



# Complaints Policy



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<b>Policy Ref</b>	CLTIH4
<b>Approval Date</b>	01.11.2025
<b>Document Classification</b>	Public
<b>Policy Owner</b>	Director of Operations

# 1. Introduction

CLTI and STEP are committed to maintaining the highest standards for its learners and other key stakeholders. CLTI/STEP considers a regularly reviewed complaints policy as essential for the expression of concerns, and undertakes to take appropriate corrective action and to learn from complaints. All complaints will be handled fairly and promptly, and recorded to inform future improvements. 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.

## 1.1 Scope

This policy covers complaints from CLTI/STEP learners who may wish to make complaints in relation to the delivery of study, teaching, awarding and certification. 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, CLTI will respond to inform the relevant party that the issue is being considered, where appropriate, in accordance with the approach outlined in the CLTI appeals [policy](#).

If an individual has reason to believe malpractice or maladministration may have taken place during the delivery of a CLTI/STEP assessment, or by a learner registered with CLTI/STEP, they should refer to the CLTI academic malpractice [policy](#). Any complaint about requests for, and the application of, reasonable adjustments or special considerations will be dealt with through the CLTI reasonable adjustments [policy](#).

CLTI will not normally investigate complaints:

- which are being, or have been, considered by a court or similar body.

## 2. The complainant

For the purposes of this document, the complainant is considered to be the person or organisation who initially informs CLTI 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?

CLTI will investigate complaints from:

- Learners studying a STEP/CLTI qualification
- Organisations who employ learners who are taking STEP qualifications.

### 2.1 Making a complaint and confidentiality

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

[Online form: CLTI | Make a Complaint](#)

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.

We will never reveal a complainant's identity without prior agreement, or unless it is absolutely necessary. If considered absolutely necessary, complainants will be consulted before any action is taken in this regard.

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

## 2.2 Timeframes

All complaints will be acknowledged in writing within 2 working days. CLTI will then investigate the complaint which should take no more than 10 working days. If, for any reason, CLTI 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.

## 2.3 Fees

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

## 2.4 Result of the complaint

At the end of its investigation, CLTI will inform the complainant of the outcome. Where appropriate, CLTI will advise the complainant of proposed remedial actions.

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

- an apology, where service has not met expected standards
  - 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.
- if you are not satisfied with the result you can write to:

Director of Profession  
Society of Trust and Estate Practitioners (STEP)  
Worldwide Artillery House (South)  
11-19 Artillery Row  
London  
SW1P 1RT  
United Kingdom  
Email: [pd@step.org](mailto:pd@step.org)

You will need to enclose/attach copies of any correspondence to date.

The director of profession, who is responsible for all professional development at STEP, will acknowledge receipt of your complaint within 5 working days and tell you when you can expect a full response.

You may be asked to speak in person or by telephone to the director of profession so that your case can be fully understood.

If you are still dissatisfied your case will be referred to the STEP professional development committee for a final internal review. Once the committee has heard your case and made a decision, the internal procedures will have been exhausted.

You will receive a formal written statement outlining the outcome reached once the process has reached a final conclusion.

## 2.5 Continuous improvement

In situations where a complaint has highlighted a failure in CLTI 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 initiated where CLTI staff performance or behaviour is deemed unacceptable.

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

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