



**Anderson Stockley
Accredited Training Ltd**

Complaints and Dispute Resolution Procedure.

Complaints Policy and Procedure

1 Introduction

Anderson Stockley Accredited Training Ltd (ASAT) is committed to providing a high-quality service for all learners and clients. Its policy is to welcome and try to resolve complaints from all who use ASAT Ltd and feel they may have a complaint/Dispute.

ASAT Ltd will deal with legitimate complaints/disputes in a fair, prompt and objective manner. Complaints will be dealt with without recrimination unless malicious and unfounded. Learners will not be disadvantaged by personally raising a complaint. Anonymous complaints cannot be accepted. However, all information is kept in strict confidence, shared only on a need-to-know basis with learner's/client's agreement if necessary.

ASAT Ltd will be fair in its treatment of all those who complain/raise a dispute irrespective of age, gender, ethnicity, disability and regardless of the nature of the complaint.

Complaints/disputes will be dealt with promptly and constructively. All complaints will be dealt with in confidence but shared with any person who may be the subject of a complaint. The outcomes of any complaint will be shared with the complainant and any staff involved. Complaints made that, on investigation, turn out to be malicious, may result in further action.

The Operations Director has overall responsibility for the Complaints and Dispute Resolution Procedure and may nominate another person to investigate the complaint.

2 Types of complaint

The types of complaint ASAT Ltd can consider are:

- Delivery (or lack of delivery) of services or training including teaching, course content, tutoring and learner support
- The quality or management of learning provision
- Equality or diversity issues (except where there is a more appropriate mechanism for dealing with the matter through the courts, tribunals or other organisations)
- Health and Safety concerns (unless these are matter for the Health and Safety Executive)
- Incorrect or misleading information about services provided by ASAT Ltd
- Delivery (or lack of delivery) of support services provided by ASAT Ltd
- Unacceptable behaviour by any staff, learners or employers

The types of complaint ASAT Ltd cannot consider are:

Examination results where a more appropriate redress would be the examining body or Ofqual.
Individual employment issues which are a matter for the employer and the employee, where employment law provides appropriate remedies.

Matters that are the subject of legal action, or where legal proceedings are the most appropriate way of resolving the dispute.

Stage 1: Informal resolution of complaints/disputes

Most complaints/disputes should be able to be resolved by discussion between the complainant and the appropriate member of staff, within 14 working days of an incident arising. It is expected that staff, learners and employers are tactful and courteous in dealing with each other when raising a complaint. If the complainant is dissatisfied with the response received, they should then be guided to using the formal procedure.

Stage 2: Formal procedure

A formal complaint should be made in writing within 14 working days setting out the nature of the complaint and particulars of the matter, together with relevant supporting documents, from which the complaint arises, or from the date when the complainant received a reply to an informal complaint. The complaint should be sent to the Operations Director. The complaint will be acknowledged to the complainant within 5 working days and the Operations Director will attempt in good faith to resolve the complaint/dispute.

The Operations Director will carry out an initial assessment of the complaint within 5 working days. In most cases, complaints will be referred to the appropriate Director or Manager for investigation and report. More serious or unusual complaints will be investigated primarily by the Operations Director.

The appropriate person will carry out a factual investigation of the complaint and may interview the complainant, the respondent, witnesses to the matter or events and anyone they believe may have a role in establishing or disproving the complaint, as necessary. They will prepare a summary and report back to the Director within 10 working days of the initial assessment.

The Director will record the outcome of the complaint and will either arrange a meeting to deliver the outcome or notify all those involved in writing as appropriate. All outcomes will be confirmed in writing to all those involved.

All learners will be encouraged to bring a supporter to any interview. Vulnerable Adults and those under 18 years of age must have the support of their care worker if appropriate, or a person of their choice, who can act as their advocate and the Director must be informed prior to any meeting.

The formal complaint should be resolved within 25 working days of the receipt of the original formal complaint. If it appears that a decision will not be reached within the due period, those involved will be advised of the need for a longer period and why.

3 The Appeals Procedure

Either the complainant or the respondent may appeal in writing, stating detailed reasons and listing any supporting new documents or reasons to the Managing Director within 5 working days of receiving written confirmation of the outcome of the formal complaint. The appeal will be acknowledged within 5 working days and the Director will review and notify the final decision in writing to all those involved within 20 working days of receiving the appeal.

If a resolution cannot be reached through ASAT Ltd learners have the right to escalate their complaint to the relevant Awarding Organisation, Regulatory Bodies and Funding Partners.

We have a separate Appeals Procedure for disputes within the assessment process.

If the Operations Director and the Managing Director of the Client cannot resolve the complaint/dispute, the parties shall attempt to settle it by mediation in accordance with the Centre for Effective Dispute Resolution (CEDR) Model Mediation Procedure.

To initiate the mediation, a Party shall serve notice in writing (an ADR notice') to the other Party to the Dispute, requesting mediation.

A copy of the ADR notice should be sent to CEDR.

If the complaint/dispute is not resolved, or either Party fails to participate or continue to participate in the mediation, the dispute shall be finally resolved by the courts of England and Wales.

4 Monitoring the Procedure

It is essential that complaints are resolved promptly. The Director will check the status of complaints on a regular basis to identify outstanding complaints and ensure that the procedure is following the set time limits.

ASAT Ltd will hold a record of all complaints for 2 years for audit purposes.

ASAT Ltd complaints contact details:

**FAO Operations Director
4 Deanery Court,
Preston Deanery,
Northamptonshire,
NN7 2DT
Email – enquiries@asatraining.co.uk**

Apprenticeship Clients and Learners

All Clients and Apprentices can contact the apprenticeship helpline regarding apprenticeship concerns, complaints and queries on the details below and they will direct you to the correct department:

ESFA
The Service Desk
Telephone: 0370 267 0001
sde.servicedesk@education.gov.uk
complaints.ESFA@education.gov.uk

Information held by ASAT Ltd complies with General Data Protection Regulation and is stored securely and used by those with sufficient authority to use it for the intended purpose.