

Quality Procedures and Policies	COM-015	Issue Number	9
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Customer Complaints		Originator	PH
		Amended by	PH
		Approved by	NA

### 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 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 will need to complete a 'Formal Complaint Record Form' (**Please see Annex B**), which will be issued by the Centre Compliance Manager upon request. Once this has been completed and returned to the Centre Compliance Manager, it will be shared with the Chief Operating Officer as soon as possible after receipt.
2. The Chief Operating Officer and 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 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 Chief Operating Officer
6. The individual making the complaint has the opportunity to 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 Chief Operating Officer or 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>

#### *ESFA*

For Learners on any Apprenticeship, the ESFA provide a 'Complaints Procedures' on their website. More information can be found here:

<https://www.instituteforapprenticeships.org/about/complaints-procedure/>

They can also be contacted in writing via e-mail at [helpdesk@manage-apprenticeships.service.gov.uk](mailto:helpdesk@manage-apprenticeships.service.gov.uk) or via telephone on 08000 150 600.

#### *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>

#### *Enginuity (SEMTA)*

For Learners on Apprenticeship Frameworks, SEMTA/Enginuity provide a 'contacts us' page on their website which can be made for making a complaint. More information can be found here <https://enginuity.org/contact/>

#### *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 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 to which only for the following staff has access:

- *Chief Executive Officer*
- *Chief Operating Officer*
- *Centre 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.

## **6. Contact**

Individuals can contact SETA's Centre Compliance Manager on (023)8077 1908

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

## **7. Review**

The Centre Compliance Manager will review this procedure with the Chief Executive Officer and Chief Operating Officer annually.

## 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:					<b>Please note</b> 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	
<i>please use the space below to record your complaint including an account of the informal complaint you made verbally</i>	
	<p><b>Please note</b></p> <ol style="list-style-type: none"> <li>1. By signing, you are agreeing that the information contained within this form is a true and accurate account of your complaint.</li> <li>2. An e-mail address will be accepted as your signature if this form is completed electronically</li> </ol>
Signature:	
Date:	

## Formal Complaint Record Form

### **Part B**

#### Response

Investigating Staff  
Name:

Area Manager  
Name

*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*

#### Actions

No.	Action	Owner Initials	Target Date
1			
2			
3			
4			
5			
6			
7			
8			

Notes

Click or tap here to enter text.

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