



**ICA**  
END POINT  
ASSESSMENT

# End-Point Assessment Complaints Policy

## End-Point Assessment Complaints Policy

<b>Policy Ref</b>	ICA-EPA6
<b>Date of Issue</b>	22/09/2022
<b>Next Scheduled Review</b>	01/12/2022
<b>Policy Owner</b>	ICA Head of EPA
<b>Approved By</b>	ICA Responsible Officer
<b>Policy Relates to:</b>	End-Point Assessment Provision
<b>Policy is for the use of:</b>	Apprentices, Training Providers, Employers, ICA Staff
<b>Should be read in conjunction with:</b>	Ofqual General Conditions of Recognition ICA EPA Appeals Policy ICA EPA Malpractice and Maladministration Policy

### Introduction

The International Compliance Association (ICA) is committed to maintaining the highest standards for its apprentices, training providers, employers and other key stakeholders.

All complaints will be dealt with fairly and in a timely manner and will be recorded to inform future changes. Individuals will not be discouraged from making complaints, unless they are vexatious, malicious or frivolous. Where possible, complaints will be dealt with informally – all complaints, however, and their outcomes will be recorded.

### Internal Responsibility

The Head of EPA is responsible for the maintenance and compliance of this policy. If the Head of EPA is absent, the Responsible Officer will appoint another member of the SMT to ensure all of ICA's actions and activities are in line with the content of this policy.

### Review arrangements

We will review the policy annually as part of our self-evaluation process and revise it as and when necessary, in response to feedback, trends from our internal monitoring arrangements, changes in our practices, actions from the regulatory authorities or external agencies, or changes in legislation.

The annual review of this policy will be undertaken by the Head of EPA approximately four weeks prior to the submission of ICA's Statement of Compliance to our regulators. Any amendments or updates to this policy will be approved by ICA's SMT.

Where the regulators notify ICA of failures that have been discovered in the complaints processes of another awarding organisation, ICA will review whether or not a similar failure could affect our complaints processes and arrangements, and take action to amend this policy where necessary.

### Policy Statement

This policy aims to provide an efficient, effective and transparent mechanism for apprentices, training providers, employers and other key stakeholders to complain about any aspect of ICA's EPA service.

## Complaints

A complaint is defined as any expression of dissatisfaction with a service offered directly by ICA; however it is expressed. This would include complaints expressed face-to-face, via a phone call, in writing, via email or any other method.

All ICA staff should have sufficient knowledge to be able to identify an 'expression of dissatisfaction' even when the word 'complain' or 'complaint' is not used.

ICA is committed to addressing any concerns raised and learning from any mistakes we make.

### The Complainant

For the purposes of this document, the Complainant is considered to be the person or organisation who submits the initial dissatisfaction.

If the Complainant wishes to change the contact for the complaint process than they must do so in writing and contact will need to be made with the new contact before any timescale or process is deemed to have commenced.

### Scope

This policy covers complaints from Apprentices, employers and training providers or other stakeholders who may wish to make complaints in relation to the EPA services, systems, process and procedures offered by ICA.

It is not to be used to cover appeals involving assessments which are covered by our Appeals Policy. Should a complaint be submitted which is in fact an appeal, we will respond to inform the relevant party that the issue is being considered, where appropriate, in accordance with the approach outlined in our Appeals Policy.

If an individual has reason to believe malpractice or maladministration may have taken place during the delivery of an EPA where ICA is the End-Point Assessment Organisation, or by an Apprentice or Apprentice registered with ICA, they should refer to the ICA EPA Malpractice and Maladministration Policy.

Any complaint about requests for and the application of reasonable adjustments or special considerations will be dealt with through the ICA EPA Reasonable Adjustments and Special Considerations policy.

ICA will **not** normally investigate complaints:

- which are being, or have been, considered by a court or similar body
- which are submitted more than one month after the decision or action complained about has been taken, and
- where ICA considers the complaint to be vexatious, malicious or frivolous.

## Who can make a complaint?

ICA will investigate complaints relating to the EPA service from:

- training providers involved in the management of apprentices undertaking EPA with ICA
- an Apprentice undertaking EPA with ICA, and
- an employer of an Apprentice undertaking EPA with ICA.

Where a training provider is making a complaint on behalf of an apprentice, they should inform the apprentice of this prior to contacting the ICA.

If an Apprentice or an employer wishes to make a complaint about their training provider, they should do so directly to the training provider.

## Complaints brought to our attention by Ofqual

If Ofqual notify ICA that an issue has been discovered with our EPA service we will handle them in the same manner as any other external complaint in accordance with these procedures.

## Making a complaint

Potential Complainants should first try to sort out any problem at the earliest opportunity by speaking to the person that you have engaged with at ICA. If they cannot help, or you wish to speak to someone else, you can put your complaint in writing by either emailing us or using the online form on our website.

Online form: [ICA | Make a Complaint \(int-comp.org\)](https://int-comp.org)

Complaints can also be made via email to [complaints@int-comp.org](mailto:complaints@int-comp.org)

## What information is required to make a complaint?

We will need the Complainant's full name, contact details – including a daytime telephone number – along with:

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

Sometimes a complainant will wish to remain anonymous. If this is the case, we recommend that they first read our Whistle-blowing Policy to see if they can raise their concerns through this channel.

If the Whistle-blowing Policy does not apply to you, and you are concerned about possible adverse consequences that may occur should your identity be revealed, then please inform us that you do not wish for us to divulge your identity when you first submit the complaint, and we will endeavour to ensure your details are not disclosed.

We will never reveal your identity unless you agree, or it is absolutely necessary. We will always advise you if it becomes necessary to reveal your identity against your wishes before any such action is taken.

While we are prepared to investigate issues which are reported to us anonymously, it is always preferable to provide your identity and contact details in case we need further information from you to inform our handling of your complaint, as well as to inform you of the outcome of our investigation.

## Timeframes

All complaints will be acknowledged in writing within 3 working days and ICA aims to respond within a further 10 working days. If, for any reason, we are unable to respond within this timescale, we will notify the Complainant of this in writing along with the reason for the delay and an expected response date.

If ICA receives a complaint which is in fact an appeal, we will respond to inform the Complainant that the issue is being considered in accordance with ICA's Appeals Policy.

If you wish to appeal a decision made by ICA as you have cause to believe ICA has not followed its procedures and processes correctly, please see the ICA Appeals Policy.

### **Fees**

ICA will not charge the Complainant (Apprentice, training provider or employer) any fee to cover the administrative and personnel costs involved in investigating complaints.

### **Result of the complaint**

At the end of its investigation, ICA will inform the Complainant of the outcome.

Where appropriate, ICA will advise the Complainant of proposed remedial actions.

In situations where a complaint is upheld, we will give due consideration to the outcome and will take appropriate actions such as:

- an apology, where poor service is identified
- identifying any other Apprentices who have been affected by the issue
- correct, or where it cannot be corrected, mitigate as far as possible, the effect of the issue on all parties including the Complainant
- review and amend our arrangements to reduce the likelihood of the issue recurring in the future, and
- review and verify remedial actions taken to address the issue to ensure that the solutions applied have been effective.

### **Appeals relating to how complaints have been handled**

A Complainant who wishes to appeal any decision regarding the outcome of a complaint should consult the ICA Appeals Policy first in order to understand the appeals process ICA follows.

If, after consulting the relevant policy, the Complainant disagrees with the decision made and response, and has reasonable grounds to believe that ICA has not followed its processes and procedures correctly, then an appeal should be made following the process in ICA's Appeal Policy.

### **Continuous improvement**

In situations where a complaint has highlighted a failure in ICA processes, appropriate action will be taken to improve the relevant processes. This may include but is not limited to:

- identifying any other Apprentice who has been affected by that failure
- correcting, or where it cannot be corrected, mitigating as far as possible, the effect of the failure
- ensuring that the failure does not recur in the future
- in extreme circumstances, internal disciplinary procedures may be exercised where the performance or behaviour of ICA staff members is deemed unacceptable.

Information gathered during the complaints process may also be used by ICA as evidence to inform and review our approach to the development, delivery and award of qualifications.

### **Confidentiality**

We understand that sometimes a Complainant will wish to remain anonymous. While we are prepared to investigate complaints which are reported to us anonymously, in these cases we will always try to confirm an allegation by means of a separate investigation before taking up the matter with those responsible.

This may delay a resolution of the complaint and may even mean that it is not progressed further. It is always preferable to reveal your identity and contact details to us.

If you are concerned about possible adverse consequences because of making a complaint, then rest assured, we will not divulge your identity.

### **Further avenues**

A Complainant who remains dissatisfied with the procedures and processes followed by ICA in relation to an EPA can complain to Ofqual using the below contact details:

By Email to: [public.enquiries@ofqual.gov.uk](mailto:public.enquiries@ofqual.gov.uk)

By Letter to:

Complaints - Ofqual

Earlsdon Park

53-55 Butts Road

Coventry

CV1 3BH