



Appeals and Grievance/Complaints Policy

Introduction

The purpose of this Appeals, Grievance and Complaints Policy is to provide a fair and transparent process for individuals associated with Lucelly Consultancy Ltd (NVQ centre), including clients, candidates, employees and freelance Assessor and IQA's to raise and resolve appeals and complaints.

As part of the Awarding body requirements of us as an NVQ centre, all candidates shall have access to fair and reliable assessment. This commitment is covered in detail in Lucelly Consultancy Ltd Access to Fair Assessment Policy.

A complaint is an expression of dissatisfaction with a Lucelly Consultancy, product or service, or the delivery of training by one of our training partners.

A complainant is the person submitting the complaint.

If this "access" is to be meaningful, the candidate must have the right of appeal against assessment decisions, which are unclear or seem unfair.

Our appeals process provides for an appropriate audit trail of these steps, which will be clearly logged with clear information at each stage. If a candidate is dissatisfied with an assessment decision, they have a right of appeal.

The policy aims to ensure that all clients, candidates, employees and freelance Assessor and IQA's are familiar with the process of appeal should it be required.

If a client, candidate, employee and freelance Assessor and IQA's have any concerns about this policy, please speak to the Director, Louise Dodds via the following email: info@lucellyconsultancy.org.uk

Our responsibility as a centre

- Log all complaints and appeals
- Try to help resolve complaints informally
- Treat every complaint, grievance and or appeal seriously
- Provide escalation options whereby the complainant has fully exhausted the complaints/grievance and appeals process and is not satisfied with the outcome

It is our goal to resolve complaints as quickly as possible and, in most cases, will seek to resolve complaints informally. An informal approach is appropriate when it can be achieved but if concerns cannot be satisfactorily resolved informally, then the formal complaints procedure should be followed.

We also understand that some complainants may prefer anonymity. We will investigate anonymous reports but try to confirm allegations through separate investigations before addressing them.

For anonymous complaints, the investigation outcome will be confidential, and we cannot provide details on actions taken. We encourage complainants to reveal their identity and contact information, assuring confidentiality if requested.

We are not obligated to disclose information if it breaches confidentiality or legal duties. We handle whistleblower complaints according to relevant legislation. See separate Whistleblowing policy for more details.

Reasons to raise a grievance/complaint or make and appeal

Candidates could complain to the NVQ centre about the following areas:

- Information, advice and guidance provided by Lucelly Consultancy Ltd, its employees, freelance Assessors and IQA's or training partners is insufficient.
- Access to assessment
- Process of assessment
- Access to internal verification
- The handling of an appeal
- Administrative issues, e.g. failure to register/apply for certification
- Policies or procedures are not complied with by our staff or by Lucelly Assessors/IQA's or training partners
- Behaviours of Lucelly Consultancy employees, freelance Assessors, IQA's or training partners
- Have been subject to abusive and threatening language in a telephone conversation, a face-to face meeting or in written correspondence
- Have been subject to derogatory or accusatory remarks

Assessors/IQA could complain to the NVQ centre about the following areas:

- Information, advice and guidance provided by Lucelly Consultancy Ltd is insufficient
- Access to support and guidance
- Access to internal verification
- Administrative issues such as issues with payment
- Insufficient time to undertake the function
- Behaviours of Lucelly Consultancy employees, employers, candidates or training partners
- Have been subject to abusive and threatening language in a telephone conversation, a face-to face meeting or in written correspondence
- Have been subject to derogatory or accusatory remarks

Clients/Employers/Training partners could complain to the NVQ centre about the following areas:

- Information, advice and guidance provided by Lucelly Consultancy Ltd, its employees, freelance Assessors and IQA's or training partners is insufficient.
- Access to assessment
- Administrative issues such as enquiries sent are not responded to in a timely or appropriate manner, delay in the issuing of invoices, or where invoices are issued incorrectly or delay in the issuing of certificates upon candidate achievement or issues with payment
- Assessment issues
- Policies or procedures are not complied with by our staff or by Lucelly Assessors/IQA's or training partners
- Behaviours of Lucelly Consultancy employees, freelance Assessors, IQA's or training partners
- Have been subject to abusive and threatening language in a telephone conversation, a face-to face meeting or in written correspondence
- Have been subject to derogatory or accusatory remarks

Appeals/grievance and complaints process

As a candidate working towards a qualification with Lucelly Consultancy Ltd, you have the right of appeal if you are dissatisfied with an assessment process or outcome.

1. All candidates should be aware of the existence of this policy and what action needs to be taken.
2. If the candidate feels they are being discriminated against then they must speak to a Lucelly Consultancy Ltd member of staff and refer to the Equality and Diversity Policy.
3. If a candidate feels that they have been unfairly assessed, they must first speak to their Assessor to try and resolve informally.
4. If this cannot be resolved, then the steps below should be followed.
5. All candidate's complaints will be acknowledged and investigated to establish the facts and evidenced. When the complaint is justified, action will be taken to rectify its cause.
6. All candidates who register an appeal with Lucelly Consultancy Ltd will receive a formal written reply, following on from a phone call in the first instance.

Step 1

The following information would need to be provided for us or third parties (such as the Awarding Body) to investigate.

- Name and contact details of the individual/s raising a complaint/grievance or appeal
- Details of the complaint/grievance or appeal (including dates and times if applicable)
- When the complainant became aware of the issue and the nature of the affected service
- Any details or what actions have been completed already, if applicable
- Copies of any supporting documents (e.g., papers, emails, or letters) related to the complaint

The candidate should raise the issue with their Assessor during or at the end of an assessment session or within 10 working days of receiving the assessment decision.

The Assessor must reconsider the reason underpinning their decision and provide clear feedback.

If the Assessor upholds the original assessment decision, then the candidate must be provided with full information describing what is required to demonstrate their competence. This should be provided in writing on the e-portfolio system (or email where appropriate) and relate specifically to the standards relevant to the assessment decision.

Step 2

If the candidate remains unhappy with the decision, the candidate should then complete an Appeals Form (see last two pages of this policy), which will detail in the points of disagreement and reasoning. This form should be sent to the Assessor and to Lucelly Consultancy Ltd (info@lucellyconsultancy.org.uk) along with any evidence relating to any of the points outlined above or where the candidate believes they meet the requirements of the standards in the qualification of which the candidate is undertaking and where the assessor as deemed this evidence as unsuitable.

If the candidate is unable to use the forms or there is a barrier to writing information on the appeals form, other appropriate substitute methods can be adopted e.g. dictation to another person helping the candidate with the appeal or phone call to the centre- 01670 220 796.

The Director will review all evidence and assessment records, alongside the Lead IQA to consider the appeal.

The appeal will be acknowledged within 5 working days, and a decision should be made within 10 working days. Each complaint is reviewed sensitively, and we may share information with third parties, if necessary, such as the Awarding Body.

We usually update you on actions taken within 10-15 working days, but complex issues may take longer, depending on the nature of the complaint/appeal and if there are third parties involved.

Where extensions to this timeframe are required, to make a formal judgement, this will communicate in writing, together with a new suggested timeframe.

The candidate and Assessor will be informed orally (via phone call or online meeting) and in writing using the appropriate section of the Appeals Form. If the candidate is dissatisfied with the decision, the appeal can proceed to step 3.

* We advise that the candidate keeps copies of all documentation that was used for their NVQ as this can be used as part of the appeal.

Step 3

The third and final stage involves the right of appeal to the Assessment Appeals Panel.

If the candidate remains unhappy with Step 1 and the Step 2 decision and has exhausted all Lucelly Consultancy Ltd internal appeals elements, then the candidate should then complete the Step 3 section in Appendix A- Appeals Form.

The form should be sent back to the Director. The Director with responsibility for Quality Management will then pass all records to the Centre Coordinator.

The Centre Coordinator will convene an Appeals Panel consisting of, for example:

- Director
- A different Assessor
- Lead IQA
- An independent Assessor (where appropriate)

Both the candidate and Assessor will be invited to make their case to the panel. The panel will reach its decisions within 10-15 working days. Results of the Appeals Panel will be final. Details of the appeal will be made available to the External Quality Assurer (For the Awarding Body).

The Awarding Body will be involved with information supplied by the External Quality Assurer. The External Quality Assurer is charged with ensuring the integrity of the process and can provide advice, but s/he shall not be involved in the appeals process itself either as a panel member or arbitrator.

The Awarding Body will respond to direct requests from candidates, advocates, and employers seeking advice on making an appeal. If the centre's appeals procedure has been exhausted and the candidate is still dissatisfied, s/he can make a final appeal to the Awarding Body.

The appeal will be forwarded other Awarding Body representatives within 10 working days ensuring all relevant assessment document/s are provided along with the documentation currently required, information on this can be obtained from the Centre's appointed External Quality Advisor or by contacting the Awarding Body Direct.

GQA Awarding Body contact details

Phone: 0114 2720033

Email : info@gqaqualifications.com

Address : GQA Qualifications

Unit 1,
12 O'clock Court,
Attercliffe Road,
Sheffield
S4 7WW

The Awarding Body will review all relevant documentation and review the process carried out by the centre.

The Awarding Body appointed EQA will be made aware of the status of the appeal.

The outcome of the appeal will be made know to the Centre Co-ordinator and person making the appeal in writing within 20 working days of receiving the relevant information, with a full explanation of the reasons for the decision.

For further details on the Awarding Body response times and management of the process, please refer this query directly to them.

If the decision cannot be reached within 20 working days, the Awarding Body will write to the persons involved with the appeal, explaining why it is not possible to reach the decision within the timescale

immediately, then providing a clear plan of action as to how and when the situation will be resolved. if there is agreement the appeal does not continue.

Step 4

If the candidate remains unhappy with Step 1, 2 and 3 and has exhausted all Lucelly Consultancy Ltd internal appeal elements then the candidate should then complete Step 4.

The candidate has the right to raise a complaint in writing to the Chief Executive of the Independent Government Body “Ofqual” and must be accompanied by copies of all documentation used in all stages of the appeal.

For further details on Ofqual’s response times and management of the process, please refer this query directly to them.

Policy Links

This policy also links in with the Equality and Diversity Policy, the Maladministration and Malpractice Policy, A.I. Policy, Assessor and IQA Policy, as well as the Whistleblowing Policy.

Review and Amendment

This policy will be reviewed regularly to ensure its ongoing compliance with the Awarding Body, legislation and industry best practices. Changes will be made as necessary.

Document Owner:	Louise Dodds
Date of issue:	March 2026
Review Date:	March 2027

Appendix A- Appeals Form

Candidate Name:	
Assessor Name:	
Internal Quality Advisor Name:	
Date of assessment/decision:	
Unit/s and or activities assessed:	
Copy of qualification evidence included with this form: Please add yes/no	
Reason for the appeal:	
Candidate E- signature:	
Date candidate signed:	

Assessor Comments:	
Assessor E-signature:	
Date Assessor signed:	
Date NVQ Centre received appeal form:	
IQA Comments:	
IQA E-signature:	
Date IQA signed:	
Director Comments:	
Director E-signature:	
Date decision reply sent to Assessor and Candidate:	

