is to confirm an *Assessment result*, Form GAB will be included with the *Notification*, showing the address to which an appeal against the decision may be sent and the date by which it must be received by the *Clerk* to the City & Guilds Appeals Board (the Board).
- h) If the decision is to alter the *Assessment result* the fee will be refunded, and
  - the result will be amended, and
  - where appropriate replacement documentation will be issued without further charge.
- i) A *Candidate* wishing to seek a review concerning a *Centre-based assessment* decision must follow the Group's Complaints process.

## 2.2 Arrangements for the review of results of assessments made by *Centres*

Arrangements for the internal review of an *Assessment result* by a *Centre* or a *Delegated Awarding body* are made by the *Centre*, or the *Delegated Awarding body* itself, subject to the approval of City & Guilds. Approval is only given to arrangements which

- a) are readily accessible to *Candidates*
- b) allow *Candidates* a sufficient time within which to apply for a review (normally not less than 60 *Working days*)
- c) provide for completion of the review and *Notification* of the *Candidate* within a reasonable time (normally not more than 20 *Working days* from receipt of the application)
- d) do not lay an unreasonable charge on the *Candidate* (and in no case more than the actual cost to the *Centre* or *Delegated Awarding body*), and provide for the return of that charge in full if the review results in a decision (the review decision) to change the assessment in the *Candidate's* favour; and
- e) provide that *Notification* of the review decision shall be accompanied by information (normally on Form GAB (Can)) as the means of appealing against it to the City & Guilds Appeals Board.

### 2.3 Arrangements for the review of a decision City & guilds concerning Centre or Scheme approval or Certification status

- a) A Centre may apply for a review of a decision by City & Guilds to
- refuse, suspend or withdraw Centre approval (a Centre approval decision),
  - refuse, suspend or withdraw Scheme approval (a Scheme approval decision),
  - refuse, suspend or withdraw approval to apply direct to City & Guilds for a certificate for a registered Candidate (a Certification status decision).
- b) A Centre may apply for a review of an Overall grade decision.

*Time limit:* A request for a review of a decision **must** be received within 30 Working days of the date of Notification.

- c) A Centre's request for a review of a Centre approval, Scheme approval or a Certification status decision **must**
- be made as soon as possible within the Time limit
  - be accompanied by the required fee
  - state in writing the reasons for believing that an incorrect decision may have been made on a form provided by City & Guilds, and
  - be sent together with the required fee, to City & Guilds in time for it to be received within the Time limit.
- d) Preliminary review  
On receipt of a request for a review of a Centre approval decision, a Scheme approval decision, a Certification status decision or an Overall grade decision, City & Guilds will check the details against External Verifier/Assessor reports and other relevant documentation. City & Guilds will endeavour to resolve the problem by means of discussion and agreement between the Centre and the External Verifier/Assessor without a full Centre review.
- e) **Either**, if agreement is not reached within 30 Working days of the request being made, **or if**
- at any time within those 30 days the External Verifier/Assessor, **or**
  - at any time after the first 10 of those 30 days, the Centre applies for a full review,
- City & Guilds will initiate a full Centre review.
- f) Full Centre review
- i) The full Centre review will be conducted by a second External Verifier/Assessor, and such other persons as City & Guilds shall decide (the review team). The review team will visit the Centre and will provide an opportunity for the Centre to make representations during the visit. The Centre must provide the review team with reasonable facilities for inspecting any work done and documentation held at the Centre relevant to the decision under review. Refusal to provide such facilities will be taken into consideration by City & Guilds when making the review decision.
- ii) Unless the Centre otherwise agrees, City & Guilds will communicate its review decision to the Centre within 20 Working days of initiation of the full review.

- iii) City & Guilds will give reasons for its decision when communicating it to the *Centre*.
- iv) If the review decision is to alter the original decision in favour of the *Centre*, the relevant fee will be refunded by City & Guilds. A *Centre* will be informed within 20 *Working days* of the outcome.
- g) Information on how to contact City & Guilds and the scale of fees at the time chargeable for a review is obtainable from *Customer Relations*.

### 3 Stage 2 - The appeals and assessments complaints processes

#### 3.1 Categories of appeal and eligible *Appellants*

- a) City & Guilds will consider an appeal submitted, within 30 *Working days* of *Notification* of the review decision, by
  - a *Candidate* who wishes to appeal against a *Confirmed Assessment result*
  - a *Centre acting on a Candidate's* behalf, and
  - a *Centre* wishing to appeal against a *Centre approval*, a *Scheme approval* or a *Certification status* approval decision
- b) A *Centre* eligible to use the process is one that has been approved to offer assessments leading to identified qualifications provided by City & Guilds.
- c) A *Candidate* eligible to use the process is one who has been registered with City & Guilds (or can provide evidence of being engaged in an authorised programme of assessment by an approved *Centre* for an identified qualification).
- d) A fee to cover administrative costs will be charged at each stage and will only be refunded in whole or in part where the Appeals Board, in its absolute discretion, decides that this is merited.
- e) The appeals process is set out in paragraphs 3.2 - 3.3 below.
- f) All *Candidates* and *Centres* seeking to obtain further information about confirmation of an *Assessment result* or to appeal against it, including information about the fees at each stage, should contact *Customer Relations*.

#### The Group Appeals Board

#### 3.2 Appeals to City & Guilds Appeals Board (the Board)

- a) The Board comprises the following members
  - the Director-General (Chair) or his representative
  - a member of the City & Guilds Council appointed by the Council; and
  - one member: either a Director or senior manager with no direct interest in the case, or a senior representative from Pitman Qualifications, The Institute of Leadership & Management, or a City & Guilds partner appointed by the Director-General.

<p><i>Time limit:</i> An appeal against a review decision must be made within 10 <i>Working days</i> of the date of <i>Notification</i>.</p>
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- b) An appeal must be submitted to the *Clerk* to the Board on Form GAB copies of which may be obtained from the *Centre*, or direct from *Customer Relations* who will also provide information on the fees for appeals chargeable at the time. The form must be completed and sent to the *Clerk* to the Board in time to be received within the *Time limit*.
- c) A *Centre* must forward Form(s) GAB duly completed by the *Centre* or on behalf of a *Candidate* to the *Clerk* to the Board within the *Time limit*.

- d) The *Clerk* to the Board will convene a meeting of the Board within 30 *Working days* following receipt of the appeal from the *Appellant* by the *Clerk to the Board*.
- e) The Board will consider the information provided and establish whether all procedures have been correctly followed, and make such further enquiries for information from the *Candidate* or *Candidates* or *Centre*, examiners or staff, as it deems necessary. The Board will **not** reassess a *Candidate's Scripts*.
- f) Consideration by the Board will lead to one of two outcomes, **either**
- the confirmed *Assessment result* or the review decision will be upheld and the *Appellant* will be given the reasons for this finding, **or**
  - the Board finds that the appropriate procedures have not been followed and will recommend remedial action to City & Guilds, which must be implemented.
- g) The Board will inform the *Appellant* of its decision within 5 *Working days* of the Board's consideration of the appeal.
- h) If the Board 's decision is in the *Appellant's* favour
- the appeal fee will be refunded
  - the *Assessment result(s)* will be amended
  - where appropriate, replacement documentation will be issued without further charge.
- i) If the Board's decision is against the *Appellant*, a Form AT will be included with the *Notification* for use should the *Appellant* decide to appeal to the Appeals Tribunal.
- j) The Board will retain documentation received and considered by it when deciding an appeal for not less than six months. During that period, the Board will supply, on the application of the *Appellant* or the *Appellant's* representative, certified copies of the documentation on payment of a fee sufficient to cover the cost of so doing.

## 4 Stage 3 - The Appeals Tribunal

### 4.1 Appeals to the Appeals Tribunal (the Tribunal)

*Time limit:* An appeal against a decision by the Board must be made within 15 *Working days* of *Notification* of that decision.

- a) A *Candidate*, or a *Centre* acting on behalf of one or more *Candidates*, may appeal to the Tribunal
  - to alter a decision made by the Board, **or**
  - on grounds that the Board has not reached a decision within the *Time limits* prescribed above.
  
- b) The appeal should be submitted to the *Clerk* to the Tribunal on Form AT obtainable from the *Clerk* who will also provide information on the fees chargeable at the time.
  
- c) Form AT makes it clear that an appeal **must**
  - be received within the *Time limit*, and
  - show the *Appellant's* reason(s) for believing that the Board's decision was wrong or outside the *Time limit*, and
  - be accompanied by the required fee, and
  - state
    - the name(s) of the *Candidate(s)*
    - the name of the *Centre* (where appropriate)
    - the decision appealed against
    - the date on which the appeal was lodged with the Board
    - whether the *Appellant* wishes to appear in person, alone or with an adviser, or by representation
    - the name and professional status of any person advising or representing the *Appellant*, and
  - that the signature on the form implies agreement by the *Appellant* to abide by the rules of the Tribunal.
  
- d) Within 10 *Working days* of receipt of the completed Form AT the *Clerk* to the Tribunal will send to the *Appellant*
  - notice of the day on which an appeal is to be heard, and
  - copies of the rules for the conduct of the hearing by the Tribunal, and
  - *Notification* of the Tribunal's consent, if given, to the attendance of the *Appellant*, and/or the *Appellant's* adviser or representative, at the hearing of the appeal, which consent will in all cases be conditional upon the *Appellant's* agreement to abide by the rules and, if such consent is given
  - the time and place at which the *Appellant* and/or any adviser, or the *Appellant's* representative, should attend.
  
- e) Hearings by the Tribunal will normally be held in accommodation made available by the City and Guilds of London Institute between the hours of 10am and 4pm, but the Tribunal is empowered to meet at such other times and in such other places as circumstances make convenient or necessary and to make such extensions to the *Time limits* for its proceedings as are made necessary thereby.

#### 4.1.1 Rules of the Tribunal

- a) The Tribunal is open to appeals from a *Candidate* or a *Centre* on behalf of a *Candidate* against decisions made by the Board on the grounds that the Board, **either**
  - was unaware of, ignored or gave insufficient weight to, a specific material fact or facts at the time that it made its decision, **or**
  - could not, for specific reasons given by the *Appellant*, properly decide the appeal at the time when it did so.
- b) The Tribunal comprises three members, empanelled from the independent Quality and Standards Committee of City and Guilds of London Institute, or a sub-committee thereof. Copies of the Terms of Reference of the Committee and the names of the current members may be obtained from *Customer Relations*.
- c) *The Chairman* of the Tribunal for each session is appointed by agreement amongst the members, and is responsible for the conduct of the session.
- d) *The Clerk* of the Tribunal is to
  - i) be present whenever the Tribunal is in session
  - ii) record the time when the session begins and ends and of any adjournment thereof
  - iii) record the names of those present for any part of each session, including those of
    - the Chairman and members of the Tribunal
    - the *Appellants*, their advisers and representatives
    - the representative of the *Centre* or City & Guilds
    - any other persons present for any part of a session
  - iv) keep a summary record of proceedings of each session
  - v) record, keep and, as appropriate, circulate or publish the decisions of the Tribunal.
- e) The Tribunal may
  - i) appoint advisers to assist it at any hearing. Advisers may, at the discretion of the Tribunal, be present at, but shall have no vote in, any decision of the Tribunal
  - ii) decide an appeal, by considering the papers submitted to it and/or hearing oral evidence representations
  - iii) at any time ask the *Appellant*, the *Appellant's* adviser, or the *Appellant's* representative or any other person to withdraw permanently or for a stated period from the hearing
  - iv) after consultation, where appropriate, with any *Appellant*, *Appellant's* adviser or representative, the representative of the Board and any witness present, adjourn a session for such times or period as it thinks fit, giving notice of the time when it will be resumed
  - v) **either** give its decision immediately upon conclusion **or** to another day, not being more than 5 *Working days* after the day of the hearing.
- f) *The Clerk* to the Tribunal will communicate the decision of the Tribunal, within 2 *Working days* to the *Appellant*, or a person appointed by the *Appellant* for that purpose **either** by post only, **or** by post and such other means as the *Appellant* and the *Clerk* may have agreed.

- g) Decisions of the Tribunal are made in private and by majority vote.
- h) Subject to rules (e) (iii) above, the Director-General of City & Guilds and the Director of Excellence & People, or their representative(s) may attend hearings of the Tribunal but shall not be present when the Tribunal is making its decision.
- i) In giving its decision the Tribunal will also give reasons.
- j) If the Tribunal decides to uphold an appeal the fee will be returned to the *Appellant*.
- k) If a *Centre* appeals on behalf of more than one *Candidate* and the Tribunal decides to uphold each of the appeals, the whole of the hearing fee will be returned to the *Appellant*.
- l) If a *Centre* appeals on behalf of more than one *Candidate* and the Tribunal allows some but not all of the appeals, such proportion of the hearing fee will be returned as is proportionate to the number of appeals upheld.
- m) The Tribunal will retain documentation received and considered by them when deciding an appeal for not more than six months. During that period, the Tribunal will supply, on the application of the *Appellant* or the *Appellant's* certified representative, certified copies of the documentation on payment of a fee to cover administrative costs.

## Glossary

### *Appellant*

An *Appellant* is a *Candidate* or a *Centre* acting on behalf of a *Candidate* seeking to appeal to the Appeals Board or to the Appeals Tribunal.

### *Assessment result*

The result of an assessment by a *Centre* or City & Guilds of a piece of work by a *Candidate* that has been submitted for assessment or moderation as a component or an award or qualification.

### *Candidate*

A *Candidate* is an individual who is registered and working towards a full or part qualification at an approved assessment *Centre*. A *Candidate* may be involved in competence-based assessment, written examinations or mixed assessment activity.

Note: Where a *Candidate* is represented by a *Centre*, references to the *Candidate* should be taken as references to the *Centre* representing the *Candidate*.

### *Centre*

A *Centre* is an organisation approved by City & Guilds to offer assessments leading to its qualifications (eg a company, school, college or training organisation).

### *Centre-based assessment*

A *Centre-based assessment* is carried out by a *Centre* on work that is completed by a *Candidate* as part of a portfolio of work towards assessment for an NVQ or a similar competence-based qualification.

### *Certification status*

Is the approval conferred on a *Centre*, where appropriate, to apply direct to City & Guilds for certificates on behalf of a registered *Candidate*.

### *Clerk*

The *Clerk* to both the City & Guilds Appeals Board (the Board) and the Appeals Tribunal (the Tribunal) is the Secretary of the City and Guilds of London Institute, or his alternate, to whom all correspondence relating to the Reviews, Appeals and Assessments Complaints processes should be addressed.

Address for correspondence:

The Secretary to the Institute  
City and Guilds of London Institute  
1 Giltspur Street  
London  
EC1A 9DD  
Direct line: 020 7294 2605  
Facsimile: 020 7294 2415.

### *Confirmed Assessment result*

A *Confirmed Assessment result* is an *Assessment result* that has been confirmed by a *Centre* after an internal review carried out at the request of the *Candidate*

### *Customer Relations*

City & Guilds' *Customer Relations* is the point of contact for all documentation and information on the Reviews, Appeals and Assessments Complaints processes at

### *Customer Relations*

1 Giltspur Street

London

EC1A 9DD

Direct line: 020 7294 2800

Facsimile: 020 7294 2405

Email: [enquiry@City-and-guilds.co.uk](mailto:enquiry@City-and-guilds.co.uk)

### *Delegated Awarding body*

A *Centre* or other organisation accredited by City & Guilds to make specified awards on its behalf.

### *Examination centre*

An Examination centre is a *Centre* that is only granted approval to run externally set and marked examinations. It is not approved to offer on-site assessment.

### *Notify/Notification*

Refers to

- a) the passing of information concerning an examination, assessment or coursework, to a *Candidate* by a *Centre* or City & Guilds. The *Candidate* is deemed to have been notified when the information has been sent to the address, contact number or nominee given by the *Candidate* to the *Centre* or City & Guilds, **either** immediately if by electronic means, **or** after the lapse of 3 *Working days* from the advertised time of collection by post within the United Kingdom **or** the length of time agreed if by post elsewhere **or** by other means.
- b) the passing of information concerning *Centre* approval, *Scheme* approval or a *Certification Status* decision to a *Centre* by City & Guilds. The *Centre* is deemed to have been notified when the information has been sent to the address, contact number or nominee given by the *Centre*, **either** at noon on the next working day if by electronic means, **or** after the lapse of 3 *Working days* from the advertised time of collection, by post within the United Kingdom **or** the length of time agreed if by post elsewhere **or** by other means.

### *Overall grade decision*

An *Overall grade decision* is given by an External Verifier at the time of their visit to a *Centre* to monitor internal quality assurance arrangements. It is based on the grades awarded for each section of the report form from actual evidence seen during the course of the visit.

### *Portfolio*

A *Portfolio* is a collection of evidence for assessment purposes.

### *Scheme*

A *Scheme* comprises the subject matter and structure forming the basis of awards and qualifications (generally identified by a four-digit number). Each *Scheme* may consist of one or more awards.

*Script*

A candidate's work in response to an examination that has been set and is marked by City & Guilds is normally referred to as a *Script*.

*Time limit*

A *Time limit* provides the published timescales within which a review, appeal or assessments complaint will be processed. While City & Guilds will strive to meet the *Time limits* given in its documentation, there may be special circumstances beyond its control, in cases involving *Centre-based assessments*, that prevent them from being met. In such cases, the *Appellant* will be advised of the reason for the delay and kept informed of the progress to address their review, appeal or complaint. *Time limits* are reviewed annually.

*Working day*

A *Working Day* is any day other than Saturday or Sunday or a national Bank Holiday (UK).