

Objective and Scope

To ensure that FLM Training Limited has a system in place that ensures all complaints, however they are received, either verbally or in writing (email or letter) are dealt with promptly and appropriately.

Definition

FLM Training define a complaint as any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a person about the provision of, or failure to provide, a financial service or a redress determination, which alleges that the complainant has suffered (or may suffer)

Responsibilities

Directors

The Directors retain overall responsibility for ensuring this procedure is adhered to and followed correctly to meet individual contract requirements.

Related Documentation

Complaints Register
Formal written complaint as a letter or email

Operational Procedure

1. When a complaint is received, it is immediately forwarded to the relevant Director.
2. If an informal complaint is made, the relevant Director will confirm who is the most appropriate person to follow it up.
3. The relevant Director will meet with the appropriate person identified and agree how the complaint will be followed up and a realistic deadline for any action to be taken.
4. The informal complaint and the action taken will be recorded in the Complaints Register.
5. On receipt of a Formal Complaint the relevant Director will send a letter of acknowledgement within 5 working days.
6. A Director or Senior Manager will be appointed to investigate the complaint.
7. The Investigator will compile a detailed report, stating the findings from the investigation and any supporting evidence.
8. The Director will decide the appropriate action depending on the findings of the investigation. Where necessary this may be in consultation with other members of management team.

9. The person making the complaint and the person/s the complaint has been levied against, will be notified verbally or in writing of the outcome of the investigation and where appropriate the action that will be taken.
10. If the person making the complaint, or person/s the complaint has been levied against, disagree with the findings of the investigation and the action to be taken, a panel of two appropriate independent representatives of FLM Training Limited will be appointed to re-examine the findings and the action decided upon.
11. The findings of the panel will be the final stage in the Complaints Procedure. The person making the complaint and the person/s the complaint has been levied against will be notified of the findings of the panel and any action decided upon.
12. Where appropriate the disciplinary procedure will be used to take action against a member of FLM Training Limited staff or a learner.
13. If any stakeholder including a learner utilises this procedure and are in disagreement as to the outcome, then they have the right to refer to the awarding body which might include CMI or AIQ.
14. In the event of a learner complaint, learners should in the first instance, follow the Learner Grievance Procedure 6.14.