



End Point Assessment Service

Enquiries and Appeals about Results and
Assessment Decisions Policy and Procedure

Version 3

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1. OVERVIEW OF THE POLICY

Scope of the policy

This policy covers the delivery of End Point Assessment (EPA) by PIABC Limited, which are subject to internal and external quality assurance.

The policy also forms part of a suite of PIABC Limited EPA policies, all of which are designed to:

- protect apprentices who are registered with us
- minimise the risk of an Adverse Effect occurring
- help support us and all other customers involved in risk management and risk minimisation
- help ensure we and all customers comply with all relevant legislation and guidance
- help improve and refine our products and services

For our customers, this policy supports the compliance with the Contract. It does not replace any of the requirements contained within that Contract. Non-adherence to our EPA policies may constitute Maladministration, Malpractice and/or a breach of the Contract. Please ensure all policies are read and implemented carefully.

This policy should also be read in conjunction with the following End Point Assessment Service policies, which are available from the EPA team:

- Contract
- Sanctions Policy & Procedures
- Complaints Handling Policy

Purpose of the policy

Our *End Point Assessment Service - Enquiries and Appeals about Results and Assessment Decisions Policy* assists our customers and ourselves by outlining the process and framework for dealing with enquiries and appeals about results and assessment decisions made by us.

Customers or apprentices dissatisfied with any other aspects of our products and/or services should follow our *End Point Assessment Service - Complaints Handling Policy*.

Who needs to know about the policy?

Customers must make the apprentices and staff (including, site, sub site or contractual staff) who are involved in the design, delivery, management, assessment and quality assurance of EPA aware of, and familiar with, the contents of the policy.

Reviewing the policy

PIABC Limited will review this policy regularly and where otherwise necessary and may revise it as required in response to the findings of any review.

Complaint

You have the right to express your dissatisfaction regarding our actions, products, or services. Our *End Point Assessment Service - Complaints Handling Policy* outlines when we will and will not accept a complaint, and when our decisions are final. Please see our *End Point Assessment Service - Complaints Handling Policy* for more information.

2. ENQUIRIES AND APPEALS ABOUT RESULTS AND ASSESSMENT DECISIONS

Enquiries about Results

Where an apprentice's result is seriously at variance with the reasonable expectations of their customers, our customers may request an enquiry about results. Enquiries about results may be submitted in relation to results issued by the EPA team. This can be submitted once all EPAs have taken place and been given a final grade.

An enquiry about results has two options:

- Clerical Check – a full check that marks have been correctly recorded and processed.
- Re-assessment with report – a full re-mark of the apprentice's assessment by a different marker.

Enquiries about Assessment Decisions

There may be occasions where we make assessment decisions that our customers do not agree with. Enquiries about assessment decisions can be submitted in relation to the following decisions made by the EPA team. This can be submitted once all EPAs have taken place and been given a final grade:

- Decisions regarding special considerations
- Quality assurance decisions

An enquiry about an assessment decision has two options:

- clerical check – a check that necessary information has been considered in the assessment decision
- re-assessment – a full review of the evidence and decision.

Appeals

PIABC Limited's appeals process (Section 6 of this document) allows our customers to outline their views/grievances in relation to the results of an assessment, following the outcome of the enquiry about results and assessment decisions process, where our customers believe we did not apply our procedures consistently, properly or fairly.

The findings from the appeals process will enable an objective, factually based judgment to be reached.

Any other area which has resulted in your dissatisfaction may be addressed via our *End Point Assessment Service - Complaints Handling Policy*.

3. REQUESTING AN ENQUIRY ABOUT RESULTS AND/OR ASSESSMENT DECISIONS

How to submit an Enquiry about Results and/or Assessment Decisions request

To request an enquiry about a result and/or an assessment decision, our customer should complete the Complaint, Enquiry and Appeal Form is available from the EPA team.

Customers may request an enquiry about a result and/or assessment decision on behalf of an individual apprentice or a group of apprentices, providing we have received your apprentices' permission for you to do so. This will be completed at Gateway by the training provider. If this is missing from the request, the EPA team will be unable to proceed.

Timescales for submitting an Enquiry about Results and/or Assessment Decisions

To ensure that any issues or queries are handled within a reasonable timeframe of the assessment taking place, our customers are required to submit enquiry about results and/or assessment decision requests:

- for a clerical check, within **10 working days** from receipt of results
- for a reassessment, within **10 working days** from receipt of results

4. PROCESSES AND TIMESCALES REGARDING ENQUIRIES ABOUT RESULTS AND ASSESSMENT DECISIONS

Enquiries about Results and/or Assessment Decision processes

Once an enquiry about results and/or assessment decision is received, the EPA team will complete a clerical check or reassessment and send a report to the enquirer confirming the result.

Enquiries about Results and/or Assessment Decision Timescales

The EPA team will aim to review the request in writing within **1 working day** of it being received. If this is not possible it will be acknowledged in writing within **1 working day** of receipt with notification provided of what action will be taken.

The EPA Team aims to conclude:

- clerical check requests within **10 working days** upon receipt of a fully completed request
- re-assessment within **10 working days** upon receipt of a fully completed request

The EPA team will inform our customers if these timescales cannot be achieved for any reason.

5. OUTCOMES OF ENQUIRIES

Outcomes of an Enquiry about Results and/or Assessment Decision

The outcome of an enquiry about result and/or assessment decisions could be:

- no change to results or assessment decision
- change to results or assessment decision which could be either positive or negative

Where results and/or an assessment decision change as a result of an enquiry, the EPA team will:

- notify the customer or apprentice of the outcome
- amend our customer or apprentice records accordingly
- investigate reasons for change through our robust internal quality assurance
- action any changes to our processes or systems as appropriate

If you remain dissatisfied with the results from the enquiry

If our customers or apprentices remain dissatisfied following with the outcome of the enquiry that they have submitted, they may submit an appeal in line with Section 6 of this policy. They also have the option to submit a complaint in line with our Complaints Handling Policy. Please contact the EPA team for further information.

6. REQUESTING AN APPEAL

Who can request an appeal?

The customer directly informed of, or directly affected by our decision or action or a legal representative acting on behalf of and with the explicit written permission of that customer.

An appeal may be lodged on behalf of an apprentice or a group of apprentices, with the explicit permission of that apprentice/group of apprentices.

Please note that appeals cannot be submitted unless our customers have first been through the enquiries about results and/or assessment decisions process.

How to submit an appeal

Customers should submit a report as to why they believe that an appeal should be considered, together with any supporting evidence. Please note that appeal applications without supporting evidence may not be accepted.

The report should include the following:

- customer organisation name, address, and number
- your apprentice name(s)
- the date of the assessment
- the date(s) customer or the apprentice received notification of our assessment decision
- the nature of the service affected and/or the title and number of the EPA standard affected
- the full nature of the appeal which must set out clearly why customers think we did not apply or follow our procedures consistently or fairly
- the contents and outcome of any investigation carried out by customers or the apprentice(s) relating to the issue
- the date of the report
- customer name, position, and signature

Please email or post the completed report and any supporting evidence to the EPA team as soon as possible. The latest time we will accept an appeal is **10 working days** from the date we informed our customer about our original decision.

If at any point customers or apprentices wish to be legally represented in relation to any aspect of an appeal, this **must** be discussed with us. We reserve the right to also be legally represented.

7. PROCESSES AND TIMESCALES REGARDING APPEALS

Appeal acceptance

The decision whether to accept the application for an appeal is based on:

- whether the appeal as submitted is properly constituted as outlined above
- whether any other relevant/required process has first been completed (e.g. an Enquiry about Results and/or Assessment Decisions)
- whether there is evidence that our relevant policies and procedures have not been properly and fairly applied
- the timescale of the application

If an application for an appeal is not accepted, the reason(s) for this will be given. If we agree the appeal is properly constituted, we'll arrange for a Panel, consisting of, as a minimum, a member of the EPA team and an independent person to review the case and to make a decision based on the evidence presented, including any evidence our customers submit in support of the appeal. The Panel will consider whether we have properly and fairly applied our relevant policies and processes

considering the evidence presented, any readily available regulators' advice on similar matters and any readily available awarding precedents.

Timescales following the acceptance of an appeal request

PIABC Limited aim to action and resolve an appeal within **10 working days**. Please note that in some cases; particularly where the case may be complex and/or an independent person is not available within this timescale, the appeal may take longer than **10 working days**. In such instances, we will advise our customers of the reasons why and the revised timescale.

8. OUTCOMES OF APPEALS

The Panel may decide that:

- the appeal is unfounded, or
- we did not apply our procedures consistently, properly, or fairly; in which case the relevant procedure(s) must be appropriately applied.

We will let our customers know in writing of this outcome from the appeal within **1 working day** of the decision being made.

The Panel's decision is final and will complete the EPA team internal appeals procedures. No further appeal will be accepted. Should our customers disagree with the decision, they may have the right to lodge a formal complaint.

Where the appeal relates to our actions or decisions regarding a regulated standard and customers remain dissatisfied, they may contact our standards regulators. PIABC Limited's regulators would require evidence that they have fully exhausted our appeals procedure.

9. FEES

Fees charged for providing this service

PIABC Limited may charge customers or apprentices a fee to cover administrative and re-assessment costs. If PIABC Limited charge customers and subsequently uphold your enquiry, PIABC Limited will reimburse the original charge.

Fees available on request from the EPA team.

10. MANDATORY DISCLOSURE AND CONFIDENTIALITY

Mandatory disclosures

It is imperative that the integrity of PIABC Limited assessments is maintained. PIABC Limited are aware that customers often work with more than one EPAO, and that therefore more than one EPAO may be at risk when things go wrong.

PIABC Limited's regulators have outlined some specific conditions that we must meet to protect the integrity of awards. This includes the requirement that where certain things are identified (such as malpractice), or certain actions taken (such as when sanctions are applied) the Regulators and other relevant EPAOs who may be affected must be informed.

Depending on the seriousness of the matter, we may be required to declare to our regulators that we are no longer compliant due to an act or omission by our customers which has put us in breach. In this event, we may have regulatory action directed against us, such as Monetary Penalties. We reserve the right to direct such financial penalties against our customers, should they be because of the act or omission.

Confidentiality

PIABC Limited may need to access confidential information. We will ensure that such information is kept secure and only used for the purposes of the investigation and in line with relevant data protection legislation. We will not normally disclose the information to third parties unless required to do so (e.g., to our Regulators and/or the Police or other relevant and/or Statutory Bodies).

11. TERMINATION FOR CONVENIENCE

Where possible, PIABC Limited will always try to work with customers in resolving issues. However, nothing within this policy precludes PIABC Limited from invoking our right under our Contract to terminate our relationship with our customers.

12. CONTACTS

Your contact for this policy

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

Email: piabc@iom3.org

Phone: 01476 513884

Post:

PIABC Limited
The Boilerhouse
Caunt Road
Springfield Road
Grantham
NG31 7FZ

Website: www.piabc.org.uk

13. GLOSSARY OF TERMS

Abbreviation or Term	Meaning
Contract	The contract will be a service level agreement (SLA) with our customers.
Customer	This can be apprentices, employees, employers, external quality assessors, training providers and workers.
EPA	End Point Assessment: An EPA is a collection of assessments that offers confirmation of knowledge, skills and behaviours (known as KSBs) for a role. It takes place once the apprenticeship training has been completed, and the apprentice is deemed ready to enter the Gateway for EPA. The EPA must be achieved before an apprenticeship certificate can be issued. The structure of an EPA is designed to ensure that those deciding on the competency of an apprentice are totally unbiased. This means that an assessment must either be conducted by an independent third party, or in a way that ensures no party involved in the management or training of the apprentice can make the sole decision on competence and passing the EPA – via a panel of experts, for example.
EPAO	End Point Assessment Organisation: an organisation providing EPA.
Gateway	When an apprentice reaches the end of their training, the employer (supported by the training provider) will make the decision on whether or not the apprentice is ready to take the EPA – this decision process or stage is known as the “Gateway”.
IEPA	Independent End Point Assessor: a person who facilitates an unbiased assessment of an Apprentice’s competencies against the KSBs of the standard.
LIEPA	Lead Independent End Point Assessor: a person responsible for internal quality assurance and standardisation of all assessment practice within EPA and is the sector expert.