

# Complaint Policy for End-Point Assessment

ENDPOINT

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## **1. Why we have this policy**

The purpose of this policy is to set out how we will manage complaints in relation to the delivery of end-point assessments.

## **2. Who this policy applies to**

This policy applies to EPA Staff, Assessors.

It is the responsibility of the Quality Assurance Manager to ensure that this policy is reviewed annually and updated when necessary in line with feedback or regulatory requirements.

The Quality Assurance Manager will also monitor the adherence and compliance of this policy on a regular basis through internal quality assurance checks.

## **3. Overview of this policy**

This policy sets out the types of complaint that we may receive, what information is recorded, who should oversee the complaint, and the target response times.

## **4. The Policy itself**

For the purposes of this policy, a complaint may be defined as an expression of dissatisfaction about the standard of service or an action or lack of action by the IET.

A complaint may relate to:

- The quality and standard of the EPA service
- The quality of facilities or EPA resources
- Treatment by, attitude or behaviour of an IET staff member or assessor
- The failure of the IET to follow an appropriate administrative process
- Any EPA reasonable adjustment application outcomes can be appealed under the Appeals Policy for End-Point Assessment
- the outcome of an investigation into a report of malpractice and/or maladministration including any sanctions imposed.

A complaint can be made to the End Point Assessment team via email only.

If a complainant is unable or reluctant to make a complaint on their own. The IET will accept complaints from third parties, providing the complainant affected has given their personal consent under the requirements of the General Data Protection Regulation (GDPR). This means that the complainant must give clear written consent for the third party to act on their behalf.

All complaints should be sent to the below email address and be addressed to:

The Operations Manager, Email address: [epa@theiet.org](mailto:epa@theiet.org)

## **5. Compliant Handling**

The complaints handling process is intended to provide an effective and streamlined process with a focus on early resolution.

All complaints should be handled fairly and openly. How a complaint is handled can be as important as the outcomes of any investigation. A complainant's concerns and point of view must always be recognised and respected and where the IET is at fault, every effort is made to correct the error without delay.

When investigating a complaint, care should be taken to identify whether similar complaints have been made previously by more than one complainant as this may indicate an underlying system failure. If such a trend is identified it should be reported to the Quality Assurance Manager, who will investigate, propose a course of action and report back to the Apprenticeship Assessment Manager.

## **6. Acknowledgement and Response Times**

On receipt of a complaint, we will aim to acknowledge it within 5 working days. Once the complaint is acknowledged we will conduct an initial review of the complaint and will aim to respond within 10 working days.

If the Operations Manager is not able to investigate and respond within 10 working days a holding response will be sent to the complainant outlining what action is being taken to deal with the complaint. The complaint will then be escalated to the Apprenticeship Assessment Manager or the Head of Accreditation and Awards for further investigation and resolution. In the event that no resolution can be achieved, the complaint can then be escalated to the Director, Membership & Professional Development.

If the complainant is not satisfied by the outcome of the IET investigation and response, they are welcome to refer the matter to Ofqual.

## **7. Confidentiality**

When carrying out complaint investigations it is important that we maintain confidentiality.

The IET will always have respect for legislative requirements, for example, General Data Protection Regulation (GDPR) and any internal policies on confidentiality and the use of complainant information.

Complaints will be handled with the appropriate levels of confidentiality and will only be released to those who require them for purposes of investigating or responding to the complaint.

## **8. Recording and Reporting of Complaints**

All complaints will be recorded on a complaints log. All the complaints listed on the log will be reviewed and a report will be collated and shared with senior managers detailing the nature of the complaints and any trends identified.

Anonymised summary reports of complaints may be shared with relevant bodies such as Ofqual for the purposes of ensuring we are adhering to the required regulations. Information reported internally within the IET will include the following:

- Complaint categories

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- Resolution levels such as was the complaint handled immediately, or was further investigation required.
- Outcomes of complaints and the actions taken in response including examples to demonstrate how complaints have helped to improve EPA delivery
- Response and resolution timescales
- Date the complaint was notified to Ofqual if required

## **9. Ofqual event notifications**

Under the Ofqual Conditions for Recognition it is our responsibility to inform Ofqual where we believe that we have caused an adverse effect. Therefore, the following conditions apply specifically to EPA:

- A 3.1 and 3.2: Notification where an event could have an adverse effect
- 3.3: Notification of specific events

## **10. Training**

EPA Staff and Assessors will undertake training on a regular basis which will include the handling and management of complaints.

## **11. Supporting Documentation**

This policy should be used in conjunction with the following supporting documentation:

<b>Reference</b>	<b>Name of Document</b>
PRO-COM-0004	Complaints Process
LOG-COM-0004	Complaints Log
TEM-COM-0004	Compliant Acknowledgement Template
POL-MAL-0006	Maladministration and Malpractice Policy
POL-APP-0003	Appeals Policy
PRO-APP-0003	Appeals Process

## **12. Regulatory Requirements**

Under the regulatory requirements of Ofqual we are required to establish and comply with the conditions and criteria as set out in the Ofqual Regulations General Conditions of Recognition. This policy specifically applies to the following conditions:

- A4 Conflicts of interest
- A6 Identification of Risks
- A7 Managing Incidents
- A8 Malpractice and Maladministration
- B3 Notification to Ofqual of certain events
- I1 Appeals Process
- I2 Compliance with Ofqual appeals and complaints process

**Control Sheet**

**Sponsor:** Head of Accreditation and Awards  
**Document reviewer:** Quality Assurance Manager  
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**Next review date:** 2 January 2023

**Review/change history**

Date of Review/Change	Summary of changes	Version no.
December 2020	New policy for handling end-point assessment complaints.	1.0
January 2022	Annual review completed. Updated to include a section on the notification of event requirements and escalation point to Ofqual post the IET full complaint process being followed	2.0