



# Complaints Policy

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# Complaints Policy

## 1. Introduction

The International Compliance Association (ICA) is committed to maintaining the highest standards for its learners and other key stakeholders. ICA considers a regularly reviewed Complaints Policy as essential for the expression of concerns, undertakes to take appropriate corrective action and to learn from complaints. All complaints will be dealt with fairly and in a timely manner and will be recorded to inform future changes. Individuals will not be discouraged from making complaints, unless they are vexatious, malicious or frivolous. Where possible, complaints will be dealt with informally – all complaints, however, and their outcomes will be recorded.

### Scope

This policy covers complaints from ICA learners who may wish to make complaints in relation to assessments, awarding and certification, study and teaching. It is not intended to cover appeals involving assessments which are covered by our Appeals Policy. Should a complaint be submitted which is in fact an appeal, ICA will respond to inform the relevant party that the issue is being considered, where appropriate, in accordance with the approach outlined in the ICA Appeals Policy.

If an individual has reason to believe malpractice or maladministration may have taken place during the delivery of an ICA assessment, or by a learner registered with ICA, they should refer to the ICA Academic Malpractice Policy. Any complaint about requests for, and the application of, reasonable adjustments or special considerations will be dealt with through the ICA Reasonable Adjustments policy.

Apprentices who wish to complain about their ICA Apprenticeship End Point Assessment should use our End-Point Assessment (EPA) Complaints policy.

ICA will not normally investigate complaints:

- which are being, or have been, considered by a court or similar body
- which are submitted more than one month after the decision or action which is the subject of the complaint where ICA considers the complaint to be vexatious, malicious or frivolous.

## 2. The Complainant

For the purposes of this document, the complainant is considered to be the person or organisation who initially informs ICA of the concern. If the complainant wishes to change the contact for the complaint process then they must do so in writing, and contact will need to be made with the new contact before any timescale or process is deemed to have commenced.

Who can make a complaint?

ICA will investigate complaints from:

- Learners studying an ICA Qualification
- Organisations who employ learners who are taking ICA qualifications
- Members of ICA

### Making a complaint and confidentiality

Potential complainants should first try to sort out any problem, at the earliest opportunity, by contacting relevant personnel at ICA. If a resolution is not achieved informally, then the online form can be completed to start the formal complaint process

#### *Online form: Contact us*

The complaints form requests personal information (Name, contact details etc. and the following information should also be provided:

- a full description of your complaint (including the subject matter and dates and times if known)
- any names of the people you have dealt with so far.

Anonymous complaints will be investigated but it is always preferred that ICA have identity and contact details in case further information is required, and to facilitate reporting of the outcome of an investigation.

### Timeframes

All complaints will be acknowledged in writing within 2 working days. ICA will then investigate the complaint which should take no more than 10 working days. If, for any reason, ICA is unable to respond within this timescale, the Complainant will be notified of this in writing, along with the reason for the delay, and an expected response date.

## Fees

ICA will not charge the complainant any fee to cover the administrative and personnel costs involved in investigating complaints.

## Result of the complaint

At the end of its investigation, ICA will inform the complainant of the outcome.

Where appropriate, ICA will advise the complainant of proposed remedial actions.

In situations where a complaint is upheld, ICA will give due consideration to the outcome and will take appropriate actions such as:

- an apology, where poor service is identified
- identifying any other learners who have been affected by the issue
- correct, or where it cannot be corrected, mitigate as far as possible, the effect of the issue on all parties including the complainant
- reviewing and amending arrangements to reduce the likelihood of the issue recurring in the future, and
- review and verify remedial actions taken to address the issue to ensure that the solutions applied have been effective.

## Appeals

A complainant who wishes to challenge any decision regarding the outcome of a complaint should write explaining the nature of the challenge.

This will trigger a repeat complaint procedure based on the same timelines but handled by personnel who have not been exposed to the initial complaint.

## Continuous improvement

In situations where a complaint has highlighted a failure in ICA processes, appropriate action will be taken to improve the relevant processes. This may include but is not limited to:

- identifying any other learner who has been affected by that failure
- correcting, or where it cannot be corrected, mitigating as far as possible, the effect of the failure

- ensuring that the failure does not recur in the future
- in extreme circumstances, internal disciplinary procedures may be exercised where the performance or behaviour of ICA staff members is deemed unacceptable.

Information gathered during the complaints process may also be used by ICA as evidence to inform and review the approach to the development, delivery and award of qualifications.

## **Data Retention and Storage**

Information concerning complaints will be retained together with personal and contact information during the period that the complainant is studying with the ICA. After this time all personal data will be destroyed but the data concerning the nature of the complaint will be retained anonymously for quality improvement and data analysis purposes.



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