

Swim Wales Training and Development Enquiries and Appeals Policy

DOCUMENT STATUS

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Original Document produced	April 2018
Review Date	Annually

DOCUMENT CONTROL INFORMATION

Change History		
Version	Date	Details of changes
V4	24/06/2019	Amendments to the existing policy
V5	23/10/2019	Amendments to existing policy following guidance from SEQ
V6	02/04/2020	Amendments to existing policy
V7	18/09/2020	Amendments to existing policy

Swim Wales aims to ensure that all assessment decisions are fair, consistent and based on valid judgements, however acknowledges that there may be occasions when a learner wishes to question a decision made.

Policy aim and purpose

Swim Wales will ensure:

- Assessments are conducted by staff that have the appropriate qualifications, knowledge, understanding and skills
- Assessment evidence produced by learners has been authenticated according to the requirements of the qualification
- The consistency of assessments is secured through internal and external verification.

Everyone has the right to appeal; therefore this policy has been established to define the stages of appeal and the procedures to follow. The policy aims to provide guidance on:

- The method by which an enquiry or appeal should be made
- Who the enquiry or appeal should be directed to
- The time frames for an enquiry or appeal.

Swim Wales will accept appeals in relation to the following areas:

- Appeals against results of assessment decisions
- Appeals against the outcome of an investigation of malpractice or maladministration
- Appeals against decisions made in relation to access arrangements or special consideration.

In the first instance, learners wishing to appeal against results must follow the internal appeals process through Swim Wales. Only when the learner continues to remain dissatisfied with the outcome should they contact the Swim England Qualifications (SEQ).

Stage 1: Enquiry

Should a learner be dissatisfied with an assessment result or the individual should submit a written request for the case to be reviewed.

When submitting a request, the individual must ensure the following information (depending on the nature of the enquiry) is provided:

- Venue of the Swim Wales Course
- Learner's full name
- Title of qualification or unit(s) and date of assessment
- Date evidence submitted for internal and/or external verification
- Nature of the enquiry
- All original copies of evidence relating to the enquiry

Enquiries regarding assessment decisions

If a learner wishes to contest an assessment result, the learner may apply to Swim Wales for a second opinion. This must be requested in writing and within 20 working days of results notification. A fee of up to £25.00 will be chargeable, upon which Swim Wales will ask the tutor to review the evidence submitted. A report will be produced detailing the findings and whether the original decision is upheld.

Swim Wales will acknowledge receipt of the enquiry within 5 working days of receipt of the enquiry.

Swim Wales will endeavour to notify the learner within 20 working days of the outcome. If Swim Wales are unable to provide outcome within 20 working days, Swim Wales will inform the individual of the alternative anticipated outcome date.

Swim Wales is not obliged to disclose any information that is deemed to be in breach of confidentiality or any other legal duty.

All enquiries should be sent to Swim Wales Training swimwales-training@swimming.org

Fees: If after an enquiry the original decision is upheld, all fees will be charged to the learner. If the original decision is overruled then all charges made will be refunded.

Stage 2: Formal Appeal

If the centre or learner remains dissatisfied after receiving the outcome of the enquiry, they can pursue a stage 2 appeal against the decision. All appeals must be made in writing to Swim Wales and within 20 working days of receipt of the enquiry outcome.

The following fees will be applied to the individual:

The maximum amounts that will be charged are £75.00 per assessment component for the initial appeal investigation.

All formal appeals should be sent to Swim Wales Training:
swimwalestraining@swimming.org

Swim Wales will acknowledge the formal appeal within 20 working days of receipt of the formal appeal. Swim Wales will appoint an independent verifier to review the evidence submitted (including all relevant documents) taking into account the learners comments and assessors reports before making a decision and submitting relevant report.

On completion of the relevant report, Swim Wales will inform the individual within 20 working days. In the event that the verifier is unable to complete their investigations and determine an outcome within 20 working days, Swim Wales will inform the individual and will advise of the extent of any delay

Fees: If after an enquiry the original decision is upheld, all fees will be charged to the learner. If the original decision is overruled then all charges made will be refunded.

Stage 3: Appeal Hearing

If, following the outcome of an appeal, the individual still remains dissatisfied with the decision, the third and final stage will be for the appeal to be referred by an independent person/panel. The learner must inform Swim Wales in writing within 20 working days of receipt of the Stage 2 review.

The following fees will be applied to the individual:

The maximum amounts that will be charged are £150 for any subsequent appeal hearing.

All enquiries should be sent to Swim Wales Training swimwales-training@swimming.org

All original work and documentation (including learner's course work, as well as the assessors & internal verifiers) will be reviewed as part of the process. The stage 3 person/panel will review the application and decide if there is an appeal case to be heard or not.

A report of the hearing will be provided to the learner and Swim Wales representative within 20 working days of the hearing.

The appeal hearing is the third and final stage of the appeals process, therefore the decision that arises from this stage will be final and will be no longer applicable to challenge.

Please note: The appeals process is not directly concerned with making judgements about the quality of a learners work as this is the responsibility of the Assessor and Internal Verifier.

Appeals do not normally involve further re-marking or re-validation of work unless the initial appeals investigation suggests that procedures were not followed during the enquiry stage.

There may be occasions where Swim Wales may not be able to respond fully within timescales indicated. Where this is the case Swim Wales will keep the learner advised on progress and response expectations.

Fees: If after an enquiry the original decision is upheld, all fees will be charged to the learner. If the original decision is overruled then all charges made will be refunded

Appendix 1: Appeals Form

This form should be completed by the individual appealing. Please give as much detail as possible when completing the form, if further evidence is required you will be asked to add additional commentary.

Full Name	
Address	
Telephone Number	
Email Address	

Swim England Qualifications Approved Centre		
Qualification title		
Type of allegation	- Complaint against centre service(s)	Y/N
	- Appeal against assessment decision(s)	Y/N
	- Report of child/vulnerable adult abuse	Y/N
	- Report of suspected malpractice	Y/N
	- Complaints against Swim Wales Customer Services	Y/N
	- Other (please specify)	Y/N
Details of the allegation (continue on a separate page if required)		

Declaration
<i>I confirm that the information in this form is accurate, to the best of my knowledge, and that the centre will provide arrangements in accordance with the guidance given by Swim Wales.</i>

Signature	
Date	

Please return to Swim Wales, Training & Development Department, Wales National Pool, Sketty Lane, Swansea, SA2 8QG

Monitoring and review

July 2021



This policy and its procedures will be reviewed annually to ensure it remains fit for purpose, reflects the types of appeals that may arise and how the process for application is managed, in accordance with the requirements set out by the qualification regulator, Ofqual.

In addition, should Swim Wales be notified by the qualification regulator, Ofqual, of failures that have been identified in the assessment process of another awarding organisation, Swim Wales will reflect and review its own processes to ensure a similar failure will not occur.

The next policy review will take place in March 2021

Swim Wales Training & Development

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