



South Gloucestershire and Stroud College

Compliments, Suggestions and Complaints Policy & Procedure

If you would like this document in an alternate format
Please contact the Human Resources Department

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Job Title/Role:	Quality Officer & Administrator
Ref. No.: Q/P 155	Date of this version: 1 st November 2013 Review date: 31 st August 2015 (Subject to any legislative change) Upload to SharePoint? Yes Upload to College website? Yes
Approved by:	Executive Team
Date of Approval:	29 th January 2014

Impact Assessment



Have you consulted on this policy? Details: What evidence has been used for this assessment?	No (see part 3 below generally)		
Could a particular group be affected (negatively or positively)?	Positive Impact Indicate Y where applicable	Negative Impact Indicate Y where applicable	Evidence
Characteristics protected by the Equality Act 2010			
Age	N/A	N/A	
Disability	N/A	N/A	
Gender Reassignment (inc. Transgender)	N/A	N/A	
Race (inc. Gypsy & Traveller)	N/A	N/A	
Religion and Belief	N/A	N/A	
Sex	N/A	N/A	
Sexual Orientation	N/A	N/A	
Marriage & Civil Partnership	N/A	N/A	
Pregnancy & Maternity	N/A	N/A	
Characteristics designated by SGS as requiring due regard			
Carers and Care Givers	N/A	N/A	
Persons in Care and Care Leavers	N/A	N/A	
If any negative impacts are identified, are there any related policies, services, strategies, procedures or functions that need to be assessed alongside this screening? No If yes, please detail:			
Should this policy, service, strategy, procedure or function proceed to a full Impact Assessment? No			
<i>We are satisfied that an initial screening has been carried out on this policy/procedure and a full Impact Assessment is not required</i> <i>We understand that the Impact Assessment is required by the College and we take responsibility for the completion and quality of this assessment</i>			
Completed by: Gavin Murray		Position: Head of Quality	Date: 1 st Nov 2013
Checked by: Su Cavilla		Position: QTLS Administrator	Date: 1 st Nov 2013

Compliments, Suggestions and Complaints Policy & Procedure

1. Introduction

- 1.1. This Policy has been written to comply with South Gloucestershire & Stroud (SGS) College's responsibilities as set out in the Department for Education's Statutory Policies for Schools – August 2013.
- 1.2. It sets out the ways in which SGS receives, reviews and acts upon feedback.

2. Statement

- 2.1. SGS welcomes feedback about its services from all College users, including learners, employers, staff and other stakeholders.
- 2.2. This Policy will ensure that all feedback is collected and reviewed in a timely manner at managerial level and that senior managers and the College Corporation have an overview of performance as indicated by the feedback collected.
- 2.3. The Policy will ensure that every formal complaint is managed by the Vice Principal, Learner Services & Quality with support from the Quality Team.

3. Objectives

- 3.1. This Policy seeks to ensure that the review of feedback is used to inform planning and the continual improvement of the Learner and Wider Learning Experience and College Services.

4. Implementation

- 4.1. All learners and staff will be informed about this Policy and Procedure during induction.
- 4.2. Compliments and Comments (Tell Us!) cards (**Appendix 1**) are available from Reception, Learning Resource Centres (LRC) and the Enrolment Centre. They are also available for staff to download from the Quality area of SharePoint and there is a dedicated suggestions email address 'talktous@sgscol.ac.uk'
- 4.3. Complaint forms (**Appendix 2**) are available from Reception, LRCs and Enrolment Centre. They are also available for staff to download from the Quality area on SharePoint.

5. Responsibilities

5.1. **Compliments, Suggestions & Comments**

5.1.1. The Public & Community Relations Officer will:

- 5.1.1.1. collate all compliments; and
- 5.1.1.2. produce a summary report of all compliments on an annual basis for review by the Senior Management Team and the College Corporation.

5.1.2. Heads of Department will:

- 5.1.2.1. address any issues identified via any feedback mechanisms used within SGS, (eg. Tell Us! Cards) with the Quality Office and, at the first available opportunity communicate actions taken via the 'You said, we did campaign.

5.1.3. The nominated member of the Quality Team will:

- 5.1.3.1. forward all compliments received to the Public & Community Relations Officer;
- 5.1.3.2. address any issues identified via any feedback mechanisms used within SGS with the relevant Head of Department; and
- 5.1.3.3. produce a summary report of all comments/suggestions on an annual basis for review by the Senior Management Team and the College Corporation.

5.1.4. All staff will:

- 5.1.4.1. advise College users of the process for making compliments and comments or suggestions;
- 5.1.4.2. forward all compliments to the Public & Community Relations Officer and Quality Team; and
- 5.1.4.3. forward all comments/suggestions to their Head of Department and Quality Team.

5.1.5. All College Users:

- 5.1.5.1. are encouraged to talk to tutors or other members of staff in order to make their views known

5.2. Complaints

5.2.1. All Teaching Staff responsible for Induction will:

- 5.2.1.1. provide learners with the names and contact details of the Course Tutor/Leader, Head of Department and Head of Faculty for their chosen course of study during the Induction process and signpost the services available through 'Learner Services'.

5.2.2. Heads of Department/Faculty will:

- 5.2.2.1. Investigate, at the requesting of the Quality Department, complaints fully and complete the Complaints Investigation Form (**Appendix 3**) in full;
- 5.2.2.2. return the completed Investigation Form to the nominated member of the Quality Team by the due date highlighted on the form;
- 5.2.2.3. ensure that all actions and/or recommendations are completed by the due date set by the Quality Team; and
- 5.2.2.4. ensure that all staff within their area are aware of their responsibilities and the Complaints Procedure.

5.2.3. All Staff must:

- 5.2.3.1. forward all complaints to the nominated member of the Quality Team (**Appendix 4**);
- 5.2.3.2. complete all actions and/or recommendations they are responsible for, within the time given by the Quality Team;
- 5.2.3.3. provide all relevant information as requested by investigators and the Quality Team; and
- 5.2.3.4. ensure College Users are aware of the Complaints Procedure.

5.2.4. The nominated member of the Quality Team will:

- 5.2.4.1. process all complaints and support the Vice Principal, Learner Services & Quality with the investigation in line with the Complaints Procedure;

- 5.2.4.2. advise the Human Resources (HR) Department if a complaint concerns a member of staff;
- 5.2.4.3. monitor all actions/recommendations;
- 5.2.4.4. produce a summary report of all formal complaints on a monthly basis; and
- 5.2.4.5. produce a detailed data report of all formal complaints at the end of the academic year.
- 5.2.5. Where requested, feedback will be provided by the Head of Department regarding any action taken within 10 working days.
- 5.2.6. If the matter cannot be resolved at this level, the Formal Complaints Procedure, as detailed below, will apply.

6. Related Policies, Procedures, Guidance and Legislation

- 6.1. Learner Disciplinary Policy & Procedure
- 6.2. Learner Induction Policy
- 6.3. Academic Appeals Procedure
- 6.4. Safeguarding Children and Vulnerable Adults Policy
- 6.5. Staff Disciplinary Policy & Procedure
- 6.6. Staff Induction and Probation Policy & Procedure
- 6.7. SGS Single Equality Policy
- 6.8. Quality Improvement Framework
- 6.9. Quality Strategy
- 6.10. Education and Inspections Act 2006
- 6.11. Education Act 2011
- 6.12. Department for Education's Statutory Policies for Schools – August 2013

Please note: This list is neither exclusive nor exhaustive

7. Procedure

7.1. Compliments, Suggestions and Comments

- 7.1.1. All compliments will be forwarded to the relevant Head of Department and person mentioned within the compliment if they have not received it directly.
- 7.1.2. If the compliment concerns a team, course or department, all members of that group will also receive a copy.
- 7.1.3. Compliments will all be forwarded to the Public & Community Relations Officer. (**Appendix 4**)
- 7.1.4. All comments and/or suggestions must be forwarded to the nominated member of the Quality Team who will log the details.
- 7.1.5. Where requested, the Quality Team will acknowledge receipt within 2 working days of notification.
- 7.1.6. The relevant Head of Department/Faculty will be forwarded the comment/suggestion and address any issues identified with the Quality Team within 10 working days of receipt.
- 7.1.7. The Quality Team will provide all details actioned or feedback from the Head of Department/Faculty to the originator of the comment and/or suggestion where requested.

7.2. Informal Complaints

- 7.2.1. Learners who are dissatisfied about any aspect of the College are encouraged, in the first instance, to take up the issue with the responsible Course Tutor/Leader and/or Head of Department/Faculty or Learner Services.
- 7.2.2. If a group of learners wish to make an informal complaint, they must nominate a person to discuss the issues and receive feedback from the Course Tutor/Leader and/or Head of Department or Head of Faculty and pass and feedback on to the rest of the group.
- 7.2.3. Where other College users wish to make an informal complaint, they should be directed to an appropriate manager for information or, where necessary, the Duty Manager for action.
- 7.2.4. The Course Tutor/Leader and/or Head of Department or Head of Faculty will take any action necessary.
- 7.2.5. In all instances notifications of informal complaints **must** be forwarded to the nominated member of the quality team as soon

as they are received. The Quality Team, reserves the absolute right to redirect the investigation of informal complaints to a competent Manager not connected to the Department/Faculty concerned. In this instance the complaint will be dealt with under the formal complaints procedure and the complainant will be informed accordingly.

7.3. **Formal Complaints**

- 7.3.1. Where the matter is sufficiently serious that the complainant wishes to progress directly to the College's formal procedure, a formal complaint must be submitted in writing on a Complaint Form (available from Reception, LRCs and the Enrolment Centre), e-mail or letter to the Vice Principal, Learner Services & Quality.
- 7.3.2. The nominated member of the Quality Team, will also accept formal complaints over the telephone and in person. (**Appendix 4**).
- 7.3.3. If the complaint is made by telephone or in person, a complaint form will be completed using the notes from the conversation.
- 7.3.4. The complaint form will be sent to the complainant to confirm the contents or amend as necessary. The form must then be signed and returned.
- 7.3.5. If a group of learners wish to make a formal complaint, they must nominate an individual as representative who will submit the complaint providing the group's names and their signatures confirming they are happy for the individual to submit the complaint.
- 7.3.6. All correspondence will be with this individual, but the final outcome letter will be copied to all in the group named in the initial complaint.
- 7.3.7. The complaint must be sent to the Vice Principal, Learner Services & Quality, who will be supported by the nominated member of the Quality Team during the process of investigation.
- 7.3.8. Parents/Carers or third parties are welcome to contact the College on behalf of learners and other College users.

Please note: If the complaint is made on behalf of a person over the age of 16, in compliance with the Data Protection Act, SGS College will not discuss matters with third parties, but will instead, through a nominated member of the Quality Team, raise the matter directly with the individual concerned in an appropriate manner to confirm their willingness to advance the complaint.

In every instance where a Data Protection Waiver is required a copy of this policy will be sent, in explanation, to the complainant.

- 7.3.9. If required, for example, where a complaint is made by a third party on behalf of a vulnerable adult, a Data Protection Waiver form will be sent to obtain permission to disclose information to that third party or other named representative.
- 7.3.10. The nominated member of the Quality Team will log the details of the complaint and process it in accordance with these procedures.
- 7.3.11. An acknowledgement to the complainant will be sent by the Quality Team within two working days of receipt of the complaint or the signed complaint form, if taken by telephone, or in person, or receipt of the completed Data Protection Waiver form if this is required.
- 7.3.12. If there is any element of the complaint that could be considered a potential safeguarding issue the complaint **must** be referred initially to the safeguarding lead for the campus for guidance. If a complaint of this nature involves a member of staff then the Head of HR should be notified at the same time.
- 7.3.13. If legal action is threatened or is as a likely consequence of the complaint the Quality Team will inform the Office of the Vice Principal, Learner Services & Quality who will duly inform the College Executive.
- 7.3.14. Where a complaint is made against a member of staff, a copy will also be sent to Human Resources (HR) to confirm whether the investigation, and any subsequent action taken, will need involvement from the HR Department.
- 7.3.15. An investigation will be arranged, and co-ordinated, by the nominated member of the Quality Team in conjunction with an appropriate Head of Department or Faculty – **Which, in no instance, will be connected to the complaint.** For the avoidance of doubt, where a wholly impartial Manager cannot be identified the complaint will be referred to a member of the College Management Team, as identified by the Head of Quality or the Head of Human Resources.
- 7.3.16. The matter will be investigated and a Complaint Investigation Form (**Appendix 3**) **will** be completed in full and returned to the Quality Team by the due date highlighted on the form.
- 7.3.17. Information within the investigation form will be logged and actions/recommendations will be added if necessary. This will then be forwarded to the Vice Principal, Learner Services &

Quality and the Human resources Function (where the matter can be closed and/or recorded on the relevant personnel file)

- 7.3.18. A full reply will be sent to the complainant from the Vice Principal, Learner Services & Quality, within 10 working days of the date of the acknowledgement letter.
- 7.3.19. Actions and/or recommendations will, in all instances, be added to the College's register of actions for the attention of the relevant Manager. All actions/ recommendations are monitored by the Quality Department and should be closed within 3 or 12 months respectively

Please note: Should circumstances beyond our control prevent the College keeping within this timeline, e.g. Staff sickness, Annual Leave, etc. the complainant will be kept informed.

7.4. **Appeals**

- 7.4.1. If the complainant is dissatisfied with the College's response, he/she will be advised to write to the Principal via the Principal's PA giving reasons for their dissatisfaction within 10 working days of the date of the response letter.
- 7.4.2. A copy of this policy and procedure will be sent to them for reference.
- 7.4.3. Appeals by telephone will not be accepted.
- 7.4.4. The Principal will review the complaint and investigation and advise whether the College's decision is supported or whether the matter needs to be reinvestigated.
- 7.4.5. The Principal's decision is final, after which the College will consider the matter closed.
- 7.4.6. Only after all College procedures for dealing with complaints have been exhausted, and the complainant remains dissatisfied, they are advised to contact the Skills Funding Agency (SFA) for guidance on whether their complaint can be escalated.

Appendix 1

Tell Us! - Compliments and Comments Form



Tell Us!

Compliments and Suggestions

Help us to identify good practice and continually improve our service.

Tell us what we are doing right or comment on suggested solutions to problems. They are all most welcome.

Comments:

*Sample
Form Only*

Thank you very much for your comments. If you would like an acknowledgement, please complete your details below and leave the card at Reception. It will be passed on to the Quality Office.

Name: _____ Telephone: _____

Address: _____

Course (if applicable): _____

If you wish to make a formal complaint, please collect a Complaint Form from Reception, LRC or Enrolment Centre



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Appendix 2
Complaint Form



Quality Office
South Gloucestershire & Stroud College
Stroud Campus
Stratford Road
Stroud
Glos
GL5 4AH

COMPLAINT FORM

Should you wish to make a formal complaint, please complete the details below and forward this form to the above address or email to – suzanne.cavilla@sgscol.ac.uk

Name:	Course being taken (if appropriate)		
Address:	Day and time of attendance (if appropriate)		
Contact Telephone Number(s):	Name of tutor (if appropriate)		
<p style="font-size: 4em; opacity: 0.5; transform: rotate(-30deg);">Sample Form Only</p>			
Date:	Signature:		
Quality Office use only			
Received By:		Date Received:	
Date Received by Quality Office:		Ref No:	

Quality Office Use Only	
Received by (name & date)	
Received by Quality Office	
Ref No	
Acknowledgement	



Complaint Investigation Form

The information you give on this form will be used to respond to the complainant. It is essential that you investigate the matter comprehensively and thoroughly. Please ensure that all information given is backed up with evidence attached to this form.

PLEASE RETURN TO QUALITY OFFICE BY [Click here to enter a date.](#)

suzanne.cavilla@sgscol.ac.uk

Name of complainant:
Investigator:
1. How will the investigation be carried out? Who will be involved?
2. Relevant Background Information (attach evidence to form if necessary)
3. Interview notes
4. Have you spoken to the complainant? <small>Choose an item.</small> If 'Yes', please note details.
5. In your opinion, what are the root causes of the problem?

6. What actions have been taken/do you recommend to correct identified problems?

7. How do you recommend the College responds to this complaint?

Do you consider the complaint closed? Choose an item.

Should the complaint be upheld? Choose an item.

8. Please provide reasons behind your decision.

Signed (Investigator):

Date:

Quality Office Use Only:

Recommendations/Actions Required		Person Responsible	Due Date
1.		1.	1.
Is the complaint closed? Yes/No	Is the complaint upheld? Yes/No/Partially	Referral to Appeal Procedure? Yes/No	Date Referred:

Signed (Quality Office):

Date:

Appendix 4
Staff Contact Details

Useful Staff Contact Details



Role/Dept	Contact Name	Contact Details
Public & Community Relations Officer Marketing Team	Jenny Donnelly	SGS College, Filton Campus, Filton Avenue, Filton, Bristol, BS34 7AT Jenny.Donnelly@sgscol.ac.uk
Nominated member of Quality Team	Suzanne Cavilla	SGS College, Stroud Campus, Stratford Road, Stroud, Gloucestershire, GL5 4AH 01453 761161 Suzanne.Cavilla@sgscol.ac.uk
Vice Principal Learner Services & Quality	Emma Jarman	SGS College, Filton Campus, Filton Avenue, Filton, Bristol, BS34 7AT Emma.Jarman@sgscol.ac.uk
PA to the Principal	Mandy Robertson	SGS College, Stroud Campus, Stratford Road, Stroud, Gloucestershire, GL5 4AH Mandy.Robertson@sgscol.ac.uk