



IETTLO

End-Point Assessment

Complaints Policy and Procedure



## **COMPLAINTS POLICY AND PROCEDURE**

### **Overview of the policy**

This policy covers the delivery of IETTLO end-point assessments (EPAs) which are subject to internal and external quality assurance.

### **Purpose of the policy**

The purpose of this Complaints policy is to set out the steps to follow when submitting a complaint to us and, should the complaint be accepted, the steps we will follow to investigate the complaint and come to a decision.

### **Who needs to know about the policy?**

Apprentices, staff, Trustees and assessors who are involved in the design, delivery, management, assessment and quality assurance of our products should be aware of, and familiar with, the contents of the policy.

### **Reviewing the policy**

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

### **What is a complaint?**

We consider complaints as expression(s) of dissatisfaction regarding our actions, services, and the application of our policies and / or on occasion, the outcome or decision we have made.

In particular, when considering complaints, we examine whether they relate to the following on our part (our complaints criteria):

- mistakes or poor service
- unreasonable delay or failure to take action
- unprofessional behaviour or conduct
- bias or unfair treatment
- failure to follow our published policies or procedures without a reasonable explanation.

### **Frivolous, meritless or vexatious complaints**

We will treat every complaint fairly.

We will not engage with frivolous, meritless or vexatious complaints. We will not accept persistent and



repeated contacts from complainants, without being presented with new information or evidence.

These types of interactions reduce the amount of time that we can dedicate to supporting our other partners.

## **Making a complaint**

### **Outlining your complaint**

The following information will help us in understanding the reason for your dissatisfaction:

- the full nature of the complaint (what happened)
- the date(s) the issue you are complaining about came to your attention (when it happened)
- the nature of the service affected

Where we consider a complaint to be unspecific, excessively long and / or complex, we may require a written summary of the key aspects of your complaint, to make sure we understand the points to be covered.

## **How we deal with complaints**

We aim to resolve all accepted complaints as quickly as possible. Where this is not possible, we will take a staged approach to complaint escalation and resolution.

Stages 1 and 2 of our Complaints Policy are classed as informal stages. Complaints escalated to Stages 3 or 4 are classed as formal complaints.

Please see each stage below for information on how our partner's complaint will be addressed.

### **Stages of a complaint**

#### **Stage 1: Informal – initial complaint**

Initial (Stage 1) complaints should be submitted by email to [iettl@tica.uk.com](mailto:iettl@tica.uk.com). The complainant can expect a resolution to the complaint within **10 working days** of receipt.

The complaint needs to be made within **10 days** of the final apprenticeship assessment.

#### **Stage 2: Informal – escalation to a Line Manager**

Where it has not been possible for us to resolve the complaint at Stage 1, we will escalate it to an appropriate Line Manager who will action and resolve your complaint within a further **10 working days**.

Any Stage 2 complaint must be submitted within **5 working days** of the receipt of the IETTLO response.



### **Stage 3: Formal – escalation to an appointed Senior Manager**

Where it has not been possible for us to resolve the complaint at Stage 2, we will escalate it to an appointed Senior Manager who will action and resolve the complaint within **10 working days**.

Any Stage 3 complaints must be submitted in writing, within **5 working days** of the Stage 2 outcome being given. Information must be provided as to why they believe the complaint has not been resolved and / or properly addressed.

The Senior Manager will determine whether we have applied our procedures fairly, appropriately, consistently and in line with our policy.

We will inform our partners in writing of the decision within **1 working day** of the decision being made.

### **Stage 4: Formal – escalation to an IETTL Trustee**

If the complainant followed all of the escalation steps above and the complaint remains unresolved, we will escalate the complaint to an IETTL Trustee.

If the complainant is not satisfied with the Stage 3 response, they may request the complaint to be escalated. They must do so in writing, within **5 working days** of the Stage 3 outcome being given to them. Complainants must outline why they believe the complaint has not been resolved and / or properly addressed.

Our IETTL Trustee will consider the evidence from all aspects of the complaint to date and the actions we have taken to resolve it, to determine whether we have dealt with the complaint correctly and fairly.

We aim to resolve any complaint lodged with an IETTL Trustee within **10 working days**. We will inform the complainant in writing of the Trustee's decision within **1 working day** of the decision being made.

This stage in the complaints process is final and will complete IETTL's internal complaints procedures. No further complaint on the same matter will be accepted.

### **Exceptions to stated timescales**

The timescales relating to each stage of the complaints process are outlined above. Please note that in some cases, particularly where the complaint may be complex, the complaint may take longer than the stated working days to investigate and / or resolve. In such instances, we will advise you of the reasons why and of the revised timescale.



## **Outcome of a complaint**

If we uphold the complaint, we will tell the complainant what remedy we propose. The remedy chosen will be proportionate and appropriate to the issue being complained about and may include:

- an apology
- an explanation of any poor service you have received
- an explanation of how a matter has been or may be rectified
- recommendations to change or improve our processes or procedures.

## **Mandatory disclosure and confidentiality**

### **Mandatory disclosures**

It is imperative that the integrity of assessment is maintained; for example, by ensuring learners who are awarded a certificate have a legitimate right to that certificate.

Depending on the seriousness of the matter, we may be required to declare to our regulators (e.g. Ofqual) that we are no longer compliant with the requirements of the General Conditions of Recognition, due to an act or omission by our partners which has put us in breach. In this event, we may have regulatory action directed against us, such as Monetary Penalties.

### **Confidentiality**

We 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.