

<h1>HETA POLICY</h1>		Document No:	<b>POL12</b>
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Title:	<b>Complaints and Appeals</b>		Page 1 of 2
Last Review Date:	26/8/21 – Improved clarification about raising appeals to the Awarding Organisations		
Date of Next Review:	7/7/22		

## Purpose:

HETA is a responsive organisation guided by a set of core values. We welcome comments and complaints and are committed to dealing with them fairly and effectively. While we always want to get it right first time, complaints can be a valuable part of quality improvement. HETA sets high standards, and we want to know if we fall short of achieving them

## Policy:

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HETA will:

- Welcome complaints as a valuable means of quality improvement and improving service delivery
- Make a distinction between informal complaints, where we can resolve the issue quickly and formal complaints which need to be looked into
- Deal with all complaints fairly and effectively, providing explanations and resolution
- If a complaint is upheld, put preventative action in place so that the issue does not re-occur
- Promote the Complaints Policy and look for ways for the people who use our services to use it
- Ensure that staff are familiar with the policy and can explain it to people who want to make a complaint
- Keep our policy and procedure under review
- Listen to Apprentices & Learners if they feel they wish to appeal against any assessment decisions and direct them to the appeals procedure in their handbooks
- Ensure all complaints received are dealt with confidentially.

If you want to make a complaint, please ask a member of staff for complaints policy or look on our website

[www.heta.co.uk](http://www.heta.co.uk)

An acknowledgement of receipt of any complaints will be forwarded within three working days from the date of receipt. The complainant will receive a full response from HETA within 10 working days of receipt, following an investigation of the complaint. Anyone not satisfied with the response received from HETA, may advise us in writing again and the complaint will be referred to HETA's Board of Directors for further investigation. A response will be forwarded within 28 days of receipt of the second formal letter.

## Procedure

- Any member of staff receiving a complaint by telephone will log the name and address of the complainant and the nature of the complaint, and advise the relevant **Departmental Manager, Site Administrator and where applicable, the Field Team Manager**, as soon as possible.
- The **Site Administrator** will send a copy of the Complaints Policy to the complainant; initiate a HETA Complaints Form and forward it to the Quality Audit and Conformance Officer; and inform the Chief executive officer of the complaint.

- On receipt of a formal complaint in writing, the **Administration Manager** will arrange for a letter of acknowledgement to be sent to the complainant within three days of receipt.
- The **Departmental Manager** will arrange and coordinate the investigation of the complaint by relevant personnel.
- On completion of the investigation, the **Departmental Manager** will ensure that any corrective actions arising from the complaint are completed in a timely manner, and a full response forwarded to the complainant within ten working days of receipt of the complaint. They will also ensure that relevant information and documents are forwarded to the Quality Audit and Conformance Officer for inclusion in the Complaints File.
- If the complainant is not satisfied with the response to their complaint, and a follow-up letter is received, the **Administration Manager** will refer the matter to the Chief Executive Officer, who will carry out their own investigation using relevant personnel. They will ensure that any necessary corrective actions are taken in a timely manner and send a response to the complainant within twenty-eight days of receipt of the follow-up letter. They will also ensure that relevant information and documents are forwarded to the Chief Executive Officer, for inclusion in the Customer Complaints File.
- All complaint forms will be given a reference number by the Quality Audit and Conformance Officer and filed in a Customer Complaints File, and on completion of complaints to the satisfaction of the complainants, they will be closed out by the Quality Audit and Conformance Officer.
- The Quality Audit and Conformance Officer will hold the complaint details in the Customer Complaints file for **three** years, and periodically analyse the complaints for trends and improvement opportunities.

Note. Complaints, or adverse comments, which do not result in a formal complaint, should still be regarded as opportunities to improve, and as such be investigated and actioned in a similar manner.

The analysis and actions taken are included in the Management Review.

\* NB Any complaints re Qualifications or End Point Assessment are dealt with in accordance with OFQUAL and any relevant awarding body requirements

- Where minor incidents of concern arise from the Delivery of Training and the Customer contacts the Administration Team the **Administration Manager** investigates and replies to the Customer directly.
- The **Administration Manager** forwards details of the concern to the QACO for inclusion on to the Non-Conformance Log Sheet.
- Where necessary the QACO initiates a Corrective Action Report
- Concerns raised from the Adult Training Feedback Sheet are recorded at the foot of the sheet and actions identified are recorded on to the reverse side.
- The sheets are forwarded to the relevant parties to complete their section. The actions are verified and closed out by the Quality Audit and Conformance Officer.
- Where applicable qualification appeals, and concerns can be raised up to the awarding organisations. See the appeals procedure below.

Other related procedures for handling complaints or appeals can be found within these hyperlinks:

- [OP12.1 - Appeals Procedure.](#)
- [Corrective Action Report](#)
- [Non-Conformance Log Sheet](#)