



Complaints Policy and Procedures

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Revision History

Planned Review Date
4 March 2027

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.
10	02/03/2023	K Baker	Annual Review <i>Action – whole policy to be revised to align across ESS following SMT and Departmental restructure - Working Party to be set up.</i>
11	02/03/2024	K Baker	Annual Review
12	05/03/2025	K Baker	Annual Review - timescales amended to incorporate formal acknowledgment and response
13	04/03/2025	N Yoxall	Annual Review

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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	Executive Director		04/04/2026

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

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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 departmentally. 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 by each departmental area.
- 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 of these 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 working hours of receiving the complaint to acknowledge receipt.
- The Head of Quality & Curriculum or Senior Management Team (SMT) will then investigate the complaint and send a written response to the complainant and a copy held on file within 10 working days from this acknowledgement.

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 acknowledging their request within 48 working hours of receipt, this will initiate a reinvestigation with a response within 10 working days of the complaint being escalated and from the date of the acknowledgement.
- 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 10 working days of the complaint being escalated.
- 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, regulatory body who oversees the area or relevant party related to their complaint, this will be stated within the communications from the relevant ESS personnel based on the stage of the process.

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 working hours

Notified to Senior Management Team following the timescales outlined

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

Address:

Essential Site Skills Ltd
Monarch House
Chrysalis Way
Eastwood
Nottingham
NG16 3RY

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 details) Date:	
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A copy of this document (Parts C & D) must be forwarded to the Head of Quality & Curriculum on complaints@essentialsiteskills.com