



EMA COMPLAINTS AND APPEALS POLICY FOR END-POINT ASSESSMENT

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EMA Complaints and Appeals Policy for End-point Assessment

1. Introduction

This document sets out the Energy Managers Association (EMA)'s complaints and appeals procedure which should be followed by apprentices, providers or employers if they have queries or concerns about an end point assessment delivered by the EMA. This policy and procedure apply to the Junior Energy Manager Apprentice End Point Assessment (EPA).

The policy offers EPA apprentices the opportunity to submit a complaint, enquiry about result or appeal should they believe that there was an irregularity in the provision of the Junior Energy Manager Apprentice EPA which had an unfavourable impact on their performance during the assessment or an irregularity in the conduct of End Point Assessment Assessors and therefore, on the outcome of their assessment.

The EMA is committed to providing a thorough and independent EPA service and supports improvement in assessment quality and decision-making, and any complaints and appeals, regardless of their outcomes, are reviewed to inform continuous improvements in the EMA's policies and procedures.

2. Scope

This policy only covers complaints, enquiries and/or appeals that Junior Energy Manager apprentices, training providers or employers may wish to make in relation to the end-point assessment services delivered by the EMA. This policy is not to be used to cover enquiries or complaints about other assessments unrelated to the Junior Energy Manager apprentice end-point assessment or training or other services offered by the EMA.

3. Responsibility

It is the responsibility that all staff and End Point Assessment Assessor involved in the delivery of the Junior Energy Manager apprentice end-point assessments, and apprentices are aware of the contents of this policy.

4. Review

The EMA 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 apprentice, employer, training provider or regulatory feedback and any trends that may emerge in the subject matter of complaints received.

5. Procedures

The EMA differentiates between complaints and appeals. A complaint refers to an irregularity in the provision of the end point assessment. Appeals are specific challenges to judgements made in relation to an assessment. It is the EMA'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

Complaints relating to the provision or administration of the EPA must be submitted by the apprentice within 3 working days of the event using the Complaints and Appeals form (Appendix 1). In exceptional circumstances complaints could be submitted to the EMA by the employer or apprentice's training provider. The form and any other evidence must be received by the EMA by email at: enquiries@theema.org.uk by 18:00 of day 3. Complaints submitted after the deadline will be returned.

The complaints form and any evidence submitted by the apprentice will be forwarded to the Training and Assessment Manager at the EMA who is the Quality Lead with respect to the Apprenticeships.

When making a complaint, please provide the EMA with:

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

The EMA Training and Assessment Manager will investigate all complaints which will involve gathering all relevant evidence and interviewing the apprentice and any other people relevant to the complaint.

Should the investigation determine that an apprentice was, in any way, disadvantaged by an irregularity in the provision and administration of the assessment or treated unfairly, the Training and Assessment Manager will consider and apply appropriate compensation or measures. This may or may not alter the overall outcome from the assessment for that apprentice.

At the end of the investigation, the EMA will communicate the findings of the investigation to the complainant within 21 working 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.



Where the investigation leads to an apprentice complaints' outcome being unsuccessful, the complaint will be made redundant.

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, using the Complaints and Appeals form (Appendix 1).

Complaints relating to the enquiry about result procedure must be submitted by the apprentice within 10 working days of the assessment result received by an apprentice. In exceptional circumstances complaints could be submitted to the EMA by the employer or training provider. The form must be received by the EMA by email at: enquiries@theema.org.uk by 18:00 of day 10. Enquiry submitted after the deadline will be returned.

If it is an enquiry about an End Point Assessment Assessor's practical assessment decision, a detailed report will be produced by the original Independent Assessor and this will be reviewed by the EMA Training and Assessment Manager (Apprenticeships) to ascertain whether moderation is necessary.

The EMA Training and Assessment Manager (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, the EMA 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 Junior Energy Manager apprentice undertaking another end-point assessment with another End Point Assessment Assessor.

8. End Point Assessment appeals procedure

If the doubts about the accuracy of the end point assessment results still persist, following the enquiry about result 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 Executive of the EMA using the Complaints and Appeals form (Appendix 1); who will convene the EMA Apprenticeship Assessment Panel to review any additional evidence. If the End Point assessment result is found to be incorrect and the result uplifted, EMA will issue new results and a new certificate.

The EMA Apprenticeship Assessment Panel may, at its discretion direct the apprentice to undertake another end point assessment with a different End Point Assessment Assessor. 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. The EMA will communicate the



findings of all appeals within 28 days of receipt. The decision of the EMA Apprenticeship Assessment Panel is final.

9. Fees

The EMA charges a fee of £35 per apprentice for an enquiry about result. The fee will be refunded if the apprentice for an enquiry about result is successful in changing the apprentice's grade.

The EMA charges a fee of £250 for an appeal against the outcome of an enquiry about results. The EMA 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 enquiry about result is successful (upheld).

10. Upheld complaints and appeals – quality improvement process

If any part of a complaint or appeal is upheld, the EMA 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 and/or End Point Assessment Assessors' training. In extreme circumstances, internal disciplinary procedures may be exercised where the performance of our Independent Assessors 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
- Record all complaints and appeals, regardless of their outcomes, to elicit any learning to inform improvements in the EMA policies and procedures

11. Contact details

Energy Managers Association
N105 Vox Studios
1 – 45 Durham Street
London
SE11 5JH
T: +44 (0) 203 1762834 Email: enquiries@theema.org.uk

12. Appendix 1 – Complaints and appeals form



ENERGY MANAGERS ASSOCIATION

Serving Energy Management Professionals



To enable the Energy Managers Association (EMA) to consider your complaint or appeal, please complete this form. You should submit the completed form, together with any other documentation that supports your submission, to the EMA email:

enquiries@theema.org.uk

- For complaints, submit within 3 working days of your assessment
- For enquiry about result procedure, submit within 10 working days of your assessment outcome receipt
- For appeals, submit within 15 days of receiving your assessment enquiry about result outcome

It is the responsibility of the apprentice/employee/trainer to retain a copy of all documentation.

APPRENTICE NAME: _____

CONTACT NAME (if not an apprentice): _____

CONTACT EMAIL: _____

CONTACT TELEPHONE NUMBER: _____

THE END-POINT ASSESSMENT (EPA) TO WHICH THE COMPLAINT OR APPEAL

APPLIES: _____

Date(s) of the EPA: _____

Nature of the Complaint or Appeal (please delete as appropriate):

Evidence to support your complaint or appeal (please delete as appropriate):

Signed:

Date:

Further pages/files may be added in support of your submission, appropriately referenced.

