

Quality Procedures and Policies	COM-015	Issue Number	6
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Handling Complaints		Originator	RH
		Amended by	PFH
		Approved by	MD

## 1. Scope

Complaints received by a member of SETA staff in regard to any aspect of service must be recorded, appropriate remedial actions taken as required, a suitable response given to the person making the complaint and follow-up actions monitored and confirmed.

Complaints may arise from a learner on a commercial programme of study, Apprentices, their employers or anyone else who is receiving a service from the organisation.

Complaints received concerning sub-contract activities, such as college providers or external trainers delivering courses on behalf of SETA etc. will also follow this procedure.

It is SETA’s responsibility to ensure that all of its customers are made aware of this procedure, and that they are able to make a complaint directly to an Awarding Body or Awarding Organisation once this procedure has been exhausted, should they wish to do so.

## 2. Procedure

### Informal Complaint - Verbal

1. The person first receiving the complaint will try to resolve the issue through discussion
2. If the complaint concerns a specific area of the organisation, it should be referred to the Manager controlling that area
3. Where issues are resolved through discussion, a brief summary of the problem and any action arising will be passed to the H&S, Quality & Compliance Manager who in turn will record the complaint by completing the ‘Informal Complaint Record Form’ (**Please see Annex A**)
4. If the problem cannot be resolved through discussion, the ‘Formal Complaint – Written’ procedure will be instigated

### Formal Complaint - Written

1. The person raising the complaint will need to complete a ‘Formal Complaint Record Form’ (**Please see Annex B**), issued by the H&S, Quality & Compliance Manager. Once this has been completed and returned to the Quality and Compliance Manager, it is passed to the Operations Director as soon as possible after receipt. It is also passed to one of SETA’s trustees for independent review
2. The Operations Director and H&S, Quality & Compliance Manager will discuss and investigate the complaint and include any other Manager responsible for the area implicated in the complaint within 5 working days
3. The complaint will be reviewed between the H&S, Quality & Compliance Manager, the Manager responsible for the area concerned and the trustee, and all remedial actions will be agreed and written within Part B of the ‘Formal Complaint Record Form’ (**Please see Annex B**). The person responsible for implementing changes and the required date for completion will be identified
4. The Operations Director will arrange for a full response to be sent to the person making the complaint within 14 days of first receipt in line with the completed ‘Formal Complaint Record Form’ (**Please see Annex B**); this will detail any action being taken
5. Implementation and effectiveness of remedial action will be monitored by the H&S, Quality & Compliance Manager and any problems will be reported to the Operations Director



### 3. Regulated Qualification Complaints

Learners registered on regulated qualifications are freely given the option by SETA to contact the Awarding Body or Awarding Organisation if they are unhappy with the result of the complaint, or feel their complaint was incorrectly dealt with by SETA. Any Learner wishing to do so can contact SETA's H&S, Quality & Compliance Manager on (023) 8077 1908 or at [info@seta-training.co.uk](mailto:info@seta-training.co.uk) to obtain further details should they not wish to approach the awarding body themselves.

Details of SETA's Awarding Bodies and Awarding Organisations are as follows:

#### City & Guilds

The Learner will be given details on how to contact the City & Guilds as referenced in the latest edition of the 'City & Guilds Centre Manual' upon request.

#### ECITB

The Learner will be given details on how to contact the ECITB as referenced in the latest edition of the 'ECITB Awards & Qualifications QCF Quality Assurance Procedures Manual' upon request.

#### EAL

The Learner will be given details on how to contact EAL as referenced in the latest edition of the documents found on the 'Smarter Touch' system upon request.

#### SEMTA

The Learner will be given details on how to contact SEMTA.

#### Pearson

The Learner will be given details on how to contact PEARSON as referenced in the latest edition of the BTEC and HNC Quality Assurance Handbook upon request.

#### NET

The Learner will be given details on how to contact NET as referenced in the latest edition of the 'NET Policies and Procedures' document entitled 'NET Complaints Policy' upon request.

#### COMPEX

The Learner will be given details on how to contact JTL as referenced in the latest edition of the document entitled 'JTL920 CompEx Candidate Code of Conduct and Appeals/Complaints Process' upon request.

### 4. Record Keeping and Confidentiality

All details and correspondence regarding complaints, including a formal log are kept electronically for no less than 5 years on SETA's Secured Quality Management server that has restricted access only for the following staff:

- *Managing Director*
- *Operations Director*
- *H&S, Quality & Compliance Manager*

The personal details of the person/s involved (including SETA Staff), will remain secure and strictly confidential. Certain details such as the nature and result of the complaint may be passed on and discussed with other SETA staff key to the rectification/s actions required, including the Board of Trustees. However, information related to the complaint being shared will not include any details of a personal nature.

The H&S, Quality & Compliance Manager is responsible for updating and maintaining this procedure, including any documents that it appends to.

### 5. Review

The H&S, Quality & Compliance Manager will review this procedure with the Managing Director and Operations Director annually.

