



End Point Assessment Service

Complaints Handling Policy

Version 3

Updated 11 November 2020

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1. INTRODUCTION

This Complaints Handling Policy reflects PIABC Limited's commitment to valuing complaints. Our aim is to resolve issues of dissatisfaction as close to the initial point of contact as possible and to conduct thorough and fair investigations of complaints so that, where appropriate, we can make evidence-based decisions on the facts of each individual case.

Resolving complaints early saves time and resource and contributes to the overall efficiency of PIABC Limited. Concentrating on achieving an early resolution of a complaint as close to the point of contact as possible will free up the time of staff and ultimately contribute to the continued positive experience of our apprentices and employers.

The Complaints Handling Policy is set at the discretion of PIABC Limited and is in line with Education and Skills Funding Agency (ESFA) Rules and the Institute for Apprenticeships and Technical Education (IFATE) External Quality Assurance Framework.

2. RAISING AWARENESS

This Complaints Handling Policy is sent to employers and training providers upon selection and appointment of PIABC Limited as the end point assessment (EPA) service provider. It is also available on the website to download or from the EPA team.

This policy must be made available to apprentices, by their employer, as part of their induction to their apprenticeship, and at the gateway to EPA.

3. DEFINITION

A complaint may be defined as an expression of dissatisfaction, the standard of service, action, or lack of action by or on behalf of the PIABC Limited.

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 PIABC Limited staff member or Independent End Point Assessor (IEPA)
- The failure of PIABC Limited to follow an appropriate administrative process

The definition of a complaint is very broad, and the list above is not exhaustive. However, not every concern raised with the EUIAS is a complaint.

For example, the following are not:

- A query on the operation of EPA
- A request under the Freedom of Information Act or General Data Protection Regulation (GDPR)
- A request for information or an explanation of policy or practice
- A response to an invitation to provide feedback through a formal mechanism such as a survey
- An issue which is being, or has been, considered by a court or tribunal
- An appeal about an EPA grading decision
- A grievance which is eligible for handling through the grievance procedure

The Complaints Handling Policy covers complaints from anyone who receives, requests or is affected by our services. This includes, although is not limited to:

- An apprentice's experience during their EPA
- An employer's experience during EPA
- A training provider's experience during EPA
- Please note that training providers are not involved in the delivery of EPA activities, but will be involved in the overall journey as the lead provider
- A IEPA experience delivering EPA services on behalf of PIABC Limited
- Members of the public where they have a complaint about matters which are the responsibility of PIABC Limited

Sometimes complainants may be unable or reluctant to make a complaint on their own. PIABC Limited will accept complaints brought by third parties if the complainant affected has given their personal consent under the requirements of General Data Protection Regulation. This usually means that the apprentice must give clear written authority for the third party to act on their behalf. Complaints made by a third party with the explicit permission of the complainant will be dealt with according to the same timescales.

Complaints can be sent through to the EPA team via email, phone, or letter. They do not have to be on a formal template, but a template has been provided in Appendix A.

4. MAINTAINING CONFIDENTIALITY

Confidentiality is an important factor in conducting complaints investigations PIABC Limited will always have regard to any legislative requirements, for example, data protection legislation and internal policies on confidentiality and the use of complainant information.

Complaints will be handled with an appropriate level of confidentiality and information released only to those who need it for the purposes of investigating or responding to the complaint. No third party will be told any more about the investigation than is strictly necessary to obtain the information required from them.

An anonymised summary of complaints and resolutions will be shared with the relevant EQA upon request.

5. ANONYMOUS COMPLAINTS

Complaints submitted anonymously will be considered if there is enough information in the complaint to enable PIABC Limited to make further enquiries. If, however, an anonymous complaint does not provide enough information to enable us to take further action, we may decide not to pursue it further. Complaints can be sent through to the EPA team via email, phone, or letter. They do not have to be on a formal template, but a template has been provided in Appendix A.

If the complaint relates to "whistle blowing", this will be dealt with in line with the Public Interest Disclosure Act. For further information, please refer to the *End Point Assessment Service - Malpractice and Maladministration Policy*.

6. COMPLAINTS INVOLVING OTHER ORGANISATIONS INVOLVED IN EPA

This relates to complaints that involve services provided by a separate organisation (such as certification bodies). If enquiries to an outside organisation in relation to the complaint are required, care will be taken to comply with data protection legislation and the guidance on handling personal information.

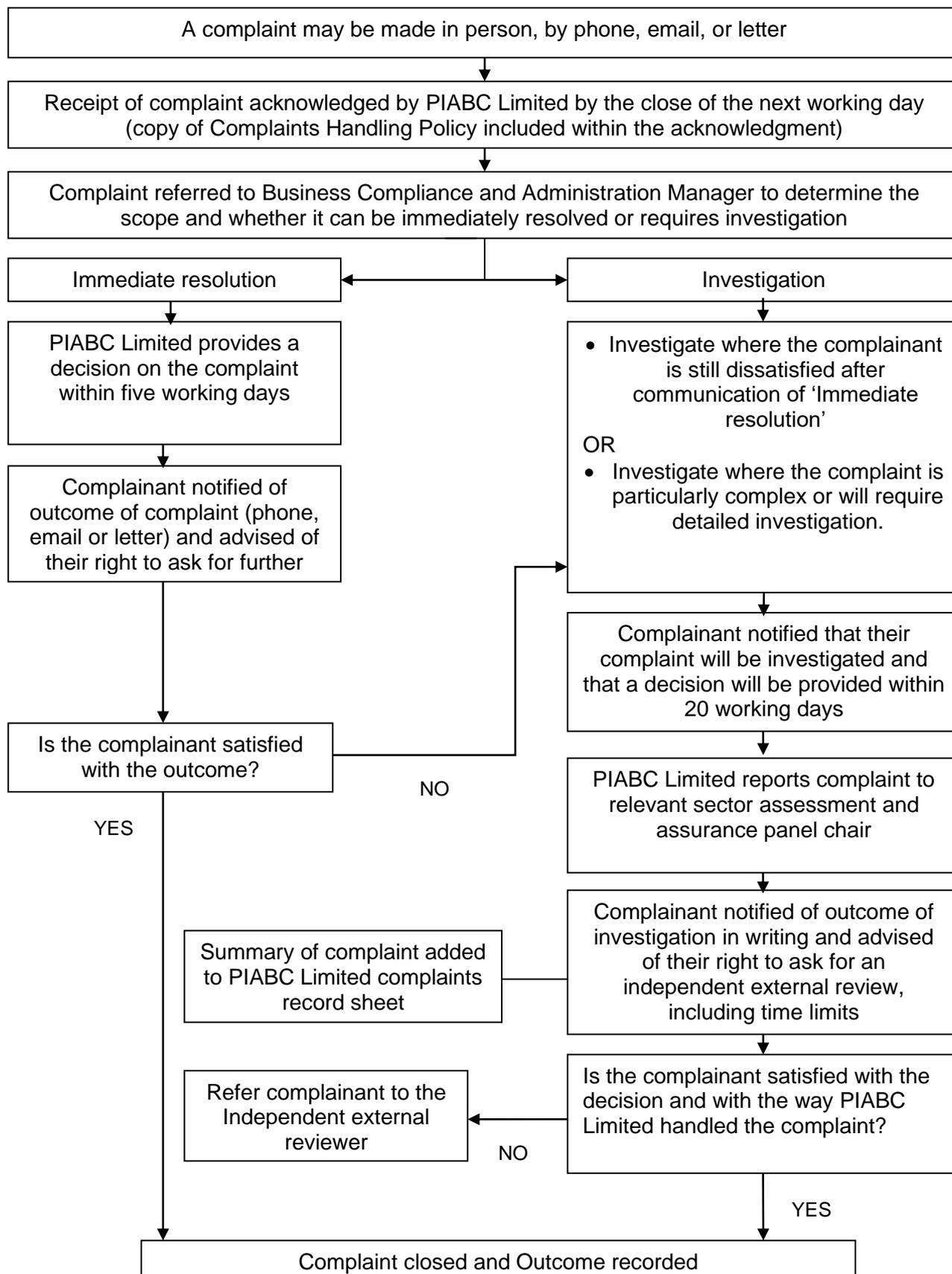
Such complaints may include, for example:

- A complaint made in relation to provision of third-party services (e.g. IT systems)
- A complaint made to PIABC Limited about apprenticeship certification where the dissatisfaction relates to the service the certification body has provided

If a complaint is received about the service of another organisation, but PIABC Limited is not involved in the issue, the complainant should be advised to contact the appropriate organisation directly.

7. THE COMPLAINTS HANDLING PROCESS

The Complaints Handling Policy is intended to provide a quick, simple, and streamlined process with a strong focus on early resolution:



8. TIME LIMIT FOR MAKING COMPLAINTS

Complaints should be raised with PIABC Limited as soon as problems arise to enable prompt investigation and swift resolution. This Complaints Handling Policy sets a time limit of three months to raise a complaint with PIABC Limited, starting from when the complainant first became aware of the problem, unless there are special circumstances for requesting consideration of a complaint beyond this time.

Beyond the three-month time limit, PIABC Limited will exercise discretion in the way that the time limit is applied.

9. EXTENSIONS TO THE INVESTIGATION TIMELINE

Not all investigations will be able to meet the 20-day deadline; for example, some complaints may require investigation involving others.

Where there are clear and justifiable reasons for extending the timescale, the Business Compliance and Administration Manager will exercise judgement and will set time limits on any extended investigation, with the agreement of the complainant. In such circumstances, the complainant must be given a revised timescale for bringing the investigation to a conclusion. It is expected, however, that this will be the exception and that the PIABC Limited will always strive to deliver a definitive response to the complaint within 20 working days.

10. MEDIATION

Some complex complaints (where, for example, the complainant and/or other involved parties have become entrenched in their position) may benefit from a different approach to resolving the complaint. Using mediation can help both parties to understand what is driving the complaint and may be more likely to result in a mutually satisfactory conclusion being reached. Where PIABC Limited and the complainant agree to mediation, revised timescales will be agreed.

11. INDEPENDENT EXTERNAL REVIEW

If a complainant is not satisfied with the result of the investigation, they are entitled to request an independent external review. The request must be in writing within 10 working days of the notification of the investigation outcome.

The independent external reviewer will be a subject specialist that has not been involved in the original complaint appeal or connected to the organisation or individual that is subject to the complaint.

The independent external reviewer may call a panel to review the complaint and has 15 working days from notification to decide. The decision of the independent external reviewer is final.

12. RECORDING AND REPORTING COMPLAINTS

All complaints will be records on the internal PIABC Limited confidential data collection system. Anonymised summaries of complaints will be shared with the relevant bodies. Information reported internally will include:

- Response and resolution timescales
- Complaint categories
- Resolution levels (immediate, investigation or independent panel)
- Outcomes of complaints and the actions taken in response including examples to demonstrate how complaints have helped improve services.

13. CONTACT DETAILS

If you have any queries about the contents of the policy, please contact the EPA team at:

Email: piabc@iom3.org

Telephone: +44 (0)1476 513884

Post:
PIABC Limited
The Boilerhouse
Caunt Road
Grantham
NG31 7FZ

Website: www.piabc.org.uk

Appendix A

Complaints Template

Name of the Complainant:					
Contact Details:					
Are you (please tick):					
Apprentice	Employer of an Apprentice	Training Provider	Other Organisation (please specify)	Relative of the Apprentice	Other (please specify)
Date the complaint relates to:					
Nature of the complaint:					
Title and level of the Apprentice:					
Date of EPA:					
Date complaint submitted:					

PIABC Limited Administrative Use

Date complaint received:	
Name of PIABC Limited representative that acknowledged the complaint:	
Date of acknowledgement:	
Complaint referred to:	
Resolution:	
Date of resolution (closure):	
Signature of PIABC Limited representative:	
Date:	