



Complaints Policy

LSET is committed to providing a quality service to its participants and staff in an open and accountable way that builds the trust and respect of all. To ensure how we can continue to improve our service by listening and responding to the views of our participants and staff and by responding positively to complaints and by putting mistakes right.

Therefore, we aim to ensure that:

- making a complaint is as easy as possible;
- we treat a complaint as a clear expression of dissatisfaction with our service which calls for an immediate response;
- we deal with it promptly, politely and, when appropriate, confidentially;
- we respond in the right way - for example, with an explanation, or an apology where we have got things wrong, or information on any action taken.
- we learn from complaints, use them to improve our service, and review annually our complaints policy and procedures.

We recognise that many concerns will be raised informally and dealt with quickly. Our aim is to:

- resolve informal concerns quickly;
- keep matters low-key;
- enable mediation between the complainant and the individual to whom the complaint has been referred.

An informal approach is appropriate when it can be achieved but if concerns cannot be satisfactorily resolved informally, then the formal complaints procedure should be followed.

LSET defines a complaint as 'any expression of dissatisfaction with a member of staff or a colleague.

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

LSET responsibility.

- acknowledge the formal complaint in writing;
- respond within a stated period;
- deal reasonably and sensitively with the complaint;
- act where appropriate.



A complainant's responsibility is to:

- bring their complaint, in writing, attention normally within 4 weeks of the issue arising;
- raise concerns promptly and directly with a member of staff
- explain the problem as clearly and as fully as possible, including any action taken to date;
- allow LSET administration a reasonable time to deal with the matter;
- recognise that some circumstances may be beyond the administrator's control in which case the complaint will be passed on to the management or the police as appropriate.

Responsibility for Action:

- Concerned staff.

Confidentiality

Except in exceptional circumstances, every attempt will be made to ensure that both the complainant and a staff member maintain confidentiality. However, the circumstances giving rise to the complaint may be such that it may not be possible to maintain confidentiality (with each complaint will be judged on its merit). Should this be the case, the situation will be explained to the complainant.

Monitoring and Reporting:

LSET Chairman will receive annually a report of complaints made and their resolution.

Complaints, Appeals Policy and Procedures (Participants)

Introduction

1.1 London School of Executive Training welcomes feedback from participants on all aspects of their experience to help to improve services for the future. LSET anticipates that the use of effective systems to obtain and respond to the feedback will lead to a reduction in the use of the formal Complaints Procedure.

1.2 LSET takes all complaints seriously. This procedure aims to ensure that complaints are dealt promptly and fairly; in a consistent manner across and following the principles of natural justice.

1.3 Where appropriate for the improvement of services and any redress for the complainant.

1.4 LSET and its staff each have rights and responsibilities under this procedure. Consequently,



participants having complaints must make them in good faith and without malice. Complaints which are obscene or abusive may be subject to disciplinary action.

1.5 LSET Chairman monitors and reviews the number, level and type of complaints that are made for each academic year. This data forms one of the measures used to assess and enhance LSET services. A report is then made to the Academic Board and were relevant to the BOG.

2. Scope

2.1 A complaint is defined as any specific concern that any participant or a group of participants may have, about the provision of a programme of study or related services or a member of LSET staff. For example, complaints might relate to:

- Failure to deliver the programme of study as set out in the programme sheet.
- Failure to provide the specified resources that support the executive experience;
- Failure to provide the specified administrative support and services which underpin participants experience.

2.2 In the case of complaints by a participant against a member of LSET staff it should be noted that such complaints may require the LSET to invoke the Staff Disciplinary Procedures. The procedures for the investigation and resolution of such a complaint are set out separately in **Part B** of the LSET Complaints Procedure. Examples of matters that might give rise to a complaint against a member of staff include:

- Persistent failure to supervise participants' following the requirements of the course or programme of study.
- Persistent cancellations of scheduled classes without proper notice and/or reason.
- Persistent failure to mark required written work, loss of or failure to return that work.
- Persistent failure to communicate to the executive information about the course, its assessment and other relevant matters, or to operate within normal course regulations.
- Assault or other threatening behaviour.
- Abusive remarks or behaviour.
- Harassment of any form (e.g. sexual, racial, religious)
- Unjustified or negligent behaviour likely to cause physical or mental injury to the executive or affect the executive's safety.

2.3 This Procedure is not appropriate for the following:

- Minor or occasional lapses of good manners.
- Disputes of a private nature between staff and participants.
- Disputes with persons not employed by or subject to the jurisdiction of the Executive Training School.



- Disputes between executives or between staff. Disputes of this nature would be dealt with under the relevant Disciplinary Procedure for executives or staff.

2.4 Complaints should be made at the time that the concern about the delivery of some aspect of the programme of study or issue involving a member of staff occurs. Under these procedures, this is defined as within 30 working days of the problem arising. Complaints received outside of this time limit will not normally be considered.

PART A: COMPLAINTS RELATING TO THE PROVISION OF A PROGRAMME OF STUDY OR LSET SERVICES (see also Appendix 2)

A1 Stage 1: The Informal Stage of the Procedure

A1.1 How to initiate a complaint

A1.1.1. To minimise the impact on studies, complaints about academic provision need to be resolved as quickly as possible. The emphasis of the Participants Complaints Procedure is, therefore, on informal resolution of the complaint at the level of course delivery or the related LSET service area. Most complaints and concerns should be dealt with at a local level. 'At a local level', means that the complaint should have been dealt with within the faculty. Most issues can be dealt with by the lecturer or Programme Management or Academic Advisor, but some; particularly those that involve the allocation of resources may have to be passed on to the Principal/Chairman.

A1.1.2. This section sets out guidance for participants on how to raise a concern about the provision of their programme of study or related support services

A1.1.3. In most cases, complaints or concerns relating to the provision of a programme of study should be taken, in the first instance, to the person responsible for running the course. This is likely to be the Tutor/Programme Management. Each course should have a course representative who can put the participant's concerns to the LSET administration on their behalf.

A1.1.4. Participants may have a concern that affects them alone and would prefer to take the issue up on their own. They can, therefore, address their complaint to the Programme Manager or the class tutor or, if more appropriate to the nature of their complaint, the Principal or the Academic Advisor.



A.1.1.5. Participants are also entitled to be accompanied at all stages of the complaints process by a person of his or her choosing.

A1.2. Resolution of complaints

A1.2.1. To facilitate the handling of the complaint, the complainant should state what action they believe would resolve it. Even where a complaint is found to be justified, it may not always be possible to give participants the remedy that they seek because of resource implications or because the proposed remedy may compromise academic standards or be in some other way unrealistic. However, participants should always receive a response to their complaint and an explanation of why remedial actions have or have not been taken and should be given some advice on what level of support they should realistically receive.

A1.2.2. Where something has gone wrong or some aspect of course delivery that should have happened has not happened; LSET response is to try to correct the mistake or to rectify the omission. The emphasis is always on trying to prevent there being any negative effect on participants' academic performance because of something that the LSET has failed to do

A1.2.3. The LSET is concerned with trying to prevent the same problem arising again and with improving for the future. Participants feedback obtained is used in the design and planning of course delivery. Another important source of feedback is unit evaluation questionnaires, distributed to participants at the end of each unit of study. Obviously, participants do not have to wait until they receive a questionnaire to raise any concerns about a particular unit, but by completing the questionnaire and telling the School what they think about the units that they have studied, both the good things and the bad things LSET can maintain and improve the quality of its courses and reduce the need for any future complaints.

A1.3 Process for making a complaint

A1.3.1. Stage 1 of the Participants' Complaints Procedures is about fast and informal resolution of complaints. There is no need to complete a special form nor is it essential for participants to put their complaint in writing. Many concerns raised by participants can be dealt with following a conversation with an appropriate member of staff. However, it is advisable to obtain a written note of what was agreed at the time or to retain any e-mails that may have received in response to the complaint.



A1.3.2. However, if participants feel that their complaint is more serious or if they feel that the issues are complicated and need to be set out clearly, they may feel that it is more appropriate to submit the complaint in writing. The member of staff to whom the complaint is addressed may prefer to receive it in writing, especially if they need to investigate issues

on participants' behalf and need to be sure that they have a clear understanding of what those issues are.

A1.3.3. If a participant is completely dissatisfied with the response received at Stage 1 and needs to take the complaint further to Stage 2 of the procedure then they need to have some written evidence of what they have done to attempt to get the matter resolved informally at Stage 1.

A2 Stage 2: Formal Stage of the Procedure

A2.1. Participants must follow Stage 1 of the procedure before invoking Stage 2. The second stage of the participant's complaints procedure allows them to take the complaint further if they have failed to achieve a successful resolution of their complaint by direct discussion within their Faculty or with the LSET administration, through Stage 1 of the procedure.

A2.2. How to submit a complaint at Stage 2 of the Procedure

A2.2.1. If, having been through the Informal Stage, the participant considers that the complaint has not been dealt with satisfactorily, then, he/she must submit a formal complaint.

A2.2.2. Formal complaints must be submitted on the Formal Complaint Form – which can be obtained from the LSET administration.

A2.2.3 The Formal Complaint must include the following details:

- A full statement of the complaint.
- Brief details of the steps already taken to resolve the complaint at Stage 1.
- Reasons for participant's dissatisfaction with the attempts to resolve the complaint.
- A copy (not original documents) of any documentary evidence participant wishes



to submit.

- The participant's name and number.

The complaint should be addressed to the LSET Principal/Chairman and either sent by email (info@lset.org.uk) or handed into the admin office.

A2.2.4 The Principal/Chairman would normally respond in writing within 10 working days setting out whether:

- The complaint may proceed at the Formal Stage;
- The complaint should be referred to the Informal Stage; or
- The complaint has been rejected at this stage

A2.2.5 LSET management may reject invalid complaints which are:

- submitted outside the 30 working days timescale;
- Not set out on the approved proforma;
- Matters that are not the subject of this Procedure
- considered obscene or abusive behaviour.

A2.2.6. Where a complaint is rejected on one or more of the above grounds, LSET administration will notify the participant of this in writing, identifying the relevant deficiency; giving the reasons for the decision; and informing the participant that the process is now at an end. Chairman will send a copy of this letter to the relevant faculty member in those instances where a complaint is rejected the participant will have a right of appeal against this decision. This appeal must be submitted in writing to the Principal/Chairman within 10 working days of the date of the receipt. The Principal/Chairman will respond in writing normally within 10 working days setting out whether:

- The appeal has been upheld
- The appeal has been rejected

A2.2.7. Where a valid formal complaint is submitted the Principal/Chairman will forward it to the relevant person who will investigate and reply to the participant in writing normally within 15 working days.

A2.2.8. The relevant department will advise the participant in question within seven days of the outcome of the investigation and of any action which he/she proposes to take.



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A3 Stage 3: The Formal Review of the Procedure

A3.1 If the complainant is dissatisfied with the response to their complaint under Stage 2 of the Procedure he/she should notify the Principal/Chairman in writing within 10 working days of the date of the response he/she was sent stating in full the reasons why he/she remain dissatisfied. A3.2 The Principal/Chairman will then forward the complaint to the NEXT LEVEL.

A4. Stage 4: Appeal

A4.1. Participant who is dissatisfied with the outcome of Stage 3 may request a review of the decision. Requests must be submitted to the Chairman of the Board of Governors within 15 working days of the date of the receipt of the decision.

A4.2. Requests for review of a decision can be made on the following grounds only:

- That there were procedural irregularities in the conduct of Stage 3
- That on the facts available at Stage 3, the decision and outcome was not reasonable.
- That evidence is available to support the substance of the complaint which was not available at Stage 3.

A4.3. The Chairman of the LSET Board of Governors will forward the request for review to an independent person who has had no prior involvement in the matter to investigate. He will respond in writing normally within 10 working days setting out whether:

- The request for review has been granted
- The request for review has been rejected

A4.4. The Chairman BOG will reject any requests as invalid which:

- Are not submitted within the agreed timescale;
- Do not meet the grounds for review; or
- Are matters that are the subject of the Staff Disciplinary Procedure?

A4.5. Where a review request is rejected on one or more of the above grounds the Chairman of the BOG will notify the participant in question of this in writing; identifying the relevant deficiency; giving the reasons for the decision, and informing the executive that the process is now at an end. The Chairman of the BOG will send a copy of this letter to the Principal who will issue a formal "Completion of Procedures" letter normally within 10 working days.



A4.6. Where the Chairman of the BOG considers that there are valid grounds for review, she/he will inform the participant normally within 10 working days of the receipt of the request for review. In this instant, the Chairman BOG will inform LSET Principal of his approval of the review application.

A4.7. The decision of the Chairman Board of Governors is final; and ends the Complaints Procedure. There is no right of further review or appeal within the LSET. On the conclusion of the process a complainant will receive a formal letter from the Executive Training School setting out:

- The decision;
- A summary of the reasons for the decision;
- Notification of any outcome arising from the decision;
- Confirmation that the process is now at an end.

The Chairman BOG will send a copy of this letter to the London School of Executive Training Principal who will issue a formal "Completion of Procedures" letter normally within 10 working days.

Although the decision of the Chairman BOG is final for the institutional point of view, however, LSET recommends that other competent authorities and organizations such as BAC will be informed of any such outcome and BAC decision in this respect will be binding and obligatory on LSET.



PART B: PARTICIPANTS' COMPLAINT PROCEDURE RELATING TO THE CONDUCT OF A MEMBER OF STAFF (see also Appendix 4)

Introduction

This procedure is intended to cover the situation where a participant has a serious complaint relating to the conduct of a member of staff towards him or her which cannot be resolved by informal and other formal processes (examples of which are given below), or where there are reasons which make it inappropriate to invoke those other processes. In most cases, such problems can and should be informally solved by raising them with the member of staff involved. If this is not possible, then another appropriate senior staff member should be approached by the participant. In certain cases, the issue might be raised at a course board meeting. These normal processes should be followed before resorting to this procedure. This procedure shall not be used to appeal against decisions of exam boards, for which the existing Appeals Procedure (obtainable from administration office) must be used. Where disciplinary proceedings against a member of staff have been commenced which relate to the same or similar problems as those affecting the complaining executive, the disciplinary procedures take precedence over this procedure.

Types of Complaint

This procedure covers serious complaints by a participant or group of participants against a member of LSET staff which relates to the LSET operation directly.

1. Persistent failure to supervise a participant following the requirements of the course or programme of research study.
2. Persistent cancellation of scheduled classes without proper notice and/or reason.
3. Persistent failure to mark required written work, loss of, or failure to return that work.
4. Persistent failure to communicate with participant information about the course, its assessment and other relevant matters, or to operate within normal course regulations.
5. Assault or other threatening behaviour.
6. Abusive remarks or behaviour.
7. Harassment of any form (e.g. sexual, racial, religious).
8. Unjustified or negligent behaviour likely to cause physical or mental injury to the executive or affect the executive's safety.



The above is an illustrative and not exhaustive list. Alleged complaints must be of a nature comparable to those on the list. This procedure is not appropriate for the following:

1. Minor or occasional lapses of good manners.
 2. Disputes of a private nature between staff and executives.
 3. Disputes between executives or between staff.
 4. Disputes with persons not employed by or subject to the jurisdiction of the Executive Training School (e.g. mentors or supervisors on placement).
5. Complaints should be made at the time that the concern about an issue involving a member of staff occurs. Under these procedures, this is defined as within 30 working days of the problem arising. Complaints received outside of this time limit will not normally be considered. Complaints which are the same as or in substance the same as complaints that have been the subject of this or related procedures, such as the disciplinary procedure.

Procedure

There are three possible stages in the procedure governing the bringing of a complaint against a member of staff:

STAGE 1: Complaint to the Head of Department responsible for the staff.

STAGE 2: Appeal against the decision of the Head of Department or Programme Manager on the complaint to the Principal/Chairman.

STAGE 3: Where the complaint has not been resolved under stage 2 can be referred to the Principal. The Principal shall make such further investigations or enquiries, if any, as he or she deems necessary and then conclude on the matter.

STAGE 4: If the complainant remains dissatisfied with the response to his or her complaint then he or she may require that the complaint be referred to the Chairman Board of Governors. The decision of the Board of Governors shall be final. The complainant shall receive a statement, with reasons, of the BOG decision.

Although the decision of the Chairman BOG is final for the institutional point of view however LSET recommends that all such complaint can be brought forward with the



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British Accreditation Council to intervene in the matter and LSET will be fully obliged to accept the recommendations/suggestions/ decision of its Accreditation Body.

Appendix 1

Procedural Rules for the Panel hearing the Appeals.

- 1 The hearing shall take place in private on the agreed date at the LSET premises.
2. The hearing may be attended by both parties, one friend per party and a minute taker appointed by the Principal.
3. After the date of the hearing has been fixed the Chair shall, at least 10 working days before the hearing, write to all parties:
 - i Notifying them of the date of the hearing.
 - ii Requesting 3 copies of any written submissions from the parties to be submitted
 - iii Requesting the parties to provide the names of any friends that will accompany them at the hearing and the name of any witness they would like to call.
4. A written record of the proceedings shall be kept by a member of the administration office.
- 5 The Chair has the power to regulate the procedure of the hearing within the spirit of these rules, having regard to the rules of natural justice and the need to maintain informality and reasonable dispatch of the proceedings.
6. In exceptional circumstances, the panel may consider documents or hear evidence in the absence of the parties.
7. The panel will present a report to the where the complaint has not been resolved under stage 2 can be referred to the Principal/Chairman of the facts found, and the recommendations made based on those facts.



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List of Documents

(Please list all documents you have attached. You should keep your original documents and submit photocopies).

Nature of redress sought

(Please indicate what outcome or further action you are expecting)



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Declaration

I declare that:

- a) The information I have given on this form is true
- b) I am prepared to provide further information if required by LSET

Signature :		Date	
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London School of Executive Training, London United Kingdom

Appendix 3

Who to contact for help with this procedure?

Executives and staff members may seek guidance on the operation of these procedures from the following:

- LSET Welfare Officer
- Tutor, Programme Manager
- Principal/Chairman