

# Appeals Policy for End-Point Assessment

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## Contents

1. Why we have this policy .....	3
2. Who this policy applies to .....	3
3. Overview of this policy .....	3
4. The Policy itself .....	4

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## **1. Why we have this policy**

The purpose of this policy is to cover the handling and processing of Appeal requests from apprentices who have failed the End-Point Assessment (EPA) process. Only an individual apprentice can appeal against a decision, either directly to the IET EPA staff member or via their employer.

## **2. Who this policy applies to**

- The EPA staff member is responsible for ensuring that the procedure is followed, and the associated tasks are completed to agreed timescales
- The EPA Operations Manager is responsible for reviewing the process and for communicating any changes to EPA staff members who are responsible for the day-to-day operation of the procedures
- The EPA Operations Manager is responsible for discussing any training or policy implications with the Apprenticeship Assessment Manager and Quality Assurance Manager
- The EPA Operations Manager has overall responsibility for the Appeals process and for signing the Appeal decision letters
- The Appeal Panel has the responsibility for reviewing the evidence and making the overall decision on the appeal.

It is the responsibility of the Quality Assurance Manager to ensure that this policy is reviewed annually and updated, when necessary, in line with feedback or regulatory requirements.

The Quality Assurance Manager will also monitor the adherence and compliance of this policy on a regular basis through internal quality assurance checks.

## **3. Scope of this policy**

This policy sets out that all apprentices will receive full and fair consideration during their assessments.

Ensuring that all relevant information to the appeal has been adequately presented for consideration by the Panel.

To ensure that:

- a) The Appellant has been able to present all the relevant information to the Appeals Panel
- b) Correct procedures have been followed
- c) The original decision has been carefully reviewed
- d) The Appellant knows who to contact in the event of a query relating to their Appeal
- e) There is no further right of appeal

#### 4. The Policy itself

For the purposes of this policy, apprentices may appeal against outcome of the EPA via their Employer/Provider or directly on the following possible grounds:

- a) serious or exceptional personal, unanticipated, mitigating circumstances that caused them to under-perform
- b) a significant fault within the IET's processes or mishandling of their assessment which interfered with their ability to present their case
- c) the outcome of an investigation into a report of malpractice and/or maladministration including any sanctions imposed

#### 5. Handling Appeals

If an apprentice or their employer wishes to appeal, they should request an EPA appeal application form (FOR-APP-003) by emailing ([epa@theiet.org](mailto:epa@theiet.org)). In all cases an Appeal must be raised within one month of the Apprentice being notified of the outcome of the EPA.

Once we receive the appeals application form, the EPA staff member will log the details on the appeals register and the EPA staff member will acknowledge the appeal (within 5 working days).

A fee of £800 is payable for each appeal and is refundable if the Appeal is upheld, in that the grounds are found to be valid and likely to have had an impact on the Apprentice's ability to present their case, the Apprentice will be re-assessed as if for the first time and the Appeal Fee will be refunded. **\*\*Please note that the fee must be paid before the process can begin\*\***.

If the Appeal is not upheld, the Apprentice has no further right to appeal.

#### 6. Processing Appeal

##### The Appeals Panel and independence

At the start of the process, the EPA Operations Manager will convene an appeals panel which has the appropriate knowledge and skills to conduct the appeal review. At least one member of the panel must be completely independent of the IET e.g., not an Employee, Assessor, Member or Volunteer. A reciprocal agreement is in place with the Royal Aeronautical Society to provide a suitably independent panel member.

Once the panel has been convened, an EPA staff member will collate the following evidence to be submitted to the panel.

- A redacted copy of the appeal application form
- Any redacted notes from database systems such as ACE360
- The recording of the Viva interview
- The Fail notification letter
- The Knowledge, Skills and Behaviours (KSB) mapping form
- The Occupational Assessment Validation Interview Report form
- The Professional Engineer Competence Indicator form
- The EPA Scoring Form
- A redacted list of all assessors' names who have been involved in the process at each stage.

- Dates of when assessors attended EPA Assessment Training
- Completed appeal checklist

All the evidence submitted to the panel will password protected. Once the evidence has been received by the panel, the EPA staff member will make contact with the apprentice to provide an update on the progress.

The panel itself will conduct a review and consider the evidence and if necessary, may request additional information. The panel will check if the correct processes have been followed and if they had been applied fairly. The panel will then make the decision on the appeal:

- a) Uphold Appeal - Grounds Valid – re-assess appropriate stages of EPA.
- b) Decline Appeal - Grounds are not valid – original outcome confirmed.
- c) Refer to the Appellant or Assessors for further information. Upon receipt of the information, it will need to be forwarded to the Reviewers and Adjudicators for further consideration prior to making a further recommendation.

**Uphold Appeal – Grounds Valid – re-assess:**

If the decision is to re-assess, a letter explaining the outcome of the Appeal in relation to the grounds of appeal and the reason for a re-assessment is signed by the Head of Accreditation & Awards and a copy is sent to the apprentice and the outcome of the appeal is logged on the Appeals Register.

When the apprentice responds advising they wish to accept a re-assessment email the EPA staff member to inform them of the reassessment which should aim to be scheduled within 3 months unless there are mitigating circumstances, in which case a request should be sent to the panel to approve any additional timescales.

Please note that the EPA staff member should ensure that the assessment is treated as a new assessment and the assessors are not informed that it is an appeal.

When the assessment has been completed, the EPA process continues as normal.

Final Assessment – the EPA Professional/Occupational Competence Review Assessors will make the decision, but the appeal panel is to verify the decision before the apprentice is informed of the outcome.

**Please note that if the above recommendation (Appeal Upheld) is made the appellant is eligible to have their appeal fee refunded, regardless of the outcome of the new assessment.**

**Decline Appeal – Grounds are not valid:**

A letter explaining the outcome of the Appeal in relation to the grounds of appeal is signed by the Head of Accreditation & Awards and a copy is sent to the apprentice and the outcome of the appeal is logged on the Appeals Register.

## 7. Management of Personal Data & Data Sharing

During the appeals process apprentice data will be kept confidential as far as facilitating a fair and through process. Whilst this is important, this would need to be balanced with:

- The need for an open and fair investigation
- Appropriate corrective action to be taken to improve our processes and quality of EPA delivery
- The outcome of the investigation to be reported appropriately

During the appeal panel review, information may need to be shared with third parties as part of an independent review. For this to happen, a data sharing agreement will be in place to ensure we adhere to the rules of UK General Data Protection Regulation, and that the data is handled securely and correctly.

## 8. Quality Assurance

The outcomes of appeals will be recorded on an Appeals Register and will be reviewed on a quarterly basis as part of the EPA Steering Group Meetings. The information will also form part of a Monthly Quality Assurance Report which is shared with Senior Management.

## 9. Training

EPA Staff and Assessors will undertake training on a regular basis which will include the handling and processing of appeals.

## 10. Supporting Documentation

This policy should be used in conjunction with the following supporting documentation:

Reference	Name of Document
PRO-APP-0003	Appeals Process
FOR-APP-0003	Appeal Application Form
FOR-RRM-0003	Appeal Investigation Report Form
POL-MAL-0006	Maladministration and Malpractice Policy
POL-RAF-0001	Reasonable Adjustments Policy
POL-COM-0004	Complaints Policy
PRO-CO-0004	Complaints Process

## Regulatory Requirements

Under the regulatory requirements of Ofqual we are required to establish and comply with the conditions and criteria as set out in the [Ofqual Regulations General Conditions of Recognition](#). This policy specifically applies to Condition I1 and Condition I2 Appeals Process.

## Related Legislation

The UK General Data Protection Regulation and Data Protection Act 2018- this act covers that any information which is provided under this policy will be processed in line with the data protection principles.

## Control Sheet

**Sponsor:** Head of Professional Recognition  
**Document reviewer:** Quality Assurance Manager  
**Document adopted on:** 1 January 2021  
**Next review date:** 1 January 2026

## Review/change history

Date of Review/Change	Summary of changes	Version no.
January 2021	New policy for handling and processing appeals for end-point assessment	1.0
June 2021	Amendment made to the timeframe around apprentice being able to appeal from 3 months to one month after EPA result.	2.0
August 2021	Complete review of the appeals policy specifically to include independence around the panel members not being involved or affiliated with the IET.	3.0
December 2022	Updated IET Stevenage Address details to match the Ofqual Register	4.0
November 2023	<p>Amended review date from 01/01/2024 to 01/01/2025  Amended on page 3 the following to state clearer responsibility:</p> <ul style="list-style-type: none"> <li>The EPA Operations Manager is responsible for discussing any training or policy implications with the Apprenticeship Assessment Manager and Quality Assurance Manager</li> </ul> <p>This previously stated the Head of Awards and Accreditation who has no direct involvement with this process.</p> <ul style="list-style-type: none"> <li>The Apprenticeship Assessment Manager has overall responsibility for the Appeals process and for signing the Appeal decision letters</li> </ul>	5.0
January 2025	<p>Minor wording update to reflect current UK GDPR and Data Protection 2018.</p> <p>Update made to Sponsor of the document from Head of Awards and Accreditation to Head of Professional Recognition</p>	6.0
April 2025	<ul style="list-style-type: none"> <li>Slight wording tweaks made to the supporting documents as forms used for reporting appeal decision have been amalgamated into one single investigation report form.</li> </ul>	

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Date of Review/Change	Summary of changes	Version no.
	<ul style="list-style-type: none"><li>Responsibilities updated from Apprenticeship Assessment Manager to EPA Operations Manager.</li></ul>	

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