

Complaints Policy

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Related Documents

Equality and Diversity Policy
GDPR Policy/data protection
Disciplinary policy
Whistleblowing policy

Policy Statement

The Chartered Institution of Railway Operators (CIRO) strives to provide high-quality services and to be excellent in all that we do, but we recognise that our practices can always be improved. When we fall short of the high standards we set for ourselves, we would like to hear about it. We take all feedback seriously – both good and bad – and treat feedback as an opportunity to develop.

Complaints received and their outcomes will be reviewed at quality meetings and the effectiveness of the complaints procedure will be evaluated on an annual basis at the Annual QA Review.

Purpose of Policy

CIRO is committed to providing a quality service for its members and learners, working in an open and accountable way that builds the trust and respect of all our stakeholders. Unfortunately, things sometimes go wrong and one of the ways in which we can continue to improve our service is by listening and responding to the views of our members, learners, customers and stakeholders, and in particular by responding positively to complaints, and by putting mistakes right.

The CIRO recognises that many concerns may be raised informally and can be dealt with quickly and simply. Complaints will be resolved early and promptly, preferably keeping it as close to the source of the problem as possible and dealing with it by informal means. By encouraging complainants to come forward with concerns at an early stage, matters can be discussed, and any misunderstandings resolved by telephone conversation, face to face meeting, email or letter to the appropriate person.

The purpose of the policy is to:

- provide operational definition of the term complaint.
- clarify who can make a complaint to CIRO.
- clarify the eligible grounds for a complaint.
- explain the general provisions pertaining to complaints.
- clarify the complaints process and timelines with details of the roles and responsibilities of complainants, CIRO and external regulatory bodies if applicable.

Definition

A complaint is an oral or written expression of dissatisfaction or concern relating to the CIRO's provision delivered to its members and learners

- A learner is the generic term for anyone enrolled on any CIRO apprenticeship or course.
- CIRO apprenticeship: any apprenticeship programme delivered by CIRO
- A CIRO course is the generic term for short courses and academic courses offered by the Institution.
- Complainant is the person who has made the complaint.

Aims of Policy

The aim of this policy is to ensure CIRO is responsive to concerns or complaints from any of our stakeholders. Both negative and positive feedback is recognised as a valuable resource to enable us to improve the quality of our services and learning provision.

All complaints will be dealt with promptly and consistently and handled with courtesy and fairness. As a result of a complaint, CIRO will aim to rectify the issue and improve our service.

All complaints will be taken seriously and in order that CIRO can learn and improve, accurate and complete records of all complaints received, resulting correspondence, interviews and actions taken will be maintained.

Scope of Policy

CIRO recognises that our stakeholders may wish to raise matters of concern about our services or provision and bring them to our attention, so that they can be investigated and resolved in the clearest and fairest way possible. This complaints procedure is for use by any existing member, learner, employer or customer who seeks or receives a service from us. It also extends to anyone who may be directly affected by our services or activities.

Anonymous complaints will be logged and monitored but not investigated.

Complaints Procedure

The purpose of this procedure is to provide a framework for the complaints process to ensure that complaints are:

- acknowledged promptly
- taken seriously and properly investigated
- dealt with confidentially and fairly
- responded to appropriately
- learned from

Reporting a Concern

The CIRO recognises that many concerns will be raised informally and dealt with quickly and an informal approach is appropriate when it can be achieved. But if concerns cannot be satisfactorily resolved informally, then the formal complaints procedure will be followed.

Informal Complaints

An informal approach is appropriate in some cases, enabling issues to be resolved early and promptly, preferably keeping it as close to the source of the problem as possible and dealing with it by informal means.

These issues will be raised with, and responded to, by the appropriate CIRO team member. If, however, the issue cannot be resolved at this stage, the issue will be escalated to the CEO or COO and the formal complaints procedure will be followed.

Formal Complaints

In some cases, an informal approach may not be appropriate due to either the seriousness or sensitive nature of the issue or a conflict with the appropriate CIRO team member. In these circumstances the formal complaints procedure route should be followed.

Complaint Notification:

The details of the complaint should be sent in writing to the CEO or COO, providing as much information as possible and including any supporting documentation.



Complaints can be reported by the following methods:

Email:

complaints@railwayoperators.co.uk

Post:

CEO or COO
Chartered Institution of Railway Operators
Beacon Building 2nd Floor
Stafford Enterprise Park West
Weston Road
Stafford
ST18 0BF

Complaint Recording:

All complaints received will be logged on the Complaints Log and a Complaint Form will be raised. The CEO or COO will review the complaint and allocate it to the appropriate departmental lead for investigation and response, depending on the nature of the complaint. The complainant will be contacted within 2 working days to acknowledge receipt of the complaint.

Complaint Investigation:

The appointed departmental lead will fully investigate the complaint and take any necessary corrective action. Details of the investigation and corrective action will be recorded on the Complaint Form and returned to the CEO or COO. This will normally be completed within 14 working days; however, more complex issues may take longer. In these circumstances the complainant will be contacted with a progress report.

Corrective Action:

The details of the immediate corrective action carried out to address the complaint are recorded by the person investigating the complaint.

Root Cause Analysis:

The COO will maintain oversight of the complaints process and will review root cause analysis with the appointed departmental lead and any other relevant staff members to identify the root cause of the problem.

Preventative Action:

Preventative action is the change implemented to address the weakness in the system identified following the root cause analysis, to help prevent a recurrence of a similar issue. The appointed departmental lead will record the details of the action taken and provide these to the COO for oversight and monitoring.

Closing a Complaint:

The COO will confirm that the complaint has been closed appropriately and that any preventative action has been recorded. The Complaint Form will be filed on SharePoint in the complaints folder and the Complaints Log updated in line with our GDPR and Data Protection Policy.

Complaint Monitoring and Review:

The COO will review complaints on a monthly basis and any trends will be identified.



Complaint Reporting:

The COO will ensure complaints are reported through the appropriate departmental and quality assurance routes, including apprenticeship complaints through apprenticeship quality meetings where relevant.

A quarterly report will be produced for the CIRO board, and this report will highlight trends and identify any business risk.

Confidentiality

All complaints will be treated seriously, handled sensitively and with due consideration to all parties involved. All complainants will be treated fairly and not suffer any recrimination or disadvantage as a result of making a complaint.

Any person named in a complaint, however, will be informed and have a right of reply as part of the investigative process.

Complaints must be made by complainants themselves, however, we recognise that some apprentices and vulnerable adults may have difficulties with this and so encourage them to use whatever assistance is required from a third party to make their complaint effectively.

Appeals Procedure

A copy of the complaint (with any supporting evidence) should be sent to the CEO or COO within 21 days of receiving the response to the complaint, detailing the grounds for seeking an appeal:

- The complainant believes there has been an error in the process of the complaint investigation
- The complainant believes there is additional evidence that was not considered in the complaint investigation.

The COO will collate all relevant details and submit them to the CEO for review, unless the CEO has already been directly involved in the complaint. In that case, the appeal will be referred to the Chair of the CIRO Board. Following investigation, a written response will be produced detailing whether the complaint is upheld or not and detailing any actions necessary to resolve the issue.

Complaint Escalation

A complaint may only be escalated once it has been taken through the CIRO complaints and appeals procedure. If the complainant is not satisfied with the subsequent reply from the CEO, then the complaint may be escalated.

The escalation route to be taken will be dependent on the nature of the complaint.

CIRO membership complaints:

The details of why the complainant is dissatisfied with the outcome of the CEO's decision must be made in writing to the Chair of the CIRO Board, within 14 days of receiving the written response from the CEO.

The letter must be sent to:

Chair of the Board of Directors
Chartered Institution of Railway Operators
Beacon Building 2nd Floor
Stafford Enterprise Park West
Weston Rd
Stafford
ST18 0BF

The Head of Membership will support the investigation of membership-related complaints where appropriate. Where a complaint is escalated to the Chair of the CIRO Board, the Chair will determine the appropriate route for review and will notify the complainant of the outcome.

CIRO Apprenticeship complaints:

If the above procedure has been exhausted with CIRO, apprentices, employers or their representatives may escalate an apprenticeship-related complaint to the Department for Education through the apprenticeship complaints service.

Complaints should normally be raised with CIRO first and only escalated externally once CIRO's complaints and appeals process has been completed. The current route for submitting an apprenticeship complaint is available through GOV.UK or the Apprenticeship Service.

Apprenticeship complaints: Department for Education apprenticeship complaints service / Apprenticeship Service support. Current guidance and contact routes should be checked on GOV.UK before publication.

CIRO Academic Student complaints:

CIRO Certificate, Diploma and Degree students have the option to contact Glasgow Caledonian University Department of Governance and Quality.

Staff in the Department can be contacted at complaints@gcu.ac.uk or via telephone on 0141 331 8226.

Details of the complaints handling procedure can be found on the Glasgow Caledonian University Website <https://www.gcu.ac.uk/gaq/appealscomplaintsstudentconduct/complaints/>

Students studying on CIRO academic provision delivered in partnership with Keele University should also refer to Keele University's student complaints procedure where the matter relates to Keele University registration, academic provision, assessment, student conduct, or other matters within Keele University's responsibility.

Details of Keele University's student complaints procedure can be found on the Keele University website: <https://www.keele.ac.uk/students/academicandlearningsupport/appeals-conduct/studentcomplaints/>

Authorisation

Signature:	<i>Phil Sherratt</i>	Title:	Chief Executive Officer
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