

Quality Procedures and Policies	COM-015	Issue Number	13
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Customer Complaints		Originator	Peter Hurlstone
		Amended by	Peter Hurlstone
		Approved by	Peter Hurlstone

1. Scope

Complaints received by a member of SETA staff regarding 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 other individual who is receiving a service from SETA.

Complaints received concerning sub-contract activities, such as college providers or external trainers delivering courses on behalf of SETA, will also be subject to 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, awarding organisation or other regulatory body once this procedure has been exhausted, should they wish to do so.

This Policy covers all complaints such as against a member of staff, other Learners or external bodies connected to SETA.

2. Definition

SETA recognises the definition of a complaint to be '*a report received from an individual about something they believe to be unsatisfactory or unacceptable from their relationship with SETA*'. Examples of this can be:

- *Quality of programme delivery*
- *Quality and standard of tools and equipment*
- *Examination or test disturbance leading to failure*
- *Conduct of SETA staff*
- *Communication issues*
- *Assessment outcome disputes*

3. Procedure

Should an individual wish to make a complaint, they are encouraged to do so in verbal capacity in the first instance, ideally by contacting their host, tutor or their designated SETA contact for discussion. However, any member of SETA staff are approachable and are able to receive a complaint.

Stage 1 - Informal Complaint - Verbal

1. The individual first receiving the complaint will try to resolve the issue through discussion with complainant
2. If the complaint cannot be resolved, it should be referred to the Manager controlling the area of SETA where the concern lies for further discussion
3. Where issues are resolved through discussion, a brief summary of the problem and any action arising will be passed to the Centre 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 with the Manager, Stage 2 will be instigated

Stage 2 - Formal Complaint - Written

1. The individual raising the complaint can write in to SETA via letter or e-mail to SETA's Centre Compliance Manager at phurlstone@seta-training.co.uk, who in turn will complete a 'Formal Complaint Record Form' **(Please see Annex B)**
2. The Centre Compliance Manager will discuss and investigate the complaint and include any other Manager responsible for the area implicated in the complaint within 7 working days
3. All remedial actions will be agreed and written within Part B of the 'Formal Complaint Record Form' **(Please see Annex B)**. The individual responsible for implementing changes and the required date for completion will be identified
4. The Centre Compliance Manager will arrange for a full response letter to be sent to the individual 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 and the deadline date of completion
5. Implementation and effectiveness of remedial action will be monitored by the Centre Compliance Manager and any issues will be reported to the Management team and Chief Executive Officer
6. The individual making the complaint can contact the relevant awarding body awarding organisation or regulatory body, should they wish to in the event they are dissatisfied with the outcome, as identified in **Section 4**.

Should a complaint involve the Centre Compliance Manager, the Chief Executive Officer will take their place, and one appointed trustee will head the investigation.

4. Complaints to Regulatory Bodies

Individuals, registered on regulated qualifications or Apprenticeships, including their employers are freely given the right to contact the awarding body, awarding organisation or regulatory body, if they are unhappy with the result of the complaint, or feel their complaint was incorrectly dealt with by SETA, or are unhappy with the final result. Any Learner wishing to do so can contact the appropriate body as follows:

Ofqual

For Learners on any Regulated Qualifications in the United Kingdom, Ofqual provide an online tool for reporting a complaint on their website. More information can be found here:

<https://www.gov.uk/government/organisations/ofqual/about/complaints-procedure>

DfE

For Learners on any Apprenticeship or Skills Bootcamp programme, the DfE provide a 'Complaints Procedures' on their website. More information can be found here:

<https://www.gov.uk/government/organisations/education-and-skills-funding-agency/about/complaints-procedure>

City & Guilds

For Learners on City & Guilds Technical Qualifications and/or Apprenticeship Standards End Point Assessment, City & Guilds provide a 'Feedback and Complaints' document. More information can be found here:

<https://www.cityandguilds.com/feedback-and-complaints>

ECITB

For Learners on CCNSG Qualifications, ECITB provide a 'Complaints Policy and Procedures' document. More information can be found here:

<https://www.ecitb.org.uk/blog/portfolio-items/complaints-policy-and-procedures/>

EAL/Enginuity

For Learners on EAL NVQ Qualifications and/or Apprenticeship Standards End Point Assessment, EAL provide a 'Complaints Policy' document. More information can be found here:

<https://eal.org.uk/support/document-library/centre-support/policies-and-important-documents/36-complaints-policy-july-2018>

Pearson

For Learners on Pearson BTEC/HNC Qualifications, Pearson provide a 'Feedback and complaints' document. More information can be found here:

<https://qualifications.pearson.com/en/contact-us/feedback-and-complaints.html>

NET

For Learners on AM2 Qualifications or AM2S Apprenticeship Standard End Point Assessment, NET provide a 'Complaints Policy' document. More information can be found here:

<https://www.netservices.org.uk/policies-and-procedures/>

JTL

For Learners on CompEx Qualifications, JTL provide a 'contact us' page on their website which can be used for making a complaint. More information can be found here <https://compex.org.uk/wp-content/uploads/2021/01/JTL920-Candidate-Code-of-Conduct-Rev-9.pdf>

NOCN

For Learners on NOCN Apprenticeship Standard End Point Assessment, NOCN provide a 'Complaints Procedure' document. More information can be found here:

<https://www.nocn.org.uk/support/nocn-group-policies/end-point-assessment-policies/>

TUV UK Ltd.

For Learners on TUV UK Ltd. Apprenticeship Standard End Point Assessment, TUV UK Ltd. provide a 'Complaints Procedure' document. More information can be found here:

<https://www.tuv-nord.com/uk/en/meta/editorial-information/>

Science Industry Assessment Service

For Learners on Science Industry Assessment Service (SIAS) Apprenticeship Standard End Point Assessment, SIAS provide a 'contacts us' page on their website, which can be made for making a complaint. More information can be found here <https://www.siasuk.com/contact/>

If any individual has any doubt on what to do or who to contact, they can contact SETA as identified in **Section 6**.

5. Record Keeping

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 to which only the following staff has access:

- *Chief Executive Officer*
- *Centre Compliance Manager*

6. Confidentiality

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 DSL's, HR and the Board of Trustees. However, information related to the complaint being shared will not include any details of a personal nature.

7. Protected Disclosures

A protected disclosure is when an individual makes a complaint that fits into the following categories in line with the Employment Rights Act 1996 Part IVA.:

- *Criminal activity*
- *Health and safety*
- *Environmental damage*
- *Breach of a legal obligation*
- *A miscarriage of justice*
- *Covering up any of the previous categories of misconduct*

Procedure for Handling a Protected Disclosure

The Centre Compliance Manager will:

1. Acknowledgment of Receipt
 - *Immediate Acknowledgment*
Upon receiving a disclosure, it will be acknowledged promptly confirming that their concern has been received
 - *Confidentiality Assurance*
Assurance will be given to the individual disclosing that their identity and the details of the disclosure will be kept confidential to the extent possible
2. Initial Assessment
 - *Determine Eligibility*
The disclosure will be verified to ensure it qualifies as a protected disclosure under relevant laws (e.g., Employment Rights Act 1996) by checking if it involves serious wrongdoing such as criminal activity, health and safety violations, or environmental damage for example
3. Investigation
 - *Gather Evidence*
All relevant evidence, including documents, e-mails and witness statements for example will be collected
 - *Interviews*
Interviews will be conducted with the individual making the disclosure and other relevant parties to gather as much detailed information as possible
 - *Maintain Confidentiality*
All information gathered will be kept confidential and only shared with those who need to know
4. Reporting
 - *Report*
A detailed report summarising the findings of the investigation, including any evidence of wrongdoing will be completed
5. Action
 - *Corrective Measures*
All necessary corrective actions based on the findings, such as disciplinary action, policy changes, or reporting to regulatory bodies will be implemented
 - *Feedback to the Individual Who Made the Disclosure*
Feedback will be provided to the individual who made the disclosure on the outcome of the investigation, including any actions taken, whilst maintaining confidentiality
6. Monitor and Review
 - *Follow-Up*
The situation will be monitored to ensure that the corrective actions are effective, and that no retaliation occurs against the person who made the disclosure

- *Review Process*
Periodically reviews to this section will be carried out to ensure it remains effective and compliant with legal requirements
- 7. Documentation:
 - *Record Keeping*
The detailed records of the disclosure, investigation, findings, and actions taken will be saved on the secure server and remain confidential

By following these steps, SETA will ensure we handle protected disclosures appropriately, whilst adopting a culture of transparency and accountability.

8. Contact

Individuals can contact SETA's Centre Compliance Manager on (023) 8077 1908 or at phurlstone@seta-training.co.uk

This document is freely available on SETA's website at <https://www.setatraining.co.uk/seta/quality-complaints.html>

9. Review

The Centre Compliance Manager will review this procedure with the Chief Executive Officer annually, or when amendments are required through legislation changes.

Informal Complaint Record Form

Complainants Details									
Name						Date			
Address									
City				Postcode					
Tel No.				Mobile No.					
E-mail	Click or tap here to enter text.								
Role <small>(Please tick)</small>	Commercial Learner	<input type="checkbox"/>	Apprentice	<input type="checkbox"/>	Employer	<input type="checkbox"/>	Other <small>(Please state)</small>		<input type="checkbox"/>
Complaint Details									
<i>Please use the space below to record the complaint that was made verbally</i>									
SETA Staff Name: Position: Signature: Date:						Please note 1. By signing, you are agreeing that the information contained within this form is a true and accurate account of your complaint. 2. An e-mail address will be accepted as your signature if this form is completed electronically			

Formal Complaint Record Form

Part A

Complainants Details							
Name					Date		
Address							
City				Postcode			
Tel No.				Mobile No.			
E-mail							
Role <small>(Please tick)</small>	Commercial Learner <input type="checkbox"/>	Apprentice <input type="checkbox"/>	Employer <input type="checkbox"/>	Other <small>(Please state)</small>			<input type="checkbox"/>

Complaint Details	
<p><i>please use the space below to record your complaint including an account of the informal complaint you made verbally</i></p>	
Print Name: Signature: Date:	<p><u>Please note</u></p> <p>1. By signing, you are agreeing that the information contained within this form is a true and accurate account the complaint</p>

Part B

Formal Complaint Record Form

Response			
Investigating Staff Name:		Area Manager Name	
<i>Please use the space below to record the discussion between the Staff investigating and the Manager responsible for the area in which the complaint was made</i>			

Actions			
No.	Action	Owner Initials	Target Date
1			
2			
3			
4			
5			
6			
7			
8			
<u>Notes</u> Click or tap here to enter text.			
SETA Staff Name: Position: Signature: Date:		<u>Please note</u> 2. By signing, you are agreeing that the information contained within this form is a true and accurate account the complaint	