



CONSORTIA  
TRAINING

# The Grievance and Complaint's Policy



Issued: January 2019

## Grievance and Complaints Policy

### Terminology

The Term ...	Will hereinafter refer to...
<b>Directors</b>	The Directors of Consortia Training.
<b>Centre Directors</b>	The Directors of Consortia Training Centres
<b>Personnel</b>	Any employees of Consortia Training and/or the funded organisations and partner organisations who are responsible for the delivery or support of Consortia Training Funded Learners.
<b>Partner Organisations</b>	Employers, work placement providers, service providers, support providers, schools or other link organisations utilised for the benefit of Consortia Training Funded Learners.

### Purpose

Consortia Training is fully committed to the provision of support and training within a friendly environment. Wherever possible the vast majority of concerns, complaints or grievances will be dealt with informally within the Consortia Training funded centre. The Grievance or Complaints Policy is to enable all parties that are involved with Consortia Training, the opportunity to lodge a grievance or complaint, in the knowledge they will be treated fairly and their concerns will not be trivialised.

Consortia Training and its funded centres welcome feedback whether negative or positive and will, wherever possible, take on board complaints and use them to continuously develop and improve delivery for the benefit of learners, partners organisations and its own funded personnel.

The Grievance and Complaints Policy has been produced to provide a uniform approach to dealing with grievances or complaints about the Consortia Training Funded Centres and to ensure all matters are dealt with fairly and consistently.

Grievances or Complaints referred to under this policy may be made by any Consortia Training funded centre, its funded personnel, learners, parents or guardians (or under 18 year old learners), or partner organisations involved in the training, assessment and support of Consortia Training funded learners.

**The policy of Consortia Training has been written to combat any form of prejudice or discrimination whilst dealing with grievance or complaints and to fulfil its statutory legal obligations under the:**

**Employment Act 2008** - covering aspects of UK employment law, including dealing with discipline and grievance issues, the enforcement of the national minimum wage, and the employment agency standards enforcement regime.

**The Statutory ACAS Code of Practice** - providing basic practical guidance on discipline and grievance handling in the workplace. The ACAS Code came into effect on 6 April 2009 and replaced the previous ACAS Code on discipline and grievance handling which was issued in 2004. Employment tribunals will take the code into account, when considering relevant cases. <http://www.acas.org.uk/CHttpHandler.ashx?id=1041>

### **Candidate Assessment Appeals Procedure**

It should be noted that Candidate Assessment Appeals are dealt with separately under the Candidate Assessment Appeals Procedure – in line with the appropriate Awarding Organisation.

### **Persons involved**

#### **Directors**

Responsibility for the detailed implementation of this policy rests with the Directors of Consortia Training. In the event of a complaint, being made by one of the Directors, then the link director would be responsible for overseeing the informal stage one, another independent director would deal with the complaint at stage two and all the directors would form a panel at stage three. The director making the complaint can choose to bring independent representation to the panel meeting at stage three. The decision of the panel is final.

Further responsibilities are outlined within the procedure.

#### **Link Directors are as follows....**

<b>Centre</b>	<b>Consortia Training Link Director</b>
Derby Centre	Graham Daniels
Worksop / Retford / Sheffield	Sue Bamford
Scunthorpe / Sheffield	Alex Lilley

Contact Details for the Consortia Training Directors are as follows:

- Mrs Sue Bamford  
c/o 18 The Strand, Derby DE1 1BE  
Phone 01332 205 072
- Mr Graham Daniels  
c/o 14 Oswald Road, Scunthorpe, North Lincolnshire, DN15 7PT.  
Phone 01724 860 703
- Mr Alex Lilley  
c/o The Priorswell Centre, Cheapside, Worksop, Nottinghamshire S80 2HX.  
Phone 01909 477 669

## Timescale

The timescale for dealing with complaints or grievances will be outlined within the Grievance and Complaints Procedure. Complaints must be made within 12 months of the incident or occurrence for which the complaint is being made. Exceptions will only be allowed if in the view of the Link Director, there is good cause for a delay and clear evidence exists to support the reason for the delay in making a complaint.

Further timescales are outlined with the procedure.

## Related Documentation

Consortia Training Funded Centres will ensure they maintain records for ...

Record	Purpose to record evidence of ...	Frequency
Grievance and Complaints	Grievance and complaints received and the actions taken with the resulting outcomes.	When a formal complaint/ grievance is received.
Grievance and Complaint Form	The grievance and/ or complaint an outline of the incident, any witnesses or evidence any actions that have been taken and how the complainant would like the issue to be resolved.	On submitting a complaint at the first stage.
Grievance and Complaints Continuation Form	Why the issue has not been resolved and what further action Consortia need to take to resolve the complaint. Any further evidence to uphold the complaint.	If the complaint has been dealt with at one stage – but unresolved the complainant submits to move to the next stage.
Grievance and Complaints Log	The complaint progression, including outcomes, decisions and dates.	Logged at each stage of the complaint by Consortia Training Personnel to record the process.
Policy awareness, acceptance and agreement.	Compliance and agreement to the Grievance and Complaints Policy by funded Centres, funded personnel, employers and learners (this may be within another document e.g. agreement/ contract).	On commencement of employment/working partnership/programme. With updates as appropriate.

## Training and Induction to the Policy

### **Consortia Training Funded Centres personnel (includes self-employed funded personnel)**

All Consortia Training funded centres will provide personnel delivering to learners funded by Consortia Training with a copy (which may be electronic on a VLE) of the Consortia Training Grievance and Complaints Policy, along with thorough training/briefing, during induction to their post by an appropriate person. Further training needs will be assessed on a continued basis at an annual appraisal. Funded personnel will be asked to sign a declaration to register their understanding and agreement with this policy.

### **Learners**

All learners will receive a “user friendly” version of the Consortia Training Grievance and Complaints Policy, during their induction, at the commencement of their training programme. They will be shown where the

full policy can be located within the training room or via a VLE. They will be asked to sign a declaration to register their understanding and agreement with this policy.

### **Partner Organisations**

Partner Organisations (e.g. Employers) involved in the recruitment or provision of a work environment for learners will receive a thorough training/briefing and a copy of the Consortia Training Grievance and Complaints Policy (or access to the document through a VLE). They will be asked to sign a declaration to register their understanding and agreement with this policy.

### **Procedure**

#### **Informal Discussion**

Initially a grievance or complaint may be raised to any Consortia Training funded centre funded personnel. At first, it may be unclear whether a person is asking a question or expressing an opinion rather than making a complaint. A possible complainant may wish to have a preliminary discussion about an issue to help decide whether they wish to take it further. The recipient of the complaint will clarify the nature of the concern and reassure them that Consortia Training wants to hear about it. They may explain to the complainant how/why a situation occurred. They will also identify at this point, what sort of outcome is being sought.

If the Consortia Training Funded Centre personnel first contacted cannot deal with the matter, or it is clear it is a formal grievance or complaint s/he will make a clear note of the date, complainant's name, status, contact address, phone number and refer to the appropriate person in line with this policy. If a satisfactory outcome is found, then no further action is taken. Where no satisfactory solution has been found then the complaint must be dealt with in line with this policy.

### **COMPLAINT MADE BY CONSORTIA TRAINING CENTRE / SUBCONTRACTOR**

Each Consortia Training centre / subcontractor has the right to lodge a formal grievance or complaint.

#### **STAGE ONE - Dealt with by the Consortia Training Link Director**

##### **Centre/ Subcontractor Notification of Complaint**

- The Centre / Subcontractor Director wishing to make a complaint will submit the Grievance and Complaint Form to the Link Consortia Training Director (the form can be requested if the Centre / Subcontractor Director cannot access it directly).

##### **Consortia Training Response**

- On receiving the form the Link Director will respond within 10 working days, providing a copy of this policy and record the complaint on the Grievance and Complaint Log.
- Where a response within this time is not possible or investigations are required the Consortia Training Director will inform the Centre / Subcontractor Director of the reason for the delay and state a target date for their response.

##### **Consortia Training Investigation**

- The Consortia Training Director (or their representative) dealing with the complaint provides an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

### **Consortia Training Outcome Feedback**

- On concluding investigations Consortia Training Director will inform the complainant of the outcome within 10 working days and finalise the Grievance and Complaint Log. The Consortia Training Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

### **Outcome Action**

#### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the person dealing with the complaint will inform all Consortia Training Directors that a complaint was made by the Centre, the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the Excellence team.

#### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage two
- The directors are informed that a complaint has moved to stage two; however no information is disclosed as this could prejudice the complaints panel (if necessary).

### **STAGE TWO - Dealt with by another Consortia Director (other than the Link Director)**

#### **Centre / Subcontractor Notification**

- If the Centre / Subcontractor Director is dissatisfied with the outcome at stage one, within five working days of receiving the outcome they will inform the Link Consortia Training Director they wish to proceed to stage two.

#### **Consortia Training 1<sup>st</sup> Response**

- Within 5 working days the Link Consortia Training Director will provide them with the Grievance and Complaint Continuation Form and contact details for the named Consortia Training Director at stage two.

#### **Centre / Subcontractor 1<sup>st</sup> Response**

- The Centre / Subcontractor Director will submit the Grievance and Complaint Continuation Form to the named Consortia Training Director within 10 working days of receipt.

#### **Consortia Training 2<sup>nd</sup> Response**

- On receiving the form the Director will respond in writing within 10 working days and log on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Director will inform the Centre / Subcontractor Director of the calendar of dates and the reason for any delays.

#### **Consortia Training Investigation**

- The Consortia Training Director (and/or their representative/s) dealing with the complaint will provide an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

### **Consortia Training Outcome Feedback**

- On concluding investigations Consortia Training Director will inform the complainant of the outcome in writing within 10 working days from the date of the meeting and finalise the Grievance and Complaint Log.
- The Consortia Training Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

### **Outcome Action**

#### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the Consortia Director dealing with the complaint will inform all Consortia Training Directors that a complaint was made the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the quality team.

#### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage three
- The directors are informed that a complaint has moved to stage three, however no information is disclosed as this could prejudice the complaints panel

### **STAGE THREE – Dealt with by a Consortia Training Panel**

#### **Centre / Subcontractor Notification**

- If the Centre / Subcontractor Director is dissatisfied with the outcome at stage two, within five working days of receiving the outcome they will inform the Consortia Training Director dealing with the complaint at stage two they wish to proceed to stage three.

#### **Consortia Training 1<sup>st</sup> Response**

- Within 5 working days the Consortia Training Director will provide them with the Grievance and Complaint Continuation Form and contact details for the named Consortia Training Panel Chair Director at stage three.

#### **Centre / Subcontractor 1<sup>st</sup> Response**

- The Grievance and Complaint's Form must be submitted to the named Consortia Training Panel Chair Director within 10 working days of receipt.

#### **Consortia Training 2<sup>nd</sup> Response**

- On receiving the form the Director will respond in writing within 10 working days and log on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Panel Chair Director will inform the Centre / Subcontractor Director of the calendar of dates and the reason for any delays. Consortia Training will inform the complainant in writing of the right to be accompanied to the meeting by a friend/advocate/interpreter, how the meeting will be conducted and the complainant's right to submit further written evidence to the panel.

#### **Panel Arrangements**

- The panel will consist of two Consortia Training Directors (or a suitable representative appointed by the directors) and one independent person appointed to the panel.

- All members of the panel will have had no previous involvement in the complaint.
- The Consortia Training Directors will appoint an administrator who will minute the meeting accurately and these will be checked by the Chair Person and signed as a true record.

### **Meeting Aim**

- The aim of the meeting is to resolve the complaint and achieve reconciliation between the complainant and Consortia Training. The chair of the panel will try to ensure the meeting is as informal as possible to prevent the complainant from feeling inhibited when speaking to the panel.
- If either side wishes to introduce previously undisclosed evidence or witnesses, it is essential that it is submitted to the panel no later than the day of the meeting. Evidence submitted after the panel meeting will not be considered.

#### **The Meeting will allow for...**

- The complainant to explain their complaint
- The Consortia Training to question the complainant and the complainant to question the Consortia Training Director about the response
- Panel members to question the complainant
- Any party to call any witnesses (subject to the approval of the Chair Person)
- All parties to question all witnesses
- Final statements from both the complainant and the Consortia Training Chair
- The Chair of the panel will explain to the complainant that the panel will now consider its decision, and a written decision will be sent to the complainant within 10 working days. The complainant and witnesses will then leave.

#### **The Panel will then consider the complaint and all the evidence presented and....**

- a. Reach a unanimous, or at least a majority decision on the outcome.
- b. Decide upon the appropriate action to be taken to resolve the complaint.
- c. Where appropriate, suggest recommended changes to the Consortia Training systems or procedures to ensure problems of a similar nature do not happen again.

### **Consortia Training Outcome Feedback**

- A written statement describing the final decision of the panel will be sent to the complainant.
- The Chair Person summarises onto Grievance and Complaint Log the outcome and ensures the form is fully completed.
- The Consortia Training Panel Chair Director dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

### **Outcome Action**

- The person dealing with the complaint informs the Consortia Training Directors that a complaint was made, and informs them, where appropriate, of any changes to the Consortia Training systems or procedures to ensure problems of a similar nature do not happen again.
- The decision of the panel is final. There is no appeals process; the complainant will be informed of their right to contact external sources such as the Skills Funding Agency who funds Consortia Training to deliver programmes.
- Other possible alternative organisations that may advise the complaint (see the end of this policy)

### **Additional Information when Dealing with Complaints**

- If the complainant fails to respond to communications within ten working days or fails to attend agreed meetings Consortia Training reserve the right to end the complaint process as it will be deemed the complainant no longer actively wishes to pursue the complaint.



## COMPLAINT MADE BY CONSORTIA TRAINING PERSONNEL / STAFF

Each Consortia Funded Centre will have in place an appropriate Grievance and Complaints Policy which will, where appropriate, deal with personnel / staff grievances or complaints.

### STAGE ONE – Dealt with by the Centre Director

#### **Centre Personnel Notification of Complaint**

- The Centre Personnel wishing to make a complaint will submit the Grievance and Complaint Form to their Centre Director (or their representative) (the form can be requested if the Centre / Subcontractor Director cannot access it directly).

#### **Centre Response**

- On receiving the form the Centre Director will respond within 10 working days, providing a copy of this policy and record the complaint on the Grievance and Complaint Log.
- Where a response within this time is not possible or investigations are required the Centre Director will inform the Centre Personnel of the reason for the delay and state a target date for their response.

#### **Centre Investigation**

- The Centre Director (or their representative) dealing with the complaint provides an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

#### **Centre Outcome Feedback**

- On concluding investigations the Centre Director will inform their Consortia Training Link Director and the complainant of the outcome within 10 working days and finalise the Grievance and Complaint Log. The Centre Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

#### **Outcome Action**

##### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the person dealing with the complaint will inform their Consortia Training Link Director who will cascade to all Directors that a complaint was made by a Centre's Personnel, the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the quality team.

##### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage two
- The directors are informed that a complaint has moved to stage two; however no information is disclosed as this could prejudice the complaint's panel (if necessary).

### STAGE TWO – Dealt with by the Consortia Training- Link Director

#### **Centre Personnel 1<sup>st</sup> Notification**

- If the Centre Personnel is dissatisfied with the outcome at stage one, within five working days of receiving the outcome they will inform the Centre Director, they wish to proceed to stage two.

### **Centre Director Response**

- Within 5 working days The Centre Director will provide them with contact details for the Link director and a Grievance Continuation form.

### **Centre Personnel 2<sup>nd</sup> Notification**

- The centre personnel will submit a Grievance and Complaint Continuation Form to the Link Director within 10 working days.

### **Consortia Training 1<sup>st</sup> Response**

- On receiving the form the Link Director will respond in writing within 10 working days and record on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Director will inform the Centre / Subcontractor Director of the calendar of dates and the reason for any delays.

### **Consortia Training Investigation**

- The Consortia Training Link Director (and/or their representative/s) dealing with the complaint will provide an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

### **Consortia Training Outcome Feedback**

- On concluding investigations Consortia Training Link Director will inform the complainant of the outcome in writing within 10 working days from the date of the meeting and finalise the Grievance and Complaint Log.
- The Consortia Training Link Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

### **Outcome Action**

#### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the person dealing with the complaint will inform all Consortia Training Directors that a complaint was made by the Centre, the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the quality team.

#### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage three
- The directors are informed that a complaint has moved to stage three, however no information is disclosed as this could prejudice the complaints panel

### **STAGE THREE – Dealt with by a Consortia Training Panel**

#### **Centre Personnel Notification**

- If the Centre Personnel is dissatisfied with the outcome at stage two, within five working days of receiving the outcome they will inform the Consortia Training Director dealing with the complaint at stage two they wish to proceed to stage three.

### **Consortia Training 1<sup>st</sup> Response**

- Within 5 working days the Consortia Training Director will provide them with the Grievance and Complaint Continuation Form and contact details for the named Consortia Training Panel Chair Director at stage three.

### **Centre Personnel 2<sup>nd</sup> Response**

- The Grievance and Complaint's Form must be submitted to the named Consortia Training Panel Chair Director within 10 working days of receipt.

### **Consortia Training 2<sup>nd</sup> Response**

- On receiving the form the Consortia Training Panel Chair Director will respond in writing within 10 working days and log on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Panel Chair Director will inform the Centre Personnel of the calendar of dates and the reason for any delays. Consortia Training will inform the complainant in writing of the right to be accompanied to the meeting by a friend/advocate/interpreter, how the meeting will be conducted and the complainant's right to submit further written evidence to the panel.

### **Panel Arrangements**

- The panel will consist of two Consortia Training Directors (or a suitable representative appointed by the directors) and one independent person appointed to the panel.
- All members of the panel will have had no previous involvement in the complaint.
- The Consortia Training Directors will appoint an administrator who will minute the meeting accurately and these will be checked by the Chair Person and signed as a true record.

### **Meeting Aim**

- The aim of the meeting is to resolve the complaint and achieve reconciliation between the complainant and Consortia Training. The chair of the panel will try to ensure the meeting is as informal as possible to prevent the complainant from feeling inhibited when speaking to the panel.
- If either side wishes to introduce previously undisclosed evidence or witnesses, it is essential that it is submitted to the panel no later than the day of the meeting. Evidence submitted after the panel meeting will not be considered.

#### **The Meeting will allow for...**

- The complainant to explain their complaint
- The Consortia Training Centre Director to respond to the complaint (where appropriate)
- Consortia Training to question the complainant and the complainant to question the Consortia Training Director about the response
- Panel members to question the complainant
- Any party to call any witnesses (subject to the approval of the Chair Person)
- All parties to question all witnesses
- Final statements from both the complainant and the Consortia Training Chair
- The Chair of the panel will explain to the complainant that the panel will now consider its decision, and a written decision will be sent to the complainant within 10 working days. The complainant and witnesses will then leave.

#### **The Panel will then consider the complaint and all the evidence presented and....**

- a. Reach a unanimous, or at least a majority decision on the outcome.
- b. Decide upon the appropriate action to be taken to resolve the complaint.
- c. Where appropriate, suggest recommended changes to the Consortia Training systems or procedures to ensure problems of a similar nature do not happen again.

### **Consortia Training Outcome Feedback**

- A written statement describing the final decision of the panel will be sent to the complainant.
- The Chair Person summarises onto Grievance and Complaint Log the outcome and ensures the form is fully completed.
- The Consortia Training Panel Chair Director dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

### **Outcome Action**

- The person dealing with the complaint informs the Consortia Training Directors regarding the complaint that was made, and informs them, where appropriate, of any changes to the Consortia Training systems or procedures to ensure problems of a similar nature do not happen again.
- The decision of the panel is final. There is no appeals process; the complainant will be informed of their right to contact external sources such as the Skills Funding Agency who funds Consortia Training to deliver programmes.
- Other possible alternative organisations that may advise the complaint (see the end of this policy)

### **Additional Information when Dealing with Complaints**

- If the complainant fails to respond to communications within ten working days or fails to attend agreed meetings Consortia Training reserve the right to end the complaint process as it will be deemed the complainant no longer actively wishes to pursue the complaint.

## **COMPLAINT MADE BY LEARNER (or their representative when under 18)**

Grievances or complaints from learners which may be, for example, regarding a Consortia Training funded centre, their personnel and/or training issues.

### **STAGE ONE – Dealt with by the Centre Director**

#### **Notification of Complaint by Learner (and/or parent and guardian for under 18 year old learners)**

- The Learner (and/or parent and guardian for under 18 year old learners) wishing to make a complaint will submit the Grievance and Complaint Form to their Centre Director (or their representative) (the form can be requested if the Learner cannot access it directly).

#### **Centre Response**

- On receiving the form the Centre Director will respond within 10 working days, providing a copy of this policy and record the complaint on the Grievance and Complaint Log.
- Where a response within this time is not possible or investigations are required the Centre Director will inform the Learner of the reason for the delay and state a target date for their response.

#### **Centre Investigation**

- The Centre Director (or their representative) dealing with the complaint provides an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

#### **Centre Outcome Feedback**

- On concluding investigations the Centre Director will inform their Consortia Training Link Director and the complainant of the outcome within 10 working days and finalise the Grievance and Complaint Log. The Centre Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

## **Outcome Action**

### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the person dealing with the complaint will inform their Consortia Training Link Director who will cascade to all Directors that a complaint was made by a Centre's Personnel, the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the quality team.

### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage two
- The directors are informed that a complaint has moved to stage two; however no information is disclosed as this could prejudice the complaint's panel (if necessary).

## **STAGE TWO – Dealt with by the Consortia Training- Link Director**

### **Notification of Complaint by Learner (and/or parent and guardian for under 18 year old learners)**

- If the Learner is dissatisfied with the outcome at stage one, within five working days of receiving the outcome they will inform the Centre Director, they wish to proceed to stage two.

### **Centre Director Response**

- Within 5 working days The Centre Director will provide them with contact details for the Link director and a Grievance Continuation form.

### **Learner 2<sup>nd</sup> Notification**

- The centre personnel will submit a Grievance and Complaint Continuation Form to the Link Director within 10 working days.

### **Consortia Training 1<sup>st</sup> Response**

- On receiving the form the Link Director will respond in writing within 10 working days and record on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Director will inform the Learner of the calendar of dates and the reason for any delays.

### **Consortia Training Investigation**

- The Consortia Training Link Director (and/or their representative/s) dealing with the complaint will provide an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

### **Consortia Training Outcome Feedback**

- On concluding investigations Consortia Training Link Director will inform the complainant of the outcome in writing within 10 working days from the date of the meeting and finalise the Grievance and Complaint Log.
- The Consortia Training Link Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

## **Outcome Action**

### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the person dealing with the complaint will inform all Consortia Training Directors that a complaint was made by the Centre, the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the quality team.

### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage three
- The directors are informed that a complaint has moved to stage three, however no information is disclosed as this could prejudice the complaints panel

## **STAGE THREE – Dealt with by a Consortia Training Panel**

### **Notification of Complaint by Learner (and/or parent and guardian for under 18 year old learners)**

- If the Learner is dissatisfied with the outcome at stage two, within five working days of receiving the outcome they will inform the Consortia Training Director dealing with the complaint at stage two they wish to proceed to stage three.

### **Consortia Training 1<sup>st</sup> Response**

- Within 5 working days the Consortia Training Director will provide them with the Grievance and Complaint Continuation Form and contact details for the named Consortia Training Panel Chair Director at stage three.

### **Learner 2<sup>nd</sup> Response**

- The Grievance and Complaint's Form must be submitted to the named Consortia Training Panel Chair Director within 10 working days of receipt.

### **Consortia Training 2<sup>nd</sup> Response**

- On receiving the form the Consortia Training Panel Chair Director will respond in writing within 10 working days and log on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Panel Chair Director will inform the Centre Personnel of the calendar of dates and the reason for any delays. Consortia Training will inform the complainant in writing of the right to be accompanied to the meeting by a friend/advocate/interpreter, how the meeting will be conducted and the complainant's right to submit further written evidence to the panel.

### **Panel Arrangements**

- The panel will consist of two Consortia Training Directors (or a suitable representative appointed by the directors) and one independent person appointed to the panel.
- All members of the panel will have had no previous involvement in the complaint.
- The Consortia Training Directors will appoint an administrator who will minute the meeting accurately and these will be checked by the Chair Person and signed as a true record.

### **Meeting Aim**

- The aim of the meeting is to resolve the complaint and achieve reconciliation between the complainant and Consortia Training. The chair of the panel will try to ensure the meeting is as informal as possible to prevent the complainant from feeling inhibited when speaking to the panel.

- If either side wishes to introduce previously undisclosed evidence or witnesses, it is essential that it is submitted to the panel no later than the day of the meeting. Evidence submitted after the panel meeting will not be considered.

**The Meeting will allow for...**

- The complainant to explain their complaint
- The Consortia Training Centre Director to respond to the complaint (where appropriate)
- Consortia Training to question the complainant and the complainant to question the Consortia Training Director about the response
- Panel members to question the complainant
- Any party to call any witnesses (subject to the approval of the Chair Person)
- All parties to question all witnesses
- Final statements from both the complainant and the Consortia Training Chair
- The Chair of the panel will explain to the complainant that the panel will now consider its decision, and a written decision will be sent to the complainant within 10 working days. The complainant and witnesses will then leave.

**The Panel will then consider the complaint and all the evidence presented and....**

- a. Reach a unanimous, or at least a majority decision on the outcome.
- b. Decide upon the appropriate action to be taken to resolve the complaint.
- c. Where appropriate, suggest recommended changes to the Consortia Training systems or procedures to ensure problems of a similar nature do not happen again.

**Consortia Training Outcome Feedback**

- A written statement describing the final decision of the panel will be sent to the complainant.
- The Chair Person summarises onto Grievance and Complaint Log the outcome and ensures the form is fully completed.
- The Consortia Training Panel Chair Director dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

**Outcome Action**

- The person dealing with the complaint informs the Consortia Training Directors regarding the complaint that was made, and informs them, where appropriate, of any changes to the Consortia Training systems or procedures to ensure problems of a similar nature do not happen again.
- The decision of the panel is final. There is no appeals process. The complainant will be informed of their right to escalate the complaint to an external source - the Skills Funding Agency who funds Consortia Training to deliver programmes. This can be through the National Apprenticeship Helpdesk, by email [helpdesk@manage-apprenticeships.service.gov.uk](mailto:helpdesk@manage-apprenticeships.service.gov.uk) or via phone 08000150600
- Other possible alternative organisations that may advise the complaint (see the end of this policy)

**Additional Information when Dealing with Complaints**

- If the complainant fails to respond to communications within ten working days or fails to attend agreed meetings Consortia Training reserve the right to end the complaint process as it will be deemed the complainant no longer actively wishes to pursue the complaint.

## COMPLAINT MADE BY EMPLOYER OR OTHER PARTNER

Complaints or grievances by partner organisations of learners on Consortia Training Funded Training are initially dealt with by the Consortia Training Funded Centre Manager/Director.

The Consortia Training link director will deal with stage two and Consortia Training Panel will oversee stage three. In the event of the complaint being against the Company Director, stage one will be dealt with by the link Consortia Training Director, stage two by an alternative Consortia Training Director appointed by Consortia and stage three will be dealt with by the Consortia Training panel.

### STAGE ONE – Dealt with by the Centre Director

#### **Notification of Complaint by the Partner**

- The Partner wishing to make a complaint will submit the Grievance and Complaint Form to their Centre Director (or their representative) (the form can be requested if the Learner cannot access it directly).

#### **Centre Response**

- On receiving the form the Centre Director will respond within 10 working days, providing a copy of this policy and record the complaint on the Grievance and Complaint Log.
- Where a response within this time is not possible or investigations are required the Centre Director will inform the Partner of the reason for the delay and state a target date for their response.

#### **Centre Investigation**

- The Centre Director (or their representative) dealing with the complaint provides an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

#### **Centre Outcome Feedback**

- On concluding investigations the Centre Director will inform their Consortia Training Link Director and the complainant of the outcome within 10 working days and finalise the Grievance and Complaint Log. The Centre Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

#### **Outcome Action**

##### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the person dealing with the complaint will inform their Consortia Training Link Director who will cascade to all Directors that a complaint was made by a Centre's Personnel, the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the quality team.

##### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage two
- The directors are informed that a complaint has moved to stage two; however no information is disclosed as this could prejudice the complaint's panel (if necessary).



## **STAGE TWO – Dealt with by the Consortia Training- Link Director**

### **Notification of Complaint by Partner**

- If the Partner is dissatisfied with the outcome at stage one, within five working days of receiving the outcome they will inform the Centre Director, they wish to proceed to stage two.

### **Centre Director Response**

- Within 5 working days The Centre Director will provide them with contact details for the Link director and a Grievance Continuation form.

### **Partner 2<sup>nd</sup> Notification**

- The centre personnel will submit a Grievance and Complaint Continuation Form to the Link Director within 10 working days.

### **Consortia Training 1<sup>st</sup> Response**

- On receiving the form the Link Director will respond in writing within 10 working days and record on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Director will inform the Partner of the calendar of dates and the reason for any delays.

### **Consortia Training Investigation**

- The Consortia Training Link Director (and/or their representative/s) dealing with the complaint will provide an opportunity for the complainant to meet him/her to supplement information provided previously. It is made clear to the complainant that if s/he wishes, s/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf.

### **Consortia Training Outcome Feedback**

- On concluding investigations Consortia Training Link Director will inform the complainant of the outcome in writing within 10 working days from the date of the meeting and finalise the Grievance and Complaint Log.
- The Consortia Training Link Director (or their representative) dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

### **Outcome Action**

#### **Complainant satisfied with the outcome**

- If a satisfactory outcome is reached then no further action will be taken, but the person dealing with the complaint will inform all Consortia Training Directors that a complaint was made by the Centre, the action/s that were taken and the improvements to be made where necessary to prevent further dissatisfaction.
- Feedback will be collected from the complainant on the way the complaint was dealt with by the quality team.

#### **Complainant dissatisfied with the outcome**

- The complainant is referred to stage three
- The directors are informed that a complaint has moved to stage three, however no information is disclosed as this could prejudice the complaints panel

### **STAGE THREE – Dealt with by a Consortia Training Panel**

#### **Notification of Complaint by Partner**

- If the Partner is dissatisfied with the outcome at stage two, within five working days of receiving the outcome they will inform the Consortia Training Director dealing with the complaint at stage two they wish to proceed to stage three.

#### **Consortia Training 1<sup>st</sup> Response**

- Within 5 working days the Consortia Training Director will provide them with the Grievance and Complaint Continuation Form and contact details for the named Consortia Training Panel Chair Director at stage three.

#### **Partner 2<sup>nd</sup> Response**

- The Grievance and Complaint's Form must be submitted to the named Consortia Training Panel Chair Director within 10 working days of receipt.

#### **Consortia Training 2<sup>nd</sup> Response**

- On receiving the form the Consortia Training Panel Chair Director will respond in writing within 10 working days and log on the Grievance and Complaint Log. Where a response within this time is not possible or further investigations or evidence is required the Consortia Training Panel Chair Director will inform the Centre Personnel of the calendar of dates and the reason for any delays. Consortia Training will inform the complainant in writing of the right to be accompanied to the meeting by a friend/advocate/interpreter, how the meeting will be conducted and the complainant's right to submit further written evidence to the panel.

#### **Panel Arrangements**

- The panel will consist of two Consortia Training Directors (or a suitable representative appointed by the directors) and one independent person appointed to the panel.
- All members of the panel will have had no previous involvement in the complaint.
- The Consortia Training Directors will appoint an administrator who will minute the meeting accurately and these will be checked by the Chair Person and signed as a true record.

#### **Meeting Aim**

- The aim of the meeting is to resolve the complaint and achieve reconciliation between the complainant and Consortia Training. The chair of the panel will try to ensure the meeting is as informal as possible to prevent the complainant from feeling inhibited when speaking to the panel.
- If either side wishes to introduce previously undisclosed evidence or witnesses, it is essential that it is submitted to the panel no later than the day of the meeting. Evidence submitted after the panel meeting will not be considered.

#### **The Meeting will allow for...**

- The complainant to explain their complaint
- The Consortia Training Centre Director to respond to the complaint (where appropriate)
- Consortia Training to question the complainant and the complainant to question the Consortia Training Director about the response
- Panel members to question the complainant
- Any party to call any witnesses (subject to the approval of the Chair Person)
- All parties to question all witnesses
- Final statements from both the complainant and the Consortia Training Chair

- o The Chair of the panel will explain to the complainant that the panel will now consider its decision, and a written decision will be sent to the complainant within 10 working days. The complainant and witnesses will then leave.

**The Panel will then consider the complaint and all the evidence presented and...**

- a. Reach a unanimous, or at least a majority decision on the outcome.
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**Consortia Training Outcome Feedback**

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- The Chair Person summarises onto Grievance and Complaint Log the outcome and ensures the form is fully completed.
- The Consortia Training Panel Chair Director dealing with the complaint keeps written records of meetings, telephone conversations and other documentation – within a file.

**Outcome Action**

- The person dealing with the complaint informs the Consortia Training Directors regarding the complaint that was made, and informs them, where appropriate, of any changes to the Consortia Training systems or procedures to ensure problems of a similar nature do not happen again.
- The decision of the panel is final. There is no appeals process. The complainant will be informed of their right to escalate the complaint to an external source - the Skills Funding Agency who funds Consortia Training to deliver programmes. This can be through the National Apprenticeship Helpdesk, by email [helpdesk@manage-apprenticeships.service.gov.uk](mailto:helpdesk@manage-apprenticeships.service.gov.uk) or via phone 08000150600
- Other possible alternative organisations that may advise the complaint (see the end of this policy)

**Additional Information when Dealing with Complaints**

- If the complainant fails to respond to communications within ten working days or fails to attend agreed meetings Consortia Training reserve the right to end the complaint process as it will be deemed the complainant no longer actively wishes to pursue the complaint.

**SUMMARY OF STAGES FOR HANDLING COMPLAINTS**

**Stage One: Refer to Policy Procedures for Responsibilities**

Expression of concern to Consortia Training



Complaint notified on Grievance and Complaints Form



Satisfactory Outcome reached?



No Yes → No further action



**Stage Two: Consortia Training Director Investigation**

Written complaint on Grievance and Complaint Continuation Form to Consortia Training Director



Investigation conducted and reported to complainant



Satisfactory Outcome reached.



No Yes → No further action



**Stage Three: Consortia Training Panel Review**

Formal written complaint on Grievance and Complaint Continuation Form to Consortia Training Panel

Chair Director



Consortia Training Complaints Panel



Final Outcome reached (further contacts noted at end of this policy)

## **Monitoring, Review and Evaluation**

### **Monitoring of Process and Information**

The Consortia Training Directors, if commenced, will monitor the Grievance and Complaints Procedure. In the case of a Grievance or Complaint about either of the aforementioned, another director will monitor the process and the Consortia Training Quality Team on the behalf of the Consortia Training Directors will be involved in the monitoring process.

### **Impact Assessment**

This policy will be impact assessed for equality and diversity and records will be maintained.

### **Safeguarding**

This policy will be reviewed to ensure it fully safeguards learners, funded personnel and other partners in relation to their levels of safety, health, achievement, enjoyment, contribution and wellbeing.


### **Monitoring of Documentation and Policy**

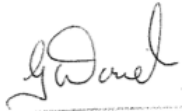
The Consortia Training Excellence Team will review this policy and documentation annually. Updates and communications will be notified to employers of all relevant reviews and any specific outcomes from the reviews, where appropriate). The updated policy will be submitted to the Consortia Training Directors for approval/ratification. The completed policy will then be displayed for learner access and issued to all employers and Consortia Training funded personnel, if amendments have been made. Where possible it will also be available to access through the company VLE.

A learner or centre's funded personnel who are not satisfied with the action taken by Consortia Training and feel it right to question the matter further, s/he may consider the following possible contact points:

- Education and Skills Funding Agency – National Apprenticeship Service Helpline
- ACAS
- The Equality and Human Rights Commission
- The employee's Trade Union
- The Citizens Advice Bureau and/or law centre/firm
- Relevant professional bodies or regulatory organisations

Approved by the Directors of Consortia Training on 23<sup>rd</sup> January 2020

Signed:  S. Bamford

Signed:  G. Daniels

Signed:  Lilley