



DOCUMENT TYPE: Policy	UNIQUE IDENTIFIER: TP-244		
DOCUMENT TITLE: Education Complaints, Compliments and Suggestions Policy	VERSION NUMBER: 1		
	STATUS: Ratified		
SCOPE: All Trust Staff	CLASSIFICATION: Organisational		
AUTHOR: Chris Holden	JOB TITLE: Business Support Manager	DIVISION: Education and Workforce	DEPARTMENT: Business and Governance
REPLACES: New issue	Head of Department Kerry Hemsworth (Deputy Director for Education)		
VALIDATED BY: Risk Management Group	DATE: 06 September 2021		
RATIFIED BY: Procedural Documents Ratification Group	DATE: 09 December 2021		
(NOTE: Review dates may alter if any significant changes are made).	REVIEW DATE: 31 December 2024		

AMENDMENT HISTORY				
Version No.	Date of Issue	Page/Selection Changed	Description of Change	Review Date

Does this document meet the requirements of the Equality Act 2010 in relation to Race, Religion and Belief, Age, Disability, Gender, Sexual Orientation, Gender Identity, Pregnancy & Maternity, Marriage and Civil Partnership, Carers, Human Rights and Social Economic Deprivation discrimination?

Document for Public Display: Yes

Evidence reviewed by Library Services N/A

CONTENTS

		Page
1	SUMMARY	3
2	PURPOSE	3
3	SCOPE	3
4	POLICY	3
5	OBJECTIVES	6
6	DUTIES AND RESPONSIBILITIES	6
7	AUDIT AND MONITORING	7
8	DOCUMENT INFORMATION	
	Attachments	7
	Other relevant/associated documents	8
	Supporting references/evidence based documents	8
	Definitions/Glossary of Terms	8
	Consultation	9
	Distribution Plan	9
APPENDICES		
Appendix 1	Complaints Procedure (Timeframes)	10
Appendix 2	Equality, Diversity & Inclusion Impact Assessment Form	11

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

1. SUMMARY

The Health Academy at Lancashire Teaching Hospitals NHS Foundation Trust (LTHTR) is committed to listening and responding to the views of all those using the facilities and services of The Health Academy, as a key element of its quality review and improvement processes. The Health Academy, LTHTR's education arm, aims to respond to all complaints and suggestions efficiently, effectively and fairly, and recognise compliments. We recognise that our response to complaints and suggestions plays a vital role in our drive to promote equality and diversity, eliminate discrimination and safeguard our learners, staff and education partners from abuse and harassment.

2. PURPOSE

The purpose of the Education Complaints, Compliments and Suggestions Policy is to:

- Provide a clear framework through which education and training complaints and suggestions are fully considered and responded to in a timely, equitable, consistent and professional manner.
- Ensure that information received, and actions taken enable continuous improvement.

3. SCOPE

The Policy applies to all staff, students, patients, potential students, sub-contracted partners and all other stakeholders who wish to make a complaint, compliment or suggestion either individually or collectively regarding education, training or support delivered by The Health Academy at LTHTR.

4. POLICY

4.1 Definition

For the purpose of this procedure, a complaint is defined as an expression of dissatisfaction with the services, training or facilities provided by The Health Academy at LTHTR that require an investigation and response.

Complaints may be made in a variety of ways:

- Verbally.
- In person or by telephone.
- In writing, including electronically by email.

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

A complainant is the person making the complaint, whether that is on behalf of themselves or another person, and may be a student, prospective student, staff member, relative or friend or any member of the public.

A concern or informal complaint is an issue that is raised verbally, either directly to a member of staff or over the telephone, which can be resolved to the complainant's satisfaction within an agreed timescale (normally no later than the next working day after the day on which the concern was raised), and which does not require a written response.

A formal complaint should be made if the complainant has attempted to resolve matters informally but is not satisfied with the outcome or if the issue involved is too complex or serious for an informal resolution.

4.2 Procedures

The process for raising a complaint is detailed below:

Stage 1: Informal Complaints

Where possible, complaints should be raised immediately with relevant departments at the source of the complaint, or via the Education Governance Team (educationalgovernance@lthtr.nhs.uk). The aim is to resolve the problem directly and informally at the earliest opportunity. It is anticipated that the vast majority of complaints will be resolved in this manner.

Although Stage 1 is informal, the member of staff involved should provide a written outcome to the complainant, copying in the Education Governance Team at (educationalgovernance@lthtr.nhs.uk) who will record the details of all informal e complaints. Acknowledgement of the complaint will be provided within 72 hours, and a full response given within 4 weeks. If the complainant is unable to raise the complaint at the source, or is dissatisfied with the outcome, they should make a formal complaint (see Stage 2 below).

Stage 2: Formal Complaints

Formal complaints should be made in writing to The Health Academy (THA) by using the online template or via email to educationalgovernance@lthtr.nhs.uk. If this is not feasible and the complaint is communicated by telephone or in person, a member of staff can record the details on behalf of the complainant and send it to the Education Governance team.

If sending via email, it should be titled as a complaint and set out the details of the complaint in full and what would be an appropriate outcome. The Education Governance team will log the complaint. THA will acknowledge receipt of the complaint within two working days, and the complaint will be forwarded to an 'Investigating Officer' who has not been previously involved

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

with the complaint. The Investigating Officer will be a member of the Senior Leadership Team or designated lead. The Investigating Officer will review all information submitted and meet with relevant members of staff to review the complaint. The Investigating Officer will also speak with the complainant to clarify facts where required.

As part of the process, mediation may be offered to resolve the complaint. If mediation is offered, revised timescales for the resolution of the complaint will be agreed in writing between LTHTR and the complainant. A written response relating to findings of the inquiry will be issued by the Investigating Officer within a maximum of four weeks from the date of receipt of the original complaint. If the complainant is not satisfied with the action taken, he/she may proceed to Stage 3 of the procedure.

Some complaints might be subject to external processes and as such will be forwarded on to the relevant organisations e.g. University, NMC or GMC to investigate. If this happens, the investigating officer will inform the complainant of the process and what required action will take place.

Stage 3: Appeals

If the complaint is not resolved to the complainant's satisfaction, then the complainant has the right of appeal. Appeals will be heard by the Deputy Director for Education, or a designated senior manager. The findings will be reported within 10 working days. The Deputy Director for Education or designated senior manager will respond to the complainant and conclude the complaint.

All appeals should be sent in writing to the Education Governance team or emailed within 10 working days of the outcome response to:

Educationgovernance@lthtr.nhs.uk

This will be the final route of escalation within the Trust.

Stage 4: Unsatisfactory Outcome

If complainants do not agree with the Appeal verdict from the internal complaints procedure and the complaint refers to services received relating to the programme of study and the qualification then they should contact the Awarding Organisation or Higher Education Institution (HEI), contact details can be provided by THA.

Should the complainant remain unsatisfactory with the outcome then the qualification regulator should be contacted. For publicly funded qualifications the ESFA (Education and Skills Funding Agency) will consider the complaint once the above procedures have been exhausted.

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

Compliments and Suggestions

Compliments and Suggestions can be made in writing via an online form or by emailing educationalgovernance@lthtr.nhs.uk or alternatively verbal feedback can be provided through learner focus groups or via through a Learner Voice session.

5. OBJECTIVES

- To investigate and respond to all complaints in a fair and timely fashion.
- To use feedback and outcomes from complaints and suggestions to facilitate improvements. To provide accessible, accurate and complete information on complaints for stakeholders as necessary and appropriate.
- To review complaints through the performance monitoring and review framework.
- To collect and collate compliments and suggestions to support continuous improvement and share best practice.

6. DUTIES AND RESPONSIBILITIES:

All staff

- All staff have a responsibility when faced with a complaint from a student, learner, prospective learner or staff member to deal with it sympathetically, helpfully and constructively.
- All staff have a responsibility to try to resolve informal complaints prior to invoking the formal complaints procedure.

Education Governance Team

The Head of Business and Governance (Education):

- Has overall responsibility for the implementation, monitoring, evaluation and review of the policy and procedures.

The Education Governance Team is responsible for:

- Informing the complainant that their complaint has been received and will be investigated.
- Appointing an investigating officer to ensure a complaint is investigated fairly and impartially.
- Seeking a satisfactory resolution for the complainant, where the complaint can be substantiated.
- Informing the complainant of the outcome of the investigation by email/letter.
- Ensure all compliments are shared with the relevant teams and due recognition is given to the staff involved.
- Maintaining records and information associated with feedback, monitoring feedback and the outcomes.

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

- Ensure that data is recorded identifying the number of complaints, suggestions and compliments for each area. The Head of Business and Governance, Hospital Dean, Deputy Director for Education or a designated senior manager will hear appeals.

6.1 [Deputy Director for Education]

- Will act on behalf of the Chief Executive in overseeing the implementation of the policy.
- Ensure that there are competent persons to advise, assess risk and deliver training as appropriate.

7. AUDIT AND MONITORING

Aspect of compliance or effectiveness being monitored	Monitoring method	Individual responsible for the monitoring	Frequency of the monitoring activity	Group / committee which will receive the findings / monitoring report and act on findings.	Group / committee / individual responsible for ensuring that the actions are completed
Education Quality and Performance	Quality reports	Business and Governance Team	Monthly	Education compliance and assurance sub committee	Education, Training & Research (ETR) committee

The nature of the complaint, along with programme and level of study (if applicable), in the case of students, will be held on a central database for monitoring and review purposes.

- Complaints will be reviewed quarterly and monitored and any generic issues of concern will be actioned appropriately.
- A report on complaints, suggestions and compliments, including details of monitoring data, will be submitted to ETR as part of a wider Education Quality Report on a quarterly basis.
- A separate response, specifically to provide assurance on the effectiveness of handling complaints highlighted through external surveys such as NETS, PARE, GMC and HEE will be submitted to internal and external stakeholders as required. The effectiveness, timeliness and resolution of any complaints will be included within these reports where required.
- The policy and procedures, via Equality Impact Assessments, will be assessed to ensure there is not negative impact on any particular groups of people.

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

- The policy will be reviewed every three years or as a result of external governmental policy changes and any amendments will be approved by the Head of Education Business and Governance.

8. DOCUMENT INFORMATION

ATTACHMENTS	
Appendix Number	Title
Appendix 1	Complaints Procedure (Timeframes)
Appendix 2	Equality, Diversity & Inclusion Impact Assessment Form

OTHER RELEVANT / ASSOCIATED DOCUMENTS	
Unique Identifier	Title and web links from the document library
HRP-39	Learner Support Policy
TP-24	Customer Care and PALS Policy and Procedure

SUPPORTING REFERENCES / EVIDENCE BASED DOCUMENTS	
References in full	
References checked by library	
Number	References
1	
2	

DEFINITIONS / GLOSSARY OF TERMS	
Abbreviation or Term	Definition
LTHTR	Lancashire Teaching Hospitals NHS Foundation Trust
THA	The Health Academy
ETR	Education Training and Research Committee
GMC	General Medical Council
NETS	The National Education and Training Survey
HEE	Health Education England
PARE	Practice Assessment Record and Evaluation

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

CONSULTATION WITH STAFF AND PATIENTS

Enter the names and job titles of staff and stakeholders that have contributed to the document

Name	Job Title	Date Consulted
Risk Management Group Meeting	Risk Management Group	15/07/2021
Education Leads Meeting	Education Leads Monthly Meeting	17/08/2021
Inclusion Ambassadors		26/10/2021

DISTRIBUTION PLAN

Dissemination lead:	Chris Holden
Previous document already being used?	No
If yes, in what format and where?	
Proposed action to retrieve out-of-date copies of the document:	N/A – No current policy in place.
To be disseminated to:	Trust wide
Document Library	Trust Heritage
Proposed actions to communicate the document contents to staff:	Include in the LTHTR weekly Procedural documents communication– New documents uploaded to the Document Library. ‘Dissemination of the procedure within areas to staff and stakeholders is the responsibility of the respective management teams

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

Appendix 1

Complaints Procedure (Timeframes)

Stage 1: Informal Complaint Received

- Complaint acknowledged within 72 hours.
- Full response provided within 4 weeks.

Stage 2: Formal Complaint Received

- Complaint acknowledged within 48 hours
- Decision is made on the type and level of investigation and an investigating officer appointed.
- Complaint investigated by assigned investigating officer.
- Investigating officer completes the investigation and provides a report to the Education Governance team within 10 working days*.
- Education Governance team uses outcomes of investigation to respond to the complainant by letter/email.

Stage 3: Appeals

- Complainant may appeal to the Deputy Director for Education or a designated senior manager within 10 working days if unsatisfied with outcome.

*Where complaints involve external agencies or lengthy investigation, this may take up to 30 working days. If this is the case, we will update the complainant every 10 working days.

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

Equality, Diversity & Inclusion Impact Assessment Form

Department/Function	Workforce and Education			
Lead Assessor	Chris Holden			
What is being assessed?	Education Complaints, Compliments and Suggestions Policy			
Date of assessment	October 2021			
What groups have you consulted with? Include details of involvement in the Equality Impact Assessment process.	Equality of Access to Health Group	<input type="checkbox"/>	Staff Side Colleagues	<input checked="" type="checkbox"/>
	Service Users	<input type="checkbox"/>	Staff Inclusion Network/s	<input checked="" type="checkbox"/>
	Personal Fair Diverse Champions	<input type="checkbox"/>	Other (Inc. external orgs)	<input type="checkbox"/>
	Please give details:			

• What is the impact on the following equality groups?		
Positive:	Negative:	Neutral:
<ul style="list-style-type: none"> ➤ Advance Equality of opportunity ➤ Foster good relations between different groups ➤ Address explicit needs of Equality target groups 	<ul style="list-style-type: none"> ➤ Unlawful discrimination, harassment and victimisation ➤ Failure to address explicit needs of Equality target groups 	<ul style="list-style-type: none"> ➤ It is quite acceptable for the assessment to come out as Neutral Impact. ➤ Be sure you can justify this decision with clear reasons and evidence if you are challenged
Equality Groups	Impact (Positive / Negative / Neutral)	Comments:
Race (All ethnic groups)	Neutral	<ul style="list-style-type: none"> ➤ Provide brief description of the positive / negative impact identified benefits to the equality group. ➤ Is any impact identified intended or legal?
Disability (Including physical and mental impairments)	Neutral	
Sex	Neutral	
Gender reassignment	Neutral	
Religion or Belief (includes non-belief)	Neutral	
Sexual orientation	Neutral	
Age	Neutral	

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

Marriage and Civil Partnership	Neutral	
Pregnancy and maternity	Neutral	
Other (e.g. caring, human rights, social)	Neutral	

<ul style="list-style-type: none"> In what ways does any impact identified contribute to or hinder promoting equality and diversity across the organisation? 	
---	--

<ul style="list-style-type: none"> If your assessment identifies a negative impact on Equality Groups you must develop an action plan to avoid discrimination and ensure opportunities for promoting equality diversity and inclusion are maximised. <ul style="list-style-type: none"> ➤ This should include where it has been identified that further work will be undertaken to further explore the impact on equality groups ➤ This should be reviewed annually.

ACTION PLAN SUMMARY		
Action	Lead	Timescale

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		

HOW THE NHS CONSTITUTION APPLIES TO THIS DOCUMENT

WHICH PRINCIPLES OF THE NHS CONSTITUTION APPLY? Click here for guidance on Principles	Tick those which apply	WHICH STAFF PLEDGES OF THE NHS CONSTITUTION APPLY? Click here for guidance on Pledges	Tick those which apply
1. The NHS provides a comprehensive service, available to all. 2. Access to NHS services is based on clinical need, not an individual's ability to pay. 3. The NHS aspires to the highest standards of excellence and professionalism. 4. The patient will be at the heart of everything the NHS does. 5. The NHS works across organisational boundaries. 6. The NHS is committed to providing best value for taxpayers' money. 7. The NHS is accountable to the public, communities and patients that it serves.	✓ ✓ ✓ ✓ ✓ ✓ ✓	1. Provide a positive working environment for staff and to promote supportive, open cultures that help staff do their job to the best of their ability. 2. Provide all staff with clear roles and responsibilities and rewarding jobs for teams and individuals that make a difference to patients, their families and carers and communities. 3. Provide all staff with personal development, access to appropriate education and training for their jobs, and line management support to enable them to fulfil their potential. 4. Provide support and opportunities for staff to maintain their health, wellbeing and safety. 5. Engage staff in decisions that affect them and the services they provide, individually, through representative organisations and through local partnership working arrangements. All staff will be empowered to put forward ways to deliver better and safer services for patients and their families. 6. To have a process for staff to raise an internal grievance. 7. Encourage and support all staff in raising concerns at the earliest reasonable opportunity about safety, malpractice or wrongdoing at work, responding to and, where necessary, investigating the concerns raised and acting consistently with the Employment Rights Act 1996.	✓ ✓ ✓ ✓ ✓ <input type="checkbox"/> <input type="checkbox"/>
WHICH AIMS OF THE TRUST APPLY? Click here for Aims	Tick those which apply ✓ ✓ ✓	WHICH AMBITIONS OF THE TRUST APPLY? Click here for Ambitions	Tick those which apply ✓ ✓ ✓ ✓

Lancashire Teaching Hospitals NHS Foundation Trust		ID Number: TP-244
Version No: 1	Next Review Date: 31/12/2024	Title: Education Complaints, Compliments and Suggestions Policy
Do you have the up to date version? See the intranet for the latest version		