

Policy Enquiries, Complaints and Appeals

Approver	Senior Management Team
Policy	Enquiries, Complaints and Appeals
Authors	Jennifer Hudson
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Jennifer Hudson
Managing director
Signed by: 216f377d-1dde-489f-ae92-58d0ab87f938

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Policy Enquiries, Complaints and Appeals

1. Introduction.

- 1.1. This policy and procedure is established for the benefit of all existing or potential customers, including Participants, and is provided to deal with Enquiries, Complaints and Appeals relating to service provided by AreYou - Training and Consultancy.
- 1.2. It is a principle of this policy that all enquiries, complaints and appeals are dealt with quickly, fairly and thoroughly. It is hoped that issues will normally be resolved amicably through informal dialogue between the parties concerned. However, where this is not possible, the following formal procedures will be applied.

2. Enquiries

- 2.1. Enquiries include any contacts made to AreYou - Training and Consultancy in regard to our services or products.
- 2.2. For the benefit of Participants, Awarding Organisations and Regulatory Bodies, Teams or Professionals, it is important that all enquiries are acknowledged within 48 hours for all enquiries received during office hours 930am - 3pm, Monday to Friday excluding weekends and Bank Holidays, and dealt with, where possible, within 5 working days.

3. Complaints

- 3.1. Complaints may relate to dissatisfaction concerning:
 - Content or conduct of courses
 - Assessment process
 - Alleged miss-selling or unfair eligibility conditions
 - Failure to make appropriate reasonable adjustments for Learners
- 3.2. This list is not exhaustive.
- 3.3. Where a complaint is not immediately resolved by informal discussion with the complainant, complaints will be dealt with under the formal procedures as set out in this policy.

4. Validity of Complaints

- 4.1. The application of the formal complaints procedure will only be taken with the knowledge or consent of the complainant. The initial contact may clearly indicate this to be appropriate, otherwise the complainant will be asked if they wish to raise the matter formally. It is expected that the complainant should provide their name, although such personal data will be kept confidential unless this would prevent a full investigation.

5. Initial Complaint

- 5.1. Complaints relating to the conduct of AreYou - Training and Consultancy should be first raised to the Managing Director (Jennifer Hudson) within 4 weeks of the issue arising and will be dealt with under the following procedure. Where the complainant is unable, for any reason, to refer the complaint directly to Jennifer Hudson they may speak to the next senior member of staff at the time to give the message that a complaint is wanted and a manager will contact ASAP.

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5.2. When a complaint, or review application, is received, AreYou - Training and Consultancy will:

- Acknowledge receipt within 5 working days
- Request any further information that may be required
- Arrange for appropriate person to examine the complaint
- Aim to examine the complaint and respond within 20 working days of receipt of the complaint. (Where it is possible that the processes may take longer we will contact the parties concerned to inform them of the likely revised timescale)
- Inform the complainant of the outcome within 5 working days of the decision being made
- Where, as a result of investigations, AreYou - Training and Consultancy finds evidence of possible maladministration or malpractice, AreYou - Training and Consultancy will take appropriate remedial action.

6. Complaint Review

- 6.1. If the complainant is not happy with the outcome of their initial complaint, they may request a review of the decision. Application for review must be in writing setting out the reasons for the request.
- 6.2. On receiving a review request, AreYou - Training and Consultancy will carry out a thorough examination of the complainant's reasons, seek further information or guidance that may be needed and, if felt appropriate, involve an independent person that is appropriately qualified.
- 6.3. AreYou - Training and Consultancy aims to complete the review and respond within 20 working days of receipt of the review application. If a longer period is needed the complainant will be informed.
- 6.4. AreYou - Training and Consultancy will convey the results of the review in writing.

7. Appeals

- 7.1. Appeals relate to issues raised by aggrieved persons over a decision made by AreYou - Training and Consultancy, for example, regarding eligibility or assessment results relating to training.
- 7.2. Appeals must be submitted in writing or email and should contain as much information as may be needed to properly consider the appeal. On receipt of an appeal, AreYou - Training and Consultancy will:
 - Acknowledge receipt of the appeal within 5 working days of receipt
 - Request any further information, oral or written, that may be required
 - Arrange for appropriate personnel to examine the appeal
 - Aim to review the appeal and respond within 20 working days of receipt of the appeal. In some cases the process may take longer; in such instances, AreYou - Training and Consultancy will contact the parties concerned to inform them of the likely revised timescale
 - Inform the appellant of the outcome within 5 working days of deciding the outcome
 - Where, as a result of investigations, AreYou - Training and Consultancy find evidence of possible maladministration or malpractice AreYou - Training and Consultancy will take appropriate remedial action.

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8. Appeal Review

- 8.1. If the appellant is not happy with the outcome of their initial appeal, they may request a review of the decision. Application for review must be in writing setting out the reasons for the request.
- 8.2. Reviews of appeal decisions may be referred to an Appeals Panel, comprising at least two senior representatives of the business plus an independent person. The independent member will not be a employee or otherwise connected to the business and will possess appropriate competence to consider and contribute to a decision in the matter being appealed. Members of the Panel will have had no direct involvement in the original decision which the appellant has appealed against.
- 8.3. AreYou - Training and Consultancy aims to complete the review and respond within 20 working days of receipt of the review application. If a longer period is needed AreYou - Training and Consultancy will inform the parties concerned.
- 8.4. AreYou - Training and Consultancy will convey the results of the review in writing and indicate that the decision of the Appeals Panel will be final as far as this company is concerned but, if the complainant is still not happy with the outcome, they may request that the matter be referred to FAA or the relevant Regulatory Authority for review.

9. Miscellaneous

- 9.1. REMEDIAL ACTION TO BE TAKEN WHEN COMPLAINTS OR APPEALS IDENTIFY PROCEDURAL FAILURE OR WEAKNESS
- 9.2. Where a complaint or appeal identifies a failure in the assessment process, or a weakness is discovered which does not affect the actual outcome of the issue that has been considered, AreYou - Training and Consultancy will take all reasonable steps to: a) identify any other Learner(s) who has been affected b) correct or, where it cannot be corrected, mitigate as far as possible the effects of any failure, and c) ensure that the failure does not recur in the future d) rectify any weakness discovered.

10. Records

- 10.1. AreYou - Training and Consultancy will retain all paperwork relating to complaints and appeals for three years. Paperwork relating to council tenders or contracts which stipulate a longer period for paperwork to be retained will be retained according to their individual timescales.

11. Policy review arrangements

- 11.1. AreYou - Training and Consultancy will review this policy periodically and revise it as necessary in response to customer and candidate feedback. AreYou - Training and Consultancy welcomes feedback or views of interested parties to ensure the policy is fit for purpose. If you would like to feedback any views, or if you have any questions concerning this policy, please contact AreYou - Training and Consultancy.

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12. Fees

- 12.1. AreYou - Training and Consultancy reserves the right, in exceptional circumstances such as where a complaint or appeal is regarded as frivolous or vexatious, to charge complainants or appellants a fee to cover the administrative and personal costs where such actions are dismissed accordingly.