

Nine Dots Development – Complaints Policy and Procedure

Policy

Introduction

Nine Dots Development is committed to providing a high quality experience for all its users through its training delivery. It encourages a positive environment in which informal contact and feedback from learners and employers is welcomed and where complaints can be dealt with effectively and efficiently. The complaints procedure outlines the processes to be used when a learner has cause for concern. This policy should be read in conjunction with our Safeguarding Policy.

Aims of the Policy

- To provide a clear framework to help anyone who is not satisfied with the company's services to raise their concerns and to ensure that the company responds effectively.
- To ensure that the company has systems in place to make improvements happen as a result of a complaint.
- To encourage prompt resolution at an early informal stage.
- To ensure that all complaints are dealt with seriously, fairly and sensitively, with no resultant victimisation of a complainant.
- To raise awareness of the policy and procedures and ensure that trainers understand the processes through appropriate training.
- To define responsibilities and allocate duties to individual members of company staff in relation to procedures set out.

Scope

This document should be used by anyone who wishes to make a complaint about our services including students, employers, partners, or other users.

Definitions

A complaint is an expression of dissatisfaction about an organisation's action or lack of action, or about the standard of service provided by or on behalf of the organisation.

Requests for services or changes to services, comments, suggestions and questionnaire feedback are not considered as complaints and therefore, do not fall within this process.

Roles and Responsibilities

- The Head of Training Operations receives all formal complaints and is responsible for logging and monitoring the complaints in accordance with the procedures below.
- All trainers and front-line staff have a responsibility for receiving complaints, treating them seriously and dealing with them appropriately. Wherever possible, complaints should be dealt with informally and promptly. All complaints (formal and informal) received by a member of staff must be forwarded to the Head of Training Operations to be recorded.
- The Head of Training Operations has a responsibility to take a lead role in resolving complaints through investigation (when appropriate) and responding to the complainant.

Confidentiality

All complaints will be handled sensitively and with discretion. If a learner makes a complaint against a member of staff, that member of staff may be informed about the substance of the complaint so that they are in a position to make a response. The company will not normally investigate anonymous or malicious complaints except in exceptional circumstances and for justifiable reasons. This may be considered if the complainant wishes to remain anonymous in cases of harassment.

Procedure 1. Informal Complaints

1.1. It is hoped that most complaints can be dealt with using informal procedure.

1.2. Concerns should be raised in the first instance with the person or area concerned as soon as possible, and not later than 3 months after the incident. If appropriate, a meeting will be offered between the person complaining and area they are complaining about to arrive to an agreed resolution.

1.3. If a complaint is about a trainer or member of staff, it should be referred to the appropriate line manager.

1.4. If a learner reports a fault with the training environment (e.g. not clean or broken chair etc.) or its surrounding facilities, the trainer is to report it to the Head of Training Operations at the earliest opportunity.

1.5. At this informal stage complaints may be made in person, by phone or by email.

1.6. All informal complaints, even when satisfactorily resolved, should be forwarded to the Head of Training Operations to be logged.

Formal complaints

Where complaints are very serious or the matter has not been resolved informally, the complainant should raise a formal complaint under the following procedure.

Complaints made more than 3 months after the incident will not normally be investigated.

- 2.1. Submission of complaint in writing: The complainant should submit complaints in writing to the Head of Training Operations.
- 2.2. Acknowledgement: The Head of Training Operations will send an acknowledgment (normally within 5 working days) stating who will be investigating the complaint and that a response will be provided within 20 working days.
- 2.3. Logging the complaint: The Head of Training Operations maintains a spreadsheet of all complaints, their progress and outcome.
- 2.4. Investigation of the complaint: The Head of Training Operations will carry out the investigation. During this stage the complainant may be contacted for further information or to be invited to meet the Head of Training Operations (they may be accompanied by a friend or family member, however, an accompanying person cannot take active part in the proceedings but can offer support to the complainant).
- 2.5. Resolution: The Head of Training Operations will consider the complaint thoroughly and will make a judgement based on evidence gathered and will decide to:
- Dismiss the complaint as unfounded, giving reasons.
 - Uphold or partially uphold the complaint, propose an amicable settlement, take appropriate steps to address the issue and to avoid a similar problem arising in the future.

The outcome of the investigation will normally be communicated to the complainant by the Head of Training Operations and a copy of the letter will be kept on file.

2.6 Dissatisfied at the outcome of a complaint: If there is dissatisfaction at the outcome of a complaint investigation carried out by Nine Dots Development for a qualificatory programme, the complainant has the right to escalate their complaint to the Awarding Body (ILM or CMI). For funded programmes, if the complainant is still dissatisfied with the outcome from the awarding body, they can escalate the complaint to the relevant End Point Assessment organisation, Qualification Regulator or government body (ESFA).

2.7 Arbitration. If the complaint still has not been resolved, it will be referred to an agreed independent arbitrator.

2.8 Quality improvement: The Head of Training Operations will ensure that relevant action is taken to change procedures or implement staff training to prevent recurrence of the complaint.

2.9 Monitoring the complaint: The Head of Training Operations is responsible for monitoring all logged complaints to ensure they are resolved within the allotted 20 Working days and will inform the complainant if they are unable to meet the agreed timescale.

2.10 Evaluation: A record of complaints and outcomes will be recorded on a complaints database. The database will be analysed on a regular basis to ensure that actions are carried out to address issues raised.

2.11 Reporting. A report on complaints received will be made available for discussion at senior management meetings on a quarterly basis.