

## Complaints Policy and Procedure

### Complaints Policy

Excell for Training views complaints as an opportunity to learn and improve for the future, as well as a chance to put things right for our valued service users.

Our policy is:

- To provide a fair complaints procedure which is clear and easy to use for anyone wishing to make a complaint
- To publicise the existence of our complaints procedure so that people know how to contact us to make a complaint
- To make sure everyone at Excell for Training knows what to do if a complaint is received
- To make sure all complaints are investigated fairly and in a timely way
- To make sure that complaints are, wherever possible, resolved and that relationships are repaired
- To gather information which helps us to improve what we do

### Definition of a complaint

A complaint is any expression of dissatisfaction, whether justified or not, about any aspect of the service provided by Excell for Training.

### Where complaints come from

Complaints may come from any person who has a legitimate interest in Excell for Training, e.g. service users and/or their families. A complaint can be received verbally, by phone, by email or in writing.

NB This policy does not cover complaints from staff, who should use Excell for Training's Discipline and Grievance policies and procedures as set out in staff handbook.

### Confidentiality

All complaint information will be handled sensitively, telling only those who need to know and following any relevant data protection requirements.

### Responsibility

Overall responsibility for this policy and its implementation lies with the Line Manager and the Nominated Person.

### Review

This policy is reviewed regularly and updated as required.

## [Complaints procedure of Excell for Training](#)

### [Contact details for complaints](#)

Written complaints may be sent to Excell for Training at:

Excell for Training Ltd  
97 High Street  
Mosborough  
Sheffield  
S20 5AF

or by e-mail at [info@excellfortraining.co.uk](mailto:info@excellfortraining.co.uk)

Verbal complaints may be made by phone to 01246 859333 or in person to any of Excell for Training's management or staff.

### [Receiving complaints](#)

Complaints may arrive through channels publicised for that purpose or through any other contact details or opportunities the complainant may have.

Complaints received by telephone or in person need to be recorded.

The person who receives a phone or in person complaint should:

- Write down the facts of the complaint
- Take the complainant's name, address and telephone number
- Note down the relationship of the complainant to Excell for Training
- Tell the complainant that we have a complaints procedure
- Tell the complainant what will happen next and how long it will take
- Where appropriate, ask the complainant to send a written account by post or by email so that the complaint is recorded in the complainant's own words.

For further guidelines about handling verbal complaints, see **Appendix 1**

### [Resolving complaints](#)

#### ***Stage One***

- In many cases, a complaint is best resolved by the person responsible for the issue being complained about. If the complaint has been received by that person, they may be able to resolve it swiftly and should do so if possible and appropriate.
- Whether or not the complaint has been resolved, the complaint information should be passed to the Line Manager as soon as is practicably possible but within one week.
- On receiving the complaint, the Manager will record it in the complaints log. If it has not already been resolved, they delegate an appropriate person to investigate it and to take appropriate action.
- If the complaint relates to a specific person, they should be informed and given a fair opportunity to respond.

- Complaints should be acknowledged by the person handling the complaint within a week. The acknowledgement should say who is dealing with the complaint and when the person complaining can expect a reply. A copy of this complaints procedure should be attached.
- Ideally complainants should receive a definitive reply within four weeks. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.
- Whether the complaint is justified or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

## **Stage Two**

- If the complainant feels that the problem has not been satisfactorily resolved at Stage One, they can request that the complaint is reviewed at Board level. At this stage, the complaint will be passed to the Managing Director. Should the complaint involve the Managing Director another member of the management team will review the complaint.
- The request for Board level review should be acknowledged within a week of receiving it. The acknowledgement should say who will deal with the case and when the complainant can expect a reply.
- The Managing Director or management team (where applicable) may investigate the facts of the case themselves or delegate a suitably senior person to do so. This may involve reviewing the paperwork of the case and speaking with the person who dealt with the complaint at Stage One.
- If the complaint relates to a specific person, they should be informed and given a further opportunity to respond.
- The person who dealt with the original complaint at Stage One should be kept informed of what is happening.
- Ideally complainants should receive a definitive reply within four weeks. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.
- Whether the complaint is upheld or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.
- The decision taken at this stage is final, unless the Board decides it is appropriate to seek external assistance with resolution.

*You may wish to consult a national body or other independent organisation i.e. ACAS, CAB.*

## **Further Stages**

Where applicable, Funded learners have the option to raise their complaint with the funding organisation using their own complaints procedure, Excell For Training will assist where possible to help the complainant find the information.

Where applicable, should the complainant be unsatisfied with the final decision from Stage Two the complainant can complain to the relevant awarding body using their own complaints procedure, these details can be found on the awarding bodies' websites, Excell For Training will assist where possible to help the complainant find the information.

Should the complainant still be unsatisfied with the final decision from the awarding body they can raise the complaint with the Qualification Regulator.

#### Variations of the complaint procedure

The Board may vary the procedure for good reason. This may be necessary to avoid a conflict of interest, for example, a complaint about the Managing Director should not also have the Managing Director as the person leading a Stage Two review.

#### Monitoring and learning from complaints

Complaints are reviewed annually to identify any trends which may indicate a need to take further action.

Appendix 1 – Practical guidance for handling complaints

- Remain calm and respectful throughout the conversation
- Listen - allow the person to talk about the complaint in their own words. Sometimes a person just wants to "let off steam"
- Don't debate the facts in the first instance, especially if the person is angry
- Show an interest in what is being said
- Obtain details about the complaint before any personal details
- Ask for clarification wherever necessary
- Show that you have understood the complaint by reflecting back what you have noted down
- Acknowledge the person's feelings (even if you feel that they are being unreasonable) - you can do this without making a comment on the complaint itself or making any admission of fault on behalf of the organisation e.g "I understand that this situation is frustrating for you"
- If you feel that an apology is deserved for something that was the responsibility of your organisation, then apologise
- Ask the person what they would like done to resolve the issue
- Be clear about what you can do, how long it will take and what it will involve.
- Don't promise things you can't deliver
- Give clear and valid reasons why requests cannot be met
- Make sure that the person understands what they have been told
- Wherever appropriate, inform the person about the available avenues of review or appeal

Drafted by: Rachel Priest

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Agreed & Signed by: Steven Boyd

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