

## Complaints & Appeals Procedure

### 1.0 Introduction

1.1 ECTA deals with and where necessary investigates and records complaints made against the ECTA or any members of staff. See Flowchart 1.

1.2 All complaints and any subsequent appeals relating to the ECTA is reviewed as part of the ECTA management review and the external quality assurance audit by External Verifier for the relevant Awarding Organisation (AO) or Certification Body (CB).

1.3 Where the complaint is regarding the AO/CB, the Centre Manager (CM) passes the complaint details to the relevant person at the AO/CB and informs the complainant of the action taken.

1.4 The CM informs the complainant of the procedure to follow in the event that the complaint is not satisfactorily resolved.

### 2.0 Responsibilities

2.1 The CM ensures that all complaints and appeals received are dealt with and or investigated in accordance with these procedures and the ECTA standards of service.

2.2 The CM appoints a complaints investigator who has not been previously involved in the subject of the complaint to carry out and report on the investigation.

### 3.0 Procedures

3.1 Complaints and Appeals;

3.1.1 Complaints received relating to any of the following are processed promptly and efficiently;

- Examination and or assessment results.
- Any activity associated with the training, examination, assessment or qualification of learners at the ECTA.
- ECTA personnel.

3.1.2 Where the complaint concerns the CM the complainant is advised to inform the LCL SM who informs the complainant of the appropriate actions to follow or carries out an investigation as appropriate.

3.1.3 Initially complaints may be made orally to the CM and where possible resolved without the need to escalate it to a written complaint.

3.1.4 Where the CM is unable to resolve the oral complaint, the complainant is asked to put the complaint in writing before any investigation or further comment is made.

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3.1.5 The CM enters the complaint on the Complaints and Appeals Register and informs the complainant that the written complaint must be received within 20 working days ensuring the following information is included;

3.1.5.1 Name of any staff members involved in the complaint.

3.1.5.2 Nature of the complaint.

3.1.5.3 Supporting evidence.

3.1.6 Where a written complaint is received, the CM writes to the complainant within 5 working days acknowledging receipt giving an indication of the expected time required to carry out an investigation and for reporting back to the complainant.

3.1.7 The CM or the investigator writes to the complainant within 5 working days of completion of the investigation, detailing;

3.1.7.1 Findings.

3.1.7.2 Proposals for resolution of the complaint.

3.1.7.3 A request for the complainant to respond within 20 working days.

3.1.8 Where the complainant remains dissatisfied with the outcome of the investigation and decision, the complainant is advised to forward details of the complaint, outcomes and reasons for appeal to the AP (Appropriate Person). See Flowchart 2.

3.1.9 Where the complaint does not relate to the outcome of an assessment or qualification and does not fall under the remit of an Awarding Organisation, Certification Body or other regulatory body, the decision of the Directors is final.

3.1.10 LCL deals with the complaint and appeal in accordance with its own procedures detailed in the LCL Awarding Organisation (AO) Quality Management System (QMS).

3.1.11 All correspondence pertaining to each complaint including the outcome is retained by the ECTA for audit by the EV and or the qualification regulators.

3.2 The ECTA endeavours to resolve complaints to the satisfaction of all parties and actively monitors formal and informal complaints and takes appropriate measures as necessary.

3.3 All complaints and appeals are reviewed during ECTA standardisation review meetings.

Associated Documents:

Complaints Flowchart

Procedure for escalating Complaints or Appeals Flowchart

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