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|  | Procedure QF-02 | Page 1 of 8 | Version 9 | Date: 19/09/24 |
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| Complaints Policy and Procedure | | | | |

1 Introduction

TRN Train Ltd, referred to as TRN, aim to deliver high quality training and assessment to all apprentices, learners and employers, however should our delivery or quality of service not meet expectations, we would like to know about any such issues so we can evaluate our service and implement actions swiftly to maintain relationships and continually improve our provision, where appropriate.

This complaints policy aims to provide individuals with a mechanism to submit their complaints/feedback to ensure that complaints are resolved fairly and in a timely manner.

This policy covers areas of TRN activity where an individual or group has a complaint arising from their TRN experience. The Policy should not be used where an issue is covered by any other TRN policies, for example; for an appeal against an assessment decision, our awarding organisation appeals procedure should be followed. Where relevant, individuals will be advised and directed to the appropriate company policy.

2 Scope

- 2.1 This procedure outlines the process to follow when a complaint is made about any aspect of the quality of apprenticeship training, training and/or service provision and outlines the timescales a complaint must be responded to, dealt with and the investigation stages.

3 Principles

- 3.1 All complaints will be taken seriously and ensure all complaints will be investigated fairly, fully and in a timely manner.

- 3.2 Complainants will be able to escalate their complaint, should they not be satisfied with the original decision.
- 3.3 Complainants will be treated professionally, courteously and with respect.
- 3.4 All staff will understand how to respond and deal with complaints
- 3.5 Complaints will be logged centrally, monitored and feedback will be used to improve quality of training and/or service delivery, where appropriate.

4 Responsibilities

- 4.1 It is the responsibility of line managers to ensure that staff are made aware of how to deal with and respond to complaints.
- 4.2 It is the responsibility of trainer/assessors to ensure that apprentices and learners are informed about the Complaints procedure during their induction process.
- 4.3 It is responsibility of business development managers to ensure employers and work-placement providers are informed about the Complaints procedure.
- 4.4 It is the responsibility of the Head of Quality to ensure that complaints are logged centrally, investigated promptly, efficiently and in line with company procedure by a suitably experienced investigating officer.
- 4.5 Overall responsibility for the implementation of this policy falls with the Managing Director.
- 4.6 It is the responsibility of the Head of Quality to oversee the application of the Complaints policy and procedure and to review its content on an annual basis as part of the company's self-assessment process. Senior management and quality forum meetings are to be used as a vehicle to review any in-year policy updates that may be required.
- 4.7 It is the responsibility of all staff receiving a complaint to respond in a professional, courteous and respectful manner following company guidelines.

5 Definition

A complaint is any expression of dissatisfaction made verbally or in writing about any aspect of our quality of service and/or training delivery including; apprenticeship, adult learning programmes, traineeships or full-cost commercial training courses, which has caused a concern, problem, disruption or other issue.

6 How to raise a complaint

Complaints can be made using our Complaints Form at the end of this document, put it in writing or you can telephone our head office on 0191 477 08 40 and you will be transferred to the appropriate person.

If you prefer, you can email your complaint directly to our Head of Quality, Andrew Naylorj at: Andrew.Naylor@trainltd.org

7 Data Protection

- 7.1 It is the responsibility of apprentices, learners, employers and stakeholders to bring to the attention of TRN, any problems or concerns.
- 7.2 Complaints received from a third party, or parent/guardian on behalf of an apprentice or learner will only be logged and responded to with the express written consent of the individual apprentice or learner that the complaints relates to. Complaints will not be investigated where written consent is not obtained, unless the nature of the complaint is of a serious matter and we have a lawful interest and duty to fully investigate.
- 7.3 TRN's Data Protection Policy should be consulted for further information pertaining to data protection, privacy and processing of personal data.

8 Receiving a complaint and how long it takes for a complaint to be resolved

- 8.1 The staff member receiving a complaint will obtain and record contact details of the complainant and complaint made and will refer it to the Head of Quality as soon as possible and within one working day.
- 8.2 All staff will treat the complainant professionally, courteously and with respect and will take all complaints seriously.
- 8.3 Upon receipt of the complaint the Head of Quality will either conduct the

investigation themselves or appoint an investigating officer.

- 8.4 The investigating officer or Head of Quality will acknowledge receipt of the complaint, advising the complainant of actions to be taken by the Company and associated timescales. Acknowledgement will be within one working day of receipt of the complaint.
- 8.5 Should further information be required as part of the complaint investigation, the complainant will be contacted by the investigating officer within 5 working days.
- 8.6 Every effort will be made to resolve the complaint and to provide a full response to the complainant within 10 working days. This will be done verbally or in writing.
- 8.7 If the investigating officer is unable to satisfactorily resolve the complaint within 10 working days then the complainant has the right to escalate the complaint to the Managing Director via the Appeals procedure contained within this policy document.
- 8.8 Once the complaint has been fully resolved the Head of Quality will update the complaints database with relevant details.
- 8.9 Complaints made by staff will not be investigated via this policy, however these should be referred to the company's Grievance, Disciplinary and Whistleblowing procedures.

9 Action when receiving a Complaint

Stage one – informal stage

- 9.1 Should staff receive an informal complaint, these should be dealt with immediately by the same staff member to ensure a timely resolution. There is no need to refer the complaint to the Head of Quality, unless the nature of the complaint requires you to do so, which may include a safeguarding incident or alert, health and safety concern or an issue which may impact on the reputation of the company.
- 9.2 Staff responding to informal complaints should do so in writing outlining the agreed resolution and should retain a copy of the response which should be stored securely for three years from the date of resolution.

Stage two – formal stage

- 9.3 A complaint that cannot be dealt with or rectified informally should be referred to the Head of Quality who will log the complaint as a formal complaint.

- 9.4 The Head of Quality will acknowledge receipt of the complaint in writing to the complainant within two working days from the date of receipt.
- 9.5 The Head of Quality or an investigating officer will be appointed to fully investigate the complaint.
- 9.6 The investigating officer or Head of Quality if the complaint is being investigated by themselves will aim to conclude their investigation within ten working days of acknowledgement of the original date of the complaint. A written response will be sent to the complainant either by letter or email and the complaint will be closed.

10 Appeals

- 10.1 Should a complainant be unhappy with the decision of the formal complaints stage, the complainant should appeal in writing to the Managing Director within ten working days from the date of the written response.
- 10.2 Appeals will be acknowledged within three working days of receipt of the written appeal and fully investigated and responded to within 20 working days detailing the outcome of the appeal which is the final decision.
- 10.3 The outcome of the appeals process is the final stage of the complaints procedure, but this does not affect your right to contact the relevant Awarding Organisations, Regulatory Bodies or Funding Bodies, where applicable.

11 Escalation and complaints about delivery of funded learning programmes

- 11.1 The Education and Skills Funding Agency have a complaints procedure in relation to Post-16 education and training provision which is available from Gov.uk website, <https://www.gov.uk/government/publications/complaints-about-post-16-education-and-training-provision-funded-by-esfa/complaints-about-post-16-education-and-training-provision-funded-by-esfa>
- 11.2 Complaints pertaining to delivery of apprenticeship programmes that have not been resolved using our complaints procedure can be referred to the Education and Skills Funding Agency via the Apprenticeship national helpline.

All Parties can escalate any queries or complaints to the ESFA Apprenticeship Service Support using the contact information below:

helpdesk@manage-apprenticeships.service.gov.uk

Telephone: 08000 150 600

12 Evaluation and monitoring of complaints

- 12.1 The Head of Quality will provide a monthly summary of all complaints at Senior Management meetings.
- 12.2 Complaints will be evaluated on an annual basis for continuous quality improvement purposes and outcomes of improvements will be recorded to demonstrate how feedback is responded too. Improvements will be monitored and reviewed for their effectiveness through senior management meetings, quality forum meetings or if applicable, our quality improvement plan.

Complaints Form

| COMPLAINANT DETAILS: | | |
|--------------------------------|------------------|-----------------|
| Your title: | Your first name: | Your last name: |
| Contact details: | | |
| Date Complaint received: | | |
| Name of Investigating officer: | | |
| Details of Complaint | | |

Complaint investigation log:**Date****Action taken / Outcome**

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Complaint resolution outcome:

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Complaint resolution sign-off:

Signature:

Print Name:

Date:
