

Complaints & Appeals Policy & Procedure

2019

This document may not be amended or added to without the authority of the Directors of the Company. It is part of a series of documents that together constitute the operating policies and procedures of ProVQ LTD. Copyright © 2013 ProVQ LTD.

Effective from: 30th April 2016

Review date: 1st August 2020

Signed.....



..... Director

Name: Carla Warren

| Policy Owner | Policy Title | Version Number | Authorised |
|--------------|-----------------------------|----------------|-----------------------|
| Carla Warren | Complaints & Appeals Policy | V004 | Carla Warren 02/10/19 |

Contents:

| | |
|---|---------------|
| Policy Statement | Page 3 |
| Complaints & Appeals Procedure | Page 4 |
| Questions, Feedback & Review | Page 6 |

| Policy Owner | Policy Title | Version Number | Authorised |
|--------------|-----------------------------|----------------|-----------------------|
| Carla Warren | Complaints & Appeals Policy | V004 | Carla Warren 02/10/19 |

Policy statement

ProVQ believes that if a customer wishes to make a complaint or register a concern they should find it easy to do so. It is ProVQ's policy to welcome complaints and look upon them as an opportunity to learn, adapt, improve and provide a better service to our customers. This policy is intended to ensure that customer complaints and concerns are dealt with properly and that all complaints or concerns registered by customers are taken seriously.

The policy is not designed to apportion blame or to provide compensation. It is NOT part of ProVQ's disciplinary policy.

ProVQ believes that failure to listen to or acknowledge complaints may lead to an aggravation of problems and customer dissatisfaction. ProVQ believes that most complaints and concerns, if dealt with early, openly and honestly, can be sorted out efficiently and effectively between just the complainant and ProVQ. If this fails due to either ProVQ or the complainant being dissatisfied with the result the complaint has the right to appeal. If the customer remains dissatisfied with the results of the appeal they have the option to raise the complaint with the Education & Skills Funding Agency

Aim:

It is ProVQ's aim to ensure that its complaints procedure is properly and effectively implemented, and that customers feel confident that their complaints and concerns are listened to and acted upon promptly and fairly.

Goals:

ProVQ's goals are to ensure that:

- Customers are aware of how to complain, and that ProVQ provides easy to use opportunities for them to register their complaints
- Once a complaint or concern has been raised a named person will be responsible for the administration of the procedure
- every written complaint or concern is acknowledged within five working days
- thorough investigations into all written complaints or concerns are carried out
- all written complaints or concerns are responded to in writing within 14 days of the original complaint or concern being received
- All appeals are investigated and responded to, in writing, within 14 days of the appeal being received.
- complaints or concerns are dealt with promptly, fairly and sensitively with due regard to the upset and smooth running of business operations that they can cause to both ProVQ staff and customers alike.

The named Directors with responsibility for following through complaints are Stuart Jones/ Carla Warren/Jon Davies/ (whichever is relevant).

| Policy Owner | Policy Title | Version Number | Authorised |
|--------------|-----------------------------|----------------|-----------------------|
| Carla Warren | Complaints & Appeals Policy | V004 | Carla Warren 02/10/19 |

Complaints & Appeals Procedure

1. Introduction

This procedure is the mechanism for customers to raise concerns or complaints to ProVQ Ltd. By following this procedure, the aim is to prevent unnecessary delay whilst ensuring a full and fair assessment of the particular circumstances of an individual complaint or appeal.

A formal complaints procedure should be seen as a last resort in the search for a resolution to a problem. Before using the Complaints Procedure, each customer should normally raise the issue with their regular ProVQ contact, in an attempt to resolve their problem.

The following procedure applies to any of our customers. These can be applicants, learners, employers and parents.

2. Complaints and Appeals Procedure:

2.1 If a customer is unable to reach a satisfactory conclusion through dialogue with their local ProVQ representative then they need to raise a formal complaint. This must be done in writing to the Director of Training Operations at the address below, or via email to stuart@provq.com.

ProVQ Ltd
Unit 37 Atcham Business Park
Atcham
Shrewsbury
Shropshire
SY4 4UG

2.2 ProVQ Ltd will acknowledge receipt of the complaint within 5 working days, and commence a full and thorough investigation regarding the points raised.

2.3 When a thorough investigation has been completed and a fair assessment has been made of the supporting evidence, ProVQ will write to the complainant and inform them of the outcome of the investigation. ProVQ will provide a copy of any supporting evidence, where data protection allows, and inform them whether their complaint has been upheld or not. This response will be sent to the complainant within 14 days of ProVQ receiving the original complaint. If the conclusion can't be reached within the 14 day period, ProVQ will contact the complainant and inform them the reasons for this, and when they can expect a conclusion to their complaint.

2.4 If the complainant disagrees with the findings of the conclusion from the investigation, they have the right to appeal this decision. If they wish to make an appeal, they must do so in writing, within 14 days, to the address detailed above, or via email to stuart@provq.com. The appeal should include any supporting evidence to substantiate their complaint.

2.5 ProVQ will review this appeal, taking into consideration all supporting evidence. Once a conclusion has been reached, ProVQ will contact the complainant and inform them of the outcome. This outcome will be communicated in writing within 14 days of the appeal being raised. At this point the complaint will be deemed as concluded.

| Policy Owner | Policy Title | Version Number | Authorised |
|--------------|-----------------------------|----------------|-----------------------|
| Carla Warren | Complaints & Appeals Policy | V004 | Carla Warren 02/10/19 |

2.6 If a complainant still feels they have a valid complaint, or their complaint has not been dealt with appropriately, and is in relation to a government funded Apprenticeship Programme, they have the option to raise the complaint with the Education & Skills Funding Agency (ESFA) The Chief Executive of the ESFA will not usually investigate complaints until the provider's procedure, including the appeal, has been exhausted. If the Chief Executive believes that the provider is not dealing with a complaint appropriately or effectively, it may decide to intervene before the provider's procedure has been exhausted.

The link below provides information, advice and guidance on how to raise a complaint with the ESFA.

<https://www.gov.uk/government/organisations/education-and-skills-funding-agency/about/complaints-procedure#complain-about-a-post-16-training-provider-college-or-employer-we-fund>

You should email complaints to the ESFA at complaints.esfa@education.gov.uk, or put them in a letter to:

Customer Service Team,
Education and Skills Funding Agency
Cheylesmore House
Quinton Road
Coventry CV1 2WT

3 Complaint or appeal against an assessment decision.

3.1 If there is a complaint regarding an assessment decision, then the complainant should follow the complaints and appeals process laid down by the relevant Awarding Body. Each candidate is issued a copy of the relevant awarding body complaints and appeals procedure. If a candidate is unable to find their copy of the complaints and appeals procedure, then one can be requested from jon@provq.com, or via the following links.

IMI: <http://www.theimi.org.uk/complaint-procedure>

4 Confidentiality & data sharing

We treat our customers and staff with respect. Information that is provided to us within the complaints procedure will be treated confidentially and only shared with those persons who have a legitimate reason to have the information in order to carry out any investigations necessary surrounding the complaint raised.

We do not share or disclose any of your personal information to any third parties without your consent, other than for the purposes of conducting appropriate investigations in relation to the complaint raised or :

- where there is a legal requirement for us to do so or
- where the information provided raises concerns about the health, welfare or safety of a child or vulnerable Adult.

| Policy Owner | Policy Title | Version Number | Authorised |
|--------------|-----------------------------|----------------|-----------------------|
| Carla Warren | Complaints & Appeals Policy | V004 | Carla Warren 02/10/19 |

Further information on how we process your data can be found in our Privacy Notice on our web site.

QUESTIONS, FEEDBACK AND REVIEW

Company personnel are encouraged to comment on this policy and suggest ways in which it might be improved by contacting their Manager. Formal review of this policy will be conducted on an annual basis.

| Policy Owner | Policy Title | Version Number | Authorised |
|--------------|-----------------------------|----------------|-----------------------|
| Carla Warren | Complaints & Appeals Policy | V004 | Carla Warren 02/10/19 |