

# END POINT ASSESSMENT HANDBOOK

Institution of  
**MECHANICAL  
ENGINEERS**

## Table of contents

1	Introduction About IMechE About IMechE's EPA Service End Point Assessment Model	Page 2
2	Providing EPA Services Overview of stages of EPA Overview of EPA process and timelines	Page 4
3	Stage 1 – Application Arrangements Operational Handover	Page 5
4	Stage 2 – Registering the Apprentice Changes GDPR	Page 6
5	Stage 3 – Reservation of EPA Gateway Requirements Conflict of Interest Information Accuracy	Page 7
6	Stage 4 – Gateway Submission Timeframe and Duration Employer Gateway Responsibilities Training Provider Gateway Responsibilities	Page 8
7	Stage 5 – Booking of EPA	Page 9
8	Stage 6 – End Point Assessment Independent End Point Assessor (IEPA) Technical Expert Internal Quality Assurer (IQA) External Quality Assurer (EQA)	Page 10
9	Pre-EPA EPA Manager EPA Coordinator/Administrator Independent Assessors Internal Quality Assurer Activities on the day	Page 11
10	Stage 7 – EPA Results Responsibilities Cancellation of Results	Page 14
11	Resit/Retake Policy	Page 15

12	Dealing with Appeals and Complaints Introduction Definitions Complaints	Page 16
13	Managing Conflicts of Interest Definitions	Page 17
14	Access to Assessment, Reasonable Adjustments and Special Considerations	Page 18
15	EPA Malpractice and Maladministration Definitions	Page 19
16	EPA Data and Third Party Requests Definitions Data Retention	Page 19
17	EPA Delivery Model L3 Rail Engineering Technician (STO318) L3 Engineering Technician (STO457) L4 Rail Engineering Advanced Technician (STO316)	Page 20
18	EPA Delivery Model L3 Rail Design Technician (STO315)	Page 22

## Introduction

---

The Institution of Mechanical Engineers has been established since 1847 and has over 115,000 members registered at Engineering Technical (EngTech), Incorporated Engineer (IEng) or Chartered Engineer (CEng) and are licensed through the UK Engineering Council.

The Institution of Mechanical Engineers have been appointed as your EPA organisation and will be conducting your End Point Assessment.

IMechE work with EAL Awarding Body as a recognised centre to support in the delivery of end point assessments. Throughout the EPA process EAL will manage the on-boarding, registration and scheduling of the EPA in addition to providing assessors who will conduct the Viva elements of the assessment process on behalf of IMechE.

The End Point Assessment (EPA) is to provide an independent impartial formal assessment of your competency. The EPA is separate to any qualifications or other assessments that you may have undertaken during your training and you will not be able to achieve your apprenticeship until you have successfully passed this.

An important aspect of the reform of apprenticeships is the end-point assessment (EPA). The end-point assessment is designed to enable apprentices to demonstrate that they are fully conversant in the skills, knowledge and behaviours expected of individuals working at this level. It is designed to provide assessors with a holistic view of the apprentice, and to allow them to assess to what extent the apprentice meets or exceeds a specific apprenticeship standard.

The EPA is undertaken by an independent end-point assessment organisation (EPAO) such as IMechE. EPAOs are responsible for designing, administering, and marking assessments.

It is important to ensure that apprentices are assessed consistently and regardless of the EPAO chosen by their employer. As an EPAO IMechE have policies, procedures, and systems for controlling the quality of our assessments. These systems are known as Internal Quality Assurance (IQA). IQA involves ensuring that assessors are qualified and trained, that grading is applied consistently and that assessment instruments such as test questions or practical tasks are robust.

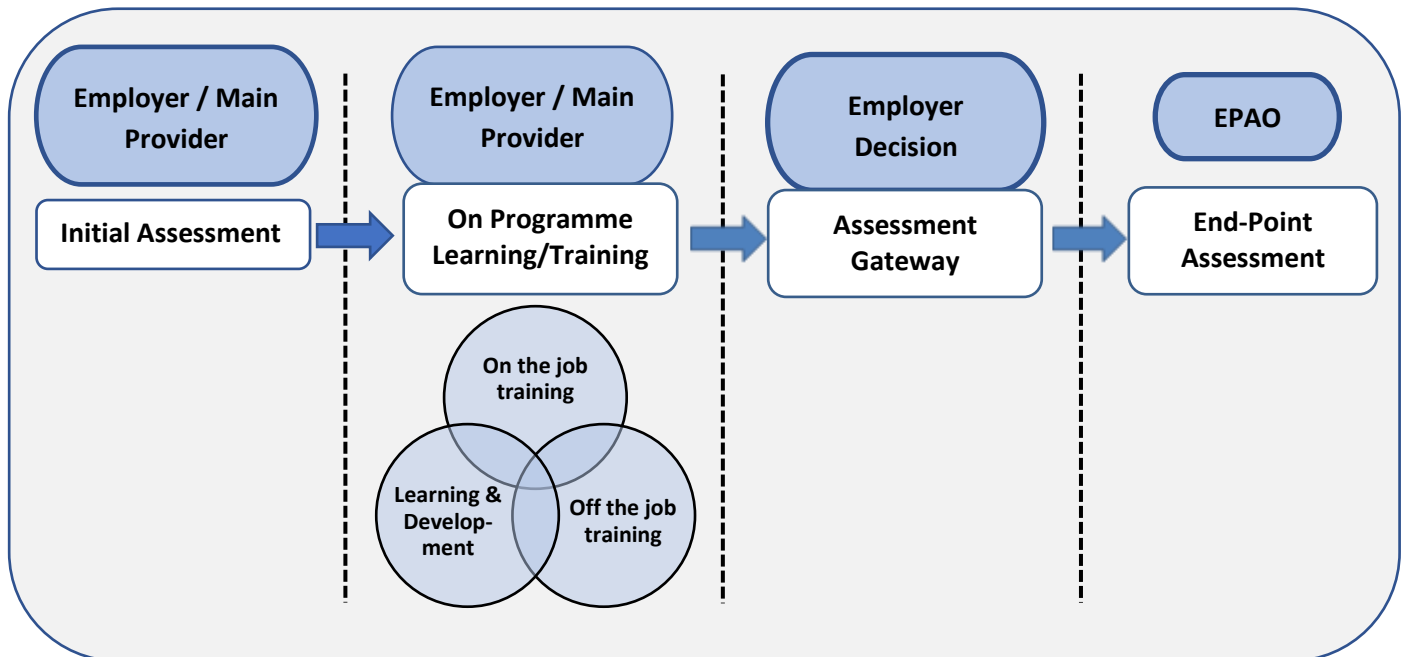
The External Quality Assurance (EQA) provider monitors the performance of different EPAOs, the effectiveness of the apprenticeship standard and assessment plan; checking it is reliable, rigorous and fit-for-purpose.

IMechE as an EPAO have developed this handbook of policies and procedures in the support of delivery of End Point Assessment.

This handbook is for use by any customer who requires IMechE to provide EPA services. EPA services will be provided to a customer by IMechE, when the apprentice has met the following criteria:

- All gateway requirements for the apprenticeship standard have been met
- The Apprentice has completed the apprenticeship 'on-programme' requirements
- The Employer is satisfied that the Apprentice has met the Knowledge, Skills & Behaviours (KSBs) as set out in the Assessment Plan and is ready for their EPA.

## End-Point Assessment Model



EPA is the final assessment for an apprentice to ensure that they are able to do the job they have been training for, the apprentice must be able to show the knowledge, skills and behaviours required of the specific apprenticeship standards. EPA is separate to any qualifications or other assessment that the apprentice may undertake during the on-programme stage of the apprenticeship.

An independent EPA ensures that those making a decision on the competency of the apprentice have nothing to gain from the outcome of the assessment. To ensure high quality apprenticeships, it is vital that all apprentices are assessed in a fair and objective manner. Independence and impartiality are critical to ensuring rigorous and high-quality assessment and that the standard is maintained over time.

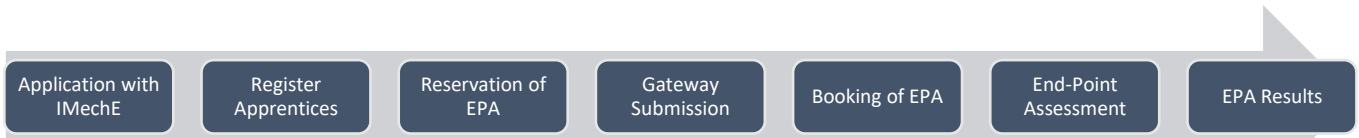
**On-programme** – The learner will work with the employer and registered Training Provider to gain the knowledge, skills and behaviours needed to complete the assessment gateway and EPA.

**Assessment gateway** – Each apprenticeship standard will have different assessment requirements that the apprentices must meet before moving on to the EPA. It is the employers and Training Provider’s responsibility to ensure that all assessment gateways requirements have been met and that the apprentice has acquired the full set of knowledge, skills and behaviours before the apprentice proceeds to EPA. The employer should be confident that the apprentice will pass their end-point assessment.

**EPA** - Final assessment of the apprentice’s knowledge, skills and behaviours, this will be assessed by an independent end point assessor (IEPA) who is a different person from the assessor on the on-programme learning. This is required to ensure that any decision made is impartial and fair.

## Providing EPA Services

It is important when providing a quality EPA services that we have simple and robust processes that employers and the Training Providers can follow. This is demonstrated through this seven-stage process.

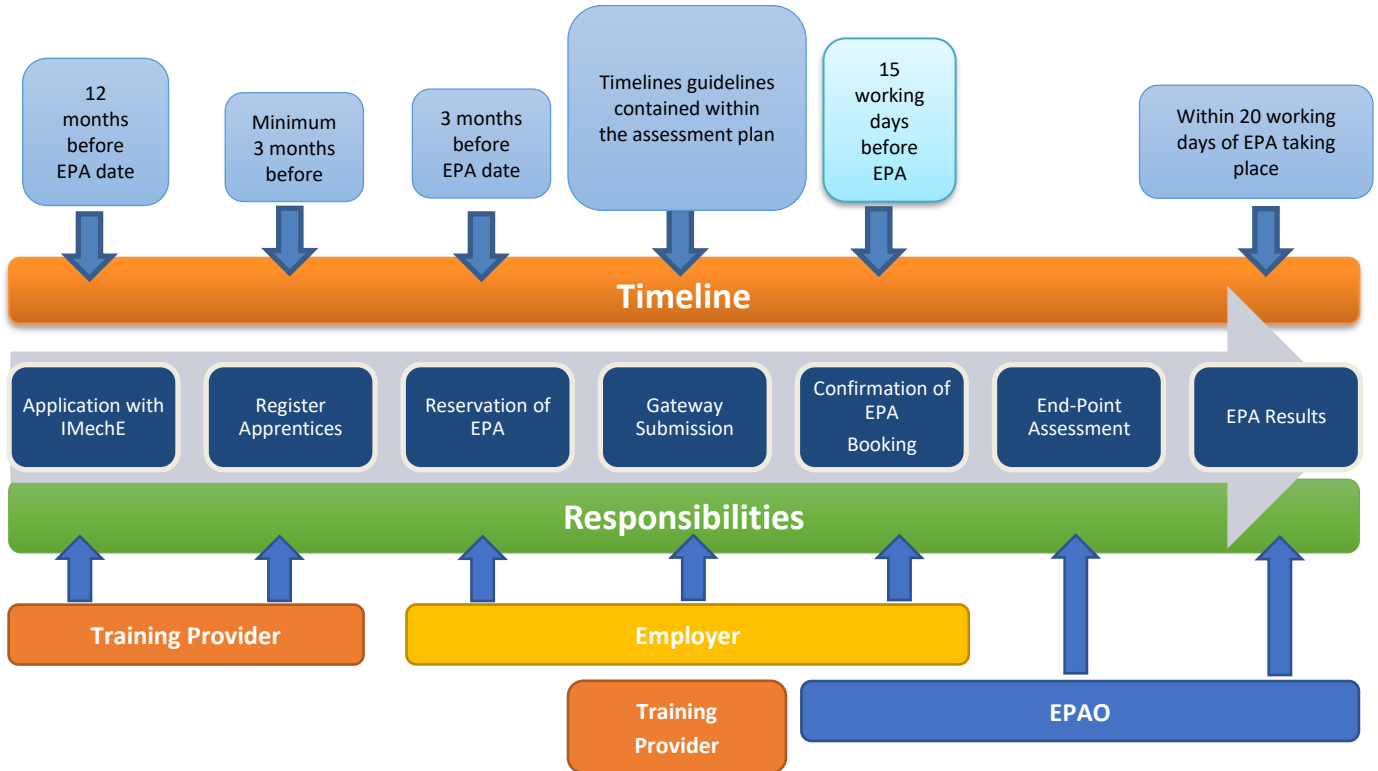


There are various responsibilities that must be undertaken by the employer, Training Provider and IMechE at each stage of the process and these will be indicated at each stage below.

### Overview of Stages of EPA

- Stage 1 - Application with IMechE
- Stage 2 - Register Apprentices
- Stage 3 - Reservation of EPA
- Stage 4 - Gateway Submission
- Stage 5 - Booking of EPA
- Stage 6 - End-Point Assessment
- Stage 7 - EPA Results

### Overview of End Point Assessment Process & Timelines



## Stage 1 - Application

---



### Arrangements

A member of the Commercial Team will contact the customer when an expression of interest has been shown. Once the expression of interest has been internally processed, we will negotiate with the customer the requirements of the EPA services required and then formally send a proposal of the EPA services to the customer. Once this proposal has been accepted by the customer, we will issue to the customer a copy of the 'Terms and Conditions' (contractual arrangements). This is to be signed by the customer and returned, where a representative will sign and retain the original copy and return a copy to the customer.

IMechE have the right to refuse or not to progress any application to provide EPA services at any stage prior to formal acceptance.

### Operational Handover

Once the training provider and employer have confirmed the number of apprentices signed up to an ILR/ESFA funding on Apprenticeship Standards and approximate dates for end point assessment, there will be an agreement in place with IMechE to deliver the end point assessments in accordance with the schedule.

The End Point Assessment Operations Team will create a training provider/employer account on the EPA Prepared system; this will allow for the registration of their apprentice(s) for end point assessment and upload of evidence for the gateway check in advance of the EPA taking place. We will then validate and confirm that the gateway has met the requirements as set out in the assessment plan for that standard. The Apprentice can now be booked for their EPA. The EPA team will supply a user guide and support to ensure our clients can register and schedule EPAs on the prepared system. The training provider and employer (upon request) will be able to access apprentice records and results via the EPA Prepared system.

## Stage 2 – Register Apprentices

---



It is important and mandatory that apprentices are registered with IMechE before the actual EPA takes place. It is recommended that this takes place shortly after the proposal has been agreed and signed.

Customers are required to register their apprentices with our EPA Team by completing the registration details in the Prepared portal.

It is the responsibility of the customer to ensure that the information/data submitted is accurate and replicates the information the Employer / provider submits to the ESFA on the Apprentice ILR.

### **Changes**

It is the responsibility of the customer to report any changes in ILR data/ information to ensure it is accurate and up to date when IMechE make the claim for the apprenticeship certificate and information\data that is not correct may result in a delay to the apprenticeship certificate application, we will report any differences to the customer to allow the changes to be made.

### **Data protection (GDPR)**

IMechE complies with the requirements of the Data Protection Act 1998 (DPA) and any successor law applicable in England & Wales relating to the processing of data.

A copy of our Data Protection policy is available on request from the EPA manager [kerry.ellis@imeche.org](mailto:kerry.ellis@imeche.org)



## Stage 3 – Reservation of EPA



Following the registration of the apprentice(s) customers can reserve end point assessment session/s, on the agreed dates as per the contractual arrangements in stage 1 of the process. Each apprenticeship standard specifies the amount of learning required for an apprentice before EPA can be undertaken

The time between reservation and the actual EPA session depends on demand and availability of independent end point assessors, it is anticipated the maximum time required will be three months, so it is important that the customer takes this in to account when planning the on programme elements of the apprenticeship standards.

There will be different timeframes for reservations depending on the apprenticeship standard. It is the responsibility of the employer / training provider to check the requirements of the standard and associated assessment plan

Link: <https://www.instituteforapprenticeships.org/apprenticeship-standards/>

Customers should record their anticipated EPA date for their Apprentices on the registration form or if this changes by sending an email request to [EPAServices@eal.org.uk](mailto:EPAServices@eal.org.uk) or by speaking with the EPA Team on the process for reservation.

### **Advise of Gateway requirements**

During the reservation process we will advise and confirm with the employer/training provider the gateway submission requirements and dates for the gateway evidence to be submitted in accordance with the apprenticeship standards assessment plan. The Employer / Provider should allow a minimum of 4 weeks between submitting the gateway requirements and the actual EPA taking place and check the requirements set out in the applicable standard.

### **Conflict of Interest**

We will appoint an Independent End Point Assessor to the EPA session ensuring there are no conflicts of interest with the employer, Training Provider or apprentice. If a Technical expert is being provided from the employer for the EPA sessions we must be informed to enable mitigation of any potential conflict of interests that may occur during EPA.

### **Information Accuracy**

It is the customer's responsibility to ensure that the information and data submitted to us at this stage of the process is accurate.

## Stage 4 – Gateway Submission



It is the employer and Training Provider's responsibility to ensure that all assessment gateway mandatory requirements have been met and that the apprentice has acquired the full set of knowledge, skills, and behaviours before the apprentice proceeds to EPA. The employer should be confident that the apprentice will pass their end-point assessment before a booking is confirmed.

The Employer, Training Provider and Apprentice are required to complete the Gateway Declaration Form (GDF). This must be signed, dated and uploaded to the Prepared portal before stage 5. There is a requirement for one Gateway Declaration Form per apprentice.

Evidence of the mandatory achievements will be required at this stage of the process to confirm that the apprentices who have been nominated for End Point Assessments have met the gateway requirement as stipulated in the Apprenticeship Standard Assessment Plan.

This must be uploaded to the Prepared portal; we will advise the employer and Training Provider of the submission requirements and dates for submission during stage 3 of the process.

### **Assessment Evidence Submission - Time frame and duration**

The customer on behalf of the apprentice must submit any gateway assessment evidence as per the timeline guide contained within the specific assessment plan but this must be no later than 20 days before the end-point assessment is due to take place. The evidence will be certificates from awarding organisations.

### **Employer Gateway Responsibilities**

- To ensure that all assessment gateway mandatory requirements have been met and that the apprentice has acquired the full set of knowledge, skills and behaviours before the apprentice proceeds to EPA.
- Provide Gateway evidence as per the assessment plan
- Ensures that the Training Provider communicates the end point assessment arrangements with the apprentice(s) confirming booking arrangements, date, time, and location.

### **Training Provider Responsibilities**

- Ensure that all assessment gateway mandatory requirements have been met and that the apprentice has acquired the full set of knowledge, skills, and behaviours before the apprentice proceeds to EPA.
- Upload the completed Apprentice(s) Gateway Declaration Form with the supporting evidence to the Prepared portal

## Stage 5 – Booking of EPA



We will contact the customer (named contact) identified on the EPA application form to discuss invoicing arrangements and request a purchase order number for the EPA booking. If a purchase order has not been received by the date of the EPA session/s, IMechE reserve the right to postpone the EPA session/s.

Once all gateway requirements have been received and we have confirmed as meeting the requirements of the apprenticeship standard we will confirm the date of the end-point assessment.

The customer must check that all details supplied in the booking confirmation are correct and that the employer has agreed to make the apprentice(s) available for the end-point assessment.

If any amendments to bookings are required, we, wherever possible will make the necessary changes and provide a revised End-Point Assessment Booking, but any requests for amendments received after the final confirmation email from us will be subject to an administration fee as per the contractual agreement.

The employer must confirm;

- The apprentice(s) will be available on the date to undertake their end-point assessment
- The apprentice(s) will be at the venue for the full-duration of their end-point assessment.
- The apprentice(s) will have all the sufficient necessary resources available for them to undertake the end-point assessment.
- The apprentice(s) has been given appropriate time to prepare for their end-point assessment.
- That all applicable staff have been made aware of the nature and requirements for the end-point assessment.
- Make all necessary arrangements for the Independent End Point Assessor and Internal Quality Assurer to have access on site to observe and interview the Apprentice for the duration of EPA
- Where required for External Quality Assurers to have access to site/s for the duration of EPA.

The independent end-point assessor may contact the employer/training provider after the booking has been confirmed to discuss any logistical requirements and to agree any further details for the end-point assessment where applicable.

## Stage 6 – End-Point Assessment



### Those involved in your End Point Assessment;

**Independent End-Point Assessors** works for the End Point Assessment Organisation.

- The role of our independent end-point assessor is to assess the apprentices against industry-specific competences; these are the knowledge, skills and behaviours as outlined in the standard.
- The IEPA will not have been involved with the assessment centre and/or apprentice's training and development throughout their Apprenticeship (this will maintain objectivity and independence).
- The IEPA will have current technical and the occupational skills and knowledge in the areas being assessed and are fully conversant with the standards and criteria being assessed.
- The IEPA is there to review evidence of your claims to competence, form questions and discussion points in preparation for your End-Point assessment interview or discussion.
- They IEPA is responsible for making a graded judgement based on the evidence provided to them on the day of the EPA but will not disclose the grade as this must go through moderation first.

### Technical Experts

These come from your organisation and may be requested to sit in on the end point assessment panel to support the IEPA in understanding the organisations policies and procedures or technical terms that might be used within the organisation. They have no influence on the outcome or final judgement of the EPA.

### Internal Quality Assurers (IQA)

Works for the End Point Assessment Organisation (EPAO) and ensures robustness, consistency, and integrity of the End Point Assessment process. This involves observing interviews/professional discussions, reviewing portfolio/evidence from the apprentice that the IEPA has reviewed to ensure they are being consistent in their assessment judgements and are meeting the expected standard as required in the Assessment Plan.

Part of the internal quality of End Point Assessment also involves receiving feedback from employers, training providers and apprentice and you may be asked to complete a survey.

### External Quality Assurance organisations

External Quality Assurers (EQA) monitors the End Point Assessment Organisations to ensure they have systems and processes in place for apprentices to achieve their Apprenticeship Standard that is fair, consistent and robust across different apprenticeship standards and between different assessment organisations. They will conduct audits to check;

- Assessments are operating effectively and achieving the desired outcomes
- Grading is applied accurately and consistently
- Access to assessment is fair
- Assessors are fully occupationally competent as set out in the assessment plan

- Assessors' knowledge is up to date as set out in the assessment plan
- All requirements of the standard in terms of achievement of gateways and mandatory qualifications and requirements are achieved prior to sign off and the employer makes the final decision on the readiness of the apprentice for EPA
- Assessment is reliable and comparable across different EPAOs, employers, places, times and IEPAs

## **Pre-EPA**

### **EPA Manager**

- Overall management of the EPA process and delivery
- Monitor and manage and Conflicts of Interest, Malpractice or Maladministration
- Monitor the Internal Quality Assurance process
- Ensure assessors are fully trained in EPA assessments

### **EPA Coordinator/Administrator**

- Client engagement and support with gateway requirements and general queries
- Coordinate the end-point assessment activities inclusive of validation of gateway documentation, bookings, cancellations, delays, and invoice enquiries.

### **IEPAs**

- Prepare assessment documents prior to the EPA Session within agreed timescales
- Check whether any individual apprentice(s) special consideration or specific access requirements have been applied for.
- Declare any information in relation to any conflict of interests between the EPAO and the apprentice to IMechE prior to conducting an EPA.
- Conduct the EPA

### **Internal Quality Assurer**

- Endorse the currency of the IEPAs
- Moderate the Assessors decision
- Observe Assessors Practice
- Conduct standardisation in line with the requirements of the specific standard assessment plan

### **EPA Activities on the day**

The EPAO staff undertaking EPA activities will:

#### **Independent Assessor**

- Arrive at the centre at least 45 minutes prior to the End-Point assessment.
- Show identification
- Check the identification of the apprentice(s)
- Carry out and document End-Point Assessments in line with the EPAO and regulatory arrangements
- Act in a professional and courteous manner at all times when conducting End Point Assessment on behalf of IMechE.
- Stay at the centre for the duration of the End Point Assessment.
- If any part of the assessment is digitally recorded, seek permission from the Apprentice prior to recording
- Mark all components of the End-Point Assessments, in line with the assessment plan and grading criteria.

- Assess all components for the End-Point Assessment within agreed timescales and in accordance with the apprenticeship standards assessment plan.
- Make robust assessment decisions based on the view of the evidence taking account all relevant evidence submitted or presented by apprentices.
- Record assessment decisions, complete reports and maintain assessment records accurately and in accordance with requirements.
- Provide feedback of the End-point Assessment to apprentices without disclosing the outcome.
- Bringing IMechE to immediate attention suspected cases of malpractice or maladministration and assist IMechE, if required, in any malpractice investigations.
- Complete and submit all reports within 48 hours of the EPA activity or notify of any delays.

### **Internal Quality Assurer**

- Arrive at the centre at least 45 minutes prior to the End-Point assessment
- Meet with the IEPA
- Observe the End Point Assessment session
- Interview apprentices
- Provide feedback to the IEPA

### **Training Provider /Employer responsibilities.**

- Ensure the apprentice is available at the scheduled time and location for EPA session
- Notify IMechE of any special consideration or specific access requirements for the apprentice on the registration form and on the Gateway Declaration Form
- Make sure there are sufficient resources available for the apprentice(s) to undertake the end-point assessment.
- Ensure sufficient Health and Safety risk assessments are in place and are understood by all those involved in the EPA Session.
- An employer/Training Provider representative is available to meet and inform the IEPA and IQA of all health and safety policies and fire safety policies and procedures applicable to the location/site.

### **Technical Expert**

Where there is a requirement for a panel at the end-point assessment, the Employer/Training Provider must ensure that the Technical Expert representative(s) are aware and comply with the following:

- That they identify themselves to us in advance of the EPA (they will be required to sign a declaration form)
- Meet with the IEPA prior to the end-point assessment so they can be briefed accordingly.
- That any conflicts of interest are reported to the IEPA before end-point assessment is undertaken.
- They are fully aware of the nature and requirements for the end-point assessment and familiar with the standard
- They are fully aware of the end-point assessment timings.

### **Apprentice responsibilities;**

- The requirement to bring one form of photographic ID (Acceptable ID: Driving licence, Passport, Work ID card, College ID card)
- They are fully aware of the nature and requirements for the end-point assessment.
- They are fully aware of the end-point assessment timings.
- If required that any assessment evidence is taken to the end-point assessment meeting.
- That any conflicts of interest are reported to the IEPA before end-point assessment is undertaken.

### **The requirement to cancel, postpone, delay, or stop the end-point assessment**

The IEPA may take the decision to cancel, postpone, delay or stop the end-point assessment at any time during the process under the following circumstances, but is not limited to:

- Insufficient resources are available for the apprentice(s) to undertake the end-point assessment.
- Location/site is unavailable or alternatives unsuitable.
- The apprentice(s) is unable to prove their identification.
- The apprentice(s) is absent.
- The apprentice(s) is late which impacts on the timings or quality of the end-point assessment.
- Potential or actual Health and Safety concerns.
- Insufficient or not competent panel members available as per the assessment plan requirements.
- Potential or actual malpractice occurring.
- The apprentice(s) cannot continue due to sickness, illness, or any other agreeable situation.

The IEPA will work with the employer/Training Provider/apprentice where possible and resolve any issue(s) on the day in order that a reliable and fair assessment decision can be made. Adjustments may be considered so as not to disadvantage the apprentice during the end-point assessment process, and these will be documented by the IEPA for internal quality review and audits.

The IEPA will consult with IMechE before any final judgement is made to cancel, postpone, delay, or stop the end-point assessment.

Should the training provider or employer cancel the EPA session without 14 days' notice, we reserve the right to administer the fees in accordance with the terms and conditions; each incident will be dealt with on a case by case bases and we will work with the employer and Training Provider to ensure the apprentice is not disadvantaged in the end-point assessment process.

## Stage 7 – EPA Results



Successful achievement of the end point assessment along with evidence that all requirements of the apprenticeship standards have been met, will lead to final certification of the apprenticeship that demonstrates that the Apprentice is fully competent in their area of expertise.

### Responsibilities

Employers or Training Providers are required to provide specific apprentice data to IMechE as an End Point Assessment Organisation (EPAO) which will enable certification to take place.

IMechE as the EPAO will collate all the evidence/results of the apprenticeship to ensure that the Apprentice has satisfied the required apprenticeship standard; we aim to publish final grades within 20 working days, in some apprentice assessment plans the employer will be informed within a shorter time period but this will depend on the specifics of the assessment plan. We will inform the employer of this time frame and notification will be sent to the Training Provider at the same time. It will be up to the employer and Training provider to agree who is informing the apprentice/s of the outcome of their EPA.

IMechE will make the application for the Apprenticeship Certificate providing the apprentice has given their permission for us to apply for certification on their behalf. This will then be submitted along with information/results to the ESFA for certification. IMechE process and submit certificate claims monthly.

We understand that it may be helpful for the individual apprentice to have a record or summary of their performance through the components of end-point assessment therefore we will issue such a record to an apprentice through the employer/provider. This is only a record of the outcome and is not the actual apprenticeship certificate; we will not charge either the apprentice or the employer for this statement and this will be sent prior to the Apprenticeship completion certificate being processed and claimed on the Apprentice Assessment Service portal.

IMechE will not issue its own 'apprenticeship certificates'. The record of results that we provide on completion of their end-point assessment is only a statement that makes clear that this is not a formal apprenticeship certificate.

On application to the ESFA there will be a validation check on the certification submission to align with the ILR record. Successful requests are processed by the ESFA, who issue the apprenticeship certificate. If there is a mismatch of information at the time IMechE EPA team request the certificate, the EPA team will contact the training provider to clarify the information on their ILR records. Until the ESFA have received and processed updates provided by us the ESFA will not be able to generate or provide an apprenticeship certificate.

The ESFA will send the certificates directly to the apprentice's employer, the employer is responsible for providing the certificate to the apprentice. A copy should also be provided to the training provider. IMechE is unable to confirm any timelines for receipt of certificates from the ESFA.



Training Providers must record end-point assessment achievements promptly on the apprentice's individual learner record.

### **Cancellation of results**

We reserve the right to cancel any end-point assessment result if the following occurs:

- Malpractice is identified
- Payment has not been received for any part of the end-point assessment services

### **Resit Policy**

This section outlines the processes to be followed should an apprentice be unsuccessful in any element of their end-point assessment. The policy must be agreed by employers to offer all apprentices the opportunity to prove their competence. Some apprenticeship standards stipulate their own rules surrounding the process of resits; therefore you should always refer to the apprenticeship standard for further clarification on resit requirements and conditions especially in terms of grading.

If an element of the apprentice's EPA is not achieved then the EPAO will provide feedback to the employer and the apprentice, including suggested areas for improvement. The employer will then decide if the apprentice should re-sit the failed element and work with the training provider to deliver the required training and development as suggested.

In some instances, the apprentice will be able to retake individual elements from within the end-point assessment again as a resit. Only elements which are graded as "fail or Not yet competent" will be eligible for a resit. If an apprentice fails one element of the end point assessment but is successful in others, only the failed element should be re-taken. Results of the other elements will stand and will not be affected by the resit process.

If a resit of the elements of the EPA is agreed by the employer, Training Provider and apprentice the record of training and development must be submitted to the EPAO at the time of booking a re-sit.

### **Resit/Retake**

Each Apprenticeship Standard Assessment plan determines if a re-sit/retake is permissible and the EPA team will work with the employer and training provider to support the apprentice in these circumstances.

A Retake would need to be carried out if an apprentice fails a practical task due to one of the following:

- Safety critical incident which could result in injury to the apprentice
- Incident which could result in the injury of others
- Incident which could result in the damage to vehicle or driver/passenger of vehicle

This is for guidance only as the employer is responsible for deciding on whether a resit or retake occurs.

The employer must agree a price for the re-sit of the end-point assessment with the EPAO. Any new or additional prices agreed will be subject to the relevant funding cap. If the new prices exceed the total value of the relevant funding cap, no further government contributions will be made and the employer will need to meet these additional costs in full. Guidance can be found in the [Apprenticeship funding: Rules](#)

The time frame for the re-sit will be agreed with the employer/provider, however, it is important that all parties factor in that the apprentice may require additional training to ensure that they are ready for the re-sit of the end-point assessment. The employer must pay for the re-sit, there is no government subsidy in this case regardless of whether the funding cap has been reached.

Once the decision to re-sit has been made and a price agreed, the EPAO will arrange the scheduling of the re-sit, the employer or training provider will be required to provide evidence of the training and development that the apprentice has completed prior to the re-sit. The EPAO will appoint an IEPA who may be a different IEPA from the one who carried out the original EPA.

## **Dealing with Appeals and Complaints**

---

### **Dealing with Appeals and Complaints Introduction**

End Point Assessment (EPA) of Apprenticeships has been implemented to provide an independent, impartial and formal assessment of an Apprentice's competency against the standard.

IMechE as an EPAO is committed to providing an excellent EPA service and adopts and maintains a quality and transparent approach in EPA assessment decision making. However, we recognise from time to time that situations may arise where an apprentice considers that they might have the grounds to appeal against an end point assessment decision made by one of our Independent End-Point Assessors.

### **Definitions**

**Appeal** – An appeal is a specific challenge against an assessment judgement or decision made in relation to an end-point assessment outcome.

Here are some examples of grounds for an appeal:

- If the apprentice/employer feels that the Independent End-Point Assessor has made an unfair judgment or decision about the apprentice's competence or evidence, then you must give clear information about this and relate it to the published apprenticeship standards or the assessment process.
- There is evidence of prejudice or bias or lack of proper assessment on the part of one or more of the Independent End-Point Assessors.
- Administrative shortcomings - for example, inaccuracy in recording the assessment correctly or unreasonable delays which you have not been formally notified about in advance.
- Shortcomings in the conduct of end-point assessment - for example, non-availability of alternative assessment methods or the use of extraneous criteria by the Independent End-Point Assessor.

**Complaint** - Is an expression of dissatisfaction about IMechE's approach, irregularity, administration, and staff member/s in terms of providing an EPA service.

Here are some examples of grounds for a complaint:

- Inadequate resources - for example, inappropriate or insufficient physical resources.
- Lack of equal opportunities - for example, discrimination against age, gender, race or creed, or other contraventions of the IMechE's equal opportunities policy.

If an apprentice/employer feels that the Independent End-Point Assessor has made an unfair judgment or decision about the apprentice's competence or evidence, the appellant/complainant must give clear information about this and relate it to the published apprenticeship standards or the assessment process.

A copy of our Complaints and Appeals policy is available on request from the EPA manager [kerry.ellis@imeche.org](mailto:kerry.ellis@imeche.org)

## Managing conflicts of interest

---

### Managing conflicts of interest & collusion

As an EPAO, we must make every effort to avoid any potential or actual conflict of interest and/or collusion in the delivery of our end-point assessment services.

Where a potential conflict emerges we will take appropriate action to ensure that the integrity and validity of the end-point assessment we deliver is not compromised. This may mean, for instance, removing individuals from any involvement in the assessment process where there is a risk of conflict. The independence of our decision on the competency of the apprentice is paramount. Any actual or perceived conflict of interest will undermine both the outcome of the end-point assessment and our credibility as a trusted EPAO.

### Definitions

**Conflict of interest** – A situation that has the potential to undermine the impartiality of an end-point assessment decision, because of the possibility of a clash between the person's self-interest, a professional interest or public interest.

Here are some examples of Conflicts of Interest:

- When an individual has a position of authority in one organisation that conflicts with his or her interests in another organisation.
- When an individual has an interest that conflict with his or her professional position.
- Where someone works for or carries out work on IMechE's behalf but may have personal interests that are paid or unpaid – in another business which either uses our products or services, or produces similar products.
- Where someone works for or carries out end-point assessment activities on behalf of IMechE, who has friends or relatives taking EPA assessments.

Conflicts of interest can:

- Inhibit free discussion.
- Result in decisions or actions that are not in the interests of the EPAO or the Employer.
- Mitigate the risk that the EPAO has acted improperly.

A conflict of interest can appear in the form of:

- Direct financial gain.
- Indirect financial gain e.g. a service or contract is awarded to a relative.
- Non-financial gain when the beneficiary of a service, award or donation is an employee, contractor, or trustee.

A copy of our Conflict of Interest policy is available on request from the EPA manager [kerry.ellis@imeche.org](mailto:kerry.ellis@imeche.org)

## **EPA Access to Assessment, Reasonable Adjustments & Special Consideration**

---

### **Access to Assessment**

IMechE has in place the necessary policy and processes to allow the provision of fair access to assessment arrangements, this includes where required, reasonable assessment adjustments for apprentices. Our policy and processes reflect the needs of individual apprentices and ensures that end point assessment continues to enable a valid, reliable, and consistent judgement against achievement of all assessment outcomes relevant to the criteria set out in the apprenticeship assessment plan.

Will review any special consideration requests for apprentices that experience temporary illness, injury or indisposition at the time of an assessment. This should allow the apprentice to demonstrate the achievement they are capable of, for the areas of assessment that are subject to special consideration.

### **Reasonable Adjustments**

IMechE is committed to complying with all current and relevant legislation in relation to the development and delivery of end-point assessment and, which at the time of writing includes, but is not limited to the Equality Act 2010. IMechE as an organisation seeks to uphold human rights relating to race relations, disability discrimination and special educational needs of apprentices and to provide equal reasonable adjustments and special considerations for all apprentices undertaking EPA services.

EPA should be a fair test of apprentices' knowledge and competencies; however, for some apprentices the usual format of end-point assessment requirements may not be suitable.

We recognise that reasonable adjustments or special considerations may be required at the time of assessment where:

- Apprentices have a permanent disability or specific learning needs.
- Apprentices have a temporary disability, medical condition or learning needs.
- Apprentices are indisposed at the time of the assessment.

The provision for reasonable adjustments and special consideration arrangements is made to ensure that apprentices receive recognition of their achievement so long as the equity, validity and reliability of the EPA can be assured. Such arrangements are not concessions to make assessment easier for apprentices, nor advantages to give apprentices a head start.

The normal ways in which access to fair assessment can be maintained is through reasonable adjustments and special considerations.

A copy of our Reasonable Adjustment policy is available on request from the EPA manager [kerry.ellis@imeche.org](mailto:kerry.ellis@imeche.org)

## **EPA Malpractice and Maladministration**

---

### **Managing EPA Malpractice and Maladministration**

IMechE as an EPAO is committed to providing an excellent EPA service and adopts and maintains a quality and transparent approach in EPA assessment decisions, making every effort to avoid any malpractice and maladministration in the delivery of our end-point assessment service.

#### **Definitions**

**Maladministration** - Is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration by an employer or Training Provider or a member of the EPA team.

**Malpractice** - Is any deliberate activity, neglect, default, or other practice that compromises the integrity of the end-point assessment process and/or the validity of end-point assessment outcome.

For this policy, this term also covers misconduct and forms of unnecessary discrimination or bias towards a certain individual or groups of apprentices.

A copy of our Malpractice and Maladministration policy is available on request from the EPA manager [kerry.ellis@imeche.org](mailto:kerry.ellis@imeche.org)

## **EPA Data and Third Party Requests**

---

### **Managing EPA Data and Third Party Requests**

As an EPAO we must make every effort to answer all requests for data and third-party requests for information within the requirements of legislation. Any request for data and information must be quickly responded to as soon as possible so to effectively manage customer expectations. We will advise of a maximum response times usually 5 working days unless otherwise stated.

#### **Definitions**

The Data Protection Act (1998) is an act of the United Kingdom (UK) Parliament and any subsequent acts and regulations, define the ways in which data and information about living people may be legally used and handled. The main intent is to protect individuals against misuse or abuse of data and information about them.

#### **Data Retention by Training Providers/Employers**

We expect all Training Providers/Employers to maintain and retain records in line with current Data Protection requirements and legislation.

#### **Data Retention by IMechE**

The delivery of EPA will involve IMechE, the employer and training provider processing large amounts of information. Given the wide range and number of records created and

uses it is essential that they are captured, managed, and preserved in an organised system which maintains their integrity and authenticity.

Records contain information that is a valuable resource and an important business asset. A systematic management of records enables IMechE to:

- Provide an efficient End Point Assessment service to customers
- Support and document decision making
- Provide continuity in the event of a business disruption
- Meet legislative and regulatory requirements
- Protect the interests of our employees, customers, and stakeholders

All staff who create, receive and use records have records management responsibilities. we take our responsibilities for maintaining, retaining, and updating data and records seriously and we will:

- Take all reasonable steps to comply with requests from all stakeholders which include regulatory authorities for information, data, or documents as soon as practicable.
- Agree to update our systems immediately should any changes occur to the information held on our systems.
- Maintain all apprentice records and details of achievement in an accurate, timely and secure manner in line with the requirements of the Data Protection Legislation and make these records available for external quality assurance and auditing purposes, as required.
- Keep assessment records for no longer than is necessary for the purposes for which any personal data is processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest or statistical purposes which will of course be in line with ensuring appropriate technical and organizational measures required by the GDPR are in place at all times.
- Ensure the security of any examination/assessment material in respect of storage and handling processes are in line with the requirements to maintain confidentiality of assessments set by the regulatory authorities.

IMechE is committed to ensuring it maintains compliance with the Data Protection Act 1998 and the GDPR that sets out the seven key principles below:

- Lawfulness, fairness and transparency
- Purpose limitation
- Data minimization
- Accuracy
- Storage limitation
- Integrity and confidentiality (security)
- Accountability

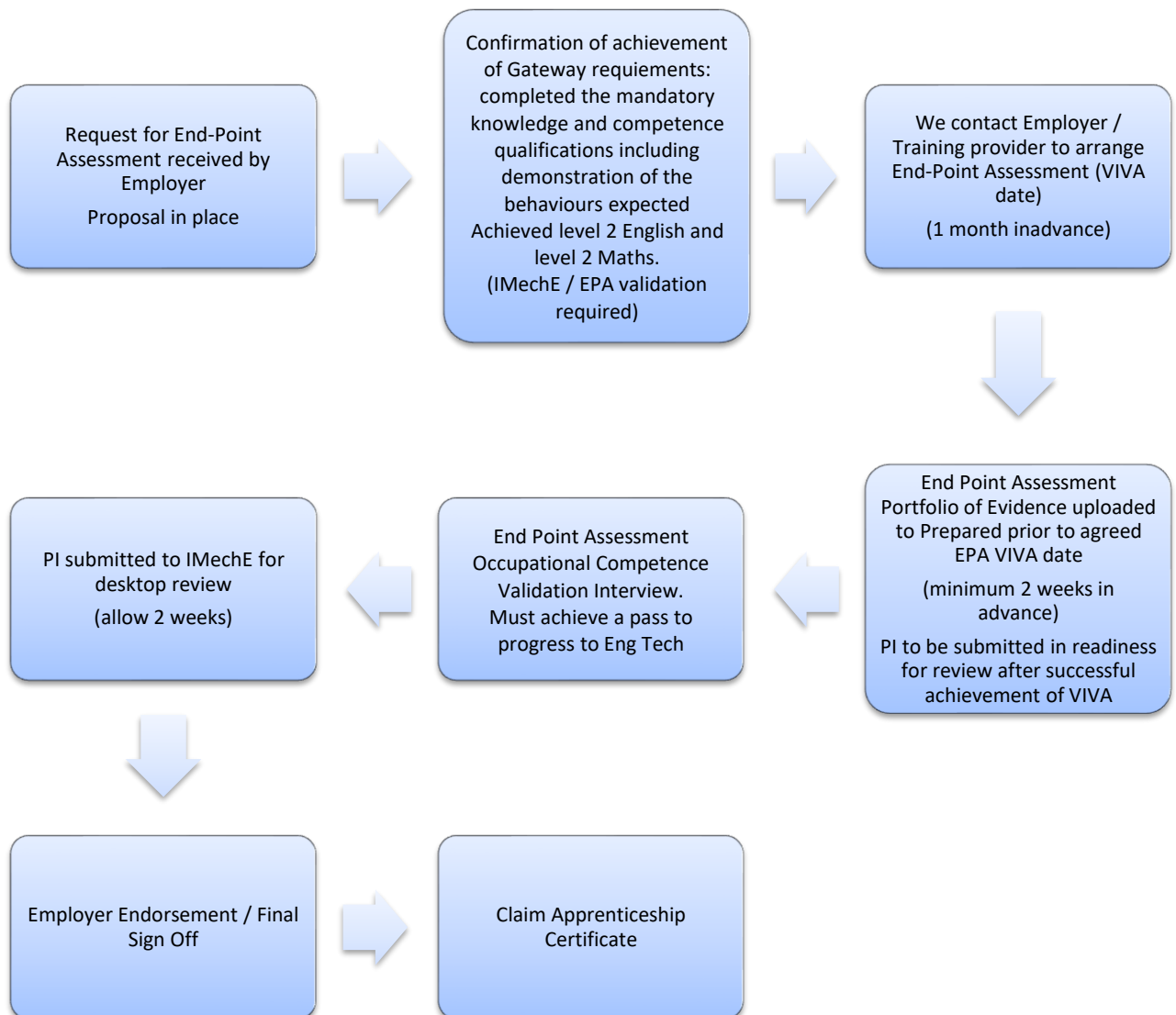
A copy of our Data Protection policy is available on request from the EPA manager [kerry.ellis@imeche.org](mailto:kerry.ellis@imeche.org)

## End-Point Assessment Detailed Delivery Model

---

Level 3 Rail Engineering Technician (ST0318)  
Level 3 Engineering Technician (ST0457)  
Level 4 Rail Engineering Advanced Technician (ST0316)

An overview of the delivery model for end point assessment services for the above Standards is outlined below for information:



## End-Point Assessment Detailed Delivery Model

---

Level 3 Rail Engineering Design Technician (STO315)

An overview of the delivery model for end point assessment services for the above Standards is outlined below for information:

