

06/06/08

Section 3 Vehicle Testing Scheme

Operating Instructions

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23 Computerised Complaint Record - Overview

The Complaints process records the handling of a complaint by means of moving it through 3 status stages irrespective of whether it is test specific or non test specific:

- Recording the complaint will show it as **LOGGED**.
- Reviewing / Processing it, which will show a complaint as **ASSIGNED** to another VOSA user for their particular part in

the process. Alternatively where there is NFA necessary this function can be used to show an outcome of CLOSED.

- Recording the overall Outcome will set the final status to either; **CLOSED, UPHELD** or **REJECTED** all of which irreversibly prevent further processing of that complaint number.

In addition, any specific test considered as part of the complaint has its own outcome (assessment code) recorded against the test number. These outcomes which must be recorded before the overall outcome is input are similarly either: UPHELD or REJECTED where a complaint was investigated or CLOSED where a previously associated test was not investigated.

Note: Care must be taken when entering free text into any information box with regard to the DPA and FoI Act, and any possible allocation of disciplinary points must not be detailed at all. Fields where the free text shows up on an Appeals Report available to VTS staff if the overall result is UPHELD or REJECTED are underlined and specific comment is made.

23.1 Record Complaint

This function [Record Complaint](#) is covered in VOSA User Guide P1. Most VOSA users, including VOSA's Enquiry Unit, are able to record complaints onto the Complaints Log.

This input results in a complaint being shown as LOGGED and being given a Complaint Reference Number. This function can only be accessed once per complaint and the selection of complaint category stays with the complaint for its life and cannot be subsequently altered. Although mis-categorising a complaint has no bearing on subsequent functions it does represent a corruption of the database record if data is ever extracted under category type.

The computer record must be made using information on a VT80 or VT17 as the system's 'time out' restriction means that data could very likely be lost if the inputs are attempted during a telephone conversation.

23.1.1 Complaint Category

Select the appropriate **category** for the complaint from the drop down list:

- Issue of VT20
- Issue of VT30
- VTS Staff Behaviour

- Standard of Work
- Site Issues
- Scheme Policy Issues
- VOSA Related
- Other
- Issue of VT20 & VT30

Select Continue to confirm the category and proceed to the Record Complaint screen.

If the wrong category is selected in error, and the initiating details of the complaint have not yet been confirmed at the Record Complaint screen, select Return to Menu and restart the recording process from the beginning.

If after having recorded the initiating details of the complaint it becomes apparent that the wrong category has been selected and confirmed, DO NOT close this complaint record and create a new one. Continue to track the complaint using the original record, and enter a brief explanation into the Notes text box using the Review Complaint menu option.

23.1.2 Complainant Details

- **AE number** - If the complaint category is not MOT test-related the AE number with whom the VTS was linked to at the time of the complaint must be entered.
- **VTS number** - If the complaint category is not MOT test-related the VTS number must be entered.
- **User radio button** - If the complainant is a known User of MOT Computerisation and has a User ID, select the User radio button and enter their User ID. If the person has a Person record within MOT Computerisation, but does not have a User ID (e.g. a person holding only the role of AEP will not hold a Smartcard and therefore will not have a User ID) search for their record using the Find Person function button.
- **New Member of Public radio button** - If the complainant is not a User of MOT Computerisation select the New Member of Public radio button, and enter their title, full name, address and available contact details.

23.1.3 Complaint Details (Record)

- **Area Office number** - Enter the Area Office number to which the complaint is to be assigned to. If the complaint is about an MOT test result, assign it to the Area Office which

covers the address of where the vehicle is. If the complaint is not about an MOT test result, assign it to the Area Office which covers the area that the specified VTS or the complainants address falls within. If the correct Area Office number cannot be confirmed enter your own Area Office number, then update the detail when the complaint details are reviewed.

If the complaint relates to MOT Scheme standards or policy, assign it to Area Office 24SL1.

- **Alert AO about complaint** - When the complaint is to be assigned to a different Area Office select Yes to ensure that an Alert Message is sent as notification.
- **Received on** - Enter the date that the complaint details were received at the Area Office.
- **Fee Due** - Select the **Yes** radio button if an Appeal fee is due. An Appeal fee will only be due if the complaint is about the issue of a VT30 following an MOT test within the last 14 working days and the complainant still requires a VT20.
- **Fee Amount and Fee paid on** - Record the Appeal fee amount, and the date the fee was received, if appropriate. The date of receipt can be recorded later if the due fee is not submitted with the initial complaint details.
- **Description box** - Enter brief text to describe the details of the complaint. Complete this box for all types of complaints.

If the complaint is about an MOT test, list the alleged defects, list other recent tests, specify if the vehicle has just recently been purchased etc. All the relevant information on the VT80 Complaint Form about the history of the vehicle since the MOT test needs to be entered, to provide a good background for the VE and assist with their assessment of the likely condition of a defect at the time of test.

Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail.

- **Vehicle Current Condition box** - Enter brief text to describe the condition of the vehicle if the complaint relates to an MOT test. Include details of any repairs that may have been undertaken and whether or not the vehicle is believed to be roadworthy. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail.
- **Address of where the Vehicle is now** - When the complaint refers to an MOT test and the vehicle is being kept at the complainants address which has already been entered, select the **Yes** radio button to enable MOT Computerisation to carry forward the address details once the complaint has been recorded. If the vehicle is being kept elsewhere, select

the **No** radio button and enter the address details.

- **Registration mark** - Enter the VRM of the vehicle (only if the complaint relates to an MOT test).
- **Site number** – If the correct test number is not known, enter the site number of the VTS where the MOT test took place, to search for the details, otherwise leave this field blank.
- **Test Number(s)** - If the complaint is about an MOT test enter the test number only of the test detailed by the complainant. Where the earlier system searches showed that other tests exist which may have relevance to the complaint and are within 3 months from the date of the complaint, these will be considered by the VE during his review/investigation and entered into MOT Computerisation later in the process if appropriate. Care must be taken to ensure the test numbers are entered correctly. Entering the test number will mark that test record as being subject to an Appeal, and will show up if a test history check is carried out.

Once all the information has been captured in MOT Computerisation select Record Complaint. The status of the complaint will automatically be set to LOGGED by the system.

23.2 Review Complaint

This process ([Review Complaint](#) see VOSA User Guide P2) is used to edit and enhance the details already recorded, associate further in scope tests and to update the status of a complaint. The function has no restriction on the number of times it can be accessed before a complaint's outcome is recorded.

23.2.1 Complaint Details

Use the Complaint Number to recall the record.

Note: Care must be taken when entering free text into any information box with regard to the DPA and FoI Act, and any possible allocation of disciplinary points must not be detailed at all. Unless previous details are specifically incorrect, none of the free text must be overwritten but can be added to, however the reviewer's initials must be entered at the end of the text.

- **Description box** – This free text box can be added to as required. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail.
- **Vehicle Current Condition** – This may be populated or updated by the reviewer following enquiries made of the complainant. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail.

- **Assigned to (User ID)** - Enter the User ID of the person that the complaint has been assigned to (e.g. the VE to inspect the vehicle, the SVE to review the details etc). Each time the details are passed to another person for consideration or action, this field should be updated with that person's User ID. In some AOs the complaint may be referred back to the MOT administrator for arranging any re-examination in which case their user ID will be entered.

If the complaint is to be passed to a different VOSA office this field can be left blank for completion by that office later on.

- **Assigned AO number** - If the complaint is being passed to a different Area Office enter the Area Office number (e.g. 18, 18SL2 etc.) in this field.
- **Revised Status** - The status will have been set to LOGGED by the system when the complaint was first recorded. If the complaint has been assigned to a person for review or investigation the status must be updated to ASSIGNED. If the complaint is being passed to a different VOSA office the status should remain at LOGGED.
- If the complaint has reached a conclusion see [23.4](#) Complaint Outcome for further details of entering the final outcome details. Note: Do not choose CLOSED, UPHELD or REJECTED until it is certain that no further action will take place with the complaint. Once these statuses are confirmed MOT Computerisation closes the complaint record and the complaint details can no longer be updated.

Complete the following fields if the complaint relates to the issue of a VT30 and they were not completed at the time of recording the initial complaint details.

- **Fee Due** - Select the **Yes** radio button if an Appeal fee is due. An Appeal fee will only be due if the complaint is about the issue of a VT30 and there has been no subsequent VT20 issued.
- **Fee Amount and Fee paid on** - Record the Appeal fee amount, and the date the fee was received, if appropriate. The date of receipt can be recorded later if the due fee is not submitted with the initial complaint details.
- **Fee Refunded** – Click the 'Yes' radio button if following review the appeal is out of time or a VT20 has already issued.

Complete the following fields for all complaints:

- **Type** - Select the appropriate radio button against this field ('**MOT19**' for a VT30 complaint, '**MOT19I**' for either a VT20 complaint or VT20 and VT30 Complaint, or '**Complaint only**').
- **Reason** - The person that the complaint has been

assigned to should enter a short note to explain why the complaint is either being progressed or closed. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail. **Note:** This text may be copied over to the Appeals Report available to VTS staff.

- **Address of where Vehicle is now** - Enter the address of where the vehicle is being kept (only if the complaint relates to an MOT test), if not already recorded.
- **Tests Associated to Complaint** -If the complaint is about an MOT test, the test number(s) referring to the MOT test(s) detailed by the complainant will already have been entered. Any other tests which exist that may have relevance to the complaint which have been included at the review stage must be entered using the Add Test Number function.
- **Add Tests to Complaint** - Enter the test number and select the Add Test Number button. Care must be taken to ensure the test numbers are entered correctly. Entering the test number will mark that test record as being subject to an Appeal, and will show up if a test history check is carried out. **Note:** PRS results will show two test numbers against a VT20 and VT30. It is important that both tests are considered as any VT30 defect, allegedly rectified, found during an MOT19i may suggest a corrupt test rather than a negligent one.

Once all the information has been captured in MOT Computerisation select Update Complaint.

23.3

Process Complaint

This function [Process Complaint](#) is covered in VOSA User Guide P3. The main screen mirrors the others, showing previously recorded data which can still be updated. The function also records pre and post inspection assessments as well as recording all communication details with non VOSA parties e.g. the complainant, host VTS and subject NT(s) and Manager(s) as well as accounting for fees paid to host VTS.

As such the function may be accessed a number of times by different roles. As an example an SVE reviewer may complete the 'In scope' fields (see below), ask the VE to carry out a preliminary assessment of the vehicle, the VE will suggest a host VTS and ask the MOT Administrator to arrange the MOT19i and contact the necessary parties. Following his MOT19i/19 inspection the VE is required to assess each of the associated tests against the re-examination record.

Note: As advised previously, it is important with a multi role, multi access record that all free text entries are signed off with the originator's initials (and date if this is relevant).

23.3.1 Complaint Details (Process)

Use the Complaint Number to recall the record.

- **Type** - The radio button against this field will show the selection made earlier, but may be amended if appropriate.
- **In Scope** – This may have already been completed by the reviewer as the outcome of their review consideration. If the complaint is about an MOT test, confirm whether or not it falls 'within scope' for being investigated. Select Yes if it falls within the guidelines of what VOSA will normally investigate e.g. test complaint within 3 months from date of test for corrosion related defects. Select No if the complaint falls outside of the guidelines that VOSA will normally investigate e.g. test complaint outside of 3 months from date of test for corrosion related defects. **Note:** A vehicle which will be re-examined outside the scope of the guidelines will still have 'No' entered in this field.
- **Assessment Action** - select the appropriate option in the drop down list: 'No further action', 'NFA but log for targeting' or 'Proceed with investigation'. If 'NFA' or 'NFA but log for Targeting' has been selected, the complaint must be passed back to the Area Office to enter the final outcome.
- **Reason** - The SVE/VE's reasons for either investigating or not progressing with an Appeal must be recorded, this is especially important if the vehicle is shown as 'No' against 'In scope' above but will be re-examined. The text entered previously from the Review Complaint screen should not be amended or deleted. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail. **Note:** This text is copied over to the Appeals Report available to VTS staff.
- **VTS Hired for Inspection** - If the vehicle is to be inspected, enter the site number of the host VTS.
- **Fee due for use of VTS** - select Yes to show the VTS will be submitting an invoice for payment for the use of their MOT test facilities.
- **Fee paid for use of VTS** - Enter the hire fee to be charged to VOSA by the VTS upon receipt of the invoice, but before the final outcome of the complaint is entered. Refer to section 31.2.6 – [Fees for use of VTS](#) regarding policy for paying a host VTS.
- **Investigation Code** - This is for a future development and must not be populated.
- **Follow Up Action** - This must be completed after any investigation, ideally by the VE but can be completed by

anyone in the process, copied from the VE's report. The drop down options are 'NFA', 'Advise' and 'Disciplinary action considered' and should reflect the worse case outcome if more than one test is being considered. This is a recommendation and not the overall complaint result, and can be changed.

- **Notes** - This section can accept 400 characters and should be used to enter the result details of a non test related investigation from an MOTDSA visit, any pre MOT19i inspection or any information revealed during a re-inspection. Examples could be threats, offers, vehicle bought back, vehicle burnt out, unable to contact NT or VTS, person withdrew complaint etc. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail.

23.3.1.1 Tests Associated to Complaint

- **Test Number Assess Code** – Upheld, Rejected or Closed **must** be selected against each test number detailed within the complaint to show the VE's assessment of whether the test result was correct at the time. **Note:** These assessments are copied over to the Appeals Report available to VTS staff therefore it is essential that they are correct before the overall result entry. If each test is not assessed the final complaint outcome cannot be recorded. Use of the three 'codes' is as follows:

Upheld means that an error was made during the MOT test. Disciplinary action may or may not be initiated, depending on the seriousness of the error.

Examples:

- Vehicle which was issued with a VT20 by the NT has defects which were present and detectable at the time of test.
- Vehicle which was issued with a VT30 by the NT has different defects which were present and detectable at the time of test.
- Vehicle which was issued with a VT30 by the NT has no defects which are of a failable standard.

Rejected means no fault was found or probably present and detectable at the time of test and the NT's decision was considered correct.

Examples:

- Vehicle which was issued with a VT20 by the NT has defects which may not have been present and/or detectable at the time of test (benefit of doubt).
- Vehicle which was issued with a VT30 by the NT has only the exact same failable defects confirmed by VE.

Closed shows that the MOT test was either not investigated or was investigated but repairs or tampering found at the re-examination did not allow the VE to make a considered assessment.

The above assessment codes are recorded against the individual test numbers, they can be changed, and are not the final outcome of the overall complaint.

Note: When the VE's report is ready for final decision, the AM/SVE must make clear their final recommendation for each test detailed within the complaint,. If they disagree with the VE's recommendation, the Test Number Assess Codes must be amended accordingly. Care must be taken when recording the final decision against the test numbers and selecting the correct status, since the MOT test record and the Appeals Report will be marked accordingly.

- **Assessment Text** - A short note explaining the decision made against each test number should be entered into this text box. Any proposed disciplinary points total must not be detailed. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail.
Note: This text is copied over to the Appeals Report available to VTS staff.

23.3.2 Communication History

This section shows **important** verbal communications made between all parties involved in the complaint. The log is generated from the 'New Communication' updates below:

23.3.3 New Communication

Any user who arranges a VTS for the re-examination, invites the NT and AEDM, and advises the complainant etc, must complete the history log whenever such communications are made. Only one entry can be made at any one time, which must be confirmed by selecting Update Complaint before other entries can be made. If other entries are to be made choose Process Another Complaint and return to the complaint.

- **Contact User ID** – Record the User ID of the person being contacted. If the person does not have a User ID, leave this field blank and enter their full name into the **Comments box**.
- **Recorded on** - Enter the date and time the communication took place.
- **Comments** - If the person being contacted does not have a User ID enter their full name into this text box. Enter brief details of the communication (e.g. the agreed date for the Appeal Inspection to take place) with any party involved in the

investigation. Ensure that the initials of the VE, or the VOSA person who made the communication, is entered immediately after the text to provide an audit trail.

When all appropriate details have been captured select Update Complaint.

The MOT Computerisation record should be printed and attached to the complaints papers for the AM/SVE's final review and decision.

When the NT and VTS fall within the enforcement boundaries of a different Area Office, forward all the papers to that office. The AM/SVE of that office will carry out the final review and enter the final decision.

23.4 Record Complaint Outcome

This function ([Record Complaint Outcome](#) see VOSA User Guide P4) should only be used after a final decision has been made regarding the overall outcome of the investigation, note; any disciplinary outcome is immaterial although the proposed course of action in this regard must be known. It should be either completed by the AM/SVE or an Admin officer acting on their instructions.

23.4.1 Complaint Details (Record Outcome)

Dependant on whether the complaint was investigated or not, and the ultimate decision made by the AM/SVE, the 'Revised Status' of a complaint could be:

CLOSED – Selecting CLOSED shows that the complaint was not investigated. See **Complaint not Investigated**, below.

REJECTED – Selecting REJECTED shows that the complaint, which may not necessarily have been MOT test related, was investigated and was found not to be valid. Refer to **Complaint Investigated**, below.

UPHELD – Selecting UPHELD shows that the complaint, which may not necessarily have been MOT test related, was investigated and was found to be valid. The AM/SVE may then decide that either an AWL is sent to the AE and/or NT, or to initiate disciplinary action. See **Complaint Investigated**, below.

23.4.1.1 Complaint not Investigated

- **Revised Status** (final)

Using the Enter Complaint Outcome menu option set the status to CLOSED in the Revised Status field, to show the

overall outcome. Do not confirm CLOSED status prior to the complainant being notified of the decision and it is certain that no further action will take place with the complaint. Once this state has been confirmed MOT Computerisation closes the complaint record and the complaint details can no longer be updated.

- **Outcome of Complaint** - Enter brief details of the decision to explain the outcome e.g. 'Repairs already carried out'. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail.
- File the complaint papers on the appropriate file.

23.4.1.2 Complaint Investigated

- **Revised Status** (final)

If the complaint investigation has reached a conclusion, the status can be updated to REJECTED or UPHELD, as appropriate.

REJECTED – This will be selected if the AM/SVE decides that no grounds exist to take the complaint further.

UPHELD – This will be selected if the AM/SVE decides that the complaint was justified. These complaints may then result in an AWL being sent to the AE and/or NT, or disciplinary action being initiated.

- **Outcome of Complaint** - Enter brief details of the decision to explain the outcome e.g. Disciplinary action initiated. Ensure the text is followed immediately by the initials of the person making the entry, to provide an audit trail. **Note:** Do not hold the complaint open to enter details of the outcome of disciplinary action and disciplinary points. This will be tracked separately using the EVENTS functionality.
- **Fee refunded** - If an MOT19 Appeal fee was paid, but then subsequently refunded, click the 'Yes' radio button.

When all appropriate details have been entered and the status updated to reflect the final decision, select **Record Outcome** to confirm the final details. **IMPORTANT:** This closes the complaint record and the complaint details can no longer be updated.