

# **EPA ENQUIRIES AND APPEALS POLICY**

May 2021

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<b>EPA Enquiries and Appeals Policy</b>	
<b>Applies to</b>	Employers, Training Providers, CMI Apprentices, CMI Staff and Associated Third Parties
<b>Effective from and replaces all previous versions prior to</b>	31/5/2021
<b>Owned by</b>	Awarding Body & Compliance Team
<b>Reviewed and monitored by</b>	Senior Quality Manager (EPA) & Head of Awarding Body and Compliance
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## Version Control

This is version 1 of the Chartered Management Institute (CMI) EPA Enquiries and Appeals Policy. This version replaces all previous ones, and it is each training provider/employer's responsibility to ensure that all staff involved in the provision of CMI apprenticeships familiarise themselves with this version of the document. This document should be provided to apprentices if requested.

This document is subject to revision and is maintained electronically. Electronic copies are version controlled. Printed copies are not subject to this control.

<b>History</b>			
<b>Page No.</b>	<b>Chapter Title</b>	<b>Amendments Made</b>	<b>Date Amended</b>
Whole handbook	Whole document	Thorough review and update	21/04/2021

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## 1 ENQUIRIES

### 1.1 Enquiries about EPA Results

Where Training Providers, Employers or Apprentices believe that there may have been an administrative error in recording of results, they may request an enquiry about the results. Enquiries about results may only be submitted in relation to results released by CMI once all methods of assessment have taken place and an overall grade has been awarded.

An enquiry about results is an administrative check to ensure that all marks and grades have been recorded and released correctly for each of the end-point assessment components and the overall grade issued. **It does not involve review or re-assessment of assessment decisions.**

Enquiries are conducted by a CMI Quality Assurance colleague who has not been involved in the original marking decision and who does not have a personal interest in the enquiry outcome. They will, however, be experienced in all applicable processes, procedures and policies.

There is no cost to make an enquiry.

### 1.2 How to Submit an EPA Results Enquiry

To request an enquiry, the Training Provider, Employer or Apprentice should complete the relevant boxes on the EPA Enquiries and Appeals form ([Appendix A](#)).

The form should be completed in full and provide clear details of why they believe that an enquiry should be considered. Please note that enquiry applications without clear details may not be accepted. Enquiries should be supported by relevant evidence, where appropriate.

Completed forms should be emailed directly to [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk) with the subject line clearly stating EPA Enquiry.

### 1.2 Timescales for EPA Results Enquiries

All enquiries must be submitted to CMI within 10 working days of the overall grade being awarded.

CMI will acknowledge receipt of the enquiry within 5 working days, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the enquiry response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

The outcome of an enquiry about results and/or decisions could be:

- no change to results or decision
- change to results or decisions which could be either positive or negative.

Should an enquirer still be dissatisfied with the outcome of the enquiry, they have the right to progress to an appeal.

## 2. APPEALS - END-POINT ASSESSMENT DECISIONS

### 2.1 Appeals about EPA Assessment Decisions

There may be occasions when we make end-point assessment decisions that Training Providers, Employers or Apprentices find unclear, unfair or believe have caused disadvantage. Appeals about assessment decisions can only be submitted once all methods of assessment have taken place and all marks and grades have been recorded and released correctly for each of the end-point assessment components and the overall grade awarded by CMI.

The purpose of an EPA appeal is to identify if the correct assessment, internal quality and/or administration processes, procedures and policies were followed by CMI. Appeals are divided into two stages and should be followed in order. The main reason for an appeal is that an Apprentice feels they were either treated unfairly by CMI and/or the process has not been followed by CMI, which resulted in them being disadvantaged.

The appeals process is not used when an Apprentice has concerns about their Training Provider, to challenge assessment outcomes, or to gain additional feedback from CMI regarding their overall assessment decision.

An appeal is not appropriate when an apprentice feels they did not achieve the result that they expected, so want their assessment to be remarked or wish to resit their EPA. *(For information please note that, in line with government apprenticeship guidance, a resit cannot be taken with the intention of increasing the original grade if an apprentice has passed their EPA - resits are only to be taken in the event of a failure.*

<https://www.gov.uk/guidance/apprenticeship-gateway-and-resits-for-end-point-assessment-epa#resits-and-retakes>

Appeals are conducted by a CMI Quality Assurance colleague who has not been involved in the original marking decision and who does not have a personal interest in the enquiry outcome. They will, however, be experienced in all applicable processes, procedures and policies.

The cost for an Appeal is £250. See below for the Stages and the process to follow.

### 2.2 How to Submit an EPA Assessment Decision Appeal

All Appeals should be submitted to CMI by the training provider/employer who made the EPA registration on behalf of the apprentice, and it should be noted that the Appeal cost will be invoiced back to the training provider/employer who made the registration. Employers/Training Providers should gain the consent of the apprentice before submitting any Appeal.

To request an Appeal, the Training Provider or Employer should complete the relevant boxes on the EPA Enquiries and Appeals form ([Appendix A](#)).

The form should be completed in full and provide clear details of why they believe that an Appeal should be considered. Please note that Appeal applications without clear details may not be accepted. Appeals should be supported by relevant evidence, where appropriate.

Completed forms should be emailed directly to [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk) with the subject line clearly stating EPA Appeal.

## 2.3 EPA Assessment Decision Appeal Stages

**2.3.1 Stage 1** - the areas of concern in the original End-Point Assessment are reviewed by one of CMI's EPA Internal Quality Assurance colleagues who will make a recommendation. This recommendation will be sent to a CMI Quality Manager to agree on a final decision.

**2.3.2 Stage 2** - should the appellant remain dissatisfied with the outcome of the Stage 1 procedure, they have a right to submit an application to progress to Stage 2. Stage 2 appeals will review the process and outcome decision of the Stage 1 procedure and will be undertaken by qualified independent employees of CMI<sup>1</sup>. This recommendation will be sent to a CMI Senior Quality Manager to agree on a final decision.

**2.3.3 Escalation** - if, after Stage 2 concludes, the appellant still believes that CMI has not followed its processes and/or procedures fairly and consistently, they are able to raise the matter with the relevant External Quality Assurance organisation.

## 2.4 Timescales for EPA Assessment Decision Appeals

All Stage 1 Appeals must be submitted to CMI within 10 working days of the overall grade being awarded.

CMI will acknowledge receipt of the Stage 1 Appeal within 5 working days, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

The outcome of an Appeal about results and/or decisions could be:

- no change to results or decision
- change to results or decisions which could be either positive or negative
- an offer to the apprentice to resit part, or all, of their EPA as a result of any disadvantage being established.

All Stage 2 Appeals must be submitted to CMI within 10 working days of CMI issuing the outcome of the Stage 1 Appeal.

CMI will acknowledge receipt of the Stage 2 Appeal within 5 working days, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the Appeal response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

The outcome of a Stage 2 Appeal about results and/or decisions could be:

- no change to results or decision
- change to results or decisions which could be either positive or negative
- an offer to the apprentice to resit part, or all, of their EPA as a result of any disadvantage being established.

Where results and/or a decision change as a result of appeal at either stage, CMI will:

- amend their Training Provider/Employer and/or apprentice records accordingly;

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<sup>1</sup> An independent CMI employee refers to someone who was not involved in the original end-point assessment decision and has the required qualification(s), and/or competence, experience and knowledge of the apprenticeship standard.

- investigate reasons for change through our robust internal quality assurance;
- review and make any necessary corrections to our systems and processes to ensure no recurrence, and make sure no other apprentice is affected by the same or similar issue.

For each stage, CMI will notify the Training Provider/Employer of the outcome in writing.

### **3. GENERIC APPEALS**

#### **3.1 Generic appeal about any other decision formed by CMI EPA**

There may be occasions when Training Providers, Employers or Apprentices are unhappy with other decisions formed by CMI in relation to EPA, such as a decision relating to reasonable adjustments or special consideration; or the outcome of an EPA malpractice investigation. If a Training Provider, Employer or Apprentice is unhappy with any decision that affects an apprentice, they may submit an appeal against that decision.

The appeal will be conducted by a Quality Assurance colleague and other appropriate colleagues within the EPA team who were not involved in the original decision(s) and who do not have a personal interest in the appeal outcome. They will, however, be experienced in all applicable processes, procedures and policies.

There is no cost for Appeals about these other decisions.

#### **3.1 How to Submit an Appeal (Generic - not related to EPA Assessment Decisions)**

To request a generic appeal, the Training Provider, Employer or Apprentice should complete the relevant boxes on the EPA Enquiries and Appeals form ([Appendix A](#)).

The form should be completed in full and provide clear details of why they believe that a generic appeal should be considered. Please note that generic appeal applications without clear details may not be accepted. Generic appeal requests should be supported by relevant evidence, where appropriate.

Completed forms should be emailed directly to [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk) with the subject line clearly stating Generic EPA Appeal.

#### **3.2 Timescales for Generic Appeals**

All generic appeals must be submitted to CMI within 10 working days of CMI issuing the end-point assessment results.

CMI will acknowledge receipt of the enquiry within 5 working days, and pass it to the CMI Quality Assurance Team who will normally provide a written response within 20 working days.

Please note that in some cases, particularly when the case may be complex, the enquiry response may take longer than the specified timescale(s). In such instances, CMI will advise the enquirer of the reasons why and the revised timescale.

The outcome of an enquiry about results and/or decisions could be:

- no change to results or decision
- change to results or decisions which could be either positive or negative.

#### **4. Acceptance of Enquiries/Appeals**

CMI reserves the right to reject an enquiry or appeal. The decision whether or not to accept the application for an enquiry/appeal is based on:

- whether the enquiry/appeal as submitted is properly constituted as outlined in this policy document;
- whether any other relevant / required process has first been completed;
- whether a review of results has already been conducted during an investigation that has already been conducted within another process, such as malpractice;
- whether there is evidence that our relevant policies and procedures have not been properly and fairly applied;
- the timescale of the application.

If an application for an enquiry/appeal is not accepted, the reason(s) for this will be provided in writing within 20 working days. If we agree the enquiry/appeal is properly constituted, we will arrange for the appropriate persons to review the enquiry/appeal.

#### **5. Policy Review Arrangements**

We will review this policy annually as part of our self-evaluation arrangements and revise it in line with any feedback from customers, learners, regulatory authorities or external agencies, or changes in our practices.

#### **6. Contact Us**

If you have any queries about the contents of the policy, please contact our Awarding Body Team via email at [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk) or via post to:

Chartered Management Institute  
Management House  
Cottingham Road, Corby  
Northamptonshire, NN17 1TT

Every effort has been made to ensure that the information contained within this policy is true and correct at the time of publication. However, CMI products and services are subject to continuous development and improvement and the right is reserved to change products and services from time to time. CMI cannot accept responsibility for any loss or damage arising from the use of the information in this policy.

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Charity registered in Scotland number SCO38105



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## Appendix A

### CMI End Point Assessment Enquiry/Appeal Form

**\*\* Please complete in conjunction with reading the EPA Enquiries and Appeals Policy Document \*\***

<b>Your Name:</b>  <b>Your organisation:</b>	<hr/> <hr/> <hr/>	<b>Your Role:</b> <i>(please tick as appropriate)</i>  <b>An Apprentice</b> <input type="checkbox"/> <b>Apprenticeship Training Provider</b> <input type="checkbox"/> <b>Employer of an Apprentice</b> <input type="checkbox"/>
<b>Apprentice Name</b> <i>(where different from above)</i>  <b>Apprentice ULN:</b>	<hr/> <hr/> <hr/>	<b>Is this an:</b> <i>(please tick as appropriate)</i>  <b>Enquiry</b> <input type="checkbox"/> <b>Appeal Stage 1</b> <input type="checkbox"/> <b>Appeal Stage 2</b> <input type="checkbox"/> <b>Generic Appeal</b> <input type="checkbox"/>

#### SECTION 1: ENQUIRIES

##### ***Enquiry about EPA Results***

*Please provide details below about why you believe an enquiry into the EPA Results should be considered. Give as much detail as possible, including the name of the apprentice, the Standard that was being assessed and the date of the live assessment. Supporting evidence can also be submitted, where appropriate. Enquiries into EPA Results can be submitted by apprentices, apprentice employers or apprenticeship training providers.*

*Once completed, please move to [Section 4](#).*

## SECTION 2: APPEALS - END-POINT ASSESSMENT DECISIONS

### Appeals about EPA Assessment Decisions

#### **Stage 1 Appeal**

*Please provide details below about why you believe an Appeal into the EPA Decision should be considered. Please refer to [Section 2 of the CMI EPA Enquiries and Appeals Policy](#) for details about what constitutes appropriate grounds for an appeal. Give as much detail as possible, including the full name of the apprentice, the Standard that was being assessed and the date of the live assessment. Supporting evidence should also be submitted, where appropriate. Appeals into EPA Results can only be submitted by apprenticeship training providers or apprentice employers, with the consent of the apprentice. There is a cost to a Stage 1 Appeal of £250.*

*Once completed, please move to [Section 4](#).*

## **Stage 2 Appeal**

**\*\* NB: Stage 1 must be completed, and the outcome determined, before moving to Stage 2. \*\***

*Please provide details below about why you believe moving to Stage 2 of an Appeal into the EPA Decision is appropriate. Please refer to [Section 2 of the CMI EPA Enquiries and Appeals Policy](#) for details of the different stages. Give as much detail as possible about why you feel there is a need to proceed to Stage 2, including the full name of the apprentice, the Standard that was being assessed and the date of the live assessment. Supporting evidence should also be submitted, where appropriate. Appeals into EPA Results can only be submitted by apprenticeship training providers or apprentice employers, with the consent of the apprentice.*

*Once completed, please move to [Section 4](#).*

## SECTION 3: GENERIC APPEALS

### 3.1 Generic appeal about any other decision formed by CMI EPA

*If the appeal does not relate to an end-point assessment decision, then please describe the nature of the appeal below e.g. reasonable adjustment decision, malpractice/ maladministration decision. Please provide details below about why you believe an appeal should be considered. Give as much detail as possible, including the name of the apprentice and the Standard that is being assessed. Supporting evidence can also be submitted, where appropriate. Generic appeals can be submitted by apprentices, apprentice employers or apprenticeship training providers.*

*Once completed, please move to [Section 4](#).*

## SECTION 4: CONTACT DETAILS AND SIGNATURE

Signature of the individual completing the form:

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Date of signature:

If appealing on behalf of an apprentice, do you have their consent?      YES         NO  

Contact email address to use for response:

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Contact telephone number:

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Are you supplying additional supplementary evidence in support? (if yes, please list any documents below)

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Please submit this form, and any other supporting evidence, via email to [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk). You will receive acknowledgement of receipt within 3 working days and a written response within 20 working days. Should any further information be required, a member of CMI's Quality Assurance Team will be in touch using the details given above.