

2021

Policies and Procedures

for

Royal Life Saving Society

Qualifications and Courses



ROYAL
LIFE SAVING
SOCIETY UK

Complaints Policy

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Aims

NDA First Aid Training Ltd aims to meet its obligations when responding to complaints from all learners, and others involved in the delivery and assessment of RLSS UK qualifications and awards.

When responding to complaints, we aim to:

- Be impartial and non-adversarial
- Facilitate a full and fair investigation by an independent person or panel, where necessary
- Address all the points at issue and provide an effective and prompt response
- Respect complainants' desire for confidentiality
- Treat complainants with respect
- Keep complainants informed of the progress of the complaints process

We try to resolve concerns or complaints by informal means wherever possible. Where this is not possible, formal procedures will be followed.

Definitions and Scope

A concern is defined as 'an expression of worry or doubt over an issue considered to be important for which reassurance are sought'.

We will resolve concerns through day-to-day communication as far as possible.

A complaint is defined as 'an expression of dissatisfaction however made, about actions taken or a lack of action'.

We intend to resolve complaints informally where possible, at the earliest possible stage.

There may be occasions when complainants would like to raise their concerns formally. This policy outlines the procedure relating to handling such complaints.

Principles for Investigation

When investigating a complaint, we will try to clarify:

- What has happened
- Who was involved?
- Where this happened
- When this happened
- What the complainant feels would put things right

We intend to address complaints as quickly as possible. To achieve this, realistic and reasonable time limits will be set for each action, once the necessary details of the complaint have been received.

Where further investigations are necessary, new time limits will be set, and the complainant will be provided of the new deadlines with an explanation for the delay.

We expect that complaints will be made as soon as possible after an incident arises, and no later than 7 working days afterwards. We will consider exceptions to this time frame in circumstances where there were valid reasons for not making a complaint at that time, and the complaint can still be investigated in a fair manner for all involved.

Stages of Complaint

Informal

We will take informal concerns seriously and make every effort to resolve the matter quickly. It may be the case that the provision or clarification of information will resolve the issue.

The complainant should raise the complaint as soon as possible with the relevant member of staff or the Approved Training Centre/Provider (ATC/P) Co-ordinator as appropriate, either in person or by letter, telephone, or email. If the complainant is unclear who to contact or how to contact them, they should contact the ATC/P Co-ordinator.

We will acknowledge informal complaints within 1 working day, investigate and provide a response within 7 working days.

If the complaint is not resolved informally, it will be escalated to a formal complaint.

Formal

The complainant should inform the ATC/P Co-ordinator by email. The email should provide details such as relevant dates, times, and the names of witnesses to the events, alongside copies of any relevant documents. The complainant should also state what they feel would resolve the complaint.

The ATC/P Co-ordinator (or designated member of the Senior Leadership Team) may contact the complainant in person, writing or via telephone, to clarify concerns and seek a resolution.

The ATC/P Co-ordinator (or other person appointed by the ATC/P Co-ordinator for this purpose) will then conduct their own investigation. The written conclusion of this investigation will be sent to the complainant within 14 working days.

Referring Complaints

If the complainant is still unhappy with the decision given by the ATC/P in reviewing the complaint, they can, where relevant, escalate the matter through to a member of the RLSS UK Compliance Team.

RLSS UK Contact details	
Email	compliance@iql.org.uk
Telephone	0300 323 0096
Address	Royal Life Saving Society Red Hill House 227 London Road Worcester WR5 2JG

Appeals Policy

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Introduction and Scope

This policy applies to all learners who are undertaking or have completed an IQL UK qualification

and sets out NDA First Aid Training Ltd procedures and approach to submitting and considering appeals, to ensure that all outcomes are fair, consistent and reliable.

All learners have the right to enquire about, question or appeal against an assessment decision.

Appeals may be made in relation to:

- The results of assessments
- Decisions regarding Reasonable Adjustments and Special Considerations
- Decisions relating to any action to be taken against a learner or an ATC/P after an investigation into malpractice or maladministration
- Where evidence suggests we did not apply procedures consistently, or that procedures were not followed properly and fairly

Principles of making an Appeal

If a learner is unhappy about the assessment decision awarded to them, they must first go through our appeals process prior to contacting RLSS UK. As part of our agreement with RLSS UK, we must operate an appeal process for learners.

How to Appeal

Appeals should be made in writing via email to info@ndatraining.co.uk within 7 days of the assessment date.

The appeal must detail:

- Learner's name and contact details
- Venue name and society number
- Trainer's name and society number
- Assessor's name and society number
- Names of others involved
- Details around the grounds for appeal
- Copies of any supporting evidence

If the appeal is excessively long or complex, we may ask you to provide a summary so that we are clear what the issues are.

What will happen to my Appeal?

Where possible, we will undertake an initial, informal assessment of all potential appeals, to ensure the application is complete and to ascertain if the issue can be resolved, before it goes to a formal appeal. We may do so over the telephone or via email. In all instances, we will ensure that the person carrying out this initial check does not have a personal interest in the decision being appealed. All actions will be confirmed via email.

Sometimes a more formal approach is required and in these cases your appeal must be put in writing via email directly to info@ndatraining.co.uk

If the appeal cannot be put in writing, a member of our team will relay any verbal conversation via email, to ensure the details around the appeal have been understood.

All appeals will be acknowledged within 1 working day, investigated, and a response provided within 7 working days. If the process is likely to take longer, we will contact all parties concerned to inform them of the likely revised timescale.

We will endeavour to complete any appeals investigation within 14 working days of the receipt of the initial written appeal. To ensure a fair and thorough investigation, the duration may depend on the nature and severity of the appeal received, and the investigating team member will notify the appellant as soon as possible, if the investigation will take longer than expected.

If your appeal is not upheld, we will explain why.

If you are not happy with the way your appeal has been handled or the outcome of our investigation, you can refer your grievance to the RLSS UK Compliance Team via email: compliance@iql.org.uk. In such cases, this must be done within 10 working days of receipt of our decision.

Contacting RLSS UK

RLSS UK will only review the original appeal and your dissatisfaction with how it was handled.

Further consideration of your appeal will only be made if the review considers the complaint was not handled according to our procedures or failed to take into account critical evidence.

Any decisions made at this stage will be signed off by the Compliance Team.

RLSS UK will require evidence that you have firstly gone through our appeals process.

RLSS UK Contact	
Email	compliance@iql.org.uk
Telephone	0300 323 0096
Address	Royal Life Saving Society Red Hill House 227 London Road Worcester WR5 2JG

Equality, Diversity, and Inclusion Policy

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Introduction

NDA First Aid Training Ltd are committed to ensuring that diversity and inclusion are embedded into everything we do. Together we promote a work environment that is inclusive and diverse, and where our people can be themselves.

This Policy is shaped by the protected characteristics outlined by the Equality Act 2010 (age, disability, gender, gender reassignment, marriage & civil partnership, pregnancy & maternity, race, religion & belief, sexual orientation)

This policy also reinforces our commitment to providing equality and fairness to all and not provide less favorable facilities or treatment. All those completing, delivery, or assessing IQL UK qualifications should have equal opportunities.

We do not tolerate unfair treatment or unlawful discrimination, whether intentional or unintentional, direct, or indirect of any kind.

Definitions

This policy cover 3 broad areas:

Equality means treating everyone with fairness and respect and recognising the needs of individuals. It is about addressing existing disadvantage affecting how different people participate in society.

Diversity is about recognising, valuing and taking account of people's different backgrounds, knowledge, skills, needs and experiences, and encouraging and using those differences to create a cohesive community and effective workforce.

Equal Opportunities is the development of practices that promote the possibility of fair and equal chances for all to develop their full potential in all aspects of life and the removal of barriers of discrimination and oppression experienced by certain groups.

Policy Statement

All staff, candidates, trainers, assessors and all other relevant personal involved with the delivery or assessing of IQL UK qualification and awards, should have equal opportunity to access qualifications, assessments, related products and services and that the content of the qualifications and assessments should reflect the wide diverse audience. We strive to support candidates of all abilities, and to ensure qualifications are awarded in a way that is fair to everyone whilst ensuring the integrity of the qualification is kept. Where applicable ensuring reasonable adjustments or special considerations are applied for.

It is morally wrong to discriminate directly or indirectly and hinder equality of opportunity. Thus, it is our intention to ensure that no person is subject to unfair treatment in any way and we recognise our responsibilities and legal obligations.

Policy Aims

We aim to:

- Promote environments where individual differences and contributions of all are recognised and valued
- Encourage environments that promote dignity and respect for all
- Not tolerate any form of discrimination, intimidation, bullying or harassment and to take appropriate action for any breach of this policy
- Promote equality which we believe is good management practice and make sound business sense.
- Encourage anyone who feels they have been subject to discrimination to raise their concerns so corrective measures may be implemented
- Encourage all to treat other with respect and dignity
- Regularly review practices and procedures so that fairness is always maintained

Our Commitments

- We are committed to providing equal opportunities to our employees, candidates, trainers, and assessors along with all other relevant personal in an inclusive manner and encouraging diversity in the workplace.
- We do not tolerate any unlawful or unfair discrimination, and anyone found to be acting in a discriminatory manner may face disciplinary action, which could include dismissal. Everyone has a duty to report unlawful or unfair discriminatory behavior to a member of management. We actively promote equal opportunities and require everyone to contribute towards achieving this objective.
- We believe that treating people with dignity and respect is an important part of realising equal opportunities and diversity.

We will enable all candidates the ability to have equal access to training and assessment for qualifications irrespective of their sex, marital status, age, religion, race, nationality or ethnic origin or disability ensuring the integrity of the IQL UK qualification or awards is being upheld. It may be that we need to apply to IQL UK to apply for either a reasonable adjustment or a special consideration

Referring Complaints

Where complaints relating to issues of inequality cannot be satisfactorily resolved by the ATC/P, candidates must be made aware of their right to appeal to IQL UK via the arrangements outlined in our Appeals Policy.

RLSS UK Contact details	
Email	compliance@iql.org.uk
Telephone	0300 323 0096
Address	Royal Life Saving Society Red Hill House 227 London Road Worcester WR5 2JG

Malpractice and Maladministration Policy

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What is Malpractice

Malpractice is any act, omission default or practice that breaches our rules or compromises:

- the process of internal and external assessments
- the integrity of IQL UK qualifications or awards
- the validity of results or qualifications
- the reputation and credibility of IQL UK and RLSS UK

Malpractice includes maladministration, which is any act, omission or practice that results in an approved training centre, approved training provider or candidate failing to comply with our administrative regulations and requirements. Malpractice and maladministration can be deliberate or the result of negligence.

Introduction and Scope

This policy is aimed at all those, including Approved Training Centre/ Provider(s) and candidates, who are delivering, assessing or are registered on IQL UK Regulated or Non-regulated Qualifications and Awards and may be involved in suspected or actual cases of malpractice.

This policy also applies to IQL UK staff who are suspected of being involved in such cases. It is also used to ensure IQL UK staff deal with all malpractice investigations in a consistent manner.

This policy sets out the steps the ATC/Ps, learner or other personnel must take when reporting suspected or actual cases of malpractice. This policy also sets out the steps IQL UK will take when responding to such cases.

It is important that ATC/Ps understand their own responsibilities in complying with this policy and make all individuals/organisations fully aware of the contents of this policy and have arrangements in place to prevent and investigate instances of malpractice in accordance with IQL UK policies and procedures.

Incidents of malpractice can potentially lead to candidates being disadvantaged. Where it is not possible to prevent this, incidents of suspected or actual malpractice must be dealt with promptly and thoroughly in accordance with IQL UK policy and procedures contained and/or referred to within this document.

Failure to report suspected or actual malpractice or have in place effective arrangements to prevent such cases, may lead to sanctions being imposed on ATC/Ps, and the individuals involved.

We intend to resolve report of malpractice informally where possible, at the earliest possible stage. There may be occasions when complainants would like to raise their concerns formally.

Examples of Malpractice by a Candidate

- Altering or falsifying results documents, including certificates
- Copying from another candidate or allowing work to be copied
- Plagiarism of any nature
- Bringing unauthorised material or instruments into an examination room or assessment
- Failure to abide by the instructions of a Trainer or Assessor
- Making inappropriate or offensive written comments in an examination or test

Examples of malpractice by an ATC/P

- Providing IQL UK with incorrect information during the onboarding process
- Falsifying or fabricating candidates marks, assessment evidence, observation records, certification claims or results documentation
- Providing assistance to candidates, beyond that which is permitted by the relevant guidance and syllabus or where applicable an assessment adaptation, which results in a potential or actual advantage during an examination and/ or assessment
- Breaching the confidentiality of question papers or materials
- Failing to report any instances of malpractice or suspected malpractice

How to Report Suspected Malpractice.

Reports of malpractice should be made in writing via email within 10 working days of occurrence, or within two weeks of an unsatisfactory outcome of a complaint to an ATC/P.

Reports of malpractice should detail:

- A full description of the incident (including dates, times and, context where appropriate)
- Names of others involved
- Copies of any evidence, e.g., letters, completed forms, witness testimony
- Contact details (in accordance with Data Protection legislation. e.g., name and contact email or phone number)

If the report is excessively long or complex, we may ask you to provide a summary so that we are clear what the issues are.

What will happen to my Report?

Where possible, we would like to deal with your report of malpractice informally and may do so over the telephone or via email. In such cases, we will confirm in an email the action we will take. Sometimes a more formal approach is required and in these cases your report must be put in writing directly to: compliance@iql.org.uk

If the report cannot be put in writing, a member of the Compliance Team will relay any verbal conversation via email, to ensure the details around the incident have been understood.

We will acknowledge all reports within three working days, investigate and provide a response within 10 working days where necessary.

If the report of malpractice is not resolved informally, it will be escalated to our formal proceedings.

All reports of malpractice will be logged as soon as they are received. When a report of malpractice needs to be treated more formally, the case will be assigned to a member of the Compliance Team who will start the initial investigation.

If the report is from a candidate who has exhausted the ATC/Ps own malpractice procedure, we will contact the ATC/P Co-ordinator for the outcome of the incident.

We will endeavour to complete any investigation relating to malpractice within 28 working days of the receipt of the initial written complaint. To ensure a fair and thorough investigation, the duration may depend on the nature and severity of the report received, and the investigating team member will notify the complainant as soon as possible, if the investigation will take longer than

expected.

Where possible, complainants will be kept informed during this period and will be informed of the outcome.

If your report is upheld, we will, subject to the requirements of confidentiality, inform you of the actions we propose to take. If your report is not upheld, we will explain why.

If you are not happy with the way your report of malpractice has been handled or the outcome of our investigation, you can refer your grievance to the Compliance Manager.

In such cases, this must be done within 10 working days of receipt of our decision.

Only the original incident and your dissatisfaction with how it was handled will be reviewed

Further consideration of your complaint will only be made if the review considers the complaint was not handled according to our procedures or failed to take into account critical evidence.

Any decisions made at this stage will be signed off by the Compliance Manager. This will be the final decision and the report will be closed.

We are required to report cases of malpractice/maladministration to the qualifications regulators where we believe an Adverse Effect may have occurred. An Adverse Effect includes situations in which candidates are disadvantaged; an awarding organisation is unable to develop, deliver or award its qualifications appropriately; the standards of an awarding organisation's qualifications are adversely affected; or public confidence in qualifications is undermined.

When we cannot Investigate

Sometimes candidates or parents contact us because they're unhappy with a decision that's been made by one of our ATC/Ps. Unless this decision involves malpractice, as explained above, you'll need to give them an opportunity to respond to your concerns before we can get involved.

If you've exhausted the internal complaints process at your ATC/P and you need advice on what to do next, please refer to our complaints policy.

Principles for Investigation

When investigating malpractice, we will try to clarify:

- What has happened
- Who was involved?
- Where this happened
- When this happened
- Names of witnesses (where possible)

We intend to address any reports of malpractice as quickly as possible. To achieve this, realistic and reasonable time limits will be set for each action once the necessary details of the incident have been received. Where further investigations are necessary, new time limits will be set, and the complainant will be provided of the new deadlines with an explanation for the delay.

We expect that reports of malpractice will be made as soon as possible after an incident arises and no later than 10 working days afterwards. We will consider exceptions to this timeframe in circumstances where there were valid reasons for bringing the report of malpractice at that time, and the complaint can still be investigated in a fair manner for all involved.

Investigation outcomes

If the investigation confirms that malpractice has taken place IQL UK will consider what action to take to:

- Minimise the risk to the integrity of certification in the present and future
- Maintain public confidence in the delivery and awarding of qualifications
- Discourage others from carrying out similar instances of malpractice through ongoing training
- Ensure there has been no gain from compromising our standards

The actions IQL UK may take include where applicable:

- Implementing the Disciplinary policy for individual Trainer Assessors (TA's) where malpractice has occurred.
- Impose actions on ATC/Ps and TA's with specified deadlines to address instance of malpractice and to prevent reoccurrence
- Impose sanctions on ATC/Ps or TA's and communicate these together with rationale for sanction(s)
- In cases where certificates are deemed invalid, ATC/Ps and regulatory authorities will be informed with any action necessary for reassessment and/or for the withdrawal of the certificates. IQL UK will advise ATC/Ps to inform affected candidates of withdrawal of certificates and where possible, return invalid certificates to IQL UK who will amend databases to ensure duplicate invalid certificates cannot be issued.
- Conduct centre visits or TA observations in order to support and develop professional practice
- Amending aspects of IQL UK qualification development, delivery, awarding arrangements, associated guidance, assessment and/or monitoring arrangements where applicable to prevent the issue reoccurring
- Informing relevant third parties of IQL UK findings so they may take any relevant action in relation to the ATC/P
- Record 'lessons learned' from investigations

Application of Sanctions

Either at notification of a suspected or actual case of malpractice and/or at any time during the investigation, IQL UK reserve the right to impose sanctions on the ATC/P in accordance with IQL UK Sanctions Policy to protect the interests of learners and the integrity of the IQL UK qualifications.

IQL UK also reserve the right to withhold a learner's, and/or cohort's, results for all the IQL UK qualifications they are studying at the time of the notification or investigation of suspected or actual malpractice

Appeals

For all ATC/p's Learners, TA's and other personnel have the right to make an appeal against IQL UK decision to impose a sanction. Please refer to our Appeals Policy.

Confidentiality and Whistle-blowing

To enable a full investigation to take place, it will be necessary for complainants to provide their name and contact details. However, in some instances a complainant may wish to remain anonymous.

We always aim to keep a whistle-blower's identity confidential where asked to do so, although this cannot be guaranteed. There may be situations where we have a duty to disclose identity for example to:

- The police, fraud prevention agencies or other law enforcement agencies (to investigate or prevent crime, including fraud)
- The courts (court proceedings)
- Relevant authorities where there are safeguarding concerns
- RLSS UK as part of any investigations into issues around qualification delivery
- Other third parties, e.g., Regulators

Contact Details

RLSS UK Contact details	
Email	compliance@iql.org.uk
Telephone	0300 323 0096
Address	RLSS UK Red Hill House 227 London Road Worcester WR5 2JG