


Policy/procedure	Complaints Procedure
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Approved by	SMT
Date approved	17/12/24
Next review date	17/12/25
Changes made 9/11/23	<p>Include compliance with UK GDPR for secure handling and retention of complaint records.</p> <p>Specify clear timeframes for each stage of the complaint resolution process.</p> <p>Ensure accessibility under the Equality Act 2010 for all stakeholders.</p> <p>Add monitoring and reporting processes to identify trends and improve complaint management.</p> <p>Clarify the right to escalate complaints to awarding bodies and external regulators like Ofqual or ESFA.</p> <p>Include a policy review and communication section to ensure regular updates and stakeholder awareness.</p>

Objective and Scope

To ensure that FLM Training Limited has a system in place that ensures all complaints, however they are received, either verbally or in writing (email or letter) are dealt with promptly and appropriately.

Definition

FLM Training define a complaint as any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, a financial service or a redress determination, which alleges that the complainant has suffered (or may suffer) This procedure will be made available in accessible formats, including large print, easy-read, or alternative languages, where required, in compliance with the Equality Act 2010 to ensure equal access for all stakeholders.

Responsibilities

FLM Training Limited will ensure that all records relating to complaints are processed securely and in compliance with the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018. Personal data will be retained only as long as necessary for the resolution of the complaint.

Directors

The Directors retain overall responsibility for ensuring this procedure is adhered to and followed correctly to meet individual contract requirements.

Related Documentation

Complaints Register
Formal written complaint as a letter or email

Operational Procedure

1. When a complaint is received, it is immediately forwarded to the relevant Director.
2. If an informal complaint is made, the relevant Director will confirm who is the most appropriate person to follow it up.
3. The relevant Director will meet with the appropriate person identified and agree how the complaint will be followed up and a realistic deadline for any action to be taken.
4. The informal complaint and the action taken will be recorded in the Complaints Register.
5. On receipt of a Formal Complaint the relevant Director will send a letter of acknowledgement within 5 working days.
6. A Director or Senior Manager will be appointed to investigate the complaint.
7. The Investigator will compile a detailed report, stating the findings from the investigation and any supporting evidence.
8. The Director will decide the appropriate action depending on the findings of the investigation. Where necessary this may be in consultation with other members of management team.
9. The person making the complaint and the person/s the complaint has been levied against, will be notified verbally or in writing of the outcome of the investigation and where appropriate the action that will be taken.
10. If the person making the complaint, or person/s the complaint has been levied against, disagree with the findings of the investigation and the action to be taken, a panel of two appropriate independent representatives of FLM Training Limited will be appointed to re-examine the findings and the action decided upon.
11. The findings of the panel will be the final stage in the Complaints Procedure. The person making the complaint and the person/s the complaint has been levied against will be notified of the findings of the panel and any action decided upon.
12. Where appropriate the disciplinary procedure will be used to take action against a member of FLM Training Limited staff or a learner.
13. If a learner or stakeholder is dissatisfied with the resolution of their complaint, they may escalate it to the relevant awarding body, such as **Focus Awards** or **AIQ**. If further escalation is required, learners may contact external regulatory bodies, including **Ofqual** or the **Education and Skills Funding Agency (ESFA)** where applicable.
14. In the event of a learner complaint, learners should in the first instance, follow the Learner Grievance Procedure 6.14.

15. The complaints process will follow these timelines:

- Acknowledgment of the complaint: **Within 5 working days.**
- Investigation and initial response: **Within 20 working days.**
- Final response (including review by the panel, if required): **Within 30 working days.**

Monitoring and Reporting

The Directors will conduct regular reviews of the Complaints Register to monitor trends and ensure that recurring issues are addressed. An annual report summarizing complaints, their outcomes, and improvements made will be shared with the Senior Management Team (SMT) and Governance Advisory Board.

Policy Review

This Complaints Procedure will be reviewed annually to ensure continued compliance with current legislation and best practices. Updates will be communicated to all staff, learners, and relevant stakeholders.