

## Complaints and Appeals Policy and Procedure

### Introduction

This policy is aimed at our learners, including learners, who are delivering/training/enrolled on or have taken a Shreeji Training approved qualification or unit. It sets out the process they should follow when submitting an appeal or complaint to Shreeji Training along with the process which will be followed when responding to appeals and complaints. It is also for use by Shreeji Training to ensure that all appeals and complaints are dealt with in a consistently professional manner.

### Centre's responsibility

It is the responsibility of all Shreeji Training learners and staff involved in the management, training, assessment and quality assurance of qualifications to be aware of the contents of the policy.

All centres must have internal appeals and complaints arrangements in place which learners can access if they wish to appeal against a decision taken by the centre or make a complaint. If an individual wishes to appeal against a decision taken by a centre it must first go through the centre's appeals process before bringing the matter to Shreeji Training senior management.

### Review arrangements

Shreeji Training will review the policy annually as part of our self-evaluation arrangements under the SAR and revise it as and when necessary, in response to staff and learner feedback or requests from, or good practice guidance issued by, the regulatory authorities (e.g. to align with any appeals and complaints process established by the regulatory authorities such as Ofqual)

### What is a Complaint - This policy covers:

- complaints and appeals from learners and/or centres in relation to an assessment or training decision on the basis that we did not apply procedures consistently or that procedures were not followed properly and fairly
- complaints and appeals from centres in relation to a SHREEJI TRAINING decision concerning a centre's application to offer a SHREEJI TRAINING qualification.
- complaints and appeals from centres concerning the contents of a centre monitoring review.
- complaints and appeals from centres and/or learners relating to a SHREEJI TRAINING decision to decline a centre's request to make reasonable adjustments or give special considerations
- complaints and appeals from centres or learners in relation to the application by SHREEJI TRAINING of a sanction/action on a centre resulting from a verification visit or an investigation into malpractice or maladministration or

a decision to amend a learner/set of learners' results following a malpractice or malpractice investigation

- appeals from centres relating to a decision made by SHREEJI TRAINING following an investigation into a complaint about a centre.
- appeals if you believe we have not applied our procedures consistently or that procedures were not followed properly, consistently and fairly.

## Complaints Procedure

### Grounds for Complaint:

A complaint may only be made or filed using this procedure on the grounds that the assessment centre has failed in its duties and/or responsibilities and/or commitments as described in Our Centre's regulations.

- Complaints about assessment decisions will be made using the appeal procedure.
- Complaints by individuals against their employers should be made using the grievance procedure of the appropriate employing authority.

### Procedure – Resolution Timescale Max. 25 working days :

1. Where possible the complaint should be resolved at the earliest Opportunity and lowest level among the parties.
2. The learner will discuss the complaint with the Assessor. Where it is not possible to achieve resolution, the internal Quality Assurer will be informed and involved.
3. If they are unable to achieve a satisfactory resolution the Complainant will inform Shreeji Training's Centre Manager in writing, formally outlining the nature of the complaint as well as what attempts have been made to resolve the situation.
4. Receipt will be acknowledged in writing.
5. The Centre Manager will convene a panel meeting within twenty working days of the receipt of the complaint. The panel will consist of:
  - A member of the Assessment Board
  - An Internal Quality Assurer (not involved in the complaint)
  - The Centre Manager
6. The Complainant has the right to attend the panel meeting accompanied by a person of their choice for personal support.
7. The Outcome of the complaint will either be
  - the complaint is not upheld against Shreeji Training
  - the complaint is upheld, that restorative action has been identified and the appropriate individuals to be informed.
8. The Centre Manager will inform the complainant and members of the panel of the decision within five working days of the panel meeting.
9. The Centre Manager will be responsible for taking necessary actions.

## Process for raising an appeal

Centres (and learners) have 14 days from the date Shreeji Training notified the centre/learner of the decision in which to lodge an appeal against Shreeji Training's decision - this includes assessment results; hence learners/staff must retain course evidence, where appropriate until results are received.

If a centre appeals on behalf of the learner, you must ensure that you have obtained the written permission of the learner(s) concerned as grades/results can go down as well as up as a result of an investigation.

Learners who have registered and been assessed via a centre and wish to appeal about their assessment results or about a related decision should either be supported by their centre and should have exhausted their centre's own appeals process before appealing to us or provide evidence to Shreeji Training that they have first appealed via the delivery centre.

Similarly, learners registered with a centre solely for the purpose of training must appeal via the centre first however learners just appealing their result/s.

When submitting an appeal relevant supporting information must be supplied such as the following:

- Learner's name and *Shreeji Training* registration number
- Date the centre or the learner received notification of a *Shreeji Training* decision
- Title and number of the *Shreeji Training* qualification affected, or nature of service affected (if appropriate)
- Full nature of the appeal in detail with timelines
- Contents and outcome of any investigation carried out relating to the issue

### **Situations brought to SHREEJI TRAINING' attention by the regulatory authorities-**

Where the regulators notify Shreeji Training of failures that have been discovered in the assessment process, Shreeji Training will review whether or not a similar failure could affect Shreeji Training assessment processes and arrangements for any other awarding bodies.

### **Successful appeals and/or issues brought to our attention by external body-**

In situations where an appeal has been successful, or where an investigation following notification from awarding organisation(s) indicates a failure in our processes, Shreeji Training will give due consideration to the outcome and will as appropriate take actions such as:

- amend the record of Shreeji Training concerned
- identify any other learners who have been affected correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure (eg and amend the results for the learner(s) affected following an appropriate investigation)

- review our associated processes and policies to ensure that the ‘failure’ does not occur again or mitigate the situation as far as possible if the failure that occurred cannot be corrected.

If a learner is not satisfied with the final decision that is made by Shreeji Training regarding their complaint or appeal, the learner has a right to escalate the complaint or appeal to the relevant awarding body and/or ESFA using their procedure and furthermore if the learner still remains unhappy, the learner can raise their complaint or appeal to the Qualification Regulator (Ofqual) and/or Department of Education.

Shreeji Training will and does cooperate with any follow-up investigations required by the qualifications regulators and if appropriate agree any remedial action with them and the learner.

## Appeals Procedure

***If a candidate is dissatisfied with an assessment outcome, he/she has the right of appeal.***

*The main reasons for an appeal are likely to be: -*

1. The applicant does not understand why he/she is not yet regarded as competent, due to lack or unclear feedback from the Assessor.
2. The applicant believes he/she is competent, and that the Assessor has misjudged him/ her.
3. Any general complaint

*There are three stages within any appeals procedure:*

### **Stage 1 -**

Appeal directly in writing to, the Assessor who carried out the assessment or the related manager, stating:

- Points of disagreement and/or reasons.
- Evidence to which the disagreement/incident relates.

*(Timescale 10 days)*

### **Stage 2 -**

Applicants who are not satisfied with the outcome of Stage 1 appeal, can next appeal in writing to the Internal Verifier and/or senior manager/director (contact details below), including all documentation from Stage 1.

*(Timescale 10 days)*

### **Stage 3 -**

Applicants who are not satisfied with the outcome of Stage 2 may appeal in writing to the Director (contact details below), including all documentation from both Stages 1 & 2.

*(Timescale 10 days)*

### **Stage 4 –**

Applicants who are not satisfied with the outcome of Stage 3 may also contact external body (ESFA/Ofqual/Department of Education) and any relevant awarding body. ESFA procedure is shown below. The external bodies will work according to their timescales.

## **If you're unhappy with the outcome ([www.gov.uk](http://www.gov.uk))**

*You can complain to the **Education and Skills Funding Agency (ESFA)** about how your complaint was handled as long as your organisation is one of the following:*

- a further education college
- a learning organisation that offers qualifications or apprenticeship schemes
- a sixth form college that is not an academy
- a learning organisation that offers courses for people who are under 25 and

have a learning disability

The ESFA does not deal with complaints about employment issues (for example, a problem with your contract if you're working as an apprentice).

There's a different procedure if your complaint was with an academy.

You must contact the ESFA within 12 months after the issue happened.

Email or post your complaint to the ESFA complaints team.

ESFA Complaints Team  
complaints.ESFA@education.gov.uk  
Complaints team  
Education and Skills Funding Agency  
Cheylesmore House  
Quinton Road  
Coventry  
CV1 2WT

The ESFA will reply to let you know what will happen next.

**If you're unhappy with the ESFA response**

You can contact the Department for Education if you're unhappy with how the ESFA has dealt with your complaint.

## Policy Control

Shreeji Training is committed to:

- The active promotion, engagement, and implementation of this policy by staff at all levels of interaction with learners, apprentices, and employers.
- Engagement by all staff and learners to the force, principles, guidelines, and procedures included within this policy across all training, learning and service transactions including the recruitment and delivery of apprenticeships with employers.

## Review, Induction and Training

All Shreeji Strategy Policies and Codes of Practice are reviewed and up-date annually or as a result of the application of new regulations or guidelines and are signed-off for publication, distribution, promotion, training, and implementation at Board level. All Staff must evidence their reading and comprehension of all relevant Policies and CoPs as denoted in their Policy Review and Awareness training at induction, and yearly thereafter.

Completion of standard quarterly refresher/clarification training relating to all policies and CoPs is also mandatory for all staff.

Specific training for all staff and managers to ensure they are fully aware of their particular responsibilities and duties with respect to this and all other policies forms an integral part of regular in-house monthly training schedule for staff at all levels.

## Contact

Should you have any queries, questions, or have knowledge of any incidents or suspected breaches please speak to your Trainer/Assessor or a member of the Senior Management Team, or contact:

Quality Academic Head – Ahmad Qandeel; [academichead@shreejittraining.com](mailto:academichead@shreejittraining.com); 02085965047

Director – Pooja Barot ; [pooja@shreejittraining.com](mailto:pooja@shreejittraining.com); 02085965047

This policy was up-date June 2021/Next review June 2022



Pooja Barot

**Director**

Shreeji Training Ltd.

