



# Complaints and Appeals Policy

## 1. Introduction

BIOR is committed to providing an excellent end-point assessment service. BIOR 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 BIOR.

## 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 BIOR. This policy is not to be used to cover membership complaints or other services offered by BIOR.

## 3. Provider responsibility

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

## 4. Review

BIOR 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

BIOR 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 BIOR'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 BIOR 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 (EPA).

If you are not satisfied with the help provided by the Quality Lead (EPA), please send a written complaint to the BIOR 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 BIOR by the employer or provider, however, apprentices can make the complaint directly to BIOR 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 BIOR, 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**

BIOR 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, BIOR 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 because 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 BIOR Quality and Processing Manager, using the contact details below. If it is an enquiry about an Independent Assessment Examiner's practical assessment decision, a detailed report will be produced by the original Independent Assessment Examiner and this will be reviewed by the BIOR Quality Lead (EPA) to ascertain whether moderation is necessary.

The BIOR Quality Lead (EPA) 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, BIOR 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 Assessment Examiner.

## 8. End-point Assessment appeals procedure

If the doubts about the accuracy of the end-point assessment results 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 Director of BIOR using the Appeals Form in Appendix 2; who will convene the BIOR Apprenticeship Assessment Panel to review any additional evidence. If the end-point assessment result is found to be incorrect and the result uplifted, BIOR will issue new results and a new certificate.

The BIOR Apprenticeship Assessment Panel may, at its discretion direct the apprentice to undertake another end-point assessment with a different Assessment Examiner. 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. BIOR will communicate the findings of all appeals within 28 days of receipt. The decision of the BIOR Apprenticeship Assessment Panel is final.

## 9. Upheld complaints and appeals

If any part of a complaint or appeal is upheld BIOR 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 Independent Assessment Examiners 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**

**BIOR Quality Lead (EPA)  
Suite 3, Parkway 2 Business Park  
Princess Road  
Manchester M14 7LU**

**EPAQuality@ior.org  
0871 288 2108**

## Appendix 1

Enquiries About Results (EAR FORM)	Date
Apprentice ULN	
Standard	
EPA reference	
Examiner	
Date of EPA	
Type of EPA	
Comments	

## Appendix 2 End-point Assessment appeals form

Provider name and address / number / contact	
Apprentice name/ULN/Address/Tel	
Complaint Date	
<p>Please submit evidence of the following:</p> <ol style="list-style-type: none"><li>1. Evidence to support your appeal. - Statements from colleagues or peers where appropriate - Statements from clients where appropriate</li><li>2. A statement outlining why you are unhappy with the outcome of the end-point assessment Enquiry About Results</li><li>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.</li></ol>	
Signature	
Date	