



# COMPLIANTS PROCEDURE

SCCU LIMITED

VERSION 5.0

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## Version Control

VERSION	REVIEWER NAME	DATE	NEXT REVIEW	COMMENTS
5.0	Liam Morrissey	01/08/2021	01/08/2022	Review of previous version.

## Introduction

1. We sincerely hope that there should never be the need to complain, however, should an employer or learner resolve an issue and wish to complain about the services provided by SCCU Ltd, they are advised to follow the procedure stated below.
2. It is ultimately the responsibility of the Operations Director to ensure that this procedure is published and accessible to all personnel, learners and any relevant third parties.

## Complaints – Our Objectives

3. Our objective is simply not to have any complaints and ensure complete stakeholder satisfaction.
4. To ensure stakeholder satisfaction our working practices are listed below:
  - a. We follow the law and guidelines in our field of practice.
  - b. We aim to maintain a high standard of work ensuring satisfaction from all involved parties through responsible tendering and partnership, ensuring adequate tools for the job, staff training, performance management, flexibility, ongoing improvement and a drive for excellence in all areas of the organisation.
  - c. We document all communication throughout the complaints process and keep this information private and confidential in line with Data Protection Act and GDPR.
  - d. We acknowledge where we have fallen below our high standards and work to improve our practice.
  - e. We provide support in the unlikely event of harm.
5. There are some areas, however, that we cannot control or be held responsible for:
  - a. Any failures from third parties when due diligence in using their services have already been undertaken.
  - b. Conflict between parties that we have no influence on.
  - c. Complaints outside of the scope of the business.
6. If a serious allegation is made, SCCU will self-report the complaint to the appropriate bodies to investigate these complaints transparently and appropriately.

### Scope

7. This complaints procedure is not to be used by staff to raise grievances, which should be raised under the Grievance Procedure or to raise whistleblowing concerns, which should be raised under the Public Interest Disclosure Policy.
8. This complaints procedure should not be used to complain about our awarding bodies or the assessment criteria set by them.

## Complaints Procedure

### Stage 1

9. An informal complaint can be made to the learner's tutor or employer's account manager.
10. This can be done by calling the office on 02476 936969 (lines are open from 9:00 am to 5:00 pm Monday to Friday, excluding bank holidays), where we will try to resolve the issue if we can.
11. If you prefer to put your complaint in writing in the first instance, you should write to the person who handled your initial query: that's usually the quickest way to resolve a problem.
12. We will need:
  - A completed complaints form detailing what your complaint is about.
  - Copies of any correspondence or evidence related to the complaint.
  - Your telephone number, email address or postal address (so we can reply).
13. If you're still not satisfied, ask for your complaint to be escalated to their line manager.
14. We will inform you that we have received your complaint within 48 hours.
15. If we can't reply to you within this time, we will let you know and tell you when you can expect a reply.

### What happens next?

16. The Quality & Curriculum Manager will investigate your complaint [looking at whether your questions were answered, whether you suffered any injustice and what remedy would be fair and proportionate in the circumstances].

17. The Apprenticeship and AEB Manager will likely contact you during the investigation for further information.
18. They will inform you of the outcome of our investigations and respond within 10 working days.

### Stage 2

#### What to do if you are not satisfied

19. If you are dissatisfied with the way the complaint was handled at Stage 1, and/or wish to pursue your complaint, you may escalate the complaint to the Apprenticeship and AEB Manager within 10 working days of receiving the outcome from Stage 1.
20. If the complaint was dealt with by the Operations Director Stage 1, then you should submit a formal complaint to the Operations Director.
21. We will need:
  - A completed complaints form detailing what your complaint is about.
  - Copies of any correspondence or evidence related to the complaint and how it was handled at Stage 1.
  - Your telephone number, email address or postal address (so we can reply).
22. The Apprenticeship and AEB Manager or Operations Director may delegate the task of collating information concerning the complaint to another staff member, but not the decision, nor the action to be taken.
23. The Apprenticeship and AEB Manager or Operations Director will meet with you, hear the complaint, investigate and make every effort to resolve the issue.
24. Following this meeting, the Apprenticeship and AEB Manager or Operations Director will write to you within 10 working days, summarising the decision outcome reached and the process for appeal.

### Stage 3 - Appeal

#### What to do if you are not satisfied

25. The appeal panel hearing is the last SCCU-based stage of the complaints process.

26. If you are dissatisfied with the way the complaint was handled at Stage 2, and/or wish to pursue your complaint, you may escalate the complaint by writing to the Apprenticeship and AEB Manager or Operations Director within 10 working days of the date of the letter notifying them of the outcome of Stage 2, notifying that they wish their complaint to be heard by the Complaints Appeal Panel.
27. We will need:
  - A completed complaints form detailing what your complaint is about.
  - Copies of any correspondence or evidence related to the complaint and how it was handled at Stage 2.
  - Your telephone number, email address or postal address (so we can reply).
28. The Chair will convene a Complaints Appeal Panel consisting of at least two members of the board who are independent of the management and operation of SCCU.
29. All panel members will have no previous knowledge of the complaint.
30. The remit of the Complaints Appeal Panel is to:
  - Dismiss the complaint in whole or in part;
  - Uphold the complaint in whole or in part;
  - Decide on the appropriate action to be taken to resolve the complaint;
  - Recommend changes to the provider's systems or procedures to ensure that problems of a similar nature do not recur.
31. The panel will meet within 20 working days of receipt of the appeal, hear the complaint, investigate and make every effort to resolve the issue having met with the Apprenticeship and AEB Manager or Operations Director.
32. Should you wish to be accompanied at the panel hearing this will be allowed.
33. If no dates within this timescale are convenient to you, the panel may meet outside this period.
34. You will be notified in writing of the panel's decision, usually within 5 working days.
35. A copy of its findings and recommendations will be sent by electronic mail or otherwise given to you and, where relevant, the subject of the complaint.
36. The findings will also be available for inspection by the Apprenticeship and AEB Manager or Operations Director and any external inspectors.

37. The letter outlining the findings and recommendations will confirm the end of SCCU's involvement with the complaint.

### Internal Resolution Exhausted

38. Following Stage 3, the internal process for resolving complaints will be exhausted and you may seek to raise the complaint with a third party.
39. The qualification awarding bodies such as NCFE, City & Guilds and First 4 Sport might be able to assist you in the complaints procedure but it will be your duty to contact them and SCCU will have no involvement in this process.
40. All candidates have the right to complain to awarding bodies about assessment-related matters but not assessment judgements once they have exhausted their centre's complaints procedure.
41. Candidates on regulated qualifications can complain to Ofqual once they have exhausted the centre and awarding body procedures.
42. You can also inform the ESFA of your issues. Their complaint procedures can be found at the following web address: <https://www.gov.uk/government/organisations/education-and-skills-funding-agency/about/complaints-procedure>

### Confidentiality

43. Sometimes a complainant will wish to remain anonymous, however, it is always preferable and sometimes necessary to reveal your identity to us.
44. If you are concerned about possible adverse consequences, please inform us that you do not wish for us to divulge your identity and we will proceed to keep your identity confidential where possible.
45. Please note, however, that this may prevent us from fully investigating the complaint and/or providing you with information on the outcome of the complaint.

### Taking Action on Complaints

46. Complaints will be collected, monitored and analysed by the Management Team, and complaint data will feed into the organisation's improvement plans.



## Contacts

SCCU Contacts	
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