

	Richardson Rail Services Ltd. RTAS Management System		
	Document #: RRSL-TDMS-RTAS-PRO-003-25	Title: Sponsor Complaints A1.0_RRSL-TDMS-RTAS-PRO-003-25_sponsor-complaints_20251220	
	Version: 1.0	Status: LIVE	Sensitivity: Level 1 - Public
	Revision Date: 20 December 2025	Page: Page 1 of 8	
	Compliance Date: 01 January 2026	Location: https://richardsonrail.sharepoint.com > Training & Competence Hub > Training Policies & Procedures.	
	Editor: Rhys J Richardson		

1 Document Information

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Status:	LIVE
Main Applicable Standard(s)	RTAS Rules
Applicable Clauses	No direct clause, sponsor complaints are governed implicitly through management system and governance requirements 4.1, 4.2, 4.3

2 Document Approval

Description	Name / Title	Signature	Date
Prepared by:	Rhys Richardson / Training & Assessment Manager		20/12/2025
Reviewed by:	Duncan Richardson / Deputy Training & Assessment Manager		20/12/2025
Approved by:	Rhys Richardson / Training & Assessment Manager		20/12/2025

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3 Version Control Table

Version Number	Date of Edits	Person Editing	Summary Changes
0.1	15/12/2025	Rhys Richardson (RR)	Created in draft
1.0	20/12/2025	Rhys Richardson (RR)	New procedure created to formally manage sponsor complaints relating to training and assessment delivery. Aligned governance structure, roles, timeframes, and records management with RRSL-TDMS-RTAS-PRO-002-25.

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5 Definitions

For this document, the following definitions apply:

- **Sponsor**
An employer, organisation, or third party that commissions, arranges, or funds training or assessment services delivered by RRSL for one or more candidates.
- **Sponsor Complaint**
An expression of dissatisfaction raised by a sponsor in relation to the delivery, administration, or conduct of training or assessment services.
- **Complainant**
The sponsor organisation submitting a complaint under this procedure.
- **Managing Director (MD)**
The senior executive of Richardson Rail Services Ltd responsible for investigation, oversight, and final decision-making in relation to sponsor complaints.
- **RTAS**
The Rail Training Assurance Scheme, which sets governance, assurance, and quality requirements for rail training and assessment delivery.

6 Purpose

The purpose of this procedure is to define a clear, fair, and auditable process for the management of sponsor complaints relating to RRSL's training and assessment services.

This procedure supports RRSL's obligations under RTAS governance requirements, including fairness, transparency, proportionality, and records retention.

7 Scope

This procedure applies to sponsor complaints only, where the complaint relates directly to training or assessment events delivered by RRSL.

Sponsor complaints may relate to:

- Training delivery.
- Assessment administration.
- Conduct of RRSL staff during training or assessment.
- Facilities or learning environment used for training or assessment.
- Communication relating to training or assessment delivery.

This procedure does not apply to:

- Candidate complaints (covered under RRSL-TDMS-RTAS-PRO-002-25).
- Appeals against assessment or training outcomes.
- Commercial disputes, invoicing matters, or contractual issues.
- Matters not related to training or assessment delivery.

7.1 Relationship to Candidate Complaints

Where a sponsor raises a concern that relates to a specific candidate's experience or treatment, the matter will be managed under the Candidate Complaints Procedure.

In such cases:

- The candidate must be informed.
- The candidate must be directly involved in the complaint.
- The candidate must submit or confirm the complaint themselves if they wish to proceed.

Sponsor initiated complaints will not replace or bypass candidate rights under RRSL's complaints and appeals processes.

8 Roles & Responsibilities

- **Complainant (CA):** Submits the sponsor complaint and provides relevant information
- **Managing Director (MD):** Receives, acknowledges, investigates, and determines sponsor complaints

Notes: - The MD may delegate investigation tasks where appropriate, while retaining final decision authority. - There is no internal escalation stage beyond the MD for sponsor complaints.

9 Detailed Step-by-Step Process

9.1 Complaint Submission

- (CA) Complaints must be submitted via RRSL's online complaints form: <https://form.jotform.com/260534068056052>.
- (CA) Submission windows are:
 - Seven (7) days following completion of a training or assessment event, where the complaint relates to a specific event.
 - Seven (7) days following any other incident or issue.
- Complaints submitted outside these timeframes may be disregarded unless exceptional circumstances apply.

9.2 Acknowledgement of Complaint

- (MD) The MD will acknowledge receipt of the complaint within ten (10) to fourteen (14) working days of submission.
- The acknowledgement will confirm:
 - Receipt of the complaint.
 - The scope of the review
 - The next stages of the process.

9.3 Investigation

- (MD) The MD will conduct or appoint (oversee) the complaint.
- The investigation will ensure to check all relevant information, which may include (not limited to):
 - Complaint submission and supporting evidence.
 - Training or assessment records.
 - Staff statements.
 - Quality assurance records.
 - Relevant policies and procedures.
- Individuals named in the complaint will be given the opportunity to provide their account.
- (CA) If further information is requested this should be provided within four (4) days.
 - Where the complaint relates to a candidate, the candidate will be involved in the investigation. This might also allow for an extension of time.

9.4 Complaint Outcome & Decision

- (MD) A decision will normally be reached within ten (10) to fourteen (14) working days following the date of acknowledgement, of the complaint.
 - Where timeframes will be over this, there will be communications to the complainant.
- (MD) The outcome will be communicated in writing and will include:
 - The decision reached.
 - The reasoning for the decision.
 - Any actions or improvements identified.

10 Extensions

- (MD) Please note that if the above timeframes cannot be met, extensions will be notified in writing explaining why and with an estimated timeline.
- (MD) If there is a need to request further information from the complainants then extensions of timeframes will be expected.

11 Evidence & Records

- (MD) All complaints and associated records will be stored electronically within RRSL's DMS.
- (MD) Records will be retained for the same duration as training and assessment assurance evidence.
- (MD) Complaint records must be auditable, secure and retrievable.

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12 Additional Notes

- Complaints and appeals are separate processes and must not be combined.
- This procedure supports continuous improvement and does not prevent complainants from seeking independent advice.

APPENDIX A – Possible outcomes from the appeal

A1. Purpose of this appendix

This appendix identifies possible outcomes following the investigation of a complaint.

A2. Outcomes for upholding (Agreeing the complaint)

Possible outcomes may include (but are not limited to):

- Formal apology.
- Explanation or clarification.
- Process or service improvement.
- No further action.
- Refund or credit.
- Referral of the candidate to governing body / formal review.

A3. Outcomes for closing the complaint. (Disagreeing the complaint)

Possible outcomes may include:

- No further action.
- Process review or improvement.
- Acknowledgement of complainants views but not needing this to be actioned internally.

A4. RRSL possible outcomes for staff

Possible outcomes may include:

- No further action.
- Process review or improvement.
- Additional training or supervision.
- Referral to corporate or HR processes.
- Disciplinary action.
- Referral to governing body / formal review.