



# Candidates Appeals Process

## 1. PURPOSE

If a candidate does not agree with a trainer's or an assessor's decision after a training or assessment event, that candidate has the right to appeal.

This process also applied to any candidate who has reason to have been unfairly treated or is unhappy with the company's training and assessment process.

## 2. SCOPE

The scope of this process applies to all Doctore On Track Training Services Ltd's sponsored staff and any external candidates attending Doctore On Track Training Services Ltd training and assessment courses.

## 3. OBJECTIVE

The objective of this process is to ensure all candidates attending a training course or undertaking an assessment understand they have the right to appeal and how to appeal if they do not agree with the trainer and assessor's decision.

## 4. PROCEDURES

For NSAR appeals procedures see Appendix A

For SQA appeals procedures see Appendix B

For CPCS/NPORS procedures see Appendix C

Signed

A handwritten signature in black ink, consisting of several overlapping, stylized strokes.

Managing Director  
31st December 2024



## 5. APPENDIX A

### PROCEDURE (NSAR)

This process shall be:

- given to all candidates prior to any course or assessment event as part of the Joining Instructions
- briefed out to all candidates before the commencement of training or assessment and candidates shall sign the course register confirming briefing and understanding of this process
- be displayed at the training location

Upon completion of all training and assessments, candidates shall be given their decision and also have opportunity to express their comments on the training and assessment event including any areas for improvements by completing a Course Review Feedback Questionnaire (OTP/F/004).

If for any reason a disagreement has occurred between the candidate and the trainer/assessor's decision or there is cause for unfair treatment, then the following steps shall be undertaken:

#### 5.1. Step 1

1. The candidate shall inform the Trainer/Assessor at the time of the event that they wish to make an appeal.
2. This shall take place verbally between the candidate and the trainer/assessor in an attempt to resolve the matter
3. If resolved, a note shall be made on the course register and the matter can be closed immediately
4. If it is not resolved, the candidate has the right to proceed to the Step 2

#### 5.2. Step 2

1. The appeal shall be handled by the Training Manager
2. The candidate shall be required to submit an appeal in writing within 3 working days of the appeal having been initially raised
3. The Training Manager shall make consideration of the appeal in line with the Trainer/Assessor's training and assessment records as well as a written record of the verbal conversation carried out in Step 1
4. The Training Manager shall respond to the candidate in writing, giving the Training Managers decision and justification in reaching that decision
5. If the candidate remains dissatisfied, the candidate has the right to escalate the appeal to Step 3

#### 5.3. Step 3

1. The appeal shall be handled by the Managing Director
2. The candidate shall be required to submit an appeal in writing within 7 working days of receiving the decision from the Training Manager
3. The Managing Director shall convene a panel of suitably qualified and experienced independent personnel i.e. IV to assist in reaching a final outcome
4. The final outcome will be completed and communicated to the candidate within 30 days of receipt of the Step 3 appeal
5. Doctore On Track Training Services Ltd recognises that it is the right of the candidate to use the CIRAS system, NSAR or Network Rail to make direct complaints regarding training and assessment.



## 6. APPENDIX B

### PROCEDURE (SQA)

#### 6.1. Step 1 - Verbal appeal

1. If a candidate deems that an assessment decision made by their assessor is unfair, the candidate shall firstly verbally inform the assessor at the time of the decision setting out their reasons for dissatisfaction and detailing the areas where the candidate deems have not been fairly assessed.
2. The ongoing assessment, review and action plan shall clearly state the areas where the assessor considers the candidate is required to collect further evidence and identify a clear plan to the learner detailing how evidence must be identified.

#### 6.2. Step 2 - Appeals report form

1. If the candidate is still aggrieved following the assessor's explanation, an appeals report form (Appendix 1) shall be completed and handed to the assessor in a sealed envelope marked 'CONFIDENTIAL' for submission to the IQA.
2. The assessor will verbally acknowledge receipt of the appeals report form and will submit it to the IQA with the following documentation;
  - All evidence put forward by the candidate for the assessment under question
  - The ongoing assessment, review and action plan
3. The IQA typically makes a decision within 3 working days of the assessment taking place and shall provide clear written feedback directly to the learner using the appeals report form.

#### 6.3. Step 3 - Referral to IQA or Centre Manager

1. If the IQA cannot reach a decision on the basis of the information given, or if the candidate does not accept the final decision, it will be referred to the Centre Internal Quality Assurer or Centre Manager.
2. If the grievance is resolved and the candidate accepts the decision then no further action will be taken. A record will be forwarded to and kept by the Centre Manager.
3. If the appeal is unresolved or if the IQA cannot agree on its resolution, the matter will be dealt with by the Centre Manager. Before following this process, the Centre Manager will;
  - Check that the candidate is satisfied that all the relevant information is contained within the original appeals report form (by reading this to the candidate if necessary). If the candidate is not satisfied the Centre Internal Quality Assurer should obtain a second appeals record form to expand on the information given by the candidate.
  - Check that the candidate has the name and contact point of the Centre Manager
  - Send all the relevant evidence, assessment records/plans and the appeals report form to the Managing Director
  - Attach a report written by the Centre Manager to explain reasons for upholding the assessor's decision
4. The Managing Director will make a decision within three weeks of receiving information from the IQA. A meeting shall be arranged to meet with the candidate, assessor and IQA concurrently and make a decision based on interviews and the paperwork supplied. A verbal decision shall



be given to the candidate and this shall be followed up with a written summary as soon as is reasonably practical.

5. The final stage of appeal, if the learner is still aggrieved with the Managing Director's decision, is to refer the matter directly to the awarding bodies Quality Adviser.

#### 6.4. Step 4 - Appealing to the awarding Body

1. In order to make an appeal to the awarding body the candidate must have exhausted the centres appeals process and must be able to provide evidence of this. Candidates are only expected to appeal in exceptional circumstances and the centre shall aim to resolve issues using the internal appeals procedure as outlined above.
2. The process is:
  - Candidates shall submit appeals to an SQA director, in writing, within 15 working days of receiving written notification from their centre on the outcome of the appeal. The letter shall be sent to the SQA office at SQA, The Optima Building, 58, Robertson Street, Glasgow, G2 8DQ, and shall be clearly marked as an appeal.
  - The appeal must include a written account of why the candidate deems that the centres decision is wrong and must include the candidate's evidence to support their case.
  - The SQA director considering the appeal may seek additional information to assist their review of the case. They may consult experienced subject specialists who were not involved in the original decision when considering appeals against assessment judgement to help review the evidence.
  - The SQA director will inform the candidate and the centre in writing of the decision within 15 working days of receiving all the information relevant to the appeal and will give reasons for the decision.
  - SQA will deal with the appeal as quickly as possible. If for any reason, the matter cannot be resolved within this period, SQA will keep the candidate informed of progress.
  - A record of all appeals will be kept by the Centre Manager.



## PROCEDURE (CPCS/NPORS)

This process shall be:

- Briefed to all candidates prior to any course or assessment event as part of the Induction
- be displayed at the training location
- made available to any member of the public upon request

Upon completion of all training and assessments, candidates shall have opportunity to express their comments on the training and assessment event including any areas for improvements by completing a Course Review Feedback Questionnaire. For all minor complaints and grievances, the Course Review Feedback Questionnaire shall be the normal route for registering a complaint/grievance.

If your appeal is against the outcome of a CPCS/NPORS Technical Test or On-site Assessment, please in the first instance contact the CPCS/NPORS Accredited Centre where the CPCS/NPORS Technical Test or On-site Assessment was undertaken, and the following steps shall be initiated:

### 6.5. Step 1

1. The candidate shall inform the CPCS/NPORS Accredited Centre that they wish to make a complaint/grievance. Members of the public shall register their complaint /grievance with office personnel.

### 6.6. Step 2

2. The complaint/grievance shall be handled by the Training Manager
3. The complainant/aggrieved person shall be required to submit an appeal in writing within 3 working days of the complaint/grievance having materialised
4. The Training Manager shall make consideration of the complaint/grievance in line with available information and investigate as necessary.
5. The Training Manager shall respond to the complainant/aggrieved person in writing within 10 working days
6. If the complainant/aggrieved person remains dissatisfied, the individual has the right to escalate the appeal to CPCS/NPORS.

### 6.7. Step 3

7. If the CPCS/NPORS team are unable to resolve the appeal, it will then be referred to an Appeals Panel, appointed by the CPCS/NPORS Employer Engagement Group, for a final decision.

Any other CPCS/NPORS card appeals, or disputes should be submitted by email to: [CPCS@Jobcards.org](mailto:CPCS@Jobcards.org) OR [info@npors.com](mailto:info@npors.com) respectively with three pieces of candidate information.