



Policies and Procedures

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Appeals Procedure

We aim to give everyone an excellent experience when dealing with A2A Training.

This policy is applicable to all candidates using our services, training providers and colleges, and may also support staff in understanding how to process appeals.

We welcome your comments, suggestions, and feedback about the service you have experienced. Although many issues can be dealt with less formally, this policy provides a formal route for dealing with a decision with which you disagree. All candidates have the right to challenge the assessment decision made by an assessor.

All apprentices have the right to challenge the decision of the assessor, internal verifier or IQA

This procedure is applicable to all candidates who have been assessed with us for qualifications through Highfield.

We cannot be held responsible for any appeals in relation to their training providers' assessment decisions, internal or external quality assurance procedures, or other decisions not made by us.

We aim to ensure that:

Making an appeal is as easy as possible

The review is conducted in a fair, reasonable and legal manner, ensuring that all relevant information is considered without bias

We deal with it as promptly as possible, politely and, when appropriate, confidentially

We respond in the right way, for example, by giving you an explanation or an apology where we have got things wrong, and letting you know what action we've taken

We learn from appeals that were upheld and use them to improve our service

Appeals are dealt with by someone not involved in the original assessment decision

Appeals may be made against a range of issues relating to A2A Training's decisions:

Results of assessments – decisions made by the A2A Training including Pass/Fail/Merit/Distinction grades if appropriate
Where we decline a request for reasonable adjustment or special considerations

Some things that cannot be appealed include:

Items submitted to us more than 20 working days after the key date (depending on the nature of the appeal)
Issues that took place before the centre received the learner's registration or after the learner's registration period has expired
Issues that have been or should be dealt with under an employer's disciplinary or grievance procedure
Issues involving the training provider or college
Issues involving points of law
Issues that took place prior to our involvement

Candidates Appeals Procedure

1. The following steps are to be followed if a candidate wishes to appeal against an assessment decision:
 - a. Phone or email us to discuss your concerns or complete the form at the end of this policy
 - b. We will log all appeals or complaints and aim to resolve as quickly as possible
 - c. If the appeal is in relation to a potential grade change a fee is payable
 - d. Apprentices should seek support from their training provider, if possible, in advance of any appeal or complaint but this is not mandatory
 - e. We reserve the right to charge a fee of up to £300 for remarks, where the re-mark result is in the favour of the appellant, we will refund the fee in full within 7 working days of the outcome
 - f. Where a results query is received, all original assessment materials will be directed to an assessor who has not been involved in the original assessment to make an independent decision
 - g. This will then be referred to the independent compliance manager.
 - h. This result is then final and further correspondence will not be entered into in relation to results (our complaints policy can then be used if needed)
 - i. Queries and complaints will be handled effectively and as quickly as possible, we aim within 7 working days of receipt but reserve the right to investigate, and provide a response within 60 working days where this may be of a complex nature
 - j. We reserve the right NOT to progress with an appeal where there is not a clear and complete application
 - k. We will inform IfATE and/or Ofqual, Ofsted, Highfield, other relevant organisation if required and co-operate with any investigation deemed necessary by them
 - l. **Learners/other complainants must escalate their complaint or appeal to the Awarding Organisation before they can escalate to the qualification regulator**

Note

Comprehensive records will be made of any appeal and subsequent actions and findings in line with due process and procedures. All will be recorded in SMT meeting minutes and open to the board of governors.

Ofqual Learners registered on any regulated qualification have a further right of appeal to Ofqual. However, the regulator requires that A2A Training's appeals process is exhausted first.

Refer to <http://ofqual.gov.uk/complaints-and-appeals>

Scottish Qualifications Authority (SQA) Learners registered on a Scottish Vocational Qualification that is regulated by the Scottish Qualifications Authority (SQA) have further right of appeal to the SQA.

Escalating Appeals

Appeals should first be sent to the address below for A2A Training. Appeals can also be made via email to Info@a2atraining.co.uk and must be clearly marked as such.

Applicability

This policy is applicable to all candidates using our service, training providers and colleges, and may also support staff in understanding how to process appeals.

Types of appeal may include:

Appeals of varying nature from providers, apprentices, candidates, or employers

Appeals in relation to the grade awarded or completeness of portfolios of evidence

Appeals relating to our decision to decline a request to make a reasonable adjustment or give special consideration

Appeals relating to a decision following an investigation into malpractice or maladministration or other such query

Appeals in relation to the types of evidence we will accept

This list is not exhaustive and there may be other examples where this policy is applicable

Some things that cannot be appealed include:

Appeals made more than 20 working days after the event date or relevant event leading to the appeal

Issues that may have occurred prior to the candidates's interaction with us

Issues that have been or should be dealt with under an employer's disciplinary or grievance procedure

Issues involving points of law

Issues relating to any part of the qualification (such as an apprenticeship) that we have not been involved in

Issues involving the training provider, employer, or college

This list is not exhaustive and there may be other examples where appeals may not be relevant under this policy

Overview of our appeals process:

Fee for appeals	<p>There are no charges for appeals, other than there is a £300 fee for an appeal that relates to a grade change. This is non- refundable if the appeal is unsuccessful</p> <p>We will refund the fee in full following the outcome of an appeal where a result is higher than initially awarded, or in the case of other successful appeals at the discretion of the Director and/or Quality Assurance Manager</p>
Timelines	<p>Appeals must be received in writing within 20 working days of the event which is being appealed about (e.g., The date of the assessment or EPA event). All appeals should be submitted using the form at the end of this document</p>
Appeals must be made in writing to	<p>info@a2a-training.co.uk</p>
Format of appeals	<p>All appeals must be sent to us using the form provided within this policy</p> <p>If there is an instance when this cannot be done, please email any queries to info@a2a-training.co.uk</p>
Appeal reviewer	<p>Appeals are dealt with our Compliance Manager, who will review the nature of the appeal, investigate fully, and ask for subject matter experts, other suitable staff, assessors or IEPAs not involved in the original decision (as required) to review evidence again, including, but not limited to a full remark, reassessment, and QA</p>
Informing other organisations	<p>We will inform IfATE and/or Ofqual, Ofsted, AO (Highfield) or other relevant organisation</p>

	if required and co-operate with any investigation deemed necessary by them, in writing and as soon as practical
Incomplete applications	We reserve the right NOT to progress with an appeal where there is not a clear and complete application
Apprentice approval for an appeal	Our Independent Compliance Manager will contact the apprentice, prior to any appeal being investigated to gain approval to proceed in writing and inform the apprentice that grades can be downgraded as a result of a re-assessment. We will accept this via email
Payment of fees for appeals	Upon receipt of a request to invoke the appeal process we will invoice the training provider, appellant, or their employer or other representative and the appeal fee needs to be paid within 7 working days
Refunded fees following a successful appeal	The appeal fee will be refunded in full if the appeal is successful, for example if a grade is increased. We will refund within 7 working days of the close of the appeal. An example of a successful appeal could be one where a grade has been increased from a pass to a distinction. Outcomes are final
Acknowledgement of appeals	We aim to acknowledge receipt of the appeal within five working days via email or letter
Formal recording of all appeals	We will log all formal complaints centrally
Providing progress updates	Appeals can be complex and may require gathering additional expert opinion and a full investigation. We aim to give an update on the appeal with 10 working days.
Outcome of appeals	Due to the complex nature of appeals we will respond formally and finally within 60 days. Our decision will be final

Complaints

Please refer to our complaints procedure if required

Appeals that cannot be resolved by us:

We have an arrangement in place with QTS Global, who have agreed to be our independent organisation to review any complaints or appeals in the instance that this is something we cannot solve in the first instance. QTS global are on the RoATP and are a long-established apprenticeship training provider, rated 'GOOD' by OFSTED. With approval from the complainant, apprentice and/or training provider as applicable, and in accordance with GDPR we will send all details of the complaint via email and abide by their recommendations for solutions/outcome as well as implement suitable and practical changes to our processes and procedures if needed.

QTS Global can be contacted via their website:

[QTS Global – Quality Training Solutions \(qts-global.co.uk\)](http://qts-global.co.uk)

Annex A: Candidate Appeal Form

Candidate Appeal Form

£300 fee for appeals about grades. If a grade is increased because of the enquiry, the £300 fee will be refunded. This must be paid prior to the re-assessment of the qualification or EPA. Please note, grades can go down as well as up as a result of an appeal. All Enquires will be completed within 60 working days of receipt. Please email in the first instance

info@a2atraining.co.uk

Candidate name			
Qualification/course title and level:			
Elements which are subject to appeal if applicable			
Date of event:			
Training provider name if applicable			
Assessor name if known:			
IQA name if known:			
Appeals panel name/s			
Any other information			
Summary of reason for appeal			
Please note that because of an appeal grade can go down or up.			
Apprentice Signature:		Date:	
Training providers' or employers supporting statement for the appeal if applicable			
Training Provider signature:		Date:	

Appeal received by A2A Training	Name	Date:	
Appeals panel comments – to be completed by a member of the Appeals Panel Outcome Refund of fees Y/N and accounts dept advised			
Appeals Panel Signature:		Date:	
External Verifier Signature if applicable		Date:	

Appeal Investigation Form

Appeal details	
Appeal dealt with by	
Date of responses at each stage of appeal	
Overview or notes	

All correspondence signposted/dates etc.	
Outcome and next steps if applicable	



Putting learners needs first

Customer Service and Complaints Policy/Procedure

Purpose

The purpose of this policy is to outline our policy and intentions regarding customer service and complaints. The policy will outline the complaints procedure and how a formal and informal complaint can be raised to A2A Training. This policy should also be read in conjunction with the following policies:

- Malpractice and Maladministration Policy
- Conflict of Interest Policy
- Reasonable Adjustments and Special Considerations Policy
- Whistleblowing Policy

- Appeals Procedure

Formal complaints process overview

Complaint received (should be received within 20 working days of the event being complained about). This should be submitted using the form at the end of this document

Passed to Elizabeth Thomas (compliance manager)

We aim to acknowledge receipt of the complaint within 5 working days via email or letter

We will log all formal complaints centrally

We will formally acknowledge and give an update on the complaint with 10 working days

Full review of the complaint and response in writing within 21 working days

Introduction

The overriding aim of A2A Training is to provide quality customer service for Apprentices, training providers and any other company stakeholders.

When dealing with learners, employees, staff and visitors, we will:

- Welcome everyone in a courteous and helpful manner
- Be always polite and respectful
- To put the needs of apprentices first
- Communicate clearly and concisely, with correct information.
- Ensure that each person is treated sensitively
- Endeavour to meet individual needs
- Provide regular training and standardisation for all Assessors
- Hold regular meetings to ensure progress, accuracy, consistency, and standardisation of work
- Be welcoming and supportive to Apprentices, assessors, training providers and other visitors online or face to face
- Gather feedback from Employers and apprentices in relation to the assessment experience as required
- Welcome suggestions from the external quality assurers, Ofqual, training providers, and assessors regarding how we can improve
- Ensure all Apprentices have access to the Appeals Procedure

To provide a welcoming environment, we will aim to:

- Respond quickly to queries
- Provide an appropriate learning environment if appropriate
- Provide a meeting room or online links if required and subject to availability

To ensure that these standards are met, we will:

- Survey service users for feedback as required
- Put systems in place to continuously improve our service
- Keep Apprentices, training providers and employers up to date with any changes to proposed dates of assessment, training or EPA as appropriate

Relevance

This policy is relevant to all staff engaged in the delivery of any qualifications or EPA with A2A Training.

Responsibilities

It is the responsibility of all persons, when involved in the delivery of qualifications or End Point Assessment and other associated activities to:

- Welcome everyone in a courteous and helpful manner
- Be always polite and respectful
- Communicate clearly and concisely, with correct information.
- Ensure that each person is treated sensitively
- Endeavour to meet individual needs
- Attend regular training and standardisation as required as part of job roles/responsibilities
- Hold regular meetings to ensure progress, accuracy, consistency and standardisation of work
- Be welcoming and supportive to Apprentices, assessors, training providers, other team members and any visitors to the centre
- Welcome and take on board feedback for improvement when applicable
- Welcome suggestions from the external quality assurers, training centres we work with and assessors regarding centre improvement
- The assessor is responsible for ensuring all company policies and procedures are always adhered to
- The assessor allocated to the learner must ensure all Apprentices have access to the Appeals Procedure
- All Apprentices will be asked to complete a feedback form following their training course or EPA

Complaints Process

It may be the case that complaints can be managed informally. At first instance, complaints should be lodged by email to the Director or compliance manager. If the complaint can be easily resolved, then escalation is not necessary. Email info@a2atraining.co.uk.

Learners/other complainants must escalate their complaint or appeal to the Awarding Organisation before they can escalate to the qualification regulator

Initial Complaints – informal process

We are happy to take calls or informal emails to discuss any queries and help support you or to come to a mutually acceptable resolution when possible. Training providers and apprentices are welcome to call or email our t beam, who will be more than happy to investigate informal queries. Our website has an easy-to-use contact form, which can also be used for queries following the link below:

www.A2Atraining.co.uk

Complaints should be made within 20 working days of the date of the event.

Escalated Complaints

If a complaint cannot be resolved informally then complaints should be sent in writing to: info@a2atraining.co.uk

Complaints will be investigated by the Elizabeth Thomas (independent compliance manger) or a senior member of the team, normally the QA for the standard.

The written complaint should detail the Apprentice and Training provider name, contact details and the nature of the complaint. Escalated complaints and the outcome will be recorded on the complaints log. Complaints will be managed by our director or Head of Quality. In the rare instance where a complaint is in relation to the Director, this will be allocated to a senior IQA to conduct an independent review.

A2A Training will provide a written response to all complaints received in writing within 7 working days of receipt and aim to come to a resolution, where possible, within 28 days.

Ofqual Learners registered on any regulated qualification have a further right of appeal to Ofqual.

However, the regulator requires that A2A Training's appeals and complaints processes are exhausted first.

Refer to <http://ofqual.gov.uk/complaints-and-appeals>

Learners/other complainants must escalate their complaint or appeal to the Awarding Organisation before they can escalate to the qualification regulator

Scottish Qualifications Authority (SQA) Learners registered on a Scottish Vocational Qualification that is regulated by the Scottish Qualifications Authority (SQA) have further right of appeal to the SQA.

Learners registered with Highfield, may also refer to their website, but please ensure our processes are exhausted in the first instance.

Please also refer to our Appeals Procedure if applicable.

Where one of the EQA bodies notifies us of a complaint, we will follow the same process. We will review our procedures as required. If it is a process-based complaint we may implement suitable changes following an internal review or investigation.

Complaints that are upheld: Following investigation, should any part of your complaint be upheld, we shall apologise and when needed, look to review processes, procedures, and staff training. We will take corrective action when needed as detailed in the outcome of the investigation and put all reasonable measures in place to prevent a similar occurrence.

We will, if applicable, take actions, such as informing the relevant quality assurance body/regulator (where required) and/or take practical steps to make corrections when needed

Simple and professional complaints process

We will use reasonable endeavours to:

- encourage clients, customers, and apprentices to come forward with feedback both positive and otherwise
- be positive in respect of complaints and view them as a way to improve our service and to provide the best possible, impartial and fair, experience for apprentices or other students
- deal with complaints in a supportive and professional manner
- make the complaints process simple and easy

- encourage fairness, impartiality, and the resolution of complaints as reasonably promptly and as close as possible to the source of the complaint

Complaints brought to our attention by External Quality Assurance (EQA) or Ofqual

Where one of the EQA bodies notifies us of a complaint, we will follow the same process. We will review our procedures as required. If it is a process-based complaint we may implement suitable changes following an internal review or investigation.

We may inform, when necessary external bodies such as Ofqual via the portal, or via email any complaints we feel may be necessary to inform them of and within the scope of our compliance regulations.

Complaints that are upheld

Following investigation, should any part of your complaint be upheld, we shall of course apologise and when needed, look to review processes, procedures, and staff training. We will take corrective action when needed as detailed in the outcome of the investigation.

We will, if applicable, take actions, such as informing the relevant quality assurance body/regulator (where required) and/or take practical steps to make corrections when needed.

Complaints that are not upheld or partially upheld

Not all complaints are upheld and if we do not agree with your complaint, we will write to you detailing the reasons your complaint has not been upheld. If you disagree with the decision, please write to us explaining the reasons. This will be reviewed by a senior member of staff who will consult with others, as necessary. That outcome will be final unless the complaint is about a matter that can be appealed. If you wish to appeal under the jurisdiction of our appeals policy, please follow the arrangements which are outlined in our Appeals Policy

Types of complaint could be, but are not limited to:

Results or grades awarded
Customer Service
Fees
Funding
Re-takes or re-sits
Conflict of Interest
GDPR
Quality Assurance
Our website
Incorrect advice
Assessor

Appendix 1

Complaint Form

To be completed by the Apprentice, Training Provider, Employer, or other relevant stakeholder

Name and contact details of person(s) raising the complaint (please include name, phone number, email)	
Relationship to the apprentice if an employer/provider	
Date of event leading to complaint	
Candidate/Apprentice Name	
Employer name and contact details	
Training Provider name and contact details	
Apprenticeship Standard	
Date of event if applicable	
Name of staff involved if applicable/known	

Please provide details of the complaint	
Any other information you could give to help support us in dealing with your complaint	

Please let us know what the complaint relates to. Tick all that apply:

Reason for complaint	Tick if applicable	Notes if required
Results or grades awarded		
Customer Service		
Fees		
Funding		
Re-takes or re-sits		
Conflict of Interest		
GDPR		
Quality Assurance		
Our website		
Incorrect advice		
Assessor		

Is this a whistle-blower or anonymous complaint? If so, please provide details

Appendix 2

Client Complaint Investigation Form

Complaint details	
Complaint Investigated by	
Date of responses at each stage of complaint	
Overview of complaint	
All correspondence signposted/dates etc.	
Outcome and next steps if applicable	

Complaints Log

Person Raising Issue	Date	Nature of Complaint	Actions to be taken/Reported to	Outcome



Malpractice/Maladministration Policy (including sanctions)

This policy should also be read in conjunction with the following policies:

- Complaints Policy
- Conflict of Interest Policy
- Reasonable Adjustments and Special Considerations Policy
- Whistleblowing Policy
- Appeals Procedure

The purpose of this policy is to outline our policy and intentions in relation to malpractice and outlines any required sanctions

Investigation process for malpractice or maladministration

All investigations carried out by Elizabeth Thomas, Independent Compliance manager

A full investigation will be conducted when necessary.

Following an investigation, a report will be produced and be made available to all parties; we endeavor to remain open and transparent throughout the investigation. All investigations will be made available to the Governance board and reviewed in meetings as appropriate and the SMT will be informed. We will keep a log of all investigations and/or on the SMT and governance meeting minutes

The compliance manager will review all the evidence as part of the investigation and take advice from suitable persons/organisations when needed (in line with confidentiality and GDPR requirements)

The investigation may include the following, however this list is not exhaustive

- Telephone calls or visits to establish facts
- Review and collect documentation and review of evidence
- Conduct interviews if required
- Check all the evidence and submit a report to the SMT and Governance board

We ensure that all reviews are conducted by impartial person(s) and in most cases this will be the Compliance Manager. In the unlikely event an investigation is about this person, then the Director or other impartial member of the team will conduct the investigation

Our Aim.

- To identify and minimise the risk of malpractice by staff or learners.
 - To respond to any incident of alleged malpractice promptly and objectively.
 - To standardise and record any investigation of malpractice to ensure openness and fairness.
 - To impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) of malpractice are proven.
 - To protect the integrity of the centre and qualifications
-
- We ask learners to declare that their work is their own.
 - We will conduct an investigation in a form commensurate with the nature of the malpractice allegation if needed. Such an investigation will be supported by the Director and Senior IQA and all personnel linked to the allegation as required
 - We will make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences and/or sanctions should malpractice be proven.
 - Give the individual the opportunity to respond to the allegations made.
 - Inform the individual of the avenues for appealing against any judgment made via our appeals procedure
 - Document all stages of any investigation.
 - Repeated maladministration can be treated as malpractice at the discretion of the Governance Board.

Definition of Malpractice by Learners

- Plagiarism of any nature.
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work.
- Copying (including the use of ICT to aid copying).
- Deliberate destruction of another's work.
- Fabrication of results or evidence.
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.
- Obtaining of test materials illegitimately

Definition of Malpractice by Centre Staff

- Improper assistance to candidates.

- Inventing or changing marks for internally assessed work (coursework or portfolio evidence/knowledge tests for example) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made.
- Failure to keep candidate coursework/portfolios of evidence secure.
- Inappropriate retention of certificates.
- Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner.
- Producing falsified evidence, for example for evidence the learner has not generated.
- Misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment.
- Failure to comply with reasonable adjustments or special consideration approvals
- Falsifying records/certificates, for example by alteration, substitution, or by fraud.
- Fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.
- Failure to disclose conflicts of interest

Any instance of potential or actual malpractice must be reported within 2 working days to the director/senior IQA. This will be logged and investigated. We aim to respond within 7 working days but may take up to 60 working days to respond if the issue is complex and requires investigation. Apprentices' results may be invalidated if malpractice has been demonstrated/evidenced. Assessment staff may be subject to disciplinary measures as appropriate.

Definition of Maladministration

Maladministration is activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration.

Examples of maladministration - Failure to adhere to our procedures. - Persistent failure to adhere to our awarding organisation or EPAO recognition and/or policy requirements.

SLAs not met, affecting customer service/QA process. Unreasonable delays in responding to requests and/or communications from regulators, training providers, quality assurance, Directors, or apprentices. - Inaccurate claim for certificates - Failure to maintain appropriate auditable records, e.g., certification claims and/or forgery of evidence - Withholding of information, by deliberate act or omission.

Malpractice and maladministration:

Malpractice is more likely to be intentional behaviour, maladministration, more of accidental behaviour. As such sanctions in relation to malpractice are likely to higher level and more severe.

Investigation

Investigations are sent to the Compliance Manager and/or the Director (depending on the nature of the malpractice, maladministration, or other relevant query). Malpractice queries may be directed to our compliance manager, Elizabeth Thomas. A full investigation will be conducted as needed. Following an investigation, a report will be produced and be made available to all parties (including when relevant our Senior Management Team and Governance Board); we will remain open and transparent throughout the investigation whenever possible and in compliance with DPA/GDPR legislation. We ensure that all reviews are conducted by impartial person(s) and in most cases this will be the Director/Compliance Manager. In the unlikely event an investigation is about this person, then the investigation will be conducted by an independent and senior IQA.

Right of Appeal

The individual(s) concerned has/have the right to appeal against any decision(s) or sanction(s) imposed by us. Please refer to our Appeals Policy and/or complaints policy.

Potential sanctions for training providers/colleges/apprentices and/or staff

Low risk	We may refuse to end point assess the candidate
Medium Risk	Cancel an assessment activity or reject specific work
Medium Risk	Effectively cancel or invalidate the apprentice's certificate by contacting Highfield
High Risk	service removal

We will aim to complete a review of the initial complaint within 5 working days, if an investigation is required this may take longer and the informant will be updated on expected timescales (see below Formal Complaints Process Overview)

Formal complaints process overview

We follow the same timelines and basic process for investigations as complaints

Complaint /investigation received (Ideally within 20 working days of the event, however, we understand that malpractice or maladministration may come to light later and so will accept queries beyond this timeline as applicable)

We aim to acknowledge receipt of the complaint/investigation within 5 working days via email or letter

Formal complaints/investigations will be sent to Elizabeth Thomas: Compliance Manager (who has no role within assessment/QA)

We will log all formal complaints/investigations centrally

We will formally acknowledge and give an update on the complaint/investigation with 10 working days

Full review of the complaint/investigation and response in writing within 21 working days

Our Rights

We reserve the right at any time during an investigation to:

- Suspend delivery of any assessments or training
- Withhold results until the investigation is over
- Invalidate an assessment
- Require a candidate to re-sit or provide supporting evidence
- We may not agree that there is any malpractice or maladministration and refer appellants to the complaints procedure to take matters further if required

Potential sanctions for internal staff/associates

Investigation outcome	Risk	Potential Sanction(s) Examples
Maladministration or Malpractice not demonstrated or occurred	None	No further action to be taken
Maladministration or malpractice likely to have occurred	Medium	<ul style="list-style-type: none"> • Written warning • Disallowing all or part of the assessment evidence • Assessment decision recorded as a fail and a re-sit or re-take required • Refusal to conduct all or some assessment activities • Set an action plan for improvements in practice or disciplinary action • Suspension of the assessor, QA or other persons involved from any involvement in the delivery of qualifications for us • Refusal to claim a certificate • Notification to Regulators
Maladministration or malpractice demonstrated, or on the balance of probabilities, is highly likely or proven to have occurred	High	<ul style="list-style-type: none"> • Suspend staff members from any involvement in the delivery of qualifications • Notification to regulators • Invalidate an assessment • Dismissal / non-renewal of contract

Investigation Report

After the investigation, a report will be completed which will:

- Identify the breach of the regulatory conditions if any occurred
- Confirm the facts where available
- Identify who is responsible for the breach
- Confirm the appropriate remedial action, outcome, and any sanctions
- Give a summary of our findings and next steps
- All investigations will be reported to the SMT and recorded in meeting minutes and a copy of the report will be attached and retained for audit and compliance purposes

Investigation decision and outcomes: POTENTIAL SANCTIONS

Examples of potential sanctions imposed

Level 1 Low Risk	Request that a different member of staff deals with us and/or apprentices assessed by us, or we may refuse to end point assess the apprentice or request a re-sit or re-take
Level 2 Medium Risk	Cancel an assessment
Level 3 Medium/High Risk	Effectively cancel or invalidate the certificate by contacting the AO
Level 4 High Risk	Service removal

Other Sanctions

Investigation outcome	Risk	Potential Sanction(s) Examples
Maladministration or Malpractice not demonstrated or occurred	None	No further action to be taken
Maladministration or malpractice likely to have occurred	Medium	<ul style="list-style-type: none"> • Written warning • Disallowing all or part of the assessment evidence • Assessment decision recorded as a fail grade and a re-sit or re-take required or not submitted • Refusal to conduct all or some assessment activities • Set an action plan for improvements in practice or disciplinary action • Suspension of the assessor, QA or other persons involved from any involvement in the delivery of qualifications for us • Refusal to claim a certificate • Notification to Regulators
Maladministration or malpractice demonstrated, or on the balance of probabilities, is highly likely or proven to have occurred	High	<ul style="list-style-type: none"> • Suspend staff members from any involvement in the delivery of qualifications • Notification to regulators • Invalidate an assessment • Dismissal / non-renewal of contract

Right of Appeal

The individual(s) concerned has/have the right to appeal against any decision(s) or sanction(s) imposed by us. Please refer to our Appeals Policy and/or Complaints Policy

Review of Policy

We will review the policy annually



Equality, Diversity and Fair Access Policy

Purpose

The aim of this policy is to set out some principles to clarify the expectations on all parties to support equality, diversity, and fair access procedures to operate effectively and to ensure fair access in practice to assessment for apprentices with A2A Training. We aim to minimise barriers to access and comply with the Equality Act 2010.

All candidates should be able to enter and successfully participate in a training programme in pursuit of their learning objectives.

A2A Training is committed to ensuring that we and our approved assessors and IV staff, and admin support teams provide candidates with all relevant information about the courses as required.

The policy sets out our intention to deliver a training and assessment service that is fair, accessible and does not include any unnecessary barriers to entry.

Introduction

The overriding aim of A2A Training is to provide quality assessment and training for candidates, whilst offering a high standard of service delivery and upholding the integrity of the qualification.

The Equality Act protects people from discrimination, harassment, and victimisation.

The Equality Act protects people against discrimination because of the protected characteristics that we all have, there are nine protected characteristics; age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

We seek feedback from candidates, employers, and training providers to enhance and improve our service. We analyse this when possible and when appropriate will take feedback to the Senior Management Team and Governors, so that we may, when needed change or improve our services, or we may share this (subject to GDPR compliance and written permission) on our website.

We monitor and keep statistical analysis to review diversity. We encourage diversity and ensure that our website images show a diverse range of people to support this.

Relevance

This policy is relevant to all staff engaged in the delivery of regulated qualifications but is particularly relevant to Assessors and Internal Verifiers.

Responsibilities

It is important that staff involved in the delivery of training and assessment are fully aware of the contents of this policy. All staff involved must ensure that they adhere to the requirements of this policy. The lead IV and management team have a responsibility to ensure that all centre staff adhere to policies and procedures, where possible, and encourage fair access.

Health and Safety Policy

This policy seeks to provide the foundation for the centre to establish and ensure a positive health and safety culture for all members of our learning community, through coherent processes and compliance with all relevant standards, thus enabling staff and learners to achieve their potential in an environment where positive wellbeing is the expectation for all, producing learners and staff who flourish by being confident, healthy, safe, emotionally resilient, risk intelligent and personally fulfilled.

Our team are committed to Health and Safety, so far as is reasonably practicable, help support the best standards of health, safety and welfare for its employees, learners, visitors and others who may be affected by the activities and to fully meet our legal obligations and corporate responsibilities.

Injuries and accidents can often be avoided. We are determined to improve systems to reduce injuries and ill health. There is a management structure in place to implement the Health and Safety Policy. This structure includes a competent person who will work closely with the Senior Management Team (SMT) and report at least on an annual basis to the Directors to achieve implementation of this Policy.

All staff and associates have responsibilities for their own health and safety and should cooperate with us as their employer to achieve safe working practices. Managers will consult staff on matters which may affect their health and safety. This Health and Safety Policy document sets out the management of health, safety and welfare and outlines the arrangements made by the Centre to achieve the aims of the policy statement

All staff have responsibility for health and safety within their areas. They will implement a system to ensure that the Policy, and the arrangements made within it are carried out.

This policy forms part of employees' conditions of employment. Failure to comply may be treated as a disciplinary matter. This Policy document will be the subject of an annual review and will be updated as circumstances and legislation change

Responsibilities

<u>Health and Safety Officer</u>	<u>Louise Warren</u>
<u>Senior Management Team</u>	<u>Louise Warren and Martin Blackshields</u>
<u>Contact us</u>	<u>info@a2a-training.co.uk</u>

The SMT are the body accountable for ensuring the centre procedures are in place to support students and staff. The Health and Safety Manager will report to the SMT. It is essential that the SMT act, when required, on the advice of the Health and Safety Manager and to support recommendations and improvements to support the health, safety and well-being of staff, students, and visitors. This does not mean staff are not responsible for their own health, safety and wellbeing and have accountability for reporting and managing risks within their own control.

All staff must wear ID badges, and are DBS checked

Governance meetings should cover the following in relation to Health and Safety: - Health, safety, and well-being concerns in relation to students and staff.

Governors are permitted to challenge and question the H&S processes, procedures, and outcomes to support the organisation in keeping staff, students and visitors safe

Support Staff shall: a) Comply with the Centre Health and Safety Procedures. b) Report all accidents and participate in accident investigation as required. c) Undertake those duties as required by the Director to secure the day to-day safety of workplaces, machinery and equipment. d) Personally, follow safe working procedures e) Ensure, where necessary, that protective equipment is used or worn as necessary. f) Report all health and safety issues to the Director g) Updating and retaining of suitable resources via our website/blog

The Directors, whilst seeking to persuade all its employees to recognise the importance of a safe and healthy working environment, understands that it is necessary to maintain a penalties procedure for blatant and reckless breaches of this Policy by its employees. Blatant and reckless disregard for health and safety in the Centre may be considered as gross misconduct and the Centre, as employer, may consider that dismissal of the employee is appropriate. The Centre will abide by its Disciplinary Procedure in cases of blatant and reckless disregard for health and safety

The Health and Safety Executive (HSE) are responsible for the enforcement of health and safety legislation in the Centre. HSE Inspectors have several powers. Full details of inspector's powers, Improvement Notices, Prohibition Notices, Prosecution

and Penalties are available at the HSE website <https://www.hse.gov.uk/> It should be noted that employees may be prosecuted together with the Centre, if they have been involved in an offence. An act or omission by an employee which is apparently condoned by the Directors (for example, failure to take corrective action) will make the Centre and/or the Directors, liable for prosecution. In the event of the Centre being prosecuted, the Directors would be named on the summons

Apprentices/learners are responsible for their own health and safety whilst online at home, and should, when appropriate, follow their employers H&S procedures when at work, although we will ask if apprentices feel safe during assessment, training or EPA and act accordingly. Assessors or IEPAs must report any concerns immediately. Staff are responsible for their own health and safety when working remotely, including but not limited to use of IT equipment for learning or EPA activity.

For access to our other policies please email a request to info@a2a-training.co.uk