

## **Complaints Policy and Procedure**

### **KEITS Complaints Policy**

KEITS is always keen to hear suggestions for improving our service. We also want to discuss any concerns you may have and if you think something is wrong, we want to address your concerns. All suggestions, concerns, complaints and compliments are recorded by KEITS. This helps improve the quality of KEITS services and ensures that all staff maintain the highest level of professionalism. The policy and procedure for dealing with complaints are detailed below and we aim to ensure that wherever possible, a resolution is found to a problem quickly and fairly.

### **Data Protection & Confidentiality**

Complaints and all information relating to the complaint will be treated in confidence in line with KEITS Data Protection/GDPR Policy. All information will only be shared with key KEITS employees who need to be involved in handling your complaint. Any written material will only be viewed by key personnel and records will be maintained in accordance with our data protection policy provided it does not breach confidentiality or any individuals' rights to privacy under the DPA 2018 or GDPR.

### **What to do if you have a complaint about a KEITS staff member or someone associated with KEITS**

Raise your complaint directly with the member of staff or the person concerned and tell them what you are unhappy about. They should listen and if there is a simple solution, they should try to put it right immediately. If you would prefer, raise your complaint with someone who is not directly involved with the situation: perhaps an Internal Quality Assurer if you are a learner, or via a KEITS Senior Manager/Director or the External Quality Assurer, if it is related to an award or if you are an employer with concerns. You should ask them to make sure that the complaint is recorded, and that action is taken, and you are kept informed of the outcomes.

### **Public Disclosure Information Act 1998**

This Act is aimed at protecting individuals who make certain disclosures of information in the public interest and allows such individuals to bring action in respect of victimisation or malpractice, without retribution from employers or colleagues. Such retribution may include bullying, harassment, dismissal or being passed over for promotion. KEITS will always endeavour to abide by this legislation and would encourage internal 'whistle blowing' to appropriate senior management as a first step.

### **Policy for dealing with complaints**

All complaints will be taken seriously, and we aim to respond to all concerns and complaints within two working days and to have answered or resolved questions/concerns within seven working days. Complaints may be made to whoever is appropriate depending on the nature and severity of the complaint. Please see suggestions below for guidance as to who would be best placed to deal with your concern most effectively:

<b>Location</b>	<b>Title</b>	<b>Responsibility</b>	<b>Date Created</b>	<b>Version/Update</b>	<b>Review Date</b>
CORPORATE/Generic KEITS Policies, Strategies & Procedures	Complaints Policy and Procedure	RD	08.12	8- 06.19	04.20

Complainer	Complaint against	Nature of complaint	KEITS contact
Employer	Assessor	Assessment procedure or decision	Director/ Area Manager
Learner/parent	Employer	Employment related	Marketing & Business Development Manager/ Account Manager/Sector Area Manager
Learner/parent	Employer/ or other employees	Bullying/harassment/etc	Safeguarding designated person
Employer/learner/parent	KEITS Assessor/IQA	Assessment procedures or decisions	External Quality Consultant (ask HO for details)
KEITS Employee	KEITS Employee	Bullying/harassment Poor practice	KEITS Director
KEITS Employee	Director	Bullying/harassment Poor practice	Another Director

Complaints by stakeholders may be made to the assessor who attends the employment location or to head office if more appropriate, where it will be referred to the most appropriate person depending on the nature of the complaint. Complaints/allegations between KEITS employees will be investigated independently and impartially by the most appropriate personnel according to the advice provided above. Lines of complaint will be detailed within the procedure identified below.

Complaints may be made in writing or verbally, but they will be recorded and tracked electronically to ensure that an auditable trail may be followed to ensure that appropriate actions within the agreed timescales are followed. In accordance with our Data protection policy. This will also enable evaluation of complaint handling to be undertaken which will feed into our quality improvement cycle.

Complaint handling will be monitored by KEITS Head of Quality, supported by the Directorate and our policy and procedure will be monitored annually to ensure that they are fit for purpose.

### Procedure for Dealing with Complaints

Details will be recorded by the person receiving the complaint and will be passed to the appropriate person identified above following the agreed procedure. Whoever handles the complaint will contact the Head of Quality who will update the complaint log and ensure that the complaint is handled in a timely manner.

Complaints taken at head office; will be taken to a member of the senior team within the office who will refer to the appropriate person, the Head of Quality will ensure that the complaint log is updated and managed within the agreed timescales.

Complaints made to assessors; will be recorded and referred to their area manager who will refer to the appropriate person and the Head of Quality will ensure that the complaint log is updated and managed within the agreed timescales.

Complaints made regarding KEITS member of staff, will be recorded and dealt with as above.

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## What happens next?

The complaints procedure is in three stages

### Stage 1: Looking for a Solution

Wherever possible KEITS aims to put things right straight away. If this is not possible, you will be contacted within 7 working days to discuss the problem and how to resolve it. Normally finding a solution should take less than 14 days. If it is likely to take longer, you will be informed of the timescales and the reasons for it. You will be kept informed of progress. If you are not satisfied or the complaint is very serious, the complaint will enter the second stage of the process - Making it Formal.

### Stage 2: Making it Formal

If Stage 1 has not resolved a complaint to your satisfaction, it will go to Stage 2. You may decide that you want to make a formal complaint straight away, but generally it will be easier to try to resolve it more informally first. To make a formal complaint, you can speak directly to the Chief Executive. When a complaint becomes formal, an investigation is arranged and someone independent of the situation from within KEITS will undertake the investigation. The investigator will discuss the complaint fully with you and consider your views. The investigator will recommend to the Chief Executive any action that needs to be taken and you will be contacted personally about this. A record will be made of whether or not you are satisfied with the outcome. If you are still not satisfied you can ask for an Independent Review – Stage 3.

### Stage 3: Independent Review

If you are not happy with the outcome of a formal complaint, you may ask for an independent review by the organisation that contracts with KEITS to fund our work. This is The Education & Skills Funding Agency (ESFA). The ESFA has its own procedures for investigating complaints and you will be put in touch with the appropriate ESFA Contact who will advise you further. KEITS will be informed by the ESFA of the result of the investigation and will comply with any recommendations unless we feel there are grounds for an appeal.

*David Rose*  
Chief Executive KEITS

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## Complaints Procedure Form

Name of complainant & contact details (phone, e-mail & address)	
Name of Employment location	
Name of person that the complaint is against	
Date	
Nature of the complaint	
Method of communication of complaint	
Who the complaint has been referred to	
Interim response (within 2 working days)	
Considered response following investigation (within 7 working days)	
Action to be taken	
Follow up activity	
Review and evaluation of complaint	
Further action	

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