



# **COMPLAINTS POLICY, PROCEDURE & PROCESS**

## **POLICY**

The Training Trust is committed to providing the best possible service for staff and learners. As part of this commitment, the Training Trust takes seriously any complaint or representation our customers and clients have about our services.

## **PURPOSE**

The purpose of this document is to outline the procedure to follow when dealing with complaints made by any learners or employers with regard to any service offered by the Training Trust.

## **SCOPE**

The procedures outlined in this document cover complaints made by any customer availing of the services of the Training Trust.

## **RESPONSIBILITIES**

Where a complaint is made to a member of staff, it is that individual's responsibility to comply with these procedures.

If the complaint relates to a member of the Training Trust's staff it should be directed to their line manager in the first instance and it will be the line manager's responsibility to deal with it.

## **PROCEDURE**

Action to be taken in the event of a complaint will be dependant on the nature of the complaint. Complaints have been categorised in this procedure and the relevant forms should be completed and actioned appropriately.

## **COMPLAINTS REGARDING ASSESSMENT PROCEDURES**

Should a learner lodge a complaint with regard to an assessment decision the learner should be advised to take the following action:

If a learner is dissatisfied with an assessment decision, s/he has the right of appeal. There are four stages in the appeals procedure and each stage must be exhausted before proceeding to the next one.

The main reasons for an appeal are likely to be:

- ◆ The learner does not understand why s/he is not yet regarded as competent, due to lack of, or unclear, feedback from the assessor
- ◆ The learner believes s/he is competent and that the assessor has mis-judged her/him, or has missed or misinterpreted some evidence

### **Stage 1**

In the first instance, the learner should try to resolve the matter with their assessor

### **Stage 2**

If the learner's assessor cannot resolve the matter, it should be taken to the internal verifier. A Candidate Appeal Form (appendix 2) must be completed by the learner, clearly indicating the nature of the complaint, and sent to the internal verifier within ten working days of raising the complaint with their assessor.

Where reasonably possible, the internal quality assurer must respond within five working days of receiving the form. If the internal quality assurer is able to resolve the matter, s/he will complete the IQA Response Form (appendix 3).

### **Stage 3**

If the matter still cannot be resolved, it should be referred to the Centre Coordinator, who must, where reasonably possible, respond to the learner within ten working days of receiving the form. The Centre Coordinator will respond to the candidate in writing.

### **Stage 4**

Any unresolved disagreements will be taken to the Awarding Organisation. An investigation will be undertaken according to their procedures (usually by the external quality assurer). Their decision is final.

## **COMPLAINTS BY LEARNERS REGARDING WORK PLACEMENTS/EMPLOYERS/COLLEGE**

Should a learner lodge a formal complaint regarding their work placement, employer or college the following actions should be taken:

- In the first instance, the learner should try to resolve the matter through discussions with their Liaison Officer
- If not resolved, the complaint to be logged and detailed on a complaints form (see Appendix 1 – Complaints Form)
- Liaison Officer to discuss complaint with their line manager prior to taking appropriate action.
- The assigned Liaison Officer to investigate the complaint verbally within 3 working days of receiving the complaint.
- Action to be taken to resolve the complaint will obviously be dependant upon the specific nature of the complaint; however, it is important that action taken is recorded on the complaints form. On completion of the complaints form the original to be given to Mark Durham – Chief Executive with a copy put in the learner’s file.
- All complaints must be investigated and resolved within 7 working days of the complaint being lodged.
- Should any complaint be unresolved after all routes have been exhausted and the learner decides to leave their work placement or be dismissed, the Training Trust will support him/her to secure a new placement.
- Should any complaint fail to be resolved following this route, the complainant will have the right to appeal to the Chief Executive – Mark Durham with regard to the decision made by the Liaison Officer or the Quality & Business Improvement Manager.
- Any appeals must be made to Mark Durham in writing within 2 weeks of the final outcome being decided by the Liaison Officer or the Quality & Business Improvement Manager.

## **COMPLAINTS BY EMPLOYERS OR COLLEGE REGARDING LEARNERS**

Learners will be expected to adhere to employer’s and college’s disciplinary procedures. In cases of dispute concerning poor discipline, the Training Trust will fully investigate the issue with an aim to mediate and resolve the matter swiftly. Should, however, an employer or college bring a complaint to the attention of the Training Trust and seek assistance in resolving a disciplinary matter, the following procedure will be adopted:

- In the first instance, the employer or college staff should try to resolve the matter with the individual
- If not resolved, the complaint should be directed to the Liaison Officer who will to log details on Complaints form (Appendix 1).

- Liaison Officer to contact Learner within 3 days of complaint being lodged to discuss the matter.
- The Training Trust to act as mediator between employer/college staff and Learner in order to attempt to resolve the complaint.
- Actions taken to resolve the complaint to be recorded on Complaints forms.
- Original complaints form to be given to Mark Durham – Chief Executive for monitoring purposes with copies filed in Learner files.
- Should any dispute still be unresolved after intervention from the Training Trust and the Learner decides to leave the training scheme or be dismissed by the employer, the Training Trust will support the individual to find an alternative work placement.
- Should any complaint fail to be resolved following this route, the complainant will have the right to appeal to the Chief Executive - Mark Durham with regard to the decision made by the Liaison Officer or the Quality & Business Improvement Manager.
- Any appeals must be made to Mark Durham in writing within 2 weeks of the final outcome being decided by the Liaison Officer or the Quality & Business Improvement Manager.

#### **GENERAL COMPLAINTS ABOUT THE TRAINING TRUST SERVICE**

- Complaint to be detailed on Complaints Form and passed to a member of the Senior Management Team for action.
- Senior Manager to discuss the matter with the complainant within 24 hours of the complaint being lodged.
- Matter to be discussed with individual concerned (if the complaint is about a member of staff) or sub-contractor.
- If the complaint concerns the manner in which an employer or learner have been treated by a sub-contractor, then the Quality & Business Improvement Manager will discuss the issue with the sub-contractor in order to reach a satisfactory solution.
- If the complaint concerns the manner in which an employer or learner have been treated by a member of the Training Trust staff, or concerns the quality of service received from the Training Trust this matter will be taken up by a member of the Senior Management Team and will be actioned within 3 days of receipt of the complaint. All possible actions will be taken to resolve the issue, should it prove necessary, disciplinary procedures may be activated.
- Feedback will be given to the complainant on actions taken to resolve the complaint and the decisions made.
- Should any complaint fail to be resolved following this route, the complainant will have the right to appeal to the Chief Executive – Mark Durham with regard to the decision made by the member of staff.
- Any appeals must be made to Mark Durham in writing within 2 weeks of the final outcome being decided by the member of staff.
- Original complaint form to be given to Mark Durham – Chief Executive for monitoring purposes with a copy filed in the learner's file.

- All complaints if not resolved, are to be directed to the Board of Trustees.

### **MONITORING AND EVALUATION OF COMPLAINTS**

Complaints received will be logged and closely monitored by the Senior Management Team at monthly meetings. If necessary, action plans will be put into place if a pattern arises of frequent common complaints. As a result of evaluating complaints it may be necessary for the Training Trust to revise certain policies and procedures to reflect the nature of recurrent complaints.

**TRAINING TRUST**

**COMPLAINT FORM**

This form to be completed if you wish a formal complaint to be lodged against a service offered by the Training Trust or with regard to an individual employed for or on behalf of the Training Trust. You will receive a response within 3 days of receipt of this complaint.

Completed forms to be returned to: **The Training Trust, Commercial House, 406 – 410 Eastern Avenue, Gants Hill, Ilford, Essex IG2 6NQ**

Is the nature of your complaint in connection with:

Service  Member of Staff  Employer  College

**Please tick appropriate box**

Please give details of the complaint:

Has any previous action been taken to deal with the complaint, please detail:

Have you spoken to a member of the Training Trust staff regarding your complaint? Yes  No  If yes, please detail:

Member of staff you spoke to .....

Date of discussion .....

What was the outcome of your discussion? .....

What do you feel would be a satisfactory outcome to your complaint?

Please sign and date:

**Name:** ..... **Date** .....

**Signature** .....

**THIS SECTION TO BE COMPLETED BY THE TRAINING TRUST.**

Date complaint received .....

Complaint received by .....

Action Taken in the first instance:



Details of any further action taken:

Outcome of investigation:

Was the complainant satisfied with the outcome? Yes  No

Signed for and on behalf of the Training Trust

.....

Print Name

.....

Date

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**Original to be given to Mark Durham – Chief Executive and a copy to be placed on learner’s file if applicable.**

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**CANDIDATE APPEAL FORM**

Please complete the form below, giving as much detail as possible. The form should be sent to your Internal Quality Assurer, who will aim to respond to you within 5 days of receiving this form.

Learners name:	Date:
Assessor name:	Internal Quality Assurer name:
Please give full details of your complaint below	

Learner signature:
Date:

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**INTERNAL QUALITY ASSURER RESPONSE FORM**

Internal Quality Assurer name:	Learner name:
Date appeal form received:	Date of response:
Please give full details of response, and any action taken, below	
IQA signature:	

Learner to delete as applicable, and sign below

I am satisfied with the IQA's response and feel that my appeal has been dealt with appropriately	
I am not satisfied with the IQA's response, for the following reasons, and would like my appeal to be referred to the Centre Coordinator	
Signed:	Date: