

# POLICY & PROCEDURES

## Complaints Policy & Procedure

### POLICY OVERVIEW & INTENT

Policy No	KAOPS003	Version	V4
Policy Owner	Matt Hoyle	Date Last Reviewed	5 <sup>th</sup> September 2023

### POLICY AIMS

DFA aims to consider complaints and achieve a fair and timely resolution in all cases Kingdom Academy aims to ensure that any complaints from any service or stakeholder is responded to and monitored effectively. This procedure describes how all complaints received from learners and apprentices, clients, employers and visitors should be progressed

### SCOPE

This policy and procedure applies to all learners, employers and stakeholders that are or have undertaken a Kingdom Academy programme of learning. The process also applies to all staff and associates of Kingdom Academy.

### DEFINITIONS

A complaint is an expression of dissatisfaction about an act, omission, decision, or a service provided by us. A dissatisfaction may arise from the actions of a member of DFA staff, or from an area or programme of work that we are involved in. Complaints provide an opportunity to listen, learn and act on the feedback of our stakeholders'

### POLICY & PROCEDURE

#### GENERAL PRINCIPLES

All complaints should be investigated at the appropriate level, (e.g. for learners and apprentices the first point of contact should be their tutor, mentor or ATC ) and all investigations should be conducted sensitively with due regard to the rights and confidentiality of the complainant and any member of staff involved.

Where a member of staff is named in a complaint s/he should normally be informed of the nature of the complaint and given the opportunity to discuss the issue and where appropriate deal with the complaint directly. Staff named in a complaint will have access to personal support at any point in the process.

The outcome of a complaint should normally be made known to any staff involved and the complainant.

DFA aims to eliminate the causes of complaints by learning from each occasion how we have failed to meet the required standard and by implementing effective corrective/preventive actions.

## MAKING A COMPLAINT

A complaint can be made in person, by phone, or in writing (including e-mail) either directly to a member of staff or the Operations Manager using the following contact details

E-Mail: [Matthew.Hoyle@duttonfisher.com](mailto:Matthew.Hoyle@duttonfisher.com)

Tel: 01943 609541

Address: Office 309, Wizu Office Space, Ludgate Hill, Leeds, LS2 7HZ

Anonymous complaints will be processed in a manner as if they had a named complainant and the outcome of the complaint will be recorded.

### STAGE 1 COMPLAINTS

It is anticipated that the majority of complaints can be resolved satisfactorily on an informal basis at a local level.

Initial complaints are progressed as a Stage 1 complaint and investigated by the appropriate staff member. However, these can be elevated to Stage 2 complaints if they are:

- Of a sufficiently serious nature, e.g. major Health and Safety issues;
- Allegations of misconduct, unprofessional behaviour, reputational damage, violence, abuse, etc;

### STAGE 1 COMPLAINTS PROCESS

The complaint will be recorded and forwarded to the Operations Manager using the complaints log at appendix one

The Operations Manager confirms the level of complaint and assigns Stage 1 to the most appropriate staff member for investigation. Stage 2 complaints are undertaken by the Operations Manager.

The staff member investigates the complaint and reports the findings to the Operations Manager

A full written response to the complainant will be provided within 10 working days.

Where a complainant is asked to attend a meeting to discuss the complaint s/he has the right to be accompanied by one other person of their choice. A note of the meeting should be taken and entered into the record.

All records of the complaint and its outcomes should be recorded and retained securely meeting the requirements of the Data Protection Act 2018.

Where the nature of a complaint is deemed to be of a serious nature and/or may be related to a breach of the law, the complaint should be immediately escalated to the Directors for further guidance.

Care must be taken to ensure all communication is in an accessible form that meets the complainant's needs.

## STAGE 2 COMPLAINTS

It is recognised that some issues cannot be resolved at a local level consequently; there is a need to have a further, more formal procedure.

Stage 2 complaints are initiated when:

- The complainant is not satisfied with the outcome of the Stage 1 complaint;
- The complaint is of a sufficiently serious nature or a significant issue, e.g. major Health and Safety issues, allegations of misconduct, unprofessional behaviour, reputational damage, violence, abuse, etc.

Stage 2 complaint investigations are co-ordinated by the Operations Manager

### STAGE 2 COMPLAINTS PROCESS

A full response will be provided to the complainant within 10 working days.

Where a complainant is asked to attend a meeting to discuss the complaint s/he has the right to be accompanied by one other person of their choice. A note of the meeting should be taken and entered into the record.

Where a complaint is made against a member of the Management Team the complaint will be investigated directly by a Director of Service and/or Governor.

Where serious allegations are made against a member of staff, the complaint will be investigated by the Director of Service. In exceptional circumstances the matter may be referred to another appropriate body. Internal investigations and disciplinary action may continue regardless of the outcome.

Care must be taken to ensure all correspondence is in an accessible form that meets the complainant's need.

## APPEALS

The complainant has the right to appeal if s/he is dissatisfied with the outcome of the Stage 2 complaint.

An appeal against the outcome of a complaint should normally be lodged within 30 days of the conclusion of the formal complaint. An appeal should be made to the the Operations Manager in writing, outlining the grounds for appeal including any new information, which was not available at the time of the original complaint.

The appeal should be acknowledged within 3 working days.

The Operations Manager will review the case and may carry out additional investigations if new information merits it, if s/he finds that the formal complaint procedures have not been followed or that the complaint has not been handled fairly.

For apprentices or employers of apprentices who do not feel their complaint has been resolved to their satisfaction they can contact the Education and Skills Funding Agency (ESFA) via the following email address: [complaints.esfa@education.gov.uk](mailto:complaints.esfa@education.gov.uk)

Complaints Team  
 Education and Skills Funding Agency  
 Cheylesmore House  
 Quinton Road  
 Coventry  
 CV1 2WT

Where a complaint/appeal has been made regarding the delivery or assessment of regulated qualifications or apprenticeship end point assessment and where the complaint has not been resolved to the complainants satisfaction this should be brought to the attention of the appropriate awarding organisation. As Dutton Fisher work with a number of different awarding organisations the links to their complaints policies are detailed below

- [Policies - CMI \(managers.org.uk\)](http://managers.org.uk)
- [Microsoft Word - CityandGuilds Complaints Policy v1.3](#)
- [Complaints process - Chartered Institute of Housing \(cih.org\)](http://cih.org)

### CORRECTIVE/PREVENTIVE ACTION

For justified/partially justified complaints the investigator must identify, and record, effective corrective/preventive action(s) to prevent recurrence of the issue/failing. The action(s) must be assigned and have a target date for completion.

### MONITORING, REVIEW AND EVALUATION

The Operations Manager monitors frequency and caused of complaints quarterly. An analysis of complaints identifies commonalities and opportunities for improvement. Actions for improvements are reported at Board level and inform the Quality Improvement Plan.

### POLICY AND PROCEDURE - APPENDICES & REVIEW

#### Related Documents

- **Complaints Log**

#### Version Control

VERSION	Approved by	Signature	Revision Date	Summary of Change	Author
V4	Matt Hoyle		5 <sup>th</sup> September 23	Transfer to KA Template	Matt Hoyle

**APPENDIX A – THE REFERRAL PROCESS**