



Complaints and Appeals Policy for End-Point Assessment

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1 Introduction

VTCT is committed to providing an excellent end-point assessment service. VTCT supports improvement in assessment quality and decision-making, however we recognise that from time to time situations arise where an apprentice considers that they might have grounds for an appeal against a decision related to that end-point assessment. This document sets out our complaints and appeals procedure which should be followed by apprentices, providers, employers or members of the public if they have queries or concerns about an end-point assessment delivered by VTCT.

2 Scope

This policy only covers complaints and/or appeals that apprentices, members of the public or providers or employers may wish to make in relation to the end-point assessment services delivered by VTCT.

This policy is not to be used to cover enquiries or complaints about other qualifications or services offered by VTCT.

3 Provider responsibility

It is the responsibility that all staff involved in the delivery of VTCT apprenticeship qualifications or VTCT end-point assessments, and apprentices are aware of the contents of this policy. All VTCT approved apprenticeship providers should have a complaints handling procedure and appeals process in place to deal with complaints about end-point assessment services.

4 Review

VTCT will review this policy and its associated procedures as part of our self-evaluation arrangements and revise it as and when necessary in response to customer, apprentice or regulatory feedback and any trends that may emerge in the subject matter of complaints received.

5 Procedures

VTCT distinguishes between complaints and appeals. A complaint is an expression of dissatisfaction with facilities or services provided as part of an end-point assessment. Appeals are specific challenges to judgements made in relation to an assessment. It is VTCT's policy to ensure that all complaints and appeals are thoroughly investigated and given fair consideration, with findings communicated within agreed timescales. There are three procedures contained within this document:

- End-point assessment complaints procedure
- End-point assessment enquiry about results procedure
- End-point assessment appeals procedure

6 End-point Assessment complaints procedure

All VTCT staff have been trained to help our customers, so you should first try to sort out any problem at the earliest opportunity by speaking to one of our customer support associates.

If you wish to escalate your complaint, you can ask to speak to the Quality Lead (Apprenticeships).

If you are not satisfied with the help provided by the Quality Lead (Apprenticeships), please send a written complaint to the VTCT Quality and Processing Manager either by post or email (contact details below), normally within 28 days of the event you are complaining about.

Complaints about any aspect of the end-point assessment service should normally be submitted to VTCT by the employer or provider, however, apprentices can make the complaint directly to VTCT in exceptional circumstances where they feel the complaint has not been satisfactorily handled by the training provider or their employer.

When making a complaint to VTCT, please provide us with:

- Copies of any correspondence between the apprentice and the provider regarding the complaint
- A statement of the circumstances surrounding the complaint
- Any other supporting documents relevant to the complaint

VTCT will appoint an investigating officer to investigate all complaints which will involve gathering all relevant evidence and interviewing the apprentice and any other people relevant to the complaint.

We aim to investigate all complaints within agreed timescales. At the end of the investigation, VTCT will communicate the findings of the investigation to the complainant within 28 days of the date of receipt of the complaint and we will outline any resolutions or further actions planned as a result of the findings.

7 End-point Assessment enquiry about result procedure

If an apprentice, training provider or employer is dissatisfied with end-point assessment results, has reason to suspect they may not be accurate or is concerned that correct procedures have not been followed; the first step is to make an Enquiry About Results (EAR), using the form attached in Appendix 1. The EAR form should be submitted to the VTCT Assessment Manager, using the contact details below, within 14 days of the receipt of results. If it is an enquiry about an Apprenticeship Assessor's practical assessment decision, a detailed report will be produced by the original Apprenticeship Assessor and this will be reviewed by the VTCT Quality Lead (Apprenticeships) to ascertain whether moderation is necessary.

The VTCT Quality Lead (Apprenticeships) will review the enquiry and communicate findings and information about any further action to be taken within 21 days. If the end-point assessment result is found to be incorrect and the result uplifted, VTCT will issue new results and a new certificate. If other end-point assessment decisions may be affected by the result of such an enquiry, all similar results will be recalled and reviewed in the same way.

Further action may include the apprentice undertaking another end-point assessment with another Apprenticeship Assessor.

8 End-point Assessment appeals procedure

If the doubts about the accuracy of the end-point assessment results still persists, following the EAR process; the apprentice, training provider or employer should submit an appeal in writing using the procedure outlined here. The appellant should write to the Chief Academic Officer using the Appeals Form in Appendix 2, within 14 days of the receipt of receiving the outcome of the EAR; who will convene the VTCT Apprenticeship Assessment Panel to review any additional evidence. If the end-point assessment result is found to be incorrect and the result uplifted, VTCT will issue new results and a new certificate.

The VTCT Apprenticeship Assessment Panel may, at its discretion direct the apprentice to undertake another end-point assessment with a different Apprenticeship Assessor either at his/her own provider centre or an alternative host centre (where available) as agreed by VTCT. If other end-point assessment decisions may be affected by the result of such an appeal, all similar results will be recalled and reviewed in the same way. VTCT will communicate the findings of all appeals within 28 days of receipt. The decision of the VTCT Apprenticeship Assessment Panel is final.

9 Fees

VTCT charges a fee of £15.00 per apprentice for an Enquiry About Results (EAR). The fee will be refunded if the EAR is successful in changing the apprentice's grade.

VTCT charges a fee of £150 for an appeal against the outcome of an Enquiry About Results (EAR). VTCT will not be responsible for any travel, equipment or product costs associated with an end-point assessment re-sit.

All fees and reasonable travel and subsistence costs arising from an end-point assessment re-sit (where necessary) will be refunded if a subsequent appeal or EAR is successful (upheld).

10 Upheld complaints and appeals

If any part of a complaint or appeal is upheld VTCT will respond to the complainant accordingly and give due consideration to how we can improve our service and arrangements. For example, by reviewing our procedures to assess the impact on our arrangements and assessment process (if relevant) or arranging for staff training. In extreme circumstances, internal disciplinary procedures may be exercised where the performance of our Apprenticeship Assessor is deemed unsatisfactory.

In situations where a complaint or appeal has been successful and indicates a failure in our end-point assessment processes, we will as appropriate, take actions such as:

- Identify any other apprentice who has been affected by that failure
- Correct, or where it cannot be corrected, mitigate as far as possible the effect of the failure
- Make improvements and ensure that the failure does not recur in the future



11 Contact details

VTCT Quality and Processing Manager
VTCT Aspire House
Annealing Close
Eastleigh
Hampshire
SO50 9PX

Tel: +44 (0) 2380 684500

Email: qualityassurance@vtct.org.uk

VTCT Assessment Manager
VTCT Aspire House
Annealing Close
Eastleigh
Hampshire
SO50 9PX

Tel: +44 (0) 2380 684500

Email: appeals@vtct.org.uk

12 Appendix 1 – Enquiries About Results (EAR) form

Enquiry about results application form

Part A: Apprentice consent form

Information for candidates

If your centre makes an Enquiry About the Result for your End-point Assessment after your End-point Assessment grade has been issued, there are two possible outcomes:

Your original mark

- is confirmed as correct, and there is no change to your grade.
- is changed, so your final grade may be higher or lower than the original grade you received.

In order to proceed with the Enquiry About Results, you must sign the form below. This tells the head of your centre that you have understood what the outcome might be, and that you give your consent to the Enquiry About Results being made.

| | | | |
|--------------------------------|--|-------------------------------|--|
| Apprentice number: | | Apprentice name: | |
| End-point Assessment Standard: | | Date of End-point Assessment: | |

I give my consent to the head of my centre to make an enquiry about the result of the End-point Assessment listed above. In giving consent, I understand that the final subject grade awarded to me following an Enquiry About Results may be lower than, higher than, or the same as the grade which was originally awarded for this subject.

Apprentice Signature:.....

Centre Name:.....

Date:.....

Part B: Centre consent form

Information for centres

VTCT charges a fee of £15.00 per learner per unit for an Enquiry About Result (EAR). The fee will be refunded if the EAR is successful in changing the apprentice's grade.

Details of enquiry

Please state the reason for your enquiry.

Centre number:

Centre name:

Reasons for enquiry:

Signature on behalf of centre:.....

Date:.....

This form should be retained on the centre's files for at least 6 months following the outcome of the Enquiry About Results.

Once completed, please email this form to epaappeals@vtct.org.uk

Centre Contact Information

Email address:.....

Phone number:.....



13 Appendix 2 – End-point Assessment appeals form

| End-point Assessment Appeals Form | |
|---|-------------------------------------|
| Centre and apprentice details | |
| Centre name: | Contact details: |
| Centre number: | Daytime telephone number: |
| Apprentice name: | Date complaint submitted to centre: |
| Apprentice number: (if applicable) | |
| <p>Please submit evidence of the following:</p> <ol style="list-style-type: none"> 1. Evidence to support your appeal. <ul style="list-style-type: none"> - Statements from colleagues or peers where appropriate - Statements from clients where appropriate 2. A statement outlining why you are unhappy with the outcome of the end-point assessment Enquiry About Results. 3. Please attach this form to the front of your documents when submitting by mail or complete electronically and attach it to the email with all supporting evidence. <p>Once completed, please email this form to appeals@vtct.org.uk.</p> | |
| Please complete below | |
| Appellant name: | |
| Appellant signature: | |
| Apprentice signature: (if not the complainant) | |
| Date: | |

Document History

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| v6.2 | November 2017 | Document created | Quality and Processing Supervisor |
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