



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 any of our services.

PURPOSE

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

SCOPE

The procedures outlined in this document cover complaints made by any customer using the services of the Training Trust and will include services delivered by any subcontractor pertaining to the Training Trust. All subcontractors have their own complaints procedure and complainants are advised to access this together with this process.

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.

If a complaint is with any member of the Senior Management Team, the Chief Executive will be responsible to resolve the complaint. The Chief Executive has the right to escalate any complaint to the Trustees for resolution if it is deemed necessary.

If the complaint is with the Chief Executive, other members of the Senior Management Team will be responsible to investigate and resolve the complaint if possible. They have the option to direct the complaint to the Trustees if it is deemed appropriate.

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 regarding an assessment decision the learner should be advised to take the following action:

If a learner is dissatisfied with an assessment decision, they have 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 they are not yet regarded as competent, due to lack of, or unclear, feedback from the assessor
- ◆ The learner believes they are competent and that the assessor has misjudged them, or has missed or misinterpreted some evidence

Stage 1

In the first instance, the learner should try to resolve the matter with their assessor, this can resolve most complaints quickly.

Stage 2

If the learner's assessor cannot resolve the matter, it should be taken to the Internal Quality Assurer. A candidate appeal form (appendix 2) must be completed by the learner, clearly indicating the nature of the complaint, and sent to the Internal Quality Assurer 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 can resolve the matter, they 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 or EPAO. An investigation will be undertaken according to their procedures. 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 before 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 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 is to be given to Mark Durham, Chief Executive with a copy put in the learner's file.
- All complaints must be investigated and resolved (if practicable) 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 them, as far as reasonably possible, 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, regarding 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 full weeks** of the final outcome being decided by the Liaison Officer or the Quality & Business Improvement Manager.
- Any appeal received **after** the **2 week** deadline will not be considered, and no further correspondence will be entered into. This will be recorded within the relevant complaint documentation.

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 log details on the 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 the 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.
- Any appeal received **after** the **2 week** deadline will not be considered and no further correspondence will be entered into. This will be recorded within the relevant complaint documentation.

GENERAL COMPLAINTS ABOUT THE TRAINING TRUST SERVICE

- Complaint to be detailed on the 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 the individual concerned (if the complaint is about a member of staff) or sub-contractor.
- If the complaint concerns how 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 how 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.
- Any appeal received **after** the **2 week** deadline will not be considered and no further correspondence will be entered into. This will be recorded within the relevant complaint documentation.
- 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, can 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 is 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, Unit 6 Bourne Court, Southend Rd Woodford Green IG8 8HD (or emailed direct to: markdurham@trainingtrust.org.uk)**

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
.....

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

TRAINING TRUST

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:

TRAINING TRUST

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: