



UNITED CENTRE
of
EXCELLENCE

End Point Assessment Policies

Complaints Handling Policy
GP09



Document History

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V1.1	July 2019	Initial release	Harj Dhanjal
V1.2	Nov 2020	Document review during covid-19 (No Changes required)	Alan Bates
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Complaints Handling Policy

1. Introduction

This Complaints Handling Policy (CHP) reflects United Centre of Excellence (UCE) commitment to valuing complaints. Our aim is to resolve issues of dissatisfaction as close to the initial point of contact as possible and to conduct thorough and fair investigations of complaints so that, where appropriate, we can make evidence based decisions on the facts of each individual case.

Resolving complaints early saves time and resource and contributes to the overall efficiency of UCE. Concentrating on achieving an early resolution of a complaint as close to the point of contact as possible will free up the time of staff and ultimately contribute to the continued positive experience of our apprentices and employers.

The CHP is set at the discretion of UCE and is in line with Education and Skills Funding Agency Rules and the Institute for Apprenticeships External Quality Assurance Framework.

2. Raising Awareness

This policy is made available to employers and training providers upon selection and appointment of UCE as the End Point Assessment (EPA) & service provider. It is also available on the UCE website www.UCE.org.uk

This policy must be made available to apprentices, by their employer, as part of their induction to their apprenticeship, and at the gateway to EPA.

3. Definition

A complaint may be defined as an expression of dissatisfaction, the standard of service, action or lack of action by or on behalf of the UCE.

A complaint may relate to:

- The quality and standard of the EPA service
- The quality of facilities or EPA resources
- Treatment by, attitude or behaviour of a UCE staff member or assessor
- The failure of UCE to follow an appropriate administrative process.



The definition of a complaint is very broad and the list on the previous page is not exhaustive. However, not every concern raised with UCE is a complaint. For example, the following are not:

- A query on the operation of EPA
- A request under the Freedom of Information Act or General Data Protection Regulation
- A request for information or an explanation of policy or practice
- A response to an invitation to provide feedback through a formal mechanism such as a survey
- An issue which is being, or has been, considered by a court or tribunal
- An appeal about an EPA grading decision
- A grievance, which is eligible for handling through the grievance procedure

The, CHP covers complaints from anyone who receives, requests or is affected by our services. This includes, although is not limited to:

- An apprentice's experience during their EPA
- An employer's experience during EPA
- A training provider's experience during EPA

Please note that training providers are not involved in the delivery of EPA activities, but will be involved in the overall journey as the lead provider

- A UCE assessor experience delivering EPA services on behalf of UCE
- Members of the public where they have a complaint about matters which are the responsibility of UCE

Sometimes complainants may be unable or reluctant to make a complaint on their own. UCE will accept complaints brought by third parties, as long as the complainant affected has given their personal consent under the requirements of General Data Protection Regulation. This usually means that the apprentice must give clear written authority for the third party to act on their behalf. Complaints made by a third party with the explicit permission of the complainant will be dealt with according to the same timescales.

Complaints can be sent through via email (info@UCE.org.uk) Telephone (01332 987670) or letter (United Centre of Excellence, 26 Royal Scot Road, Pride Park, Derby. DE24 8AJ). They do not have to be on a formal template, but a template has been provided in Appendix A.



4. Maintaining Confidentiality

Confidentiality is an important factor in conducting complaints investigations. UCE will always have regard to any legislative requirements; for example, data protection legislation and also internal policies on confidentiality and the use of complainant information.

Complaints will be handled with an appropriate level of confidentiality and information released only to those who need it for the purposes of investigating or responding to the complaint. No third party will be told any more about the investigation than is strictly necessary in order to obtain the information required from them. An anonymised summary of complaints and resolutions will be shared with the relevant EQA upon request.

5. Anonymous Complaints

Complaints submitted anonymously will be considered if there is enough information in the complaint to enable UCE to make further enquiries. If, however, an anonymous complaint does not provide enough information to enable us to take further action, we may decide not to pursue it further.

If the complaint relates to “whistle blowing”, this will be dealt with in line with the Public Interest Disclosure Act. For further information, please refer to the malpractice and maladministration policy.

6. Complaints involving other organisations involved in EPA

This relates to complaints that involve services provided by a separate organisation (such as certification bodies). If enquiries to an outside organisation in relation to the complaint are required, care will be taken to comply with data protection legislation and the guidance on handling personal information. Such complaints may include, for example:

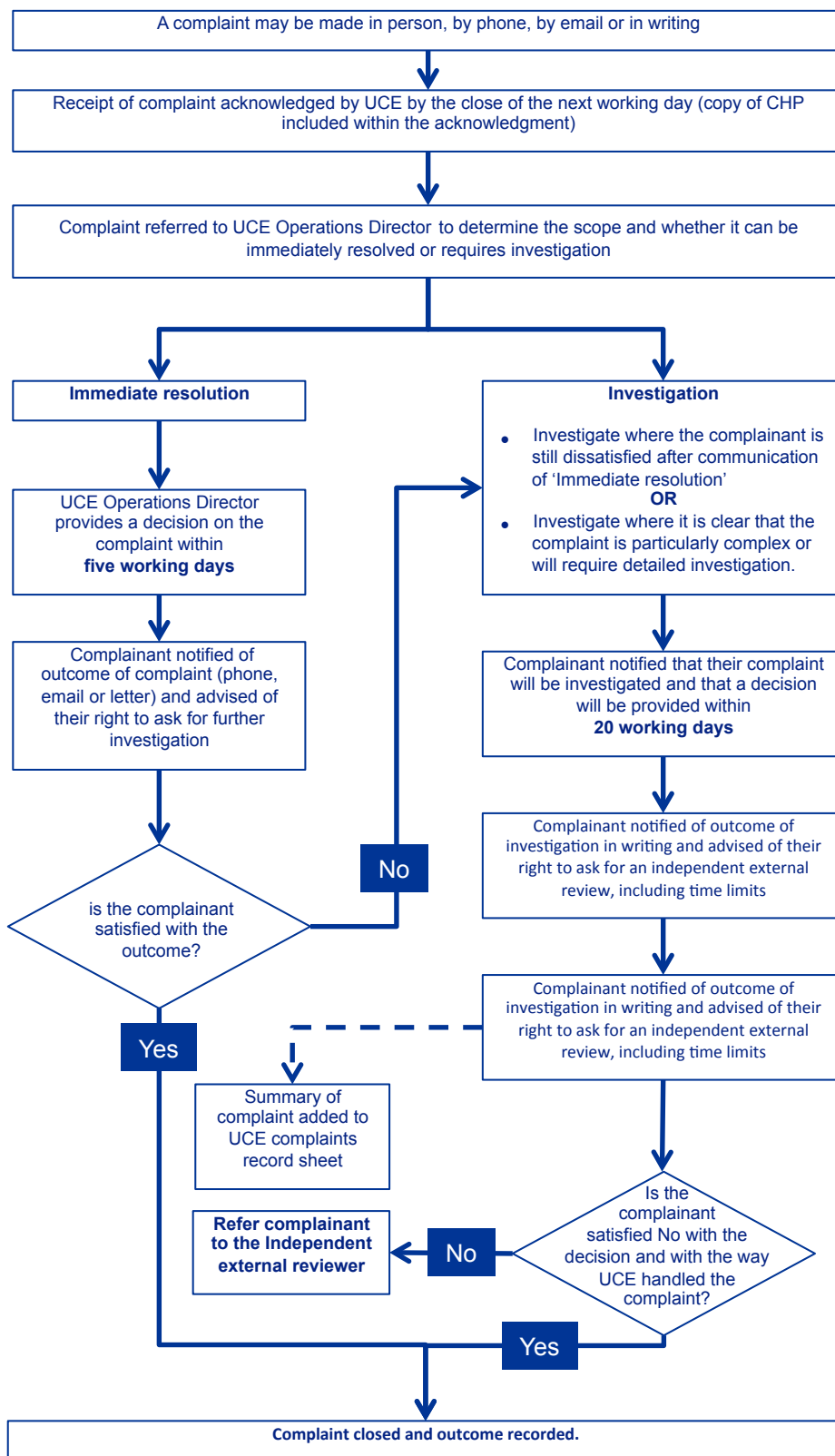
- A complaint made in relation to provision of third-party services, for example IT systems
- A complaint made to UCE about apprenticeship certification where the dissatisfaction relates to the service the certification body has provided

If a complaint is received about the service of another organisation, but UCE has no involvement in the issue, the complainant should be advised to contact the appropriate organisation directly.

7. The Complaints Handling Process

The CHP is intended to provide a quick, simple and streamlined process with a strong focus on early

resolution: (See diagram)





8. Time Limit for Making Complaints

Complaints should be raised with UCE as soon as problems arise to enable prompt investigation and swift resolution. This CHP sets a time limit of three months to raise a complaint with UCE, starting from when the complainant first became aware of the problem, unless there are special circumstances for requesting consideration of a complaint beyond this time.

Beyond the three-month time limit, UCE will exercise discretion in the way that the time limit is applied.

9. Extensions to the Investigation Timeline

Not all investigations will be able to meet the 20-day deadline; for example, some complaints may require investigation involving others.

Where there are clear and justifiable reasons for extending the timescale, the head of UCE will exercise judgment and will set time limits on any extended investigation, with the agreement of the complainant. In such circumstances, the complainant must be given a revised timescale for bringing the investigation to a conclusion. It is expected, however, that this will be the exception and that UCE will always strive to deliver a definitive response to the complaint within 20 working days.

10. Mediation

Some complex complaints (where, for example, the complainant and / or other involved parties have become entrenched in their position) may benefit from a different approach to resolving the complaint. Using mediation can help both parties to understand what is driving the complaint, and may be more likely to result in a mutually satisfactory conclusion being reached. Where UCE and the complainant agree to mediation, revised timescales will be agreed.

11. Independent External Review

If a complainant is not satisfied with the result of the investigation, they are entitled to request an independent external review. The request must be in writing within **10 working days** of the notification of the investigation outcome. The independent external reviewer will be a subject specialist that has not been involved in the original complaint appeal or connected to the organisation or individual that is subject to the complaint. The independent external reviewer may call a panel to review the complaint and has **15 working days** from notification to make a decision. The decision of the independent external reviewer is final.



12. Recording and Reporting Complaints

All complaints will be records on the internal UCE confidential data collection system. Anonymised summaries of complaints will be shared with the relevant bodies. Information reported internally will include:

- Response and resolution timescales
- Complaint categories
- Resolution levels (immediate, investigation or independent panel)

Outcomes of complaints and the actions taken in response including examples to demonstrate how complaints have helped improve services

Complaint records will be held on the apprentices individual folder.



Appendix A - Complaints Template

Name of the Complainant:		
Contact Details:		
Are you (please tick one of the options below):	<input checked="" type="checkbox"/>	Name / details
Apprentice	<input type="checkbox"/>	
Employer of an Apprentice	<input type="checkbox"/>	
Training Provider	<input type="checkbox"/>	
Other Organisation (please specify)	<input type="checkbox"/>	
Relative of the Apprentice	<input type="checkbox"/>	
Other (please specify)	<input type="checkbox"/>	
Date the complaint relates to:		
Nature of the complaint:		
Title and level of the apprentice		
Date of EPA:		
Date complaint submitted:		



UCE Administrative Use

Date complaint received:	
Name of UCE representative that acknowledged the complaint:	
Date of acknowledgement:	
Complaint referred to:	
Resolution:	
Date of resolution (closure):	
Signature of UCE representative:	
Date:	