

AS TRAINING SERVICES LIMITED

COMPLAINTS AND APPEALS PROCEDURE

What is a complaint?

AS Training Services welcomes stakeholder comments, compliments, concerns, and complaints as they help us to improve and ensure we best serve other's needs.

Receiving feedback when people feel we have performed well (compliments), when people feel we can improve (comments) and when people feel we haven't done something well (concerns and complaints) will help us to continue to learn, develop and improve the services we deliver.

A concern can be viewed as 'an expression of worry or doubt over an issue considered to be important for which reassurances are sought'.

A complaint can be defined as 'an expression of dissatisfaction however made, about actions taken or a lack of action'. [Best Practice Advice for School Complaints Procedures 2016, Department for Education].

Certain complaints fall outside the remit of this policy (e.g., staff grievances) and there are other policies and procedures that may be accessed in such circumstances (e.g., the Grievance Procedure). Any person, including members of the public, may make a complaint about any provision of facilities or services that the AS Training Services provide, unless separate statutory procedures apply

AS Training Services takes any form of concern or complaint very seriously and endeavours to resolve concerns and complaints informally, swiftly, and discreetly wherever possible. However, formal complaints are managed via the formal complaints processes detailed within this procedure. Formal procedures will be followed when initial attempts to resolve an issue are unsuccessful and the complainant remains dissatisfied and wishes to take the matter further.

The aim of this policy and procedure is to:

- Encourage resolution of concerns/complaints informally wherever possible
- Be easily accessible and publicised via AS Training Services website
- Be simple to understand and use
- Be impartial and non-adversarial
- Allow swift handling with established time frames for action, ensuring complainants are informed of progress
- Ensure a full and fair investigation is undertaken by an independent person where necessary
- Respect people's desire for confidentiality, sharing information on a need-to-know basis discreetly, respectfully, and professionally

Version 1.1

Published on 24/11/14
Previous Review dates: - Nov 17,
Nov 18, Nov 19, Nov 20
Latest Review : - Jan 21
Next Review : - Nov 22

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- Address all points raised and provide an effective response and appropriate redress where necessary

Roles and Responsibilities

The Managing Director (Andrew Start) is responsible for ensuring there is a consistent approach to managing and resolving concerns and complaints across AS Training Services that adheres to legal and statutory requirements.

How to raise a complaint?

1. All complaints, whether orally or in writing, should be made to the individual's line manager and/or Director. A record will be kept by the relevant manager of all correspondence, conversations, responses, and action taken. It is hoped that the matter will be resolved satisfactorily between the parties involved. If appropriate, AS Training Services may call upon the services of a suitably experienced and impartial arbitrator.
2. If the matter cannot be resolved informally, then complaints or grievances must be directed, if they haven't already been, in writing to the Director. A record will be kept of all correspondence, responses and action taken. The Director will send a reply to the complainant on the same day as the complaint is received. The reply may be in the form of a holding email, allowing further time to investigate the complaint. After the complaint is investigated, a response will be sent acknowledging the complaint and presenting a solution where possible.
3. Any further information given will be considered and a final formal response given **within 14 working days** of the formal complaint being received.
4. If the complaint or grievance cannot be successfully resolved at Stage 2, parties may make a formal representation in writing to:

AS Training Services Limited
Andrew Start, Managing Director
18/19 Albion Street
Hull
HU1 3TG
andy@astrainingservices.co.uk
07736466295

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Apprentice Complaints and Appeals Procedures

Stage 1

Learner requests informal discussion with his/her assessor to discuss the basis of dissatisfaction. If the learner feels based on this discussion that he/she wishes to pursue a formal appeal against an assessment decision, the assessor / trainer will inform the learner of the procedure to be adopted.

Stage 2

The learner submits a formal written request for re-assessment to the Internal Quality Assurance for the programme. This should clearly indicate the learner's reasons for making the request.

Stage 3

The Internal Quality Assurance will review the evidence presented by the learner to determine whether to recommend that assessment by another assessor / trainer should take place. The Internal Quality Assurance will notify the learner of this decision within five working days of receiving the written request. The learner may at this stage decide whether to proceed with re-assessment.

Stage 4

In arranging for the learner's work to be re-assessed, the Internal Quality Assurance will arrange for this to be undertaken "blind" by another assessor / trainer who will not be aware of the previous assessor's / trainer's decision or the specific points which have given rise to the re-assessment.

Stage 5

The Internal Quality Assurance will review the second assessment decision **within 6 working days** of the decision being made and, if in agreement with the second assessor / trainer will confirm the result to the learner. If the Internal Quality Assurance is not in agreement with the second assessor's / trainer's assessment, the evidence and the comments of both assessors / trainers and the Internal Quality Assurance shall be passed to the External Quality Assurance for a decision. Learners shall be kept informed at each stage of the progress of their appeal. Awarding bodies are required by the NVQ Code of Practice to publish information on its appeals arrangements.

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COMPLAINTS PROCEDURE

- Learners have a right to complain against unreasonable or discriminatory actions of associates.
- Complaints must be notified in writing to the Internal Quality Assurance within ten working days of the incident.
- If the Internal Quality Assurance cannot resolve to the problem satisfactorily with the learner, she/he may refer the matter to AS Training Services Limited Quality Manager.
- If this step does not resolve the matter, the complaint may be referred to The External Quality Assurance at the relevant Awarding Body.
- Learner must follow the steps outlined above.

I have read and understand the complaints and appeals procedure:

Learner Name: _____ Signature: _____ Date: _____

Assessor / Trainer Name: _____ Signature: _____ Date: _____

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