

FSA Complaints Policy and Procedures



Financial Supervisors Academy

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FSA Complaints Policy and Procedures

1. Purpose

This document outlines the formal and the informal complaints procedures and the appeals process for the Academy's participants.

2. Scope

This procedure is meant to provide guidelines to participants who attend training events provided by the Financial Supervisors Academy. Participants registered with the Financial Supervisors Academy can use this procedure to raise a complaint about any aspect of their studies or course attended.

3. Definitions

Informal complaint: when a complaint is submitted verbally with a member of staff.

Formal complaint: when a complaint cannot be resolved informally will be submitted in writing and the procedure contained herein will apply.

4. Timescale for filing a formal complaint

A complaint will be accepted if submitted within four weeks from the date of the incident. Following such period, the basis for the complaint shall normally be deemed to have elapsed.

5. Informal complaints procedure

Initially, the Financial Supervisors Academy seeks to resolve the matter to the satisfaction of the complainant. Complaints can be communicated through one-to-one discussion with the Academy staff or by submitting an email.

During the one-to-one discussion every effort is made to resolve the matter. The discussion may entail the following:

- i. what the complaint relates to
- ii. where it happened
- iii. what led to the situation
- iv. how could have the complaint been avoided
- v. what are the expectations and proposals of the complainant
- vi. the Academy member of staff will ensure the complaint will be investigated and feedback related to the outcome of the investigation will be provided.

If the case merits further attention, the complaint will be channelled through the following formal complaints procedure.

6. Formal complaints procedure

The Financial Supervisors Academy will try to resolve, as quickly as possible, any complaints which participants may have about their participation in the event. The Financial Supervisors Academy will strive to address the complaint within a period not exceeding four weeks for each review.

The formal complaints procedure includes the next steps:

Step 1: Director of Studies

The participant should write to the Director of Studies giving an outline of the complaint. The Director of Studies will investigate the complaint and will provide the complainant with a response within four weeks. Any participant who is dissatisfied with the Director of Studies' decision or proposed action can submit the complaint to the Head of the Academy.

Step 2: Head of the Academy

The written complaint and the response from the Director of Studies should be passed on to the Head of the Academy for review and investigation. Following the investigation, the Head of the Academy will provide the complainant with a response within four weeks. Any participant who is dissatisfied with the Head of the Academy's decision or proposed action will be able to submit the complaint to the Owner of the Academy.

Step 3: Owner of the Academy

The Owner of the Academy shall investigate the case on the basis of which a further decision is taken; this decision shall be final. The Owner of the Academy will communicate his decision to the participant in writing within four weeks

7. Protection of complainant

Participants raising a grievance or assisting a colleague in raising a complaint relating to discrimination, harassment or otherwise at the Financial Supervisors Academy may do so without fear or reproach or victimisation (unfair treatment).

Academy staff found to have engaged in victimisation or threatened to victimise will be subject to disciplinary action.

On the other hand, the Financial Supervisors Academy will not tolerate false accusations, and perpetrators will be likewise subject to disciplinary action.

8. Withdrawal of formal complaints

The complainant may withdraw the formal complaint at any time during the process through a formal request via email or a formal letter. The Director of Studies will forward the withdrawal request to the attention of the Owner of the Academy, if the complaint has been brought to his/her attention.

Subsequently, the Director of Studies will acknowledge the email/letter withdrawing the complaint and contact the former complainant for a meeting to affirm 'closure' of the case. If the latter accepts to meet the Director of Studies, the case will again be discussed briefly and confirmed as closed by both parties.

9. Maintenance of complaints log

All the correspondence related to complaints is stored on the Academy's system while details of the complaint will be maintained.

10. Other matters

The Complaints Policy and Procedures for the Financial Supervisors Academy will be reviewed and updated on an annual basis.