



## Complaints Policy and Procedures

<b>Document Ref.</b>	<b>HRP007</b>
<b>Version:</b>	<b>9</b>
<b>Dated:</b>	<b>21 March 2022</b>
<b>Document Author:</b>	<b>Nick Yoxall</b>
<b>Document Owner:</b>	<b>Nick Yoxall</b>

## Revision History


Planned Review Date
30 <sup>th</sup> June 2022

Version	Date	Revision Author	Summary of Changes
2	26 March 2019	E Proctor	Updated email address, format, included Scope
3	22 August 2019	A Volante	Update to include - This policy is applied to all aspects of the delivery of ESF projects
4	16 September 19	E Proctor	Updated responsibilities
5	7 November 19	A Volante	Amendment to Document Reference
6	27 November 19	E Proctor	Included learners can complaint to the relevant awarding organisation if unsatisfied with centre procedures.
7	22/11/2020	N Yoxall	Policy Review
8	31/03/2021	K Baker	Review and Links to wider Policy
9	21/03/2022	K Baker	Annual Review – Updated Job Titles and minor formatting issues. <i>Action – whole policy to be revised to align across ESS following SMT and Departmental restructure - Working Party to be set up.</i>

## Distribution

Name	Title
All Employees	Complaints Policy & Procedure
All Learners	Complaints Policy & Procedure
All Employers	Complaints Policy & Procedure
All Stakeholders and relevant parties	Complaints Policy & Procedure

## Approval

Name	Position	Signature	Date
Catherine Storer	Managing Director		21/03/2022

### See also Related Policies.

- Appeals Policy and Procedures
- Complaints Policy and Procedure
- Distance Learning and Blended Learning Policy
- Internal Verification and Assessment Policy & Procedure
- Learner and Apprentice Privacy Policy
- Quality Assurance Policy
- Recognising and Recording Progress and Achievement (RARPA) Policy
- Recognition of Prior Learning (RPL), Initial Assessment & Exemption's Procedure
- Reasonable Adjustments and Special Considerations Policy

- Teaching, Learning and Assessment Policy

Table of Contents

<b>1</b>	<b>INTRODUCTION .....</b>	<b>4</b>
<b>2</b>	<b>PURPOSE .....</b>	<b>4</b>
<b>3</b>	<b>SCOPE.....</b>	<b>4</b>
<b>4</b>	<b>OBJECTIVES .....</b>	<b>4</b>
<b>1.</b>	<b>MONITORING .....</b>	<b>5</b>
<b>2.</b>	<b>PROCESS.....</b>	<b>5</b>
<b>5</b>	<b>CONTACT US.....</b>	<b>6</b>



## 1.1 Introduction

Essential Site Skills Ltd (ESS) are confident of providing a high-quality service and would be extremely disappointed if this is not the case. Therefore, it is important should you feel you have encountered a level of service that is below both yours and our expectations that you raise any concerns you may have with us immediately so that we may address them.

## 1.2 Purpose

To ensure complaints received from employers, parents, carers, learners and staff or anyone dealing with Essential Site Skills Ltd (ESS) will be investigated, managed efficiently and responded to in a timely manner.

## 1.3 Scope

This procedure relates to employers, parents, carers, learners and staff or anyone dealing with ESS from either minor or serious complaints to resolution.

## 1.4 Objectives

*All staff are responsible for:*

- Passing the complaint to the Head of Quality & Curriculum or Senior Management Team (SMT) where the complaint cannot be resolved by the member of staff or the member of staff's line manager.
- All complaints, other than minor complaints must be referred to the Head of Quality & Curriculum or Senior Management Team (SMT), even if dealt with by the recipient. This is to ensure that they are logged centrally and can be considered in any improvement plan, or procedural change.
- Where the complaint is received by telephone, the complainant is treated in a courteous and professional manner and escalated to a member of the senior management team if appropriate.
- All complaints must be logged in the complaints log held with the Managing Director

*The senior management team are responsible for:*

- Recording elevated complaints on an elevated complaint record log.
- Recording the complaint on the complaints log held with the Head of Quality & Curriculum or Senior Management Team (SMT)
- Keeping the elevated complaints record up to date with progress of the complaint investigation.
- Liaising with the management team where the complaint relates to their area of responsibility.
- Providing a formal response to the complainant if required.
- Reviewing the complaint log to identify any service improvement opportunities.
- Investigating and ensuring implementation of any post-complaint service improvement initiatives and/or corrective actions, where appropriate.
- Providing a report and copies of the complaint correspondence to the Directors, for complaints escalated to them.

*Managing Director or Executive Director (if complaint relates to MD) is responsible for:*

- Investigating complaints escalated to them and inviting the complainant to discuss their complaint.

## 1.5 Monitoring

Monitoring the implementation of the process is as follows:

*The Head of Quality & Curriculum or Senior Management Team (SMT) member will check that:*

- A complaint record has been created and progress of the complaint investigation is fully documented.
- The complaint log has been updated.
- Responses have been provided in the defined timescales.
- Any subsequent service improvement or corrective actions have been considered and implemented where necessary.

The Senior Management team reviews complaints on a quarterly basis as part of their monthly management meetings.

## 1.6 Process

In all cases, it is the responsibility of the individual who the complaint is made to, to offer advice and guidance. All ESS staff are to familiarise themselves with the complaints procedure and have a basic understanding of how to deal with a complaint. The following ESS personnel have the following responsibilities in logging and dealing with a complaint:

*Any member of staff receiving a complaint by email/letter/phone/in person:*

- Once a complaint is made it is to be dealt with at the lowest level if possible but must still be recorded. All staff are to be made aware of their responsibilities and how to deal with a complaint annually at team meetings.
- Line managers are to deal with minor complaints if possible, however minor complaints are logged in the complaint log held with the Managing Director.
- Any major complaint must be passed on to the Head of Quality & Curriculum or Senior Management Team (SMT) who will then take the complaint further if required, again all complaints are logged.
- Once a major complaint has been made it must be logged and followed through to a conclusion.
- A Complaint record form must be filled in and a complaints number attached to the form for the Head of Quality & Curriculum or Senior Management Team (SMT).
- A response to the complainant will be written within 48 hours of receiving the complaint.
- The Head of Quality & Curriculum or Senior Management Team (SMT) will then investigate the complaint and send a written response to the complainer and a copy held on file.

If the complainant is still not satisfied, the Managing Director will investigate the complaint.

- The appropriate Director will investigate the complaint and will respond to the complainant within 5 working days of the complaint being made.
- If it is still not resolved the complaint will be escalated on appeal to Executive Director level.
- The Executive Director will invite the complainant in to discuss the complaint within a further 5 days of the complaint being made.
- All major complaints will be recorded and dealt with at this level if appropriate.

If a complainant is still not satisfied with the outcome of their complaint after following the procedure as set out above. They can escalate to the appropriate awarding organisation of which their qualification is registered or regulatory body who oversees their programme – this is all included within the Induction to programme.

Essential Site Skills will provide any further information to enable them to submit their complaint to the relevant party.

**Complaints will be handled:**

Confidentially  
Fairly  
Promptly

**Staff will endeavour to:**

Be courteous to the complainant  
Respond positively  
Offer constructive solutions

**Formal written complaints will be:**

Recorded  
Acknowledged within 48 hours  
Notified to Senior Management Team

**The complaints procedure will be:**

Publicly displayed on Essential Site Skills Website  
Reviewed and evaluated periodically as per our Quality Assurance Procedure

## 1.7 Contact Us

Office Number: 0115 8970 529

Email: [complaints@essentialsiteskills.com](mailto:complaints@essentialsiteskills.com)

Address: Managing Director  
Essential Site Skills Ltd  
Monarch House  
Chrysalis Way  
Eastwood  
Nottingham  
NG16 3RY

This policy is applied to all aspects of the delivery of ESF projects.

## 1.8 Complaints Form

### COMPLAINT OF UNFAIR TREATMENT FORM

For your complaint to be investigated you must include your full name  
**(Essential Site Skills are not able to investigate anonymous or malicious complaints)**

#### Guidance on completing the form:

1. Please complete Parts A & B
2. Form to be returned by Complainant to [complaints@essentialsiteskills.com](mailto:complaints@essentialsiteskills.com)
3. Head of Quality & Curriculum to forward complaints form to appropriate staff member responsible for relevant department for action.

#### What happens next?

4. You will be contacted about your complaint by an appropriate person
5. Parts C & D to be completed by appropriate staff member dealing with the complaint
6. Form will be filed electronically at Essential Site Skills Head Office

PART A	
Full Name of person making complaint:	
Contact details (Telephone number or e-mail):	
If a current learner state ESS Staff Name:	
Learner name (If different):	

PART B
<b>WHAT IS YOUR COMPLAINT (Attach more information to this form if you wish or require more space)</b>

#### For Office Use Only:

Date Complaint Received:	
Date Forwarded to appropriate person within ESS:	

Acknowledgement given to person making complaint and date:  (Please specify Verbal / Written)	
---	--

Name of person investigating complaint:	
---	--

**A copy of this document (Parts A & B) must be forwarded to the Head of Quality & Curriculum.**



Complaints Procedures

---

PART C ACTION TAKEN & RESPONSE LOGGED (please complete additional sheet if required)		
Date	Action or Response Given	Action Taken By (Name)

PART D COMPLAINT SUMMARY RESOLUTION OR RESPONSE (please complete additional sheet if required)		
Date	Action or Response Given	Action Taken By (Name)

***For Office Use Only:***

Signed: Complainant Informed of Action or Resolution:  (Please specify Verbally / Written)  Date:	
--	--

**A copy of this document (Parts C & D) must be forwarded to the Head of Quality & Curriculum.**