



EMPENTIS

TRAINING SOLUTIONS

Complaints Procedure

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A complaint is an expression of concern or dissatisfaction with the services provided or actions taken by the training provider. This procedure applies to all apprentices and employers. Where a contract exists between the College and another party, the terms of the contract will apply following the informal stage. Complaints should be handled in a professional non-confrontational manner.

1. Informal Approach to resolving complaints

- 1.1. Talk through the issue with the appropriate member of staff to find an informal way to resolve the problem, within 10 working days of the action or loss of service that you feel has adversely impacted on you.
- 1.2. Appropriate members of staff:
 - a. Quality Assurance Manager
 - b. Lead Trainer
 - c. Trainer/Assessor
 - d. Examinations and Administration Manager
 - e. Business Development Manager – for employer complaints
 - f. Where a contract with the training provider exists, the named person in the contract.

They can be contacted through the contact number within this policy. The member of staff contacted will normally respond within 2 working days and will inform the Quality Assurance Manager of the informal complaint and their response to it.

2. Formal Approach

- 2.1. If the informal approach does not resolve the matter, you may make a formal complaint, which should be in writing, using the complaints form attached and addressed to the Quality Assurance Manager. Alternative formats and methods of complaints will be accepted, but if you have not followed the informal approach the training provider reserves the right to instigate this and treat your complaint informally in the first instance. Assistance regarding how to make a complaint can be found through our Quality Assurance Manager.
- 2.2. A formal complaint must be made within 15 working days of the action or loss of service that you feel has adversely affected the quality of your learning opportunity / service.

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2.3. The Quality Assurance Manager and/or the Director will take the role as the investigating manager for the complaint.

On receipt of a formal, written complaint:

Within 2 working days	The Quality Assurance Manager will acknowledge receipt of the formal complaint to the complainant (and forward a copy to the assigned investigating manager)
Within 10 working days	The investigator will conclude the investigation and send the training providers detailed response to the complainant. If it is not possible to conclude within 10 days the investigator will send the complainant an indication of how the complaint is being addressed and when they will receive a detailed response.

Copies of all correspondence relating to the complaint should be forwarded to the Quality Assurance Manager to file on the complaints record.

3. Appeal against the outcome of a formal written complaint

- 3.1. If the complainant is not satisfied with the substantive response to their complaint they have the option to make an Appeal. If they wish to do this they should write to the Director stating that they are unhappy with the outcome, outlining the reasons for appeal and what they will consider as an alternative outcome. This should be done within 30 days of the formal written response being sent to the complainant.
- 3.2. The Director will then review the complaint, including any investigation to date.
- 3.3. They may also carry out further investigations on the complainants behalf. In any event, they will seek to resolve the issues involved and issue a written response within 10 working days of receipt of the appeal letter

4. Taking a Complaint Further

- 4.1. If, when the internal formal complaints procedure has been exhausted, the complainant remains dissatisfied they may have grounds to complain to the Education Skills Funding Agency (ESFA).

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5. Time Periods

- 5.1. The time periods as set out in this procedure are for guidance and may be subject to extension, particularly outside academic terms. Where any such extensions are made, they will be notified to the complainant in writing. Where there is a formal contract, the timescales will be in accordance with the contract.

6. Monitoring and Reporting

- 6.1. The Quality Assurance Manager will ensure that adequate records are maintained of the complaints handling process.
- 6.2. The Quality Assurance Manager will produce an annual report of complaints received to include the outcome of investigation, lessons learned and actions taken. The annual report will be submitted to the Director.

7. Review of Procedure

- 7.1. This procedure will be reviewed annually by the Director.

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ESFA Details

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