



Complaints Policy and Procedure

V1.6 2023/24



Complaints Policy and Procedure

Our Aim

Umbrella Training Ltd is committed to providing a quality service and working in an open and accountable way that builds trust and respect. One of the ways in which we can continue to improve our service is by listening and responding to the views of our learners and clients, and by responding positively to complaints, and by putting mistakes right.

Therefore, we aim to ensure that:

- making a complaint is as easy as possible.
- we treat a complaint as a clear expression of dissatisfaction with our service which calls for an immediate response.
- we deal with it promptly, politely and, when appropriate, confidentially.
- we respond in the right way - for example, with an explanation, or an apology where we have got things wrong, or information on any action taken etc.
- we learn from complaints, use them to improve our service, and review annually our complaints policy and procedures.

We recognise that many concerns will be raised informally and dealt with quickly.

Our aims are to:

- keep matters low-key.
- resolve informal concerns quickly.
- enable mediation between the complainant and the individual to whom the complaint has been referred.
- an informal approach is appropriate when it can be achieved initially by speaking to your LEARNING CONSULTANT or your Line Manager to raise issues. But if concerns cannot be satisfactorily resolved informally, then the formal complaints procedure should be followed.

Definition and Grounds for Complaint

A complaint is an expression of dissatisfaction about an aspect of a service or facility provided, unfair or discriminatory actions or decisions made by representatives of Umbrella Training Ltd. It excludes concerns or issues relating to formative and summative assessment decisions or decisions and outputs from internal quality assurance. Please refer to the Appeals Policy and Procedures for guidance about to make an Appeal against an assessment or quality assurance decision / outcome.

Resolution of the Complaint

Step 1 – Informal Complaints

If you are one of our learners, you should in the first instance raise any complaint / concerns with your Learning Consultant. If the complaint / concern is about your Learning Consultant, you should raise your concern with the Senior Learning Consultant.

If you are an employer, you should in the first instance speak with your local point of contact, which might be the Learning Consultant or a member of the Commercial team.

If you are from a referral agency or other similar organisation, you should speak to your usual point of contact.

We believe that most concerns can be resolved by having an open and professional conversation and in so doing be resolved very quickly and without the need to follow the further stages of the process. We aim to resolve the issues you raise informally within 5 working days

Step 2 – Formal Complaints (1)

The individual who wishes to make the complaint must contact the Quality and Operations Director and state their complaint. The Quality and Operations Director will then record the complaint and request that the person complaining completes a “Complaints Form “within five working days.

Step 3 – Formal Complaints (2)

On receipt of the written complaint, the Quality and Operations Director will, within ten working days, identify the relevant person to deal with the complaint, review the information and make recommendations for its resolution.

The relevant person may be:

- Senior Learning Consultant
- A manager from within the employee’s organisation
- An independent person
- Another Director in the business

The Quality and Operations Director will then write to the complainant with recommendations for resolving the issue.

Step 4 – Formal Complaints (3)

If the individual is unhappy with the action taken by the Quality and Operations Director, s/he can write to the Managing Director, within 10 working days expressing the concern. The Managing Director will request a full report from Quality and Operations Director and will discuss it with them. Who will then advise further action or support the initial decision

If the complaint is against the Quality and Operations Director, s/he will submit the complaint and the action taken to the Managing Director who will deal with it. This may include involving an

independent person to help resolve the issue or referring the matter to the appropriate awarding body or relevant stakeholder.

Step 5 - Formal Complaints (4)

If the complainant is still dissatisfied with the action taken, s/he can request that the complaint be submitted for the agenda of the next Board of Directors meeting. If the time of the next meeting is more than three months from the initial date of the complaint, a special meeting will be convened to discuss the complaint. The meeting will take account of all previous action taken.

The decision taken by the Board of Directors will be final.

It is worth noting that the complaint may be the responsibility of another organisation, it can agree to refer the matter for resolution.

The conduct of the Quality and Operations Director **can** be referred to her/his employer **Umbrella Training Ltd Managing Director – Sara Roberts** to resolve.

Following the conclusion of a review by the Board of Directors and the receipt of a Completion of Procedures letter, if the complainant is still unhappy about the outcome, they may be able to take the matter further with the Education and Skills Funding Agency (ESFA) (www.esfa.gov.uk).

Recording and Monitoring

The Quality and Operations Director keeps an electronic log and record of complaints in which all complaints and actions taken are recorded. This will be shared with the relevant personnel as part of the regular monitoring process. On an annual basis the Board of Directors as part of the process of review and evaluation will also consider complaints in the wider context. Outcome of this discussion may result in changes to policy and procedures.

Linked Policies

- Appeals Policy and Procedure
- Equality and Diversity Policy



Complaints Form

Complainant Full Name:

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Email address

Telephone number

Address:

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Programme/Course

Nature of Complaint:

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Signature **Date**

Date submitted to the Assessment Centre:

Received by – internal use

Centre.....

Date **Signature**

Annex 1

Contact details within Umbrella Training Ltd (April 2022)

- **CEO:** Adele Oxberry - adele.oxberry@umbrellatraining.co.uk / 07816 390512
- **Managing Director:** Sara Roberts - sara.roberts@umbrellatraining.co.uk / 07951 957127
- **Quality and Operations Director:** Karen Palfreyman -
karen.palfreyman@umbrellatraining.co.uk / 07494 884298
- **Commercial Director:** Jenni Clarke - jenni.clarke@umbrellatraining.co.uk / 07947 905602
- **Senior Learning Consultant:** Will Braggins - will.braggins@umbrellatraining.co.uk / 07494 485366
- **Quality Lead: Ali Barford-Drew** - ali.barford-drew@umbrellatraining.co.uk / 07908 041 461
- **Main office:** 0333 577 2557

Should you need to raise your appeal to any of our Awarding Organisations or End Point Assessment Organisations (relevant to your course), please find below their details:

- VTCT – Hospitality Apprenticeships – www.vtct.org.uk
- Quallsafe – Food Safety and Health and Safety courses – level 2 - www.quallsafeawards.org
- Highfield – Health and Safety level 3 & 4, personal license holder & Manual handling courses
www.highfieldabc.com
- For apprenticeship standards – People 1st - www.people1st.co.uk
- For Hospitality EPA – ehap – www.ehap.co.uk

Should you address your complaint or appeal to any awarding body and remain unhappy with the outcome, you may then raise your complaint or appeal to the relevant qualification regulator, either a representative of Umbrella Training Ltd or the relevant awarding body will be able to offer you guidance on the appropriate qualification regulator in each instance and provide contact details.

Document control

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Policy Owner	CEO
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Revision Number	1.6
Reason for Revision	To be in line with updated legislation
Amendments	Name changes and phone numbers of key personnel.
Formal Review Date	April 2024

Signed



Printed Name Adele Oxberry

Job Title CEO

Date 12th April 2023