



COMPLAINTS AND APPEALS POLICY



Reviewer Name	Date Reviewed
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COMPLAINTS AND APPEALS PROCEDURE

Complaints

Any complaints that an apprentice or employer may have should be first raised with the tutor, in order to try and resolve the issue. In the event that a complaint must go further, you should write to the Centre Manager who will carry out the necessary investigation to try and settle the matter.

This procedure allows for two types of complaint to be made. These are as follows:

-  disagreements about assessment, verification or centre decisions and
-  problems relating to the Profile's records, systems and processes.

For both types of complaints, there are two stages to follow, the Informal and Formal stages. These are as follows:

Informal Stage

You should raise any problem or complaint with your Tutor within three working days of the event occurring. Your Tutor should aim to resolve the issue or clarify their reasons for their decision. The discussion should be recorded and a copy sent to the Centre Manager, with copies being retained by both parties.

If you are not satisfied with the outcome, or the Tutor feels that the issue is outside their level of responsibility, the issue should then be referred to the Centre Manager within five working days of the initial discussion.

The Centre Manager will then arrange to meet with the Tutor and yourself to resolve the issue. Notes of this discussion will be made and copies given to all those involved.

The Centre Manager will provide written confirmation of the outcome of the investigation, and the decision made, within 10 working days of meeting with you and your Tutor. Again, a copy of this letter will be provided to all those involved.

It is expected that most problems will be resolved at the informal stage, however some issues may require further investigation and in these cases the following applies:

Formal Stage

The formal stage would normally be used only after the Informal stage had been used and has been unsuccessful. However, certain incidents or issues may be deemed suitably urgent or serious to proceed straight to the Formal stage.

You should make the complaint in writing and send it to the Centre Manager. The written complaint should be sent within 5 working days of the receipt of a letter from the tutor or the incident itself.

Depending on the nature of the complaint, the Centre Manager will identify a suitable independent person within the Centre to investigate the complaint. This would usually be one of the Directors. The Centre Manager would then be required to inform the External Quality Assurer (EQA) and Awarding Body of the complaint and the actions taken, if relevant.

The Centre Manager would investigate the complaint within 25 working days of the receipt of the Formal Complaint and provide a written report to the Managing Director. The Centre Manager would need to interview relevant people and would examine relevant documentation.

Having received the report from the Centre Manager, you would be notified of the outcome and decision(s) within 3 working days. A copy of this letter should be sent to the Managing Director. After this has been concluded, the EQA and Awarding Body will be informed by the Centre Manager of the result, if relevant.

Appeals

If you are not satisfied with the outcome of the formal stage, the issue would then be referred to the EQA. This will be done within 3 working days of the decision from the Centre Manager. The EQA would then follow his/her own procedures from here onwards.

The decision of the Awarding Body (by way of the EQA) is final and will be notified to all involved within five working days of a decision taken.

After this process (or at any stage during this process), it is your right to refer the matter directly to the relevant Awarding Body. The Centre will provide the address to write to.

Information about the procedures of the relevant Awarding Body can be provided by the Centre Manager on request.

RECORDS

Any records about complaints will be kept by the Centre Manager and will be stored confidentially. Periodically, it will be necessary to make these records available for inspection by the Directors. This is to ensure that complaints are dealt with in a fair and consistent manner by the Profile.

Complaints that have been resolved will also be discussed within the Profile team providing confidentiality is not breached. This is to ensure that processes, systems and practices are updated within Profile, who are continually striving to improve the quality of services offered.