



Auto-Assess Compliance
Trading as –

Auto-Assess Awards

Appeals Policy and Procedure

Document issues Number	Effective date	Amendments	Reason for amendments
AAC045 V2	27/07/2026	1- Updated Header 2- Included Auto-Assess Awards 3- Grammer and spelling	1.New logo/Branding 2. Removed reference to Auto-Assess Compliance ltd and replaced with Auto-Assess Awards

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Introduction

The aim of this policy is to ensure high quality, fair and consistent assessment practice and grading of Apprentice work through a framework of internal quality assurance practice across all end-point assessment activities where Auto-Assess Awards. acts as End-Point Assessment Organisation (EPAO).

Scope

The purpose of an appeals policy and procedure is to ensure that every apprentice who is not satisfied with the outcome of a decision has the right to appeal against the decision that has been made.

The appeals policy covers

- appeals in relation to an assessment decision on the basis that we did not apply procedures consistently or that procedures were not followed properly and therefore has not made its decisions and judgements fairly
- appeals relating to an Auto-Assess Awards decision to decline a request to make reasonable adjustments or give special considerations
- appeals in relation to the application by Auto-Assess Awards of a sanction resulting from an investigation into malpractice or maladministration or a decision to amend an apprentice's or set of apprentices' results following a malpractice or malpractice investigation
- appeals in relation to the application by Auto-Assess Awards of a sanction resulting from an investigation into complaints

It should be noted that this policy and procedure does not relate to general complaints. A complaint related to an issue other than the outcome of an end point assessment should be directed to the Auto-Assess Awards Complaints Procedure and Guide.

Grounds for Appeal

An appeal can only be made if the appellant believes Auto-Assess Awards have:

- Failed to carry out agreed procedures, or operate in line with our policies;
- reached decisions that are disproportionate;
- failed to take account of relevant information/evidence.

The following cannot be appealed:

- Appeals submitted more than 14 working days after the matter subject to appeal
- Anything that should be dealt with under and employer’s own disciplinary or grievance procedure
- Anything involving qualifications that have been delivered as part of the on-programme (pre-gateway) aspect of the apprenticeship, or the apprenticeship training

Policy

This policy sets out the principles that Auto-Assess Awards. follows in conducting an appeal and procedure to be followed by the appellant.

Those handling an appeal should refer to the original documentation relating to the matter subject to appeal, the relevant Auto-Assess Awards policy / guidance relating to the matter subject to appeal, alongside regulatory and funding body requirements.

Additionally, when selecting the people to handle an appeal we will select an individual who has appropriate competence, technical knowledge and understanding of the matter subject to the appeal. This is evidenced in the relevant job description and/or person specification.

We also take steps to ensure that the person handling the appeal has no personal interest in the decision being appealed. This is achieved by requiring that they are fully familiar with our conflicts of interest policy and undertake the appropriate declaration.

Procedure

An apprentice, their employer or other representative may appeal within 14 working days of:

- the notification of results (refer to stage 1 appeal)
- the outcome of a stage 1 assessment appeal.
- the original outcome in relation to reasonable adjustments or special considerations requests, or maladministration / malpractice or complaints investigations

Appellants should contact the EPA Coordinator to request the Appeals Form by emailing admin@autoawards.co.uk , writing or telephoning us, or using the ‘contact us’ page on our website. The form will be sent to the appellant within 3 working days.

The form can be emailed back or sent by post to Auto-Assess Awards, Minerva Mill Innovation Centre, Station Road, Alcester, B49 5ET. We will acknowledge receipt of the appeal within 3 working days.

If an employer or training provider appeals on behalf of the apprentice they must ensure that they have obtained the written permission of the apprentice(s) concerned, because original outcomes can change and/or results can go down as well as up as a result of an investigation i.e., a pass mark could go down to a failure mark.

Once received we will allocate the appeal investigation to one of our quality assurers who has had no involvement in the apprentice’s end-point assessment, or the original outcome/decision with regard to reasonable adjustments, special considerations, malpractice / maladministration, or complaint, and who does not have a personal interest in the outcome. All investigators of appeals will be experienced in all Auto-Assess Awards processes, policies, and procedures, will have subject matter expertise in the appeal area they are investigating.

Assessment Results Appeal (stage 1)

Stage 1 assessment appeals provide the opportunity to appeal the assessment results, if the appellant believes they are inaccurate. It is critical to note that this is not a re-assessment, it is a re-check of the results.

The appeal will be allocated to an investigator who will check the end-point assessment paperwork for completeness, and the accuracy of the scoring and grading, where applicable.

Once the checks have been completed, they will be passed to the Head of Quality for review prior to issuing the decision. This will be within 5 working days.

The outcome of the appeal will be:

- Result unchanged, assessment paperwork complete and scoring / grading accurate
 - Results statement remains the same
 - If the appellant is unsatisfied with the decision, they can request an assessment appeal stage 2
- Amendment to result due to administrative inaccuracies in the original scoring / grading
 - Results statement amended and re-issued

Where the result is amended due to administrative inaccuracies, we will carry out an internal investigation, via the Head of Quality and subcommittee, to identify if any other apprentices have been affected, learn lessons and take actions, such as procedural updates and internal training. Where required, we will also notify the regulator.

Other appeals (including assessment appeal stage 2)

This stage relates to appeals regarding the following categories:

- Original reasonable adjustments or special considerations decisions
- Original maladministration / malpractice investigation outcomes
- Original complaints investigation outcomes
- The outcome of assessment results appeals stage 1

The appellant must specify the category of their appeal and provide a statement regarding the grounds on which the appeal is based.

An appellant is not permitted to submit new end-point assessment material as part of their appeal.

The appeal will be allocated to an investigator with subject matter expertise and no conflict of interest, and we will provide them with the following:

Assessment results appeal stage 2:

- A copy of the assessors grading and assessment guidance document
- A copy of any specifications relating to the assessment activity subject to the appeal, such as a copy of the invigilation and resource specifications for a knowledge exam
- A copy of our appeals policy
- The original assessment record and the apprentice’s submitted work related to the assessment
- The stage 1 appeal and its investigation and outcome
- The reasons given for appealing.

Appeals relating to decisions regarding reasonable adjustments, special considerations, malpractice / maladministration, complaints

- A copy of the original:
 - application for reasonable adjustments or special consideration
 - investigation into malpractice / maladministration
 - investigation into the complaint
- A copy of the original decision and evidence
- A copy of the relevant policy
- A copy of the appellants appeal request and any supporting evidence

The investigator will review the evidence and make a decision within 10 working days.

The outcome of the appeal investigation will be:

- Appeal Rejected, the grounds for appeal have not been met
 - Results / decision remains unchanged
 - If the appellant remains unsatisfied with the decision, they can request an appeals panel
- Appeal Accepted
 - Results statement amended and re-issued (refer to later section on appeals impacting results), or
 - Original decision on reasonable adjustments, special considerations, malpractice / maladministration, complaint overturned
 - In these situations, results may need to be adjusted, or re-assessments arranged.

Where the appeal has been accepted, we will carry out an internal investigation to identify if any other apprentices have been affected, learn lessons and take actions, such as procedural updates and internal training. Where required, we will also notify the regulator.

If the accepted appeal means that re-assessments need to be arranged, these will be arranged and managed by the Head of Quality, supported by the EPA co-ordinator, over a period of 2 weeks. The Head of Operations will be involved, where required.

Appeals Panel

If an appellant is still dissatisfied with the appeal decision, they have the right to request an Appeals panel.

The Head of Quality / Head of Operations will arrange, and convene, an Appeals panel, within 28 working days. The Appeals panel will consist of between 2 and 4 experts who:

- collectively have knowledge, experience and competence in the occupation, assessment process and investigative skills
- will not have a personal interest in the outcome of the appeal
- will not have been involved in the original enquiry appeal.

The Chair of the appeals panel shall be independent from all parties (employer, training provider, apprentice, and Auto-Assess Awards), and shall be competent in the matter subject to appeal. The independent appeals panel member must meet the requirements of the independent appeal panel member role profile.

All members of the panel will be checked for potential or actual conflicts of interest before being accepted onto the panel.

The appeals panel will review all evidence, and those involved in making the original decisions may be asked to attend the appeals panel and to answer any questions.

The Appeals panel will establish:

- whether Auto-Assess Awards policies and procedures were correctly followed,
- that decisions were proportionate and
- that all information presented at the time of the original decision was taken into account.

The appeals panel will discuss the matter in private and reach a majority decision. The decision will be sent to the Head of Quality, and the appellant within five working days, with an explanation regarding why the appeal was accepted or rejected and any subsequent action.

The Appeals panel is the concluding stage of the appeals process and its decision is final.

Should the appellant remain dissatisfied after fully exhausting our enquires and appeal processes, they may wish to contact the regulator Ofqual to raise a formal complaint. However, Ofqual will only consider whether the due process has been followed by Auto-Assess Awards in considering the appeal.

Should the outcome of the appeals panel identify any errors with Auto-Assess Awards policies or procedures, the Head of Quality will lead on investigating and making the necessary changes, such as procedural updates and internal training. Where required, we will also notify the regulator.

Where the appeal is directed at the knowledge exam, the questions identified will be reviewed and if necessary, removed from the bank on the advice of the Head of Quality.

Appeals impacting apprentice results

If, as the result of an appeal Auto-Assess Awards discovers that the result issued is incorrect, we will:

- notify Ofqual as soon as we are aware (via the responsible officer) and
- correct the result and notify the DfE within 3 days of the result of the appeal decision.

If the results of a complaint or appeal Auto-Assess Awards discovers a failure in its assessment process, it will take all reasonable steps to:

- identify any other Learner who has been affected by the failure,
- correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure, and
- ensure that the failure does not recur in the future

Auto-Assess Awards will do this by immediately escalating the result to the end-point assessment subcommittee for discussion and action, to be presented to the governing body. Auto-Assess Awards will then contact the employer, apprentice and training provider affected and arrange to meet within 5 working days to explain what has happened and to make the necessary arrangements for re-assessment.

All actions will be recorded and at all times Auto-Assess Awards will work to minimise any adverse effects.

Fees

There is no charge for the first two stages of an appeal however, should an appeal reach the panel stage Auto-Assess Awards. reserves the right to levy a charge.

Upon receipt of a request to invoke the appeal process at stage 3, Auto-Assess Awards will invoice the appellant, or their employer, or other representative, and the appeal fee much be paid within 7 working days. Where a resit or retake is offered, we charge a fee for the relevant EPA component.

Review of the Policy

This policy and procedure will be reviewed, and updated as required but not less than annually, by the Head of Quality and EPA subcommittee. The review of the policy and procedure aims to ensure that lessons are learnt following appeals and that the procedure continues to be consistent with regulatory criteria (Ofqual and Skills England). Next review due April 2027.