

Appeals & Complaints Policy

End Point Assessment Organisation

Appeals & Complaints Policy

End Point Assessment Organisation

Introduction

This document specifies the Appeals Policy of the Institute of Workplace and Facilities Management (“IWFM”) End Point Assessment Organisation (EPAO). It is for use by Apprentices and EPA Customer who are registered for, or have taken, an IWFM End-Point Assessment (EPA). It documents the steps to be followed when submitting an appeal and the steps IWFM will follow when responding to appeals.

It is also for use by IWFM staff to ensure all appeals are dealt with in a consistent manner.

EPA Customer responsibility

It is important that all EPA Customer staff involved in the management of apprentices and all apprentices registered to take an IWFM End-Point Assessment are fully aware of the contents of this policy.

Review arrangements

IWFM will review the policy annually and revise it as and when necessary in response to customer and learner feedback, changes in operational practice, actions from the External Quality Assurance (EQA) body or external agencies or changes in legislation. Other external agencies may include the Employer Trailblazer group and the Institute for Apprenticeships and Technical Education (IfATE).

Fees

IWFM reserves the right to charge a discretionary fee to an employer and/or apprentice to cover the administrative and personnel costs involved in reviewing appeals.

Areas covered by the policy

- Appeals from an EPA customer or apprentice in relation to an assessment or moderation result/decision on the basis that IWFM did not apply procedures consistently or procedures were not followed properly and fairly.
- Appeals from an EPA customer or apprentice relating to a decision taken by IWFM to decline a request to make reasonable adjustments or give special considerations.

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Process for raising an appeal

An EPA customer or apprentice has twenty working days from the date of notification of a IWFM decision in which to lodge an appeal against the decision, this includes assessment results; therefore, it is important that all evidence is retained until the final result has been confirmed.

If an EPA customer appeals on behalf of the apprentice, it must have obtained the written permission of the apprentice concerned, as results can go down as well as up as a result of an investigation.

To submit an appeal, the EPA customer or apprentice must complete the Appeals form and supply relevant supporting information such as the following where relevant:

- Apprentice's name and registration number
- date(s) the employer or apprentice received notification of an IWFM decision
- title and number of the apprenticeship standard
- full nature of the appeal

Situations brought to IWFM attention by EQA

Where the EQA body notifies IWFM of failures that have been discovered in the assessment process of another EPAO, IWFM will review whether a similar failure could affect its own assessment processes and arrangements.

Initial informal review

IWFM will acknowledge receipt of the appeal within two working days and aim to respond fully within twenty working days.

Please note that in some cases the review processes may take longer, for example, if visits or interviews with individuals are required. In such instances, IWFM will contact all parties concerned to inform them of the likely revised timescale.

The Head of Professional Development or nominated person will undertake an initial informal review to ensure the form is complete and to ascertain if the issue can be resolved without the need for a formal appeal review.

The Head of Professional Development or nominated person carrying out this check will not have a personal interest in the formal appeal review.

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Following the initial review, IWFM will write to the appellant with details of IWFM's decision to either:

- amend the original decision considering the new rationale/evidence being put forward and which has now been reviewed, or
- confirm IWFM stands by its original decision and in doing so the rationale for this decision and requests that the appellant confirms, in writing, within fourteen working days, acceptance of this decision or for IWFM to proceed with a formal appeal, the process of which will be carried out by an independent party.

Non-receipt of letter confirmation or appeal within fourteen working days will be taken as a sign of acceptance.

Formal Appeal - independent review

If the decision is made to proceed with a formal appeal, IWFM will arrange for an independent review to be carried out.

This will be carried out by someone who is not an employee of IWFM or otherwise connected to the organisation. They will be someone with the relevant competence to decide in relation to the appeal and will not have a personal interest in the decision being appealed.

The independent review will consider all the evidence and review whether IWFM applied its procedures fairly, appropriately and consistently in line with its policy.

The independent review process may involve:

- a discussion with the appellant or the apprentice and IWFM staff
- a request for further information from the appellant, the apprentice or IWFM staff

The decision arrived at following the independent review will be final in relation to how IWFM will consider such an appeal and will be communicated within thirty working days following receipt of the request for the formal appeal. If an EPA customer and/or learner is dissatisfied with the outcome at this stage they are entitled to raise the matter with the relevant regulatory authorities.

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Successful appeals and/or issues brought to IWFM's attention by the Regulatory Authorities

In situations where an appeal has been successful, or where an investigation following notification from the EQA body indicates a failure in the IWFM processes, we will give due consideration to the outcome and will take appropriate actions such as:

- amend the profile record of the apprentice(s) concerned
- identify any other apprentice(s) who may have been affected and amend the results for the apprentice(s) affected following an appropriate investigation
- correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure
- review the associated processes and policies to ensure that the failure does not occur again or mitigate the situation as far as possible if the failure that occurred cannot be corrected

IWFM will co-operate with any follow-up investigations required by the EQA body and if appropriate agree any remedial action with them.

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Appendix – Appeals Form

This form is to be used to raise an enquiry or appeal against an IWFM decision.

Please refer to the IWFM Appeals Policy before completing this form.

Apprentice ACE360 No: Click or tap here to enter text.

Apprentice Name: Click or tap here to enter text.

Standard Title: Click or tap here to enter text.

Please provide details of your appeal:

Click or tap here to enter text.

Please provide details of supporting evidence:

Click or tap here to enter text.

To be completed by the person submitting this form:

Apprentice

Name: Click or tap here to enter text.

Signature: Click or tap here to enter text.

Telephone No: Click or tap here to enter text.

Email Address: Click or tap here to enter text.

EPA Customer Representative

Name: Click or tap here to enter text.

Signature: Click or tap here to enter text.

Date: Click or tap here to enter text.

Position in Centre: Click or tap here to enter text.

Telephone No: Click or tap here to enter text.

Email Address: Click or tap here to enter text.

Please submit the completed form to epa@iwfm.org.uk.

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Complaints Policy

Introduction

This document specifies the Complaints Policy of the Institute of Workplace and Facilities Management (“IWFM”) End Point Assessment Organisation (EPAO). It is for use by End-Point Assessment (EPA) customers, apprentices and all interested parties who use or access a direct or indirect service from IWFM in relation to the IWFM EPA service.

It covers any complaints received from apprentices, employers or other interested party in relation to the EPA and associated services offer by IWFM.

It is not to be used to cover appeals in relation to decisions made by IWFM. These areas are covered by the IWFM EPAO Appeals Policy.

If an EPA customer, apprentice or other individual suspect’s malpractice may have occurred, this should be communicated directly and immediately in writing to IWFM in accordance with the arrangements set out in the IWFM EPAO Malpractice and Maladministration Policy.

Review arrangements

IWFM will review the policy annually and revise it as and when necessary in response to EPA customer and apprentice feedback, changes in operational practice, actions from the External Quality Assurance (EQA) body or external agencies or changes in legislation. Other external agencies may include the Employer Trailblazer group and the Institute for Apprenticeships & Technical Education (IfATE).

To feedback any views please contact the IWFM via the details provided at the end of this policy.

Approach

The aim is to deliver a high-quality EPA service and IWFM would be extremely disappointed if this was not the case. Should the level of service fall below anticipated expectations, please raise any concerns with IWFM immediately and they will be addressed.

How should I complain?

Any complaint should be submitted in writing, within twenty working days of the event which is the subject of the complaint and addressed to IWFM at the contact details outlined at the end of policy.

EPA customer, apprentices and/or other interested parties who wish to complain about a level of service provided by IWFM EPA team should direct the complaint to IWFM.

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If I complain what details do I have to give?

When contacting IWFM please provide: your full name, contact details including a daytime telephone number together with:

- a full description of the complaint (including the subject matter and dates and times if known);
- the names of the people you have dealt with so far;
- copies of any papers or communications relating to the complaint.

Complaints brought to our attention by the EQA

Where the EQA notifies IWFM of a complaint concerning the IWFM EPAO, or a failure that has been discovered in the assessment process at another EPAO, these will be reviewed in the same manner as other external complaints in accordance with the procedures detailed below to ascertain if the same failure could affect the IWFM arrangements.

Confidentiality and Whistleblowing

Sometimes a complainant will wish to remain anonymous. Although it is always preferable to reveal your identity and contact details, if you are concerned about possible adverse consequences, you should request IWFM not to divulge your identity. If it helps to reassure you on this point, IWFM can confirm that it is not obliged to disclose information if to do so would be a breach of confidentiality and/or any other legal duty.

While IWFM is prepared to investigate issues which are reported anonymously, IWFM will always try to confirm an allegation by means of a separate investigation before taking up the matter with those to whom the complaint/allegation relates. At all times IWFM will investigate such complaints from whistleblowers in accordance with the IWFM Whistleblowing Policy.

What will happen to the complaint?

IWFM will acknowledge receipt of a complaint within two working days, advising the name of the individual who will be investigating the complaint.

IWFM aims to investigate the complaint within ten working days. If the complaint is more complex, or it involves individuals who are not available at the time, IWFM will inform the complainant of the reasons for extending this to twenty working days. IWFM may contact the complainant within this period to seek further information or clarification (in some instances a meeting may be recommended). At the end of the investigation IWFM will write to inform the complainant of its decision.

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What happens if the complaint is upheld?

If any part of the complaint is upheld IWFM will apologise and give due consideration as to how its services can be improved. For example, reviewing procedures to assess the impact on the EPA development, delivery or resulting procedures or arranging for staff training. In extreme circumstances, the IWFM internal employment practices may be exercised.

In situations where a complaint has been successful, or where an investigation indicates a failure in the IWFM processes we will, as appropriate, take actions for example:

- identify any other apprentice who may have been affected by that failure,
- correct, or where it cannot be corrected, mitigate as far as possible the effect of the failure, and
- review and amend arrangements, where appropriate, to reduce the likelihood that the failure will reoccur in the future.

What if I am not happy with the reply?

If you disagree with the outcome, please contact the IWFM Head of Professional Development.

If you are still unhappy with the decision taken by IWFM in reviewing the complaint you can, where relevant, appeal this decision/solution through the appeal arrangements which are outlined in the IWFM EPAO Appeals Policy. If after exhausting the Appeals arrangements you are still unsatisfied with the outcomes, you can complain directly to the relevant EQA.

Contact us

Any queries about the contents of the policy please contact:

Head of Professional Development

IWFM

1st Floor South

Charringtons House

The Causeway

Bishop's Stortford

Hertfordshire CM23 2ER

epa@iwfm.org.uk