

# Norton Webb Complaints Policy, Procedure and Process

## The Complaints Policy

### Overview

It is the policy of Norton Webb to ensure that the learning experience and the services provided meet and exceed the expectations of all stakeholders. To support this, we encourage stakeholders to complain if they feel that their expectations have not been met. Norton Webb will use a structured approach to ensure the problem is resolved in a fair and timely manner and will use this information to implement continuous improvement and promote good practice.

### Definition

Norton Webb defines a complaint as 'any expression of dissatisfaction with Norton Webb which requires a formal response'.

### Purpose

The formal complaints procedure is intended to ensure that all complaints are handled fairly, consistently and, wherever possible, resolved to the complainant's satisfaction.

Norton Webb's responsibility will be to:

- Acknowledge the formal complaint in writing.
- Respond within a stated period of time.
- Deal reasonably and sensitively with the complaint.
- Take action where appropriate.

### Our Commitment

Norton Webb aims to resolve complaints effectively, fairly and quickly.

We will:

- Work with stakeholders to put things right if they go wrong.
- Learn from each complaint to improve and develop as a business.
- Monitor complaints to ensure they are resolved within our timescales.
- Work with stakeholders to keep them updated with the progress of their complaint and the result of any investigation.
- Advise stakeholders of the right to appeal if they feel their complaint has not been resolved.
- Respect confidentiality.

## Responsibility for Action

All staff at Norton Webb are responsible for following the complaints procedure.

## Confidentiality

Apart from in exceptional circumstances, every attempt will be made to ensure that both the complainant and Norton Webb maintain confidentiality. However, the circumstances giving rise to the complaint may mean that it is not possible to maintain confidentiality.

## Monitoring and Reporting

The Quality & Compliance Team will monitor the level and nature of complaints, and review the outcomes on a regular basis to ensure the effectiveness of the procedure, making changes where required. Complaints information will be shared with relevant bodies as necessary.

## How To Make A Complaint

If we do not deliver the standard of service that you expect or you have a complaint, please either call **0113 2396540**, email **quality@nortonwebb.com** or, alternatively, write to: Quality and Compliance Team, Norton Webb Limited, Kingswood House, 80 Richardshaw Lane, Pudsey, Leeds, LS28 6BN.

If the initial complaint is against the Head of Centre, then it will be referred directly to the Governing Body who will deal with the complaint and follow the complaints and appeals procedure. Our complaints policy, procedure and process can be found at **nortonwebb.com/policies**

## The Complaints Procedure

### Stage 1. Concern heard by Staff Member

If a concern is reported to a Norton Webb member of staff, we will:

- Attempt to resolve the matter informally.
- Refer to the Quality and Compliance team if unable to resolve informally.

### Stage 2. Complaint received by Quality & Compliance Team

Upon receipt, we will:

- Acknowledge the complaint within 5 working days.
- Investigate the complaint within 10 working days.
- Issue a final response letter with the outcome of investigation within 20 working days.
- Update the internal complaints log.
- Offer escalation to Stage 3 if dissatisfied.

### Investigating Complaints

The person investigating the complaint will:

- Take ownership for the complaint.
- Keep a detailed and comprehensive record of all stages of investigation.
- Identify the nature of the complaint and review what remains unresolved.
- Clarify what the complainant feels would put things right.
- Establish what has happened so far, and who has been involved.
- Contact all relevant parties to gain a rounded picture of events.
- Collate any evidence.
- Seek advice and guidance from other services or external sources when needed.
- If more time is needed, contact the complainant and explain why and when they can expect a response.

### Resolving Complaints

There are various ways in which a complaint can be resolved. It might be sufficient to acknowledge that the complaint is valid in whole or in part. Complainants will always be encouraged to state what actions/outcomes they feel might resolve the problem at any point.

If the complaint has been upheld, it may be appropriate to offer one or more of the following:

- An apology.
- An explanation.
- An admission that the situation could have been handled differently or better.
- An explanation of the steps that have been taken to ensure that it will not happen again.

- An undertaking to review policies in light of the complaint.
- A change to current practices.
- Reimbursement of fees or costs.

### **Upon Completion of the Complaints Process**

The person investigating the complaint will issue the final response letter detailing the outcomes that have been agreed to meet the issues raised. Details of the appeals process will also be provided within the letter.

### **Stage 3. Appeal to Head of Centre**

If the complaint is closed but remains unresolved at Stage 2, the complainant has the right to appeal. This must be raised by the complainant within 10 working days of the date on the final response letter.

The Head of Centre or Deputy will respond within 10 working days and arrange an appropriate time to meet with the complainant to discuss their appeal.

If the complaint was investigated by the Head of Centre, the Governing Body will conduct the Appeal Hearing.

The conclusion of the appeal is the final stage of Norton Webb's procedure. If the appeal is concluded but remains unresolved at Stage 3, there may be external routes to pursue a complaint.

### **The Role of the Appeal**

The appeal's role is to check that the correct procedure has been followed and that the decision made was fair and considered.

The person conducting the appeal can:

- 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 systems or procedures to ensure that problems of a similar nature do not recur.

### **Notification of the Appeal Hearing Decision**

The Head of Centre or Deputy must ensure that the complainant is notified in writing of the decision, and the reasons for the decision, within 10 working days of receipt.

The letter will explain that if the complainant is still dissatisfied, they may have the right to escalate their complaint to an external body and any relevant contact details will be provided.

## Stage 4. Appeal to External Body

If the appeal is closed but remains unresolved at Stage 3, there may be external routes to pursue a complaint. These include the Awarding Body of the qualification, End Point Assessment Organisation, Office of Qualifications and Examinations Regulation (OFQUAL) or Education and Skills Funding Agency (ESFA).

Complaints procedures for government funding and Ofqual can be found:

- **Education & Skills Funding Agency (ESFA)** - Email: [complaints.esfa@education.gov.uk](mailto:complaints.esfa@education.gov.uk) or Website: [www.gov.uk/government/organisations/education-and-skills-funding-agency](http://www.gov.uk/government/organisations/education-and-skills-funding-agency)
- **Office of Qualifications and Examinations Regulation (OFQUAL)** - Email: [complaints@ofqual.gov.uk](mailto:complaints@ofqual.gov.uk) or Website: [www.gov.uk/government/organisations/ofqual/about/complaints-procedure](http://www.gov.uk/government/organisations/ofqual/about/complaints-procedure)

# Managing and Recording Complaints

## Recording Complaints

The Quality & Compliance Team will be responsible for the retention of complaints records.

## Quality Assurance Review

The Quality & Compliance Team will monitor the level and nature of complaints, and review the outcomes on a regular basis to ensure the effectiveness of the procedure, making changes where necessary. Complaints information will be shared with relevant bodies as required.

As well as addressing an individual's complaints, the process of listening to and resolving complaints will contribute to continuous improvement. When individual complaints are heard, the Quality and Compliance Team may identify underlying issues that need to be addressed in other areas or across the company.

The complaints procedure will be reviewed annually, unless trends or issues require this to be conducted sooner.

## Publicising the Procedure

The complaints procedure will be shared and publicised through:

- Induction
- Course Handbooks
- The Norton Webb Website - [nortonwebb.com/policies](https://nortonwebb.com/policies)

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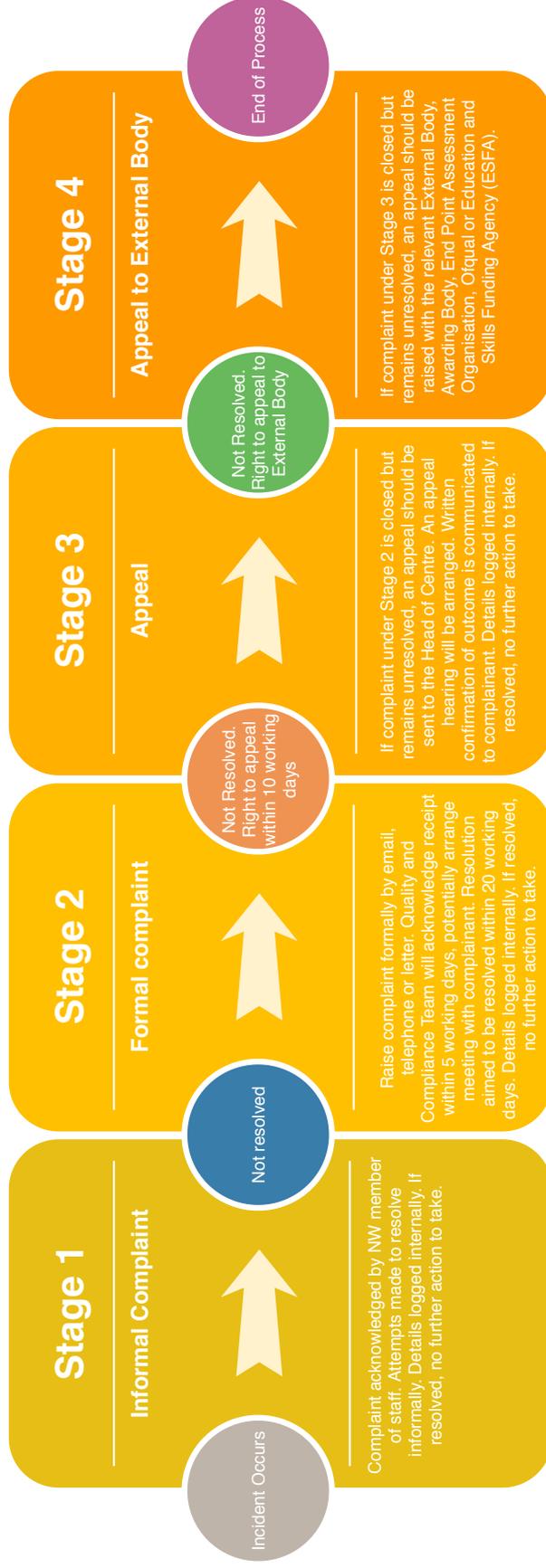
### Document Control

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UKPRN	10018297
Published	6/9/2017
Responsibility	Managing Director
Last Revised	18/10/2019
Next Review	18/10/2020

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# Complaints Process Infographic



## Contact Details in Case of Complaint

### Stage 1

Norton Webb member of staff. This could be your tutor or Norton Webb representative that attends your place of work, or could be raised to one of our office staff by ringing 0113 239 6540.

### Stage 2

Formal complaints should be addressed to the Quality and Compliance Team on 0113 239 6540, emailing [quality@nortonwebb.com](mailto:quality@nortonwebb.com) or writing to Quality and Compliance Team, Norton Webb Limited, Kingswood House, 80 Richardshaw Lane, Pudsey, LS28 6BN.

### Stage 3

Appeals should be addressed to the Head of Centre, Alison Walsh, on 0113 239 6540, emailing [alisonwalsh@nortonwebb.com](mailto:alisonwalsh@nortonwebb.com) or writing to Head of Centre, Norton Webb Limited, Kingswood House, 80 Richardshaw Lane, Pudsey, LS28 6BN.

### Stage 4

Appeals to External Bodies should be addressed to the relevant body, these include:  
 NCFE: [service@ncfe.org.uk](mailto:service@ncfe.org.uk), [ncfe.org.uk](http://ncfe.org.uk) - Training Qualifications UK (TQUK); [quality@tquk.org](mailto:quality@tquk.org), [www.tquk.org](http://www.tquk.org)  
 OFQUAL: [complaints@ofqual.gov.uk](mailto:complaints@ofqual.gov.uk), [www.gov.uk/government/organisations/ofqual/about/complaints-procedure](http://www.gov.uk/government/organisations/ofqual/about/complaints-procedure)  
 Education & Skills Funding Agency (ESFA): [complaints.esfa@education.gov.uk](mailto:complaints.esfa@education.gov.uk), <https://www.gov.uk/government/organisations/education-and-skills-funding-agency>



## About this Form:

In order for Norton Webb to deal with your complaint efficiently, please complete this form and return it to: FAO Quality and Compliance Team, Norton Webb Ltd, Kingswood House, 80 Richardshaw Lane, LS28 6BN.

If you have any queries completing the form and need to speak with our Quality and Compliance team, telephone **0113 2396540** during business hours, or alternatively email **quality@nortonwebb.com**.

For more information about our complaints process, please visit [nortonwebb.com/policies](http://nortonwebb.com/policies)

## Please complete the form below

### Part 1 - Identification Details

All details captured in this form are confidential and will only be used for dealing with the complaint.

<b>Your Name</b>	<b>Name of Apprentice/Learner - if applicable</b>
<input type="text"/>	<input type="text"/>
<b>Your Relationship to Norton Webb - e.g. Apprentice, Parent, Carer, Mentor, Employer, Member of the Public</b>	
<input type="text"/>	

### Part 2 - Your Contact Information

Required for forwarding any communication regarding this complaint, including formal outcomes and, in some cases, where to send back documentation evidence.

<b>Street - include house/flat number</b>	<b>Telephone Number</b>
<input type="text"/>	<input type="text"/>
<b>Town/City</b>	<b>Mobile Telephone Number</b>
<input type="text"/>	<input type="text"/>
<b>Postcode</b>	<b>Email Address - please print clearly</b>
<input type="text"/>	<input type="text"/>

Please turn over to complete Part 3

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## Part 3 - Details of the Complaint

**Details of Your Complaint** - if you need more space, please attach to this form

**What Action, If Any, Have you Already Taken to Try and Resolve your Complaint?** - who did you speak to and what was the response?

**What Actions Do You Feel Might Resolve the Problem at This Stage?**

**Are You Attaching Any Paperwork?** - if so, please give details

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## Part 4 - Signature

**Your Signature**

**Date** - dd mm yyyy

After completing, please return this form to Norton Webb Ltd (see contact details on page 1 in 'About this Form')