

AXELOS Issues, Appeals and Complaints Policy

AXELOS.com

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1. About this Policy

AXELOS aims to provide the best possible advice, service and support to all who use our products or services. In order to maintain this standard, we welcome feedback from all who use our products or services.

We also appreciate that from time to time you may not be satisfied with:

- our products
- the advice, service or support you have received in connection with our products from our Accredited Training Organisations (ATOs), Accrediting Examination Institutes (EIs), (together with AXELOS, Accredited Organizations (AOs)) or our Consulting Partners

This policy is intended to provide you with clear and useful information about what you can do in this instance. It sets out details on:

- how you can raise an Issue, Complaint or Appeal with us
- what we will do and when
- what you can do if you are still not satisfied.

This policy covers:

- Issues, Complaints pertaining to examinations, our ATOs or EIs and our Intellectual Property (IP)
- appeals pertaining to examination results
- any Issues or Complaints you may have about us or services provided by our Partners

This policy should be read in conjunction with the relevant AXELOS SCHEME brochures.

2. Definitions and Interpretation

In this policy, the singular includes the plural and vice versa and the following terms shall have the following meanings:

Term	Meaning
Appeal	means a formal request from you asking us to consider a decision made by either AXELOS or an AXELOS accredited organization relating to any given certification
Accredited Organization	Refers to any organization, accredited and licensed to provide advice, service or support in the delivery of the AXELOS scheme
AXELOS SCHEME	refers to the relevant AXELOS product to which your Issue, Complaint or Appeal relates
Complaint	means an expression of dissatisfaction made about the standard of service, actions or lack of action by AXELOS or an AXELOS accredited organization
Issue	means a matter related to those topics set out in section 6 of this policy which you believe might affect you or your business in achieving the desired objective.
Partner	An organization partnered with AXELOS to offer consultancy and advisory services in AXELOS product areas.
Review Panel	A body of professionals nominated by AXELOS and who are impartial and appointed to consider the matters relating to an Issue, Complaint or Appeal

3. Means of Communication

Please see Appendix E for details on how you may contact us in respect of any Appeal, Complaint or Issue. Please note we cannot deal with your Issue, Complaint or Appeal unless we receive the same in writing, either in person, by post or email, however issues pertaining to AXELOS Global Best Practice content must be submitted online using the webform (See Appendix E).

4. Expectations

When you make an Appeal, Complaint or raise an Issue you can expect us to:

- treat the matter seriously, fairly and sensitively
- use appropriate discretion in trying to resolve the matter. Please note if the matter relates to a member of staff of AXELOS or a given AXELOS Organization, that member of staff or Organization may be informed about the substance of the matter so that they may be allowed to make a response
- treat each matter confidentially to the extent possible. However, we reserve the right, at our sole discretion, to disclose details of the matter if we believe this will facilitate a resolution. If, in our opinion, a matter cannot be dealt with unless you are identified, you will be given the opportunity to decide whether or not you wish to continue with the process.

NOTE:

Before raising an Issue, Complaint or Appeal with us, where appropriate, you must ensure that you have pursued the matter with your ATO first and then your EI. Please note that you must exhaust the respective complaints procedures of your ATO and EI in this order before you can consider raising the matter with us.

Please note we will not investigate any matters we deem to be malicious or vexatious.

This Policy does not affect the right of an individual or organization to approach others for advice or assistance.

5. Withdrawal

You may withdraw your Issue, Complaint or Appeal at any time in writing. Please note if you do so, any attempt to raise the same matter at a later date will not be accepted.

6. Issue process

Please note we will only deal with Issues which relate to the following matters:

- examination collateral such as examination questions and papers, translations and course material
- publication content such as information provided in the context, quality of the publication and translated manuals
- accreditation Issues such as license agreement breaches, matters that affect the delivery or outcome of an accredited service
- IP Issues: such as misuse of AXELOS IP, and grey training.

6.1 How to raise an Issue

You must:

- raise Issues regarding publication content via the webform
- raise all other Issues in writing; see See Appendix E

Please ensure it contains as much information regarding the matter as possible together with any supporting documents and any other points of reference you believe are necessary to highlight the Issue.

- Upon receipt we will acknowledge receipt of all Issues within five working days
- we will review the Issue to establish if it is a matter for us to consider. You may be asked to submit additional information or further clarification in order to assist us in making this determination. If we determine that the Issue is a matter that requires further investigation, we will assign a member of staff to deal with the matter.
- you may be informed of our decision for Issues that affect you directly, within five working days of completion of our investigation
- we shall, where necessary, undertake remedial action and communicate the same to the relevant AXELOS Partners.

Please note an illustration of this process can be found at Appendix A of this policy.

7. Appeals Process

AXELOS will only consider an Appeal on the following grounds:

- procedural grounds
- personal or medical grounds
- discrimination.

The Appeals process is conducted in two stages:

- **Stage 1** - we will conduct an initial review to decide whether the appeal satisfies the aforementioned grounds for Appeal and that there is enough evidence supporting the Appeal
- **Stage 2** - if the Appeal has sufficient grounds to proceed, we will investigate the circumstances of the Appeal and where necessary undertake remedial action.

You must provide clear evidence to demonstrate that the decision against which you wish to lodge an Appeal, meets at least one of the following criteria:

- invigilators were made aware of, and noted, your mitigating circumstances at the time of the examination
- evidence of mitigating circumstances was submitted within set timeframes, but was not taken into consideration
- the Accredited Organization failed to follow its own examination procedures
- evidence that demonstrates that a decision was discriminatory.

Please note:

- for Appeals in connection with an incident/situation that took place during the examination, it is your responsibility to ensure the matter was brought to the invigilators attention at the time and the relevant EI was subsequently informed of the incident
- we shall not, under any circumstances, re-assess your work. We will only consider the circumstances under which your assessment was undertaken and if necessary recommend a review of the same
- we will not consider any Appeal if you have failed to follow the the guidelines for a web proctored examination and the results of your exam have been revoked.

7.1 How to make an appeal

An Appeal must contain:

- your contact details and those of your representative (if applicable)
- a detailed breakdown of the matter which you wish to appeal against (the grounds on which your appeal is based).

Please note an illustration of this Appeal process can be found at Appendix B of this policy.

7.1.1. Stage 1

On receipt of the Appeal we will conduct an initial review of its contents and establish if there are sufficient grounds for the Appeal to proceed. You may be asked to submit additional information or provide clarification on certain points.

- We will then determine whether or not the Appeal is a matter that requires further investigation. If the grounds for Appeal are deemed to be sufficient, a senior manager within AXELOS will be appointed to deal with the matter
- Once we have made our determination, we will provide you with an acknowledgement of the Appeal within five working days. For Appeals that are accepted for further investigation, this acknowledgement will also state the timescale within which you can expect a substantive response.

7.1.2. Stage 2

- AXELOS will assemble an Appeal Review Panel (ARP) to further consider the Appeal.
- ARP members shall have no commercial interest in the Appeal being considered and should not be personally involved in any matters relating to the Appeal
- The appellant may object to the membership of the ARP, where there is a conflict of interest, after which the Chair will select a replacement member(s)
- The ARP will review the evidence and if necessary, a hearing will be held. Any supporting documentation from the appellant must be submitted to the chair at least ten working days ahead of the hearing
- The ARP will consider the evidence and prepare a report, outlining the basis upon which a recommendation has been reached, to the CEO of AXELOS
- AXELOS CEO will make the final decision and a formal letter will be sent to the appellant, outlining the outcome of the Appeal, within five working days of receipt of the recommendation from the ARP.
- The Appeal record will be closed on the date that the final response is sent to the appellant, recording the category of the Appeal and the outcome
- The decision resulting from stage two of the Appeals process will be binding upon all parties to the review process

- If the Appeal is upheld, AXELOS will take appropriate corrective action or will ensure that the action is taken via the accredited organization to change the decision and address any issues identified.

8. Complaints process

All Complaints must be submitted in writing. We will acknowledge receipt of the Complaint within five working days of receipt and aim to complete investigations within twenty five working days of receipt, however, should the Complaint require additional time, the complainant will be advised and provided with the revised timescales.

8.1 How to make a complaint

8.1.1. Complaints process for AXELOS customers

- You must raise a Complaint in writing. Please ensure it contains as much information regarding the matter as possible together with any supporting documents and any other points of reference you believe are necessary to highlight the details pertaining to the Complaint
- if the Complaint has been accepted you will be notified of the person dealing with the Complaint and the timescales for investigation
- the Complaint will be investigated through the AXELOS Complaints process and the outcome informed to the complainant within the timescales stated
- corrective action will be carried out following recommendations of the investigation.

Please note an illustration of this process can be found at Appendix C of this policy.

8.1.2. Complaints process concerning the activities of an AXELOS Accredited Partner

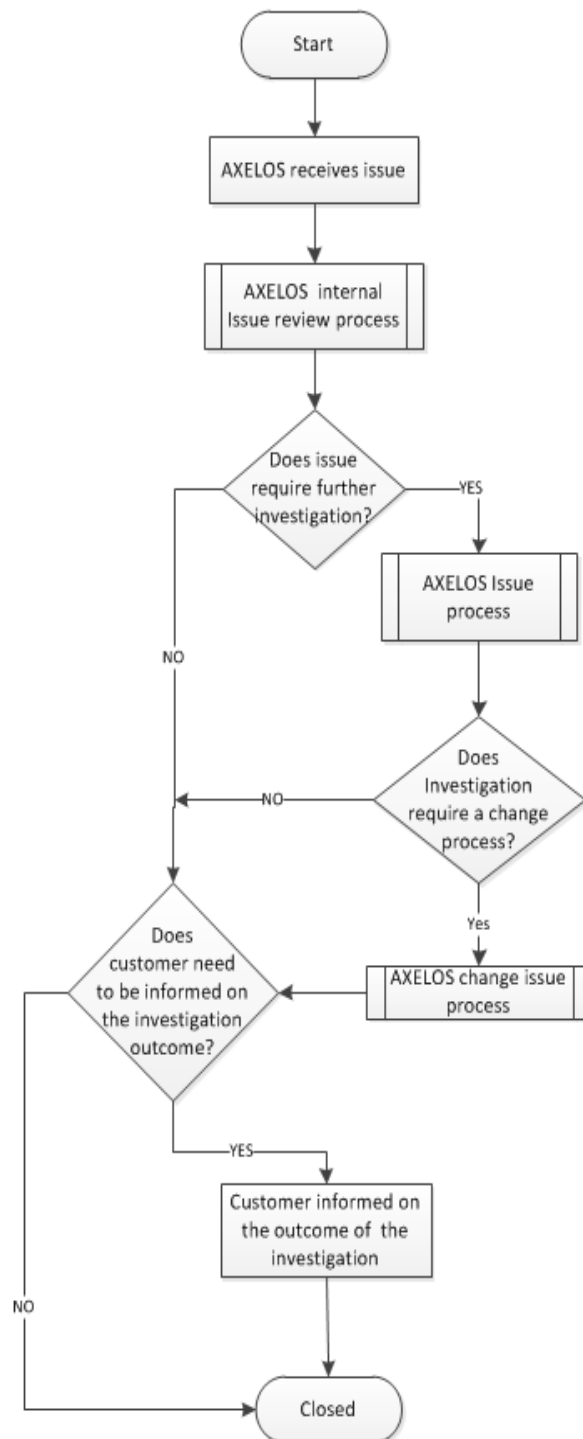
Any investigation that is undertaken by AXELOS, will be within the context of the obligations placed on the Accredited Organization in the applicable SCHEME brochure. All Complaints regarding an AXELOS Accredited Organization should be directed to the Accredited Organization first and AXELOS will expect to see evidence of this. In the case of a Complaint regarding an ATO, Affiliate or Brokers the ATO will be required to notify the EI and AXELOS will expect to see evidence of this.

- You must raise a Complaint in writing. Please ensure it contains as much information regarding the matter as possible together with any supporting documents and any other points of reference you believe are necessary to highlight the Issue
- on receipt of the Complaint AXELOS will review its content and establish whether or not it is a matter to be investigated under the SCHEME rules of accreditation. The complainant may be asked to submit additional information or further clarification of the issues of the Complaint, before the Complaint is formally logged
- we will acknowledge your Complaint confirming whether it has been accepted for investigation or refused. If the Complaint has been accepted you will also be notified of the person dealing with the Complaint and the timescales for investigation
- in some instances, in order to carry out the investigation, we may need to disclose the identity of the complainant to the Accredited Organization. If necessary, we will seek permission from you to do so. If you refuse to grant us the permission, this may limit the investigation, if it is not possible to obtain information from the Accredited Organization

- if we receive a Complaint concerning an Accredited Organization, we will notify the organization and the accrediting body. On some occasions we may conduct an investigation to validate the details of the Complaint
- all agreed outcomes, will be formalized with a response letter confirming the details of the outcome, including where necessary, any corrective actions and opportunities for improvements which have been identified.

Please note an illustration of this process can be found at Appendix D of this policy

Appendix A AXELOS Issue Process



All examination, accreditation or IP related issues must have passed through the Examination Institute issue process, following which all escalated issues must be submitted to AXELOS in writing or via the feedback form online for publication content. They can be delivered in person or posted to:

AXELOS Global Best Practice, 17 Rochester Row, London, SW1P 1QT.

or by emailed to:

- For examinations: examinations@AXELOS.com
- For accreditations: accreditation@AXELOS.com
- For IP: infringements@AXELOS.com

Issues raised by candidates directly must be considered through the ATO/EI issue process, AXELOS will only deal with escalated candidate issues in the form of an Appeal.

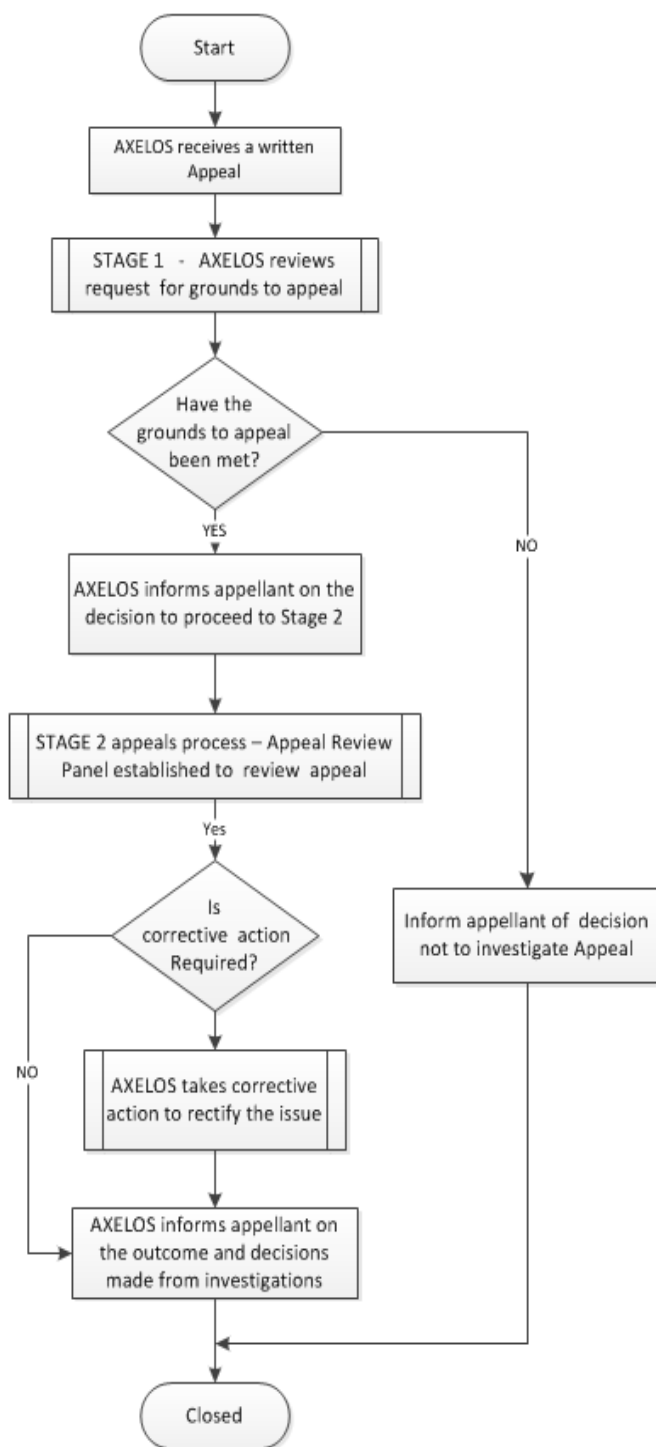
AXELOS will acknowledge receipt of issue within 5 working days.

AXELOS will conduct an internal review to consider the details of the issue and make a decision as to whether the issue requires further investigation.

If further investigation is required, and highlights the need for changes to be made then AXELOS will follow the change issue process.

Where necessary or required, (dependent on the nature of the issue), the customer may be advised on the decision or outcome of the investigation.

Appendix B AXELOS Appeals process



All Appeals exhausted through the EI complaints and appeals policy, should be escalated to AXELOS in writing.

They can be delivered in person, or posted to:

AXELOS Global Best Practice, 17 Rochester Row, London, SW1P 1QT.

Or send by email to:

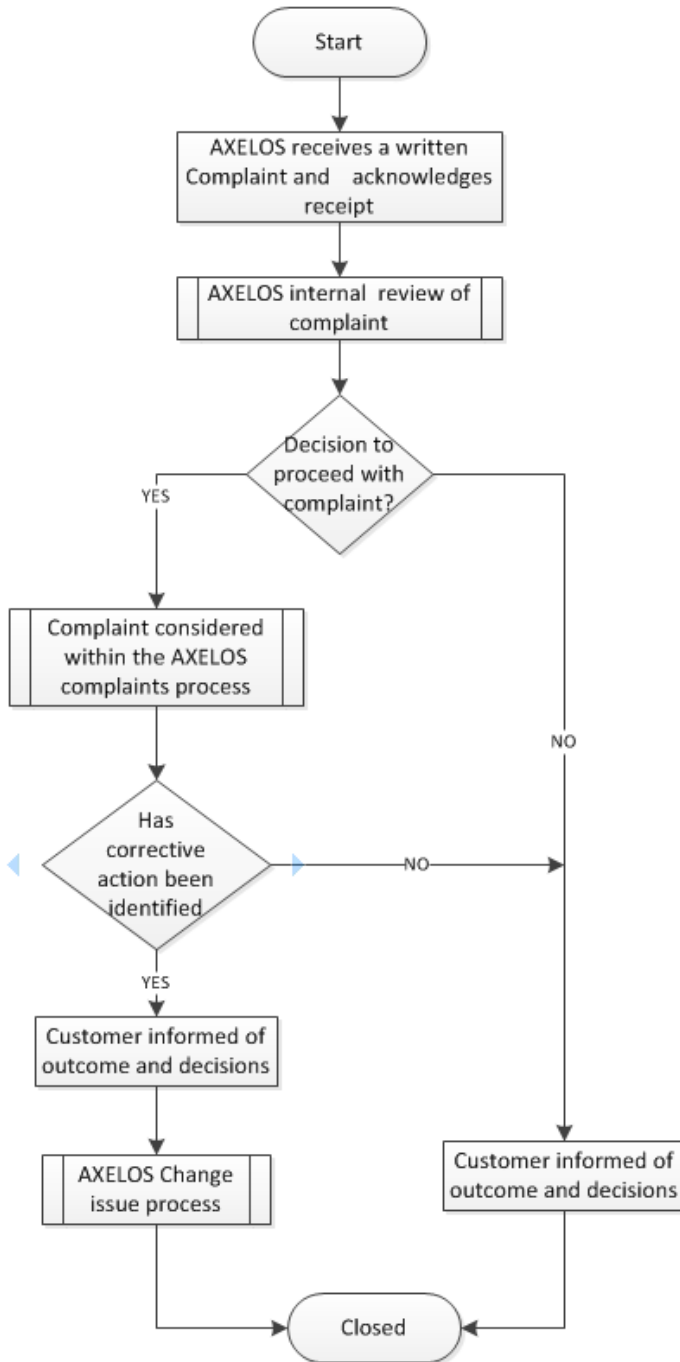
- For examinations: examinations@AXELOS.com
- For accreditations: accreditation@AXELOS.com
- For IP: infringements@AXELOS.com

AXELOS will acknowledge receipt of the written Appeal within 5 working days
Note: all appeals by examination candidates regarding any aspect of an examination or results must be supported by the EI.

STAGE 1 AXELOS will conduct an internal review to establish whether sufficient grounds to Appeal are met
 If grounds to Appeal are met, AXELOS will invoke **STAGE 2** of the process, by setting up an Appeal review panel to consider the appeal and make a judgment. AXELOS CEO will make the final decision on the review panel judgement and the appellant will be informed by AXELOS of the decision within 5 working days of the recommendations
 The decision made at stage 2 is binding.

If the appeal is upheld corrective action where appropriate will be taken to address the issues of the appeal.

Appendix C AXELOS Complaints process for AXELOS Customers



All complaints must be submitted to AXELOS in writing; which can be delivered in person or posted to:
 AXELOS Global Best Practice, 17 Rochester Row, London, SW1P 1QT.
 or by email:

- For examinations examinations@AXELOS.com
- For accreditations accreditation@AXELOS.com
- For IP infringements@AXELOS.com

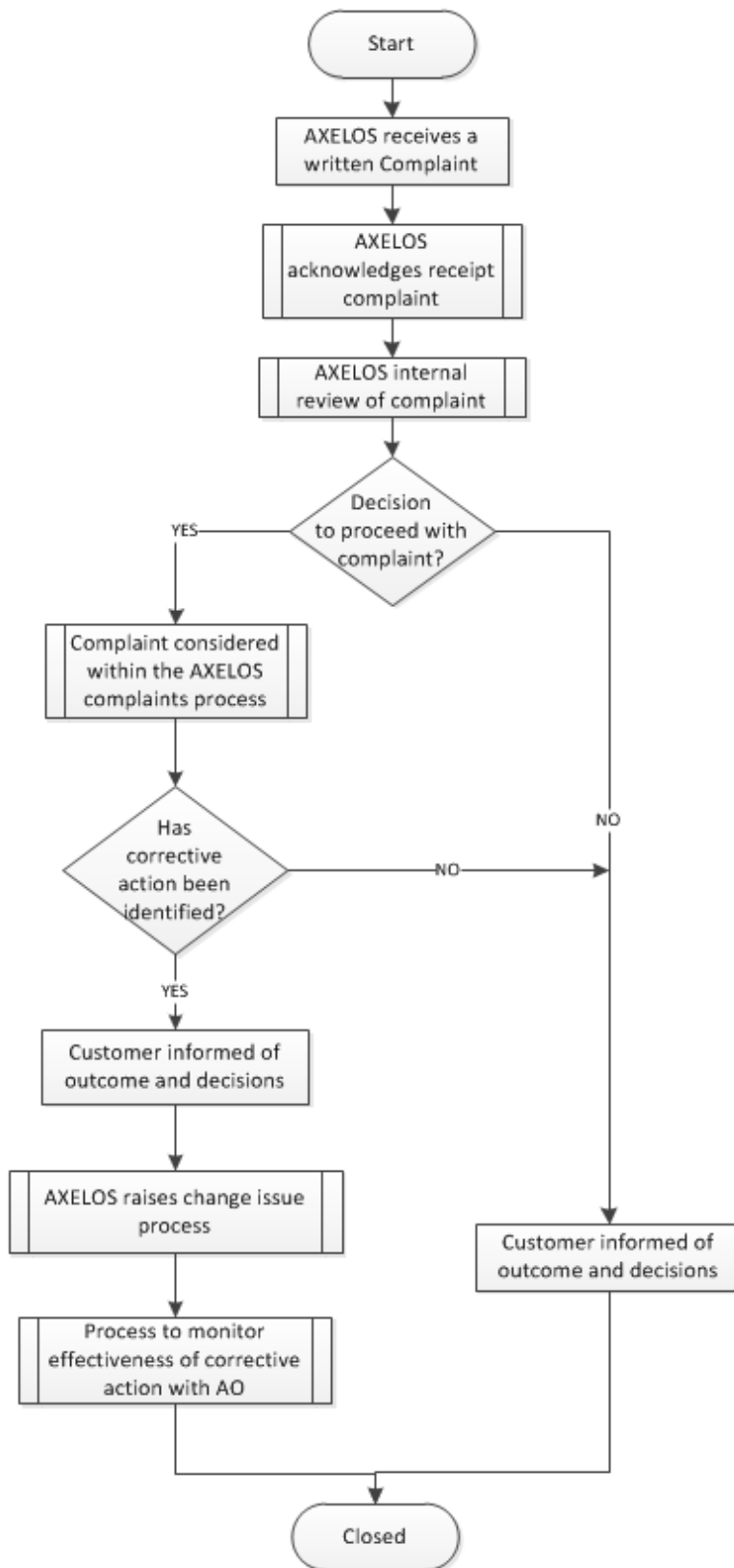
AXELOS will acknowledge of receipt of the written complaints within 5 working days.

AXELOS will conduct an internal review to consider the details of the complaint. If the complaint is accepted, the complainant will be informed of the expected investigation timescales.

AXELOS complaints process will be initiated.

If the decision highlights the need for process changes or corrective action to be taken, AXELOS will follow the internal change issue process

Appendix D AXELOS Complaints process concerning the activities of an AXELOS Partner



All complaints must be submitted to AXELOS in writing; which can be delivered in person or posted to: *AXELOS Global Best Practice, 17 Rochester Row, London, SW1P 1QT.* or by email:

- For examinations: examinations@AXELOS.com
- For accreditations: accreditation@AXELOS.com
- For IP: infringements@AXELOS.com

AXELOS will acknowledge receipt of the written complaints within 5 working days.

AXELOS will conduct an internal review to consider the details of the complaint to decide whether the complaint warrants AXELOS to investigate.

If accepted then AXELOS complaints process will be initiated in conjunction with the SCHEME rules and AO Licensing Agreements.

If the decision highlights the need for a process change or corrective action to be taken, AXELOS will follow the internal change issue process.

The AO will be expected to provide AXELOS with reports to monitor the effectiveness of the corrective actions and where necessary review the corrective action to limit re-occurrences

Appendix E

Method	Guidelines
Delivered in person	<p>AXELOS staff have been trained in receiving and processing complaints.</p> <p>Issues, Appeals and Complaints should be made by visiting AXELOS Limited located at 17 Rochester Row, London, SW1P 1QT</p>
Delivered by post	<p>Issues, Appeals and Complaints in writing should be sent to AXELOS Limited, 17 Rochester Row, London, SW1P 1QT</p>
Delivered by email	<p>Issues, Appeals and Complaints in writing should be emailed to the appropriate mailbox:</p> <p>Accreditation related: accreditation@AXELOS.com Examination related: examinations@AXELOS.com Intellectual Property related: infringements@AXELOS.com</p>
Website for Best Practice Feedback	<p>AXELOS Global Best Practice content issues must be raised using the web form: https://www.axelos.com/best-practice-feedback.aspx</p>