

*“Training improvement skills for life”*

Approved by: Anil Mathew

Date: 22<sup>nd</sup> June 2021

Review Date: 22<sup>nd</sup> June 2022

Signature:

A handwritten signature in blue ink that reads "Anil Mathew".

## Purpose

This policy outlines the Lean Enabled Group Ltd (LEG) commitment to high standards of service in all its operations. To that end, it actively encourages all stakeholders to inform LEG authorities when the standard of service they receive is not what they expect (either positively or negatively).

## Contents

1. Policy Statement
2. Scope
3. Application
4. GDPR and Subject Access Request
5. Complaint Reporting
6. References
7. Change History

## Policy Statement

Lean Enabled Ltd is committed to providing the best possible service for all of its learners (and for visitors and partners). We do however acknowledge that learners can at times feel dissatisfied and are entitled to have their concerns listened to and addressed. In such cases, LEG wishes to respond quickly and effectively.

Normally, learners are invited to raise their concerns in the first instance with the appropriate Training Coach, as a complaint can often be resolved quickly and simply in this way. However, if learners are not satisfied with the response, or do not wish to use this route, they may make a formal complaint instead.

LEG is also committed to recognising when things are working well. For this reason, this policy also covers compliments, which highlight staff, or practices that can help the organisation share best practice.

## Scope

This procedure applies to all learners, employers, parents and other customers. The responsibilities, procedure and appeals process outlined here will apply to all types of provision.

The policy and procedure does not cover the following situations for which there are separate procedures:

- Representations by learners against decisions made in assessment and examinations
- Complaints by a member of staff against another member of staff
- Complaint by a member of staff relating to working conditions

*“Training improvement skills for life”*

## Application

These procedures are primarily for the use of all learners (or their parents or guardians) of LEG. In addition, any visitors or partners who work with LEG may also use them. In most circumstances, any staff wishing to initiate a complaint should use other, appropriate Human Resource procedures.

Procedure for Formal Complaints		
Step	Process	Who
1.	If a learner, their parent or guardian, visitor or partner wishes to make a formal complaint, comment or compliment, they can complete either an email or complete a CCC form. Learners, their parents or guardians, visitors or partners may also submit a complaint, comment or compliment by letter. The complaint should be addressed to the Complaints, Comments and Compliments (CCC)	Learner/ parent or guardian/ visitor/ partner making a formal complaint, comment or compliment
2.	All formal complaints (including any sent by letter, email or via phone call) are logged by the LEG Administrator, and then sent to the Chief Operating Officer (COO) for further action. This will include sending a standard acknowledgement/holding email to the complainant. Complaints addressed to the Head of Quality and Compliance are similarly logged and passed to the COO.	Chief Operating Officer LEG Administrator
3.	The LEG Administrator will send an acknowledgement email to the complainant within five working days. Any complainants who specifically request the full CCC Policy should also be sent this document. If a complaint has been submitted via email in the first instance, the LEG Administrator can confirm receipt of the complaint via email instead of a letter, and continue corresponding with the complainant via email, if this is the complainant's preference.	Chief Operating Officer LEG Administrator
4.	A copy of the customer's complaint form/letter/ email/phone transcript, and any previous information pertaining to the complaint will be sent by the LEG Administrator to be investigated and resolved by the Chief Operating Officer.	Chief Operating Officer LEG Administrator
5.	Upon receipt of the complaint, the Chief Operating Officer will respond to acknowledge that they will be investigating the complaint. They may request to interview the relevant parties as appropriate and examine any evidence (including student records data, email communications, or other written records, as appropriate to the complaint). The investigator will also review any systems relevant to the complaint.	Chief Operating Officer

*“Training improvement skills for life”*

<p><b>6.</b></p>	<p>The investigator might require access to sensitive personal data (under the Data Protection Act and GDPR compliance) in order to arrive at a sound conclusion. The investigator will handle such information with due regard to its sensitivity, only sharing it with any others who need to know it as part of the investigation. The complainant submitting a formal complaint should be aware that the above information will be made available under these conditions as part of an investigation.</p>	<p>Chief Operating Officer</p>
<p><b>7.</b></p>	<p>The investigator will endeavour to complete the investigation within 15 working days, and then issue a letter (or email if preferred) to the complainant, which summarises the conclusions or outcomes. This letter/email should also state that the investigation is both complete and now regarded as closed (using the wording in the sample letter/email). Note - If the investigation is found to be taking longer to complete, the investigator must send an interim letter or email to the complainant, summarising progress and ongoing action, within the said 15 working days. Copies of written responses must also be sent to LEG Administrator to inform the tracking process.</p>	<p>Chief Operating Officer</p>
<p><b>8.</b></p>	<p>If the complainant still regards the matter as unresolved, but presents no information meriting further investigation, the investigator then writes to advise the complainant of how to appeal (see sample letter/email).</p>	<p>Chief Operating Officer</p>
<p><b>9.</b></p>	<p>At the conclusion of the complaint, the investigator will return their report to the LEG Administrator, together with all other documentation relevant to the investigation. The LEG Administrator will retain all documentation relating to the complaint, such that it can be easily retrieved if required for an Appeal. The LEG Administrator reviews the returned documentation and, if complete, sends this to the Chief Operating Officer to be signed off.</p>	<p>Chief Operating Officer LEG Administrator</p>
<p><b>Appeals</b></p>		
<p><b>10.</b></p>	<p>The complainant may appeal against a decision if they regard the complaint as still unresolved. The complainant should appeal in writing to the LEG Administrator within 15 working days from the date that the final response was sent by LEG. The letter/email/phone call of appeal must indicate what the complainant’s reasons are for appealing against the investigator’s conclusions.</p>	<p>LEG Administrator</p>

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<p><b>11.</b></p>	<p>The Chief Operating Officer will review the documentation, via an appeals panel or the ELT. This review will consider whether or not the investigation has been fair, sufficiently thorough, and proportionate in its judgements. It will not involve a re-hearing of the complaint, nor a meeting with the complainant unless the investigation is found to have been unsatisfactory and further investigatory work is required.</p>	<p>Chief Operating Officer</p>
<p><b>12.</b></p>	<p>The decision of the Chief Operating Officer/ investigator/appeals panel will be sent to the complainant within 15 working days, and copied to the LEG Administrator. This decision will be final</p>	<p>Chief Operating Officer LEG Administrator</p>
<p><b>13.</b></p>	<p>If the complainant is still dissatisfied, they can write to the Education and Skills Funding Agency. This should only be done after all stages of the LEG’s complaints and subsequent appeals processes have been exhausted. For Higher Education students, who are dissatisfied with the outcome of their complaint and have exhausted their institution's complaint process, options are available to seek resolution through further levels of investigation. For service related complaints please contact the Office of the Independent Adjudicator (OIA). For quality of learning complaints, please contact the relevant Higher Education establishment and follow their procedure.</p>	
<p><b>Compliments</b></p>		
<p><b>14.</b></p>	<p>Any compliments received verbally may be logged and, together with those received by letter, email or phone call should be forwarded to the LEG Administrator. Details of compliments will be shared with relevant members of staff.</p>	<p>LEG Administrator</p>

## GPDR and Subject Access Request

During the course of an investigation, a complainant may make a subject access request, which may involve requiring LEG to provide all digital information, and correspondence that relates to their name and online profile with LEG. This may include all VLE records and email correspondence that name the complainant. It may also include any correspondence that names the complainant during the course of the complaint and or appeal itself.

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## Complaint Reporting

A complaint report will be prepared annually to review complaint trends by cause, site, ethnicity and disability. The complaint report will also be submitted to the Executive Leadership Team at the end of each academic year for consideration.

Improvement measures recommended by the investigator will be shared by the investigator with the relevant staff, for action and/or to feed their self-assessment process.

## References

N/a

## Change History

Original Version #	Date changed	New version #	Update detail
n/a	22/06/21	POL: LEG 004.0	New policy – no previous version