LIBF

Part of Walbrook Institute London

Appeals Policy and Procedures for Financial Education and Professional Education Qualifications

The purpose of the Appeals Policy and Procedure for Financial Education and Professional Education Qualifications is to advise our students of the service level they can expect to receive and how we'll deal with their appeals. It also explains how we monitor appeals periodically and review this policy.

Through the Appeals Policy and Procedures, we ensure that:[1]

- appeals are treated fairly, consistently, transparently, and in a timely manner
- we take appropriate actions with regard to the applicant and other learners where appeals reveal any failure on our part
- we review aspects of our service in the light of any appeals
- we maintain duties of confidentiality to third parties, or other legal duties, in responding to appeals.

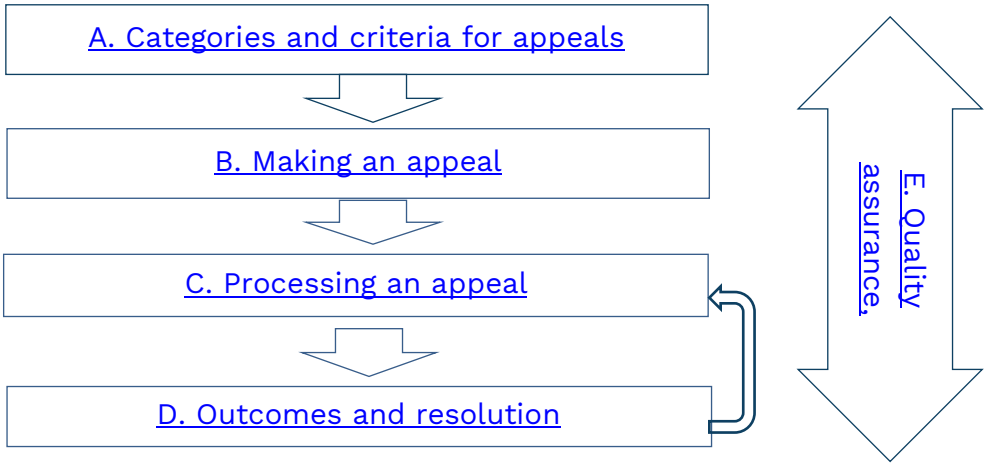
Summary of policy

Students have the right to appeal to us to review decisions that have been made in the course of the assessment of their programme of learning. The appeals process is available to all students and centres[2] (referred to as students) registered on a programme of learning with us, with the exception of students who've had their registration suspended by us. An appeal may only be submitted in relation to final decisions. The key stages in the Appeals Policy are set out in the diagram below.

[1] In compliance with the regulator's *General Conditions of Recognition*, conditions D4 and I1-2.
[2] Centres are organisations that are involved with any part of the delivery of qualifications on behalf of LIBF. Centres may be schools, colleges or any other approved venue where the delivery of qualifications, including teaching and / or assessments, leading to a LIBF qualification is conducted.

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Section A - categories and criteria for appeals

1.1 Students may appeal against our decisions in accordance with the criteria and categories set out below. However, an appeal can't be made against the academic judgement of the assessor or examiner, or against the regulations of the qualification. We reserve the right to reject an appeal that doesn't meet the criteria and categories set out in this policy.

1.2 The criteria against which an appeal may be submitted to us is

i. the policy or procedure for the decision reached was not followed correctly or applied fairly by us

ii. new and relevant information or evidence that wasn't known by us, or couldn't have been brought to our attention at the time the decision was made, has become available.

1.3 Students can make an appeal against a decision in the following categories

i. a results enquiry outcome regarding the fair, correct, and consistent application of the processes and procedures leading to an assessment result, with respect to an individual assessment component or unit within a qualification, not to the qualification itself

ii. a reasonable adjustment outcome with respect to an individual assessment component or unit within a qualification, not to the qualification itself

iii. a special consideration outcome in relation to an individual assessment component or unit within a qualification, not to the qualification itself

iv. a malpractice outcome associated with an individual assessment component or unit within a qualification, or the award of the overall qualification. Additionally, we may consider centre appeals as part of this process e.g., additional monitoring by us arising from inspection.

1.4 A student registered by a centre, and not directly with us, must request that the centre makes an appeal on their behalf in relation to an enquiry, reasonable adjustment, special consideration or malpractice outcome.

1.5 An appeal application made by a centre on behalf of a student must be completed by an appropriately authorised member of centre staff, for example, the named examinations officer for appeals relating to assessment. If a centre makes an appeal application other than on behalf of a student, the application must be completed by the head of the centre.

Section B - making an appeal

2.1 An appeal application must be submitted to us within 15 working days of the date of our letter advising the outcome of a decision. If the appeal application form is received after the deadline, we reserve the right to refuse the application.

2.2 The applicant must complete the appeal application form which is available from Student Support Services (see contact details below). All supporting evidence must be supplied with the application form or, if it isn't available at the time of the application, as soon as it becomes available. The appeal must clearly state the criteria and category that constitute the grounds for the appeal being made (see Section A, above). The appeal application form must be submitted with all relevant supporting evidence, and with the appropriate fee, to our Student Support Services team at the following address

Student Support Services

LIBF

Part of Walbrook Institute London

Administrative Centre:
4–9 Burgate Lane
Canterbury
Kent CT1 2XJ
United Kingdom

T: +44 (0)1227 818609

E: customerservices@libf.ac.uk

If you're unable to submit an appeal in writing due to a reasonable adjustment, please contact Student Support Services and they'll be able to help you submit your appeal.

2.3 If an application isn't accompanied by the appropriate fee or doesn't set out clearly the grounds for appeal, we reserve the right not to process the application. We'll not take responsibility to seek evidence beyond that supplied by the student making the application for an appeal.

2.4 A student cannot make an appeal as well as a complaint against the same incident. Students wishing to complain about the service they've received should refer to the complaints policy or, in the case of an enquiry about the marking of their assessment, make an assessment result enquiry.

2.5 We reserve the right to exclude or remove a student or centre from a programme of learning if they make repeated, unfounded or vexatious appeals and / or complaints regarding the programme and / or its delivery.

Section C - processing an appeal

3.1 We'll acknowledge receipt of an accepted appeal application form within five working days. We'll inform the applicant of the time period within which the appeal will be considered. If we request further information or evidence from the applicant, the timescale will only begin once we've received all the requested supporting evidence.

3.2 We'll check the appeal application form to make sure the criteria and category requirements for an appeal have been met before accepting the

application. If the appeal application doesn't meet the criteria, it will be rejected and won't enter the appeals process. If an appeal application is rejected by us, the appeal application form and fee will be returned to the applicant, and the applicant will be given the reason for the rejection of the appeal.

3.3 If we accept the appeal as meeting the criteria set out in section A, the appeal is initial considered by an individual who has no previous involvement in the matter. Depending on the nature of the appeal, it may be possible to resolve it at this stage, or where new information is provided as part of the appeal, it may initially be referred back to the original decision maker to allow an opportunity for early resolution.

3.4 If the appeal can't be resolved at the initial early resolution stage, it'll be considered by the Complaints and Appeals Review Group which is held on a monthly basis. This will include individuals with no previous involvement in the decision being appealed, including one member who is external to us. The Complaints and Appeals Review Group will investigate the appeal, including the policy and procedures followed in reaching the original decision being appealed, and the facts upon which the decision was based. A written response will be provided outlining the issues that've been considered, the findings and the outcome of the investigation. If we require additional time to investigate an appeal, we'll keep the applicant fully informed of this and progress thereafter.

3.5 The student and LIBF are each entitled to seek independent advice, as appropriate, in respect of an appeal. However, the applicant cannot have legal representation during the appeals process, or appear in person unless by invitation of LIBF. If an applicant is invited to appear in person, they are entitled to have a supporter accompany them. A supporter may or may not be a member of LIBF.

3.6 All the information submitted to us during the appeals process is treated as confidential.

Section D - outcomes and resolution

4.1 Following the appeals process, one of the following outcomes will apply

- an appeal is upheld (in part or in full). Where appropriate, some form of action is taken
- an appeal isn't upheld. Reasons for this decision will be given clearly to the applicant. The applicant may either choose to take no further action or to take their appeal for external referral.

4.2 Where, through an appeal, we learn of a failure in our processes, the actions taken to resolve this may also include those that apply to other learners and/or to improvements to our processes.

4.3 If an appeal is upheld, the applicant will receive a full refund of the appeals fee.

4.4 We'll provide written confirmation of the Complaints and Appeals Review Group decision and any action(s) to be taken, including timescales, within ten working days of the case being heard. If, for any reason, we're unable to meet this timescale, we'll keep the student informed.

External referral

4.4 Following the decision by the Complaints and Appeals Review Group, the process is deemed to have been exhausted. We'll issue the appellant with a letter stating that the appeals process has been exhausted. The case may then be eligible for consideration by the regulators (Ofqual, Qualifications Wales or CCEA). We'll comply with the process established by the regulators and will give due regard to the outcome of any process in relation to a qualification which we deliver.

4.5 If, as a result of the regulator's appeals process or the Complaint and Appeal Group upholding the appeal, we learn of a failure in our assessment process, we'll take reasonable steps to

i. identify other students or centres who have been affected by this failure

ii. correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure

iii. make sure the failure doesn't occur again.

Section E - quality assurance, monitoring, and review

5.1 Records of all appeals, and their outcomes, are maintained by us for at least five years. Appeals are monitored by the Regulatory Compliance Committee in line with its terms of reference.

5.2 Any failings discovered or lessons learned during the course of an appeal, or the monitoring of appeals, will be acted upon as part of continuous review of our processes.

5.3 The policy and the procedures are also subject to regular monitoring and review by us. We continually review our practices to maintain the highest possible standards of consistency and quality.

5.4 The policy and procedures are formally approved by LIBF's Complaints and Appeals Review Group.

5.5 The policy and procedures have been developed to comply with all relevant legislation and externally benchmarked to be in line with recognised best practice.

5.6 We're subject to regulation by the qualifications regulatory authorities, Ofqual, Qualifications Wales and CCEA as a recognised awarding organisation, and by the FCA, as an accredited body.[3]

5.7 In the event that Ofqual, Qualifications Wales or CCEA advise us of failures that have been discovered in similar assessment processes being offered by other awarding organisations, we'll review our own assessment processes. If, as a result of this review, we find a potential failure, we'll take the same

[3] LIBF Higher Education students should refer to the Higher Education regulations as Higher Education courses are regulated by the QAA and complaints are escalated externally to the OIA.

action as if a failure had been discovered by virtue of the application of the regulator's appeals process.