



Complaints and Compliments Policy

Contents

Version History.....	2
Executive Summary	2
1.0 Introduction	3
2.1 Complaints Relating to ASDAN Qualifications	3
2.0 What do we do to Support Child/ young person / pupils?	4
3.0 Informal Complaints	5
3.1 How to deal with an informal complaint	5
3.2 Supporting Learners to Raise Concerns	6
4.0 Formal Complaints	6
5.0 Vexatious Complaints.....	7
6.0 Procedure	7
7.0 What Lessons Can We Learn?	9
8.0 Compliments Procedure	10
9.0 Useful Documents and Links	10
10.0 Associated Documents	11
APPENDIX 1: Complaints Procedure	12
APPENDIX 2: Useful Contacts	13
APPENDIX 3 : COMPLAINTS AND CONCERNS FORM.....	14
Part 4: Corrective Action (if required).....	16



Version History

Version No.	Author/Editor	Approved by	Date Issued	Next Review Date	Brief Summary of Changes
1	Lorraine Miranda	Rhea Marwaha	14.05.2026	13.05.2029	New Policy

Executive Summary

The Concerns, Complaints, Suggestions, and Compliments policy articulates the process of how the Nova Newcastle Ltd will respond to concerns, complaints, suggestions, and compliments.

Nova Newcastle Ltd recognises that this process provides a conduit for people who use our services to principally raise concerns about their or their families experience of care and treatment. Concerns and complaints are often about people sharing a deeply personal experience at a point of great vulnerability. While the emotions and feelings attached to the concern or complaint may be uncomfortable for individuals and for the organisation, it is crucial that empathy, integrity, transparency, and honesty is central to the culture within the organisation around the management of concerns and complaints.

This is equally important for the complainant and for staff, and for ensuring that we, as individuals, as a service or team and as an organisation are able to identify and implement the learning opportunities to improve services.

Let us know

- If you have a suggestion on how we might improve our services
- If you would like to compliment us on a job well done
- If we have fallen short of your expectations



1.0 Introduction

The purpose of this procedure is to provide instruction to the members of staff at Nova Newcastle Ltd, in relation to addressing complaints or concerns raised and of the right to complain to regulatory bodies.

At Nova Newcastle Ltd, we firmly believe that if members of staff and individuals, children or young people (or carers, family and representatives) wish to make a complaint, they should find it easy and be supported to do so.

COMPLAINT: *Any complaint from an individual (or representative of an individual), member of the workforce or other interested party affected by the standard quality of our service, related actions or lack of actions.*

While the focus of the policy relates to candour in the context of “when things go wrong”, openness and honesty are recognised as important values in the undertaking of all operational duties at Nova Newcastle Ltd.

Things can go wrong even when services are well run and managed. Consequences can range from minor inconvenience to serious (or long-term) implications for an individual’s life.

To enhance our performance as an organisation, we would like to emphasise that all staff members at Nova Newcastle Ltd are welcome to communicate and share good practice ideas and opportunities for improvement with us, so that we can continue to champion choice and independence for the children and young people in our care *and* value our workforce in the right way for years to come.

Complaints may be made by pupils, parents or carers, referring schools, placing local authorities, professionals or members of the public.

2.1 Complaints Relating to ASDAN Qualifications

Nova Newcastle Ltd is committed to ensuring that all learners undertaking ASDAN programmes or qualifications are treated fairly and that complaints relating to the delivery, assessment, quality assurance or administration of ASDAN courses are handled appropriately.

Learners, parents/carers and staff must first follow and complete the organisation’s internal complaints procedure before a complaint can be escalated to ASDAN.

Complaints may only be escalated to ASDAN where:

Policy Title: Complaints and Compliments Policy	Current Approved Date: 14.05.2026	Date of Next : 13.05.2029	Page 3 of 20
---	-----------------------------------	---------------------------	--------------



- the complainant remains dissatisfied after the completion of the provision's complaints procedure;
- there is evidence of maladministration, unfair assessment practice or failure to follow ASDAN requirements;
- the complaint directly relates to the delivery or quality assurance of ASDAN qualifications or programmes.

ASDAN may be contacted after all internal stages have been exhausted.

ASDAN Contact Details:

Email: centresupport@asdan.org.uk

Website: www.asdan.org.uk

2.0 What do we do to Support Child/ young person / pupils?

Nova Newcastle Ltd has a duty to support and encourage the workforce:

- to report and record adverse incidents
- to adopt the principles of "openness, transparency and honesty"
- to participate in investigations and reviews, as required
- to discuss and agree actions with relevant stakeholders
- to apologise to individuals and keep individuals informed
- to be confident in raising concerns
- to consider the implications of dissuading colleagues from raising concerns.

As a Alternative Provision professional, you are expected to be open and honest with individuals when things go wrong – this means that you:

- must inform the individual (or where appropriate the individual's carer, family or advocate) when something has gone wrong
- must apologise to the individual (or where appropriate the individual's carer, family or advocate) when something has gone wrong

Policy Title: Complaints and Compliments Policy	Current Approved Date: 14.05.2026	Date of Next : 13.05.2029	Page 4 of 20
---	-----------------------------------	---------------------------	--------------



- must explain to the individual (or where appropriate the individual's carer, family or advocate) the consequences of what has happened
- must remind the individual (or where appropriate the individual's carer, family or advocate) of rights to complain internally and to regulatory bodies
- must involve the individual (or where appropriate the individual's carer, family or advocate) in decision-making processes to resolve matters satisfactorily, where possible
- must report adverse incidents and participate in investigations and reviews, as required.

3.0 Informal Complaints

Informal complaints are normally:

- A verbal complaint raised with a staff member.
- Those that can be addressed and resolved immediately.
- Those that do not require investigation.
- Those that do not require a formal written response.

Informal complaints should normally be acknowledged on the same working day and resolved within five working days wherever possible.

Whilst most informal complaints will be made verbally, it does not follow that all verbal complaints raised are not formal complaints. Informal complaints may also be written; however, the main defining features are as above.

3.1 How to deal with an informal complaint

A person dealing with an informal complaint should:

- Ensure that the individual's immediate care needs are being met before doing anything else.
- Try to establish if the complainant is happy for it to be dealt with as an informal complaint (i.e., it can be resolved immediately or by the person taking the complaint within a short time).
- Explain that the complaint is appreciated.
- Offer an explanation and if appropriate an immediate apology for the events leading up to the raising of the issue or for any mistakes which contributed to the incident.
- Explain the action that will be taken as a result of the complaint
- Check that the complainant is satisfied.

Policy Title: Complaints and Compliments Policy	Current Approved Date: 14.05.2026	Date of Next : 13.05.2029	Page 5 of 20
---	-----------------------------------	---------------------------	--------------



- Give the complainant a copy of this policy, if they wish to have a copy, which outlines how they can take the complaint further if they wish.
- Record the complaint on the Complaints Form (attached).
- Ensure the Manager and individual raising the complaint receives the form by the next working day.

The Manager will ensure that the complaint is stored securely within the provisions drive. Every assistance should be given to individuals who wish to make a complaint.

3.2 Supporting Learners to Raise Concerns

Staff will ensure that all learners understand how to raise concerns or complaints. Information will be explained in a way that is appropriate to the learner's age, understanding, communication needs, SEND requirements or additional vulnerabilities.

Support will be provided where required to enable learners, parents/carers or advocates to access the complaints procedure fairly.

4.0 Formal Complaints

Formal complaints are usually those that:

- Cannot be resolved "on the spot."
- Require investigation.
- Are formally written.

Whilst most formal complaints will be made in writing, it does not follow that all formal complaints will be written.



Some verbal concerns will be classed as 'Formal complaints' due to the seriousness of their nature or possibly because the complainant may be unable to produce a written complaint, or the complaint is made by telephone. A staff member may need to put the complaint into writing on behalf of the complainant. In this case the staff member must confirm with the complainant that what they have written is an accurate record of the issue

Formal complaints must be acknowledged in writing within three working days of receipt.

The Manager or nominated investigating officer will be responsible for investigating the complaint fairly, impartially and confidentially.

A full written response should normally be provided within 20 working days. Where additional time is required, the complainant will be informed of the reason for the delay and provided with a revised timescale.

All formal complaints, investigations, outcomes and actions taken will be securely recorded and retained in accordance with the organisation's data protection and confidentiality requirements.

5.0 Vexatious Complaints

Nova Newcastle Ltd takes seriously any comments or complaints regarding its service. However, there are occasions where the complainant may be regarded as a vexatious complainant. This situation will typically arise where a person makes several complaints of a nature which, despite the company's best efforts, cannot be completed due to the complainant's desire to not reach a reasonable resolution, or where the complaint seems to be intended to maliciously cause time to be wasted. Vexatious complaints may need to be directed to the arbitration service in order that the time factor required to investigate time and time again becomes less of a burden on the company, its staff and the children and young people in our care.

6.0 Procedure

1) Complaints can be made in person, by telephone or in writing, – we will ensure that:

- the complaint is taken seriously and considered fairly
- the complaint is acknowledged within three working days and investigated as promptly as possible, with a full response normally issued within 20 working days
- the outcomes of the complaint are constructive

Policy Title: Complaints and Compliments Policy	Current Approved Date: 14.05.2026	Date of Next : 13.05.2029	Page 7 of 20
---	-----------------------------------	---------------------------	--------------



- the complaint is dealt with independently and impartially
 - complaints will be handled confidentially, fairly, consistently and without bias
 - the person making the complaint is supported
 - the details of the complaint are recorded truthfully
 - the intimidation of complainants is not tolerated
 - the incidence of the complaints are reported in the *Quality Education and Support Review*.
- 2) All complaints received (whether written or verbal) will be logged and reported to the Manager and the Responsible Child/ young person / pupil.
 - 3) Records will include the nature of the complaint, investigation findings, actions taken, outcomes and any lessons learned.
 - 4) Complainants (or representatives) will be consulted and the Manager will investigate the complaint.
 - 5) If the Manager identifies internal procedural weaknesses, the workforce will be consulted and remedial action will be taken immediately.
 - 6) If the Manager identifies that a member of staff is in 'breach of contract' in relation to the complaint received, and an investigation will take place which could lead to disciplinary action being taken.
 - 7) If the complainant remains dissatisfied following the organisation's internal complaints process, they may request that the complaint is escalated to the Directors or governing body for final internal review.

Where the complaint relates to an ASDAN qualification or programme, the complainant must complete all internal stages of the organisation's complaints procedure before escalating the complaint to ASDAN.

Complaints may then be referred to ASDAN where appropriate via centresupport@asdan.org.uk.

- 8) If the complainant is not happy with the outcomes of actions taken, support will be provided in escalating the complaint to an external regulatory body.
- 9) If it is suspected that an internal person with authority is the cause of the complaint, concerns must be reported directly to the relevant an appropriate regulatory bodies.



- 10) If a complaint raises concerns regarding the safety or welfare of a child or young person, it will immediately be referred to the organisation's Safeguarding and Child Protection Policy, and the Designated Safeguarding Lead (DSL) will be notified without delay.
- 11) If the complainant remains dissatisfied following the internal investigation, the complaint may be escalated to the organisation's Directors or governing body. The complainant may also contact the referring school, local authority or Ofsted where appropriate.
- 12) Where complaints identify concerns relating to malpractice, maladministration, assessment integrity or safeguarding, the organisation will take immediate appropriate action and notify relevant regulatory or awarding bodies where required

7.0 What Lessons Can We Learn?

The ethos of Nova Newcastle Ltd is founded upon established principles aimed at creating a friendly person-centred environment where trusted relationships are formed between the children, young people and care workers. Communication is encouraged and good practice shared in aiming to ensure that information is provided in the right way to the right people at the right time.

In meeting the requirements of the Education Act 1996, Keeping Children Safe in Education, and Working Together to Safeguard Children, the organisation is committed to reviewing concerns, complaints and feedback in order to continually improve the quality and safety of the provision offered to children and young people.

We would like to gain a better understanding of the perceptions and perspectives of the children and young people in our care, and members of staff in order to assess the suitability of our services and the impact of improved working practices upon quality-of life for all.

In considering the broader agenda of health, well-being and inclusion, Nova Newcastle Ltd aims to:

- help the children, young people and staff to gain the skills and capacity that encourage communication and participation
- change working practices to ensure that more people can benefit from and contribute towards improving quality-of-life for all
- share information across the workforce in order to meet organisational goals and to encourage the children, young people and staff to meet aspirations

Policy Title: Complaints and Compliments Policy	Current Approved Date: 14.05.2026	Date of Next : 13.05.2029	Page 9 of 20
---	-----------------------------------	---------------------------	--------------



- develop and pilot easier ways of working and encourage the children, young people and staff to ‘have a say’
- listen and reflect and ensure that good practice is informed, relevant and promotes what is right.
- If you identify an area for improvement in relation to the work that you do or in relation to policies and procedures, please approach your line manager, or contact the Responsible Individual

8.0 Compliments Procedure

Compliments should be acknowledged appropriately. If a verbal compliment is made, then it is usually appropriate to acknowledge verbally. If a written compliment is received then it will usually be appropriate to write back and acknowledge the fact that Nova Newcastle Ltd welcomes all compliments, comments and complaints.

Compliments should be fed back to those who were responsible. This may be an individual or a team. Immediate feedback is usually best.

All compliments should be sent to the Home Manager and Responsible Individual so that they can be recorded on a central log

9.0 Useful Documents and Links

Safeguarding adults Boards England - *Multi Agency Referral Form*

<https://www.safecic.co.uk/sab-england>

Employment Rights Act (1996)

<https://www.legislation.gov.uk/ukpga/1996/18/data.pdf>

Equality Act (2010)

<https://www.legislation.gov.uk/ukpga/2010/15/data.pdf>

Mental Capacity Act (2005)

http://www.legislation.gov.uk/ukpga/2005/9/pdfs/ukpga_20050009_en.pdf

Policy Title: Complaints and Compliments Policy	Current Approved Date: 14.05.2026	Date of Next : 13.05.2029	Page 10 of 20
---	-----------------------------------	---------------------------	---------------



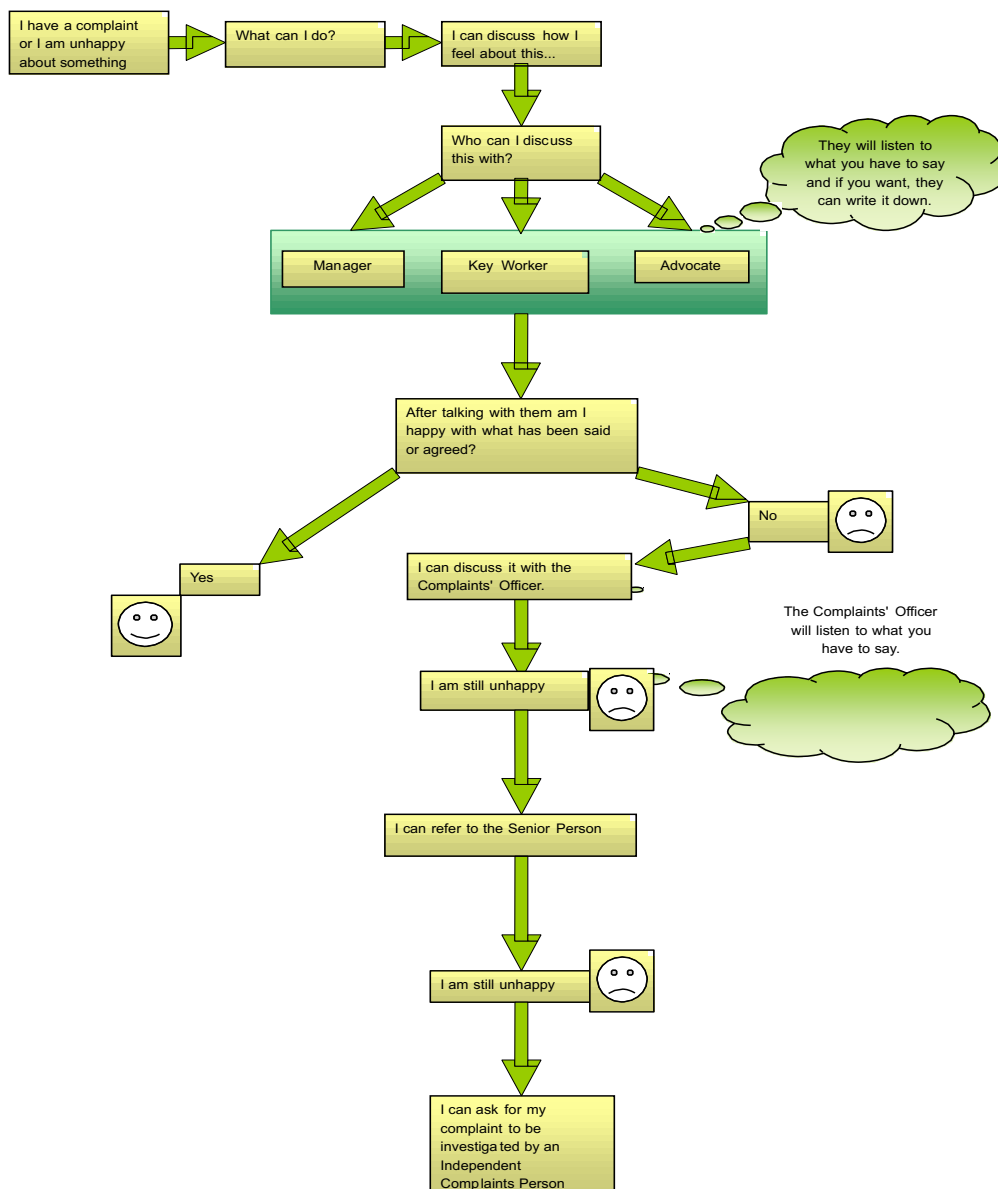
10.0 Associated Documents

- Duty of Candour Policy
- Safeguarding Policy
- Whistleblowing, Raising Concerns and Freedom to Speak Up Policy



APPENDIX 1: Complaints Procedure

Complaints Procedure



Important: You can contact the Regulator or your Funding Authority at any point to discuss your complaint



APPENDIX 2: Useful Contacts

POLICE

Report imminent danger to the Police on **999** in an emergency – otherwise call **101**, alternatively email them through their online [s/](#)

LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN

Contact the Public Services Ombudsman to raise concerns about the way in which public services are being delivered by following the link to download the correct form to make a complaint in writing at

<https://www.lgo.org.uk/>

THE WHISTLEBLOWING CHARITY (PROTECT) “SPEAK UP, STOP HARM”

Free and confidential advice for people who have witnessed wrongdoing in the workplace, contact Protect on **0203 117 2520** or email whistle@protect-advice.org.uk

Ofsted

Email: enquiries@ofsted.gov.uk

Telephone: 0300 123 4666

ASDAN

Email:

centresupport@asdan.org.uk

Website: <https://www.asdan.org.uk>

Newcastle Safeguarding Contact

Newcastle Safeguarding Children Partnership

<https://www.newcastlesafeguarding.org.uk>

Policy Title: Complaints and Compliments Policy	Current Approved Date: 14.05.2026	Date of Next : 13.05.2029	Page 13 of 20
---	-----------------------------------	---------------------------	-----------------------------



APPENDIX 3 : COMPLAINTS AND CONCERNS FORM

Part 1: Details of Complaint

Complainants Name:

Address:

Telephone Number:

Date of Complaint:

Form of Complaint. Please state whether by letter, by telephone or in person

Written Acknowledgement (Formal Only) Date :

Name of Young Person (If different from above) :



Part 2: Area(s) of complaint

Investigated by:

How was the outcome of the investigation reported back to the complainant?

Report back made by:

Signature of the complainant:

Part 3: Action taken to investigate the Complaint



Part 4: Corrective Action (if required)

All complaint records will be retained securely and confidentially in line with the organisation's Data Protection Policy and retention schedule.

Action taken by:

Date Action Taken

Signature of person who has taken action

Position and Job Title:

Comments

Date:





APPENDIX 4: EQUALITY IMPACT ASSESSMENT

The organisation aims to design and implement policies and procedures that meet the diverse needs of our service and workforce, ensuring that none are placed at a disadvantage over others, in accordance with the Equality Act 2010. Consideration has been given to the impact this policy might have with regard to the individual protected characteristics of those to whom it applies.

In an Alternative Provision setting, consideration must also be given to the impact of policies and practice on **children and young people**, many of whom may be vulnerable learners, have SEND, experience trauma, or be at increased risk of exclusion or discrimination.

Consideration has been given to the impact this policy might have with regard to the individual protected characteristics of those to whom it applies, including both **staff and pupils/learners**, parents/carers, and wider stakeholders.

Ref #	Question	Yes	Comments
		No	
		N/A	
1	Does the document/guidance affect one group less or more favourably than another on the basis of:	No	
	Age	No	
	Race/Ethnic origins (including Gypsy, Roma and Traveller)	No	
	Sex (man or woman)	No	
	Gender Reassignment	No	
	Pregnancy/Maternity	No	
	Religion or Belief	No	
	Sexual orientation including lesbian, gay and bisexual people	No	



	Marriage/Civil Partnership	No	
	Disability - learning disabilities, physical disability, sensory impairment and mental health problems	No	
	Carers	No	
2	Is there any evidence that some groups are affected differently?	No	
3	If you have identified potential discrimination, are there any exceptions valid, legal and/or justifiable?	No	
4	Is the impact of the document/guidance likely to be negative?	No	
5	If so, can the impact be avoided?	N/A	
6	What alternative is there to achieving the document/guidance without the impact?	N/A	
7	Can we reduce the impact by taking different action?	N/A	
8	Does this policy impact pupils with SEND, SEMH needs or Education, Health and Care Plans (EHCPs)?	No	
9	Could this policy lead to disproportionate behaviour sanctions, exclusions or barriers to reintegration for any protected group?	No	
10	Does this policy ensure reasonable adjustments are made so disabled pupils and staff can access education, support and services fairly?	Yes	
11	Does this policy promote inclusion and belonging for pupils who may experience discrimination, bullying or peer-on-peer abuse linked to protected characteristics?	Yes	
12	Does this policy support safeguarding duties, including protection from discriminatory	Yes	



	bullying, online harassment and peer-on-peer abuse?		
13	Are there any barriers for parents/carers from diverse backgrounds (e.g., language, culture, disability) in accessing information or engaging with the organisation?	No	
14	Does this policy promote equality of opportunity in curriculum access, support planning and learner voice?	Yes	
15	Have pupils' individual vulnerabilities been considered, including those who are Looked After, Previously Looked After, or known to social care?	Yes	
For advice in respect of answering the above questions, or if a potential discriminatory impact has been identified, please contact the Designated Safeguarding Lead (DSL) or Equality and Diversity Lead.			
Names and Organisation of Individuals who carried out the Assessment: Please give contact details.			Date of the Assessment
Name & Job Title: : Rhea Marwaha, Director			15.04.2026

•