


# POLICY DOCUMENT

## • Complaints Policy

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Name of Policy	Date Effective	Review Date	Signature
Complaints Policy	25 <sup>th</sup> May 2020	25 <sup>th</sup> May 2021	

### 1. Definitions

1.1 In this Complaints Policy the following expressions have the following meanings:

- “Appeal”** means your request to escalate a Complaint from Level One to Level Two, or Level Two to Level Three if you are not satisfied with the outcome at each stage;
- “Appeal Handler”** means an employee of FW Solutions Ltd working at who will handle Level Two Complaints and Company Director who will handle Level Three Complaints;
- “Business Day”** means, any day (other than Saturday or Sunday) on which ordinary banks are open for their full range of normal business in England;
- “Complaint”** means a complaint about training services delivered by FW Solutions Ltd, about our customer service, or about our employees.
- “Complaints Policy”** means this document;
- “Complaints Procedure”** means the internal complaints handling procedure of which is followed when handling a Complaint and is available from FW Solutions Ltd for your reference;
- “Complaint Reference”** means a unique code assigned to your Complaint that will be used to track your Complaint;
- “External Resolution”** means the referral of your Complaint to an external body or organisation for resolution if you are not satisfied with the outcome at Level Three;

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<b>“Level One”</b>	means the first stage in our complaints handling procedure under which your Complaint will be handled by a Level One Complaint Handler;
<b>“Level One Complaint Handler”</b>	means an employee of FW Solutions Ltd working at customer face to face level e.g. TLC who will handle Level One Complaints;
<b>“Level Two”</b>	means the second stage in our complaints handling procedure under which you may appeal the outcome of a Level One Complaint. Your Complaint will be handled by Level Two Complaint Handler;
<b>“Level Two Complaint Handler”</b>	means an employee of FW Solutions Ltd working at management level who will handle Level Two Complaints; e.g. Marketing Manager, DSL
<b>“Level Three”</b>	means the third and final stage in our complaints handling procedure under which you may appeal the outcome of a Level Two Complaint. Your Complaint will be handled by an Appeal Handler.

## 2. Purpose of this Complaints Policy

- 2.1 FW Solutions Ltd welcomes and encourages feedback of all kinds from our customers. If you have a Complaint about our services, our customer service, or about our employees, not only do we want to resolve it to your satisfaction but we also want to learn from it in order to improve our business and customer experience in the future.
- 2.2 It is our policy to resolve Complaints quickly and fairly, where possible without recourse to formal investigations or external bodies. In particular, the aims of this Complaints Policy are:
  - 2.2.1 To provide a clear and fair procedure for any customers who wish to make a Complaint about FW Solutions Ltd, our training services our customer service, or about our employees;
  - 2.2.2 To ensure that everyone working for or with FW Solutions Ltd knows how to handle Complaints made by our customers;
  - 2.2.3 To ensure that all Complaints are handled equally and in a fair and timely fashion;

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- 2.2.4 To ensure that important information is gathered from Complaints and used in the future to avoid such a situation arising again.

### 3. What this Complaints Policy Covers

- 3.1 This Complaints Policy applies to the provision of training services by FW Solutions Ltd, to our customer service and to our employees.
- 3.2 For the purposes of this Complaints Policy, any reference to FW Solutions Ltd also includes our employees.
- 3.3 Complaints may relate to any of our activities and may include (but not be limited to):
  - 3.3.1 The quality of customer service you have received from FW Solutions Ltd;
  - 3.3.2 The behaviour and/or professional competence of our employees;
  - 3.3.3 Problems associated with the delivery of training by FW Solutions Ltd;
  - 3.3.4 Poor service or other problems associated with the provision of services by FW Solutions Ltd;
  - 3.3.5 The following are not considered to be Complaints and should therefore be directed to the appropriate person **OR** department:
    - 3.3.6 General questions about our services;
    - 3.3.7 Matters concerning contractual or other legal disputes;
    - 3.3.8 Formal requests for the disclosure of information, for example, under the General Data Protection Regulation;

### 4 Making a Complaint

- 4.1 All Complaints, whether they concern our services, our customer service, or our employees, should be made in one of the following ways:
  - 4.2 In writing, addressed to Rodney Hardy, Director, Windsor House, Cornwall Road, Harrogate. HG1 2PW;
  - 4.3 By email, addressed to r.hardy@fwsolutions.net ;
  - 4.4 When making a Complaint, you will be required to provide the following information in as much detail as is reasonably possible:
    - 4.5 Your name, address, telephone number and email address (We will contact you using your preferred contact method as your Complaint is handled);
    - 4.6 If you are making a Complaint on behalf of someone else, that person's name and contact details as well as your own;
    - 4.7 If you are making a Complaint about a particular employee, further details of your Complaint including, as appropriate, all times, dates, events, and people involved;

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- 4.8 Details of any documents or other evidence you wish to rely on in support of your Complaint;
- 4.9 Details of what you would like FW Solutions Ltd to do to resolve your Complaint and to put things right. (Please note that whilst we will make every reasonable effort to accommodate such requests, we are not bound to take any action beyond that which we may be contractually or otherwise legally obliged to take.)

## 5 How We Handle Your Complaint

5.1 FW Solutions Ltd operates a three-stage complaints handling procedure. Following our Complaints Procedure, our aim is to always resolve Complaints to your satisfaction at Level One without further recourse to Level Two or Level Three. If you are not satisfied at the end of Level One, you may escalate your Complaint to Level Two. If you are not satisfied at the end of Level Two your Complaint may be escalated to Level Three at which point it will be handled by Sandra Hardy, Company Director. If you are still not satisfied at the end of Level Three, Complaints may progress to External Resolution as detailed below.

### 5.2 Level One:

- 5.2.1 Upon receipt of your Complaint, R. Hardy, Director identified above in Section 4.1 will log the Complaint in our Management Information System and will acknowledge receipt of it in writing within 3 working days, giving you a Complaint Reference.
- 5.2.2 When we acknowledge receipt of your Complaint we will also provide details of your Level One Complaint Handler.
- 5.2.3 If your Complaint relates to a specific employee, that person will be informed of your Complaint and given a fair and reasonable opportunity to respond. Any communication between you and the employee in question should take place only via the Level One Complaint Handler and we respectfully ask that you do not contact the employee in question directly concerning the Complaint while we are working to resolve it.
- 5.2.4 If we require any further information or evidence from you, the Level One Complaint Handler will contact you as quickly as is reasonably possible to ask for it. We ask that you use reasonable efforts to supply any such information or evidence quickly in order to avoid delaying the complaints handling process. If you are for any reason unable to provide such information or evidence we will use all reasonable efforts to proceed without it, however please be aware that we will not ask for further information or evidence unless we consider it important to the successful resolution of your Complaint.
- 5.2.5 We aim to resolve Level One Complaints within 14 working days, however in some cases, particularly if your Complaint is of a complex nature, this may not be possible. If this is not possible for any reason

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you will be informed of the delay, the likely length of the delay and the reasons for it.

- 5.2.6 The conclusion of the Level One complaints procedure, regardless of the outcome, we will provide you with full details of our investigation, our conclusions from that investigation, and any action taken as a result. You will also be reminded of your right to appeal our decision and escalate the complaint to Level Two.

### 5.3 Level Two:

- 5.3.1 If you are not satisfied with the resolution of your complaint at Level One, you may request that the Complaint be escalated to Level Two with 7 working days, where your Complaint will be handled by management level members of our team.
- 5.3.2 Escalation requests, quoting your original Complaint Reference, should be directed to your Level One Complaint Handler who will forward the request to an appropriate Level Two Complaint Handler. Receipt of escalation requests will be acknowledged in writing within 3 working days. When we acknowledge receipt of your escalation request, we will also provide details of your Level Two Complaint Handler.
- 5.3.3 If your Complaint relates to a specific employee, that person will be informed of your Level Two Complaint and given a further opportunity to respond. Any communication between you and the employee in question should take place only via the Level Two Complaint Handler and we respectfully ask that you do not contact the employee in question directly concerning the Complaint while we are working to resolve it.
- 5.3.4 If we require any further information or evidence from you, the Level Two Complaint Handler will contact you as quickly as is reasonably possible to ask for it. We ask that you use reasonable efforts to supply any such information or evidence to us quickly in order to avoid delaying the complaints handling process. If you are for any reason unable to provide such information or evidence we will use all reasonable efforts to proceed without it, however please be aware that we will not ask for further information or evidence unless we consider it important to the successful resolution of your Complaint.
- 5.3.5 We aim to resolve Level Two Complaints within 14 working days, however in some cases, particularly if your Complaint is of a complex nature, this may not be possible. If this is not possible for any reason you will be informed of the delay, the likely length of the delay and the reasons for it.
- 5.3.6 At the conclusion of the Level Two complaints procedure, regardless of the outcome, we will provide you with full details of our investigation, our conclusions from that investigation, and any action taken as a result. You will also be reminded of your right to appeal our decision and escalate the complaint to Level Three.

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### 5.4 Level Three:

- 5.4.1 If you are not satisfied with the resolution of your complaint at Level Two, you may appeal the decision within 7 working days, and have the Complaint escalated to Level Three where it will be handled by Sandra Hardy, Managing Director.
- 5.4.2 Appeals, quoting your original Complaint Reference, should be directed to your Level Two Complaint Handler who will forward the request to an appropriate Appeal Handler. Receipt of Appeals will be acknowledged in writing within 3 working days. When we acknowledge receipt of your Appeal we will also provide details of your Appeal Handler.
- 5.4.3 If your Complaint relates to a specific employee, that person will be informed of your Appeal and given a further opportunity to respond. Any communication between you and the employee in question should take place only via the Appeal Handler and we respectfully ask that you do not contact the employee in question directly concerning the Complaint while we are working to resolve it.
- 5.4.4 If we require any further information or evidence from you, the Appeal Handler will contact you as quickly as is reasonably possible to ask for it. We ask that you use reasonable efforts to supply any such information or evidence to us quickly in order to avoid delaying the complaints handling process. If you are for any reason unable to provide such information or evidence we will use all reasonable efforts to proceed without it, however please be aware that we will not ask for further information or evidence unless we consider it important to the successful resolution of your Complaint.
- 5.4.5 We aim to resolve Level Three Complaints within 21 working days, however in some cases, particularly if your Complaint is of a complex nature, this may not be possible. If this is not possible for any reason you will be informed of the delay, the likely length of the delay and the reasons for it.
- 5.4.6 At the conclusion of the Level Three procedure, regardless of the outcome, we will provide you with full details of our investigation, our conclusions from that investigation, and any action taken as a result. Our decision at this stage is final, subject to your right to seek External Resolution of your Complaint.
- 5.4.7 As we are regulated by **OFSTED, the ESFA and the Awarding Organisations (Pearson, NCFE & ProQual)** you, as our customer, have the right to seek External Resolution of your Complaint from those organisations if you are not satisfied with the outcome of your Complaint at Level Three.
- 5.4.8 Conflict Resolution: For details of complaint and conflict resolution mechanisms contact the FW Solutions administration team,

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### 6 Confidentiality and Data Protection

- 6.1.1 All Complaints and information relating thereto are treated with the utmost confidence. Such information will only be shared with those employees of FW Solutions Ltd who need to know in order to handle your Complaint.
- 6.1.2 We may ask for your permission to use details of your Complaint (with your personal details removed) for internal training and quality improvement purposes. If you have given such permission, you may revoke it at any time by contacting Rodney Hardy, whose details are provided above in Section 4.
- 6.1.3 All personal information that we may collect (including, but not limited to, your name and address) will be collected, used and held in accordance with the provisions of the GDPR 2018 and your rights under that Act.

### 7 Questions and Further Information

If you have any questions or require further information about any aspect of this Complaints Policy or about our Complaints Procedure, please contact Janet Williams by post at FW Solutions Ltd, Windsor House, Cornwall road, Harrogate. HG1 2PW, by telephone on 01423 536672, or by email at [j.williams@fwsolutions.net](mailto:j.williams@fwsolutions.net).

### 8 Policy Responsibility and Review

- 8.1 Overall responsibility for this Complaints Policy within FW Solutions Ltd and the implementation thereof lies with Sandra J Hardy, Managing Director.
- 8.2 This Complaints Policy is regularly reviewed and updated as required.
- 8.3 This Complaints Policy was adopted on 25/05/2020.
- 8.4 This Complaints Policy is due to be reviewed on 25/05/2021.