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THE DUKE OF EDINBURGH'S
INTERNATIONAL AWARD



COMPLAINT POLICY

THE INTERNATIONAL AWARD FOR YOUNG PEOPLE, INDIA

Version 1.0
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#WORLDREADY

The Award Programme Foundation’s Complaint Policy

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Background: The Award Programme Foundation runs The International Award for Young People www.iayp.co.in (IAYP) of the Duke of Edinburgh’s International Award for Young People www.intaward.org, the world’s leading youth achievement award. Everyone connected with the IAYP is committed to providing the highest quality support and service to all aspects of the Award. However, we also recognise that sometimes things go wrong, and, in these situations, we have a complaints policy and process., which is in this document below. This page provides a summary of how to complain and what happens when you do. When to use this process. Our complaints process should be the last resort as in most cases it should be easier to resolve complaints locally. If you have not tried to resolve the matter in your home area, we will ask you try that first, unless there are exceptional circumstances. If you have tried to resolve the matter and still wish to complain, we ask you to complete the form at the bottom of this Policy and send it to us at dsl@dofe.in. Please try to provide all the details we have requested. When not to use this process If you believe that someone is in immediate danger or at risk of harm (such as a safeguarding concern) you should contact the relevant authorities in your area.

We do not accept anonymous complaints because it is not possible to clarify or verify information without talking to you. However, if you ask us to keep your identity confidential, we will do our best to do so but this may mean we will be severely restricted in how we can investigate your complaint. If the issue you are raising concerns very serious matters such as possible fraud, discrimination, corruption or unethical behaviour you may raise the matter under our Whistleblowing policy.

We do not normally accept complaints if more than three months has passed since you became aware of the issue you are contacting us about.

How long will it take? - We will deal with your complaint as quickly as possible. You can expect an acknowledgment of your complaint immediately. We will keep you informed of

progress and regularly update you on timescales. We cannot be precise about how long it will take to investigate your complaint as it depends on the complexity of the issues and how long it takes it to gather information from other people. However, we will complete our investigation as soon as we can and keep you informed along the way. We will aim to resolve the matter within 30 days and if that is not possible, we will send you a progress report in this timescale.

What if complainant is not satisfied with the outcome?- Our policy allows for one appeal when the matter will be reconsidered by a Trustee group. The details of this process are set out in our policy below.

We hope this page has been helpful in providing an overview of our complaints procedure. Before you complain please read the policy document below, which provides full details of how we deal with complaints. If you need any help or guidance, please do contact us at dsl@dofe.in and we will do all we can to assist you.

1. INTRODUCTION

- 1.1 This Complaints Policy (Policy) outlines the process to be used when dealing with a complaint or dispute related to the actions of Institutions licensed to run the Award, adventure operators registered to assist in the Adventurous Journey, any entity licensed to assist in any of the sections of the Award as a third Party activity provider, IAYP volunteers, Award Leaders or APF employees, where it has not been possible to resolve that matter through informal channels in the locality. It is always our wish that matters are resolved locally, and the procedures and processes stated here should be seen only as a last resort.
- 1.2 This Policy specifically does not cover:
- 1.2.1 Activities or actions of individual staff, volunteers or participants related to an Award sub-Licensee that are specific to the work of that sub-Licensee. Such specific complaints should be directed to the sub-Licensee concerned and will be dealt with in line with their policies.
 - 1.2.2 Matters of Safeguarding or Whistleblowing which are dealt with using the relevant policies. Although many of the procedures are similar, these matters are addressed under different rules and processes. If a person wishes to raise a Safeguarding or Whistleblowing matter, they should refer to the relevant policies and procedures via our Policies page on our website here: www.iayp.co.in
 - 1.2.3 Internal APF, complaints, disputes and disciplinary issues raised by Foundation employees against other employees.

2 DEFINITIONS

- 2.1.1 Complaint: means a grievance against or dispute with or between individuals or Award Operators and the APF, raised by any individual, an Award sub-Licensee, or a IAYP volunteer.
- 2.1.2 Whistleblowing: means reporting very serious behaviour or issues that are in the public interest and cannot be considered a complaint or dispute. Whistleblowing is most often used when illegal activity is discovered, serious or institutional discrimination occurs, possible fraud or corruption or unethical behaviour is detected. For full details see the Whistleblowing policy.
- 2.1.3 Award sub-Licensee: means any Institution, school, university, trust, registered society, corporate entity, activity provider, that is licensed by the APF.
- 2.1.4 Vexatious complaint: means any complaint that meets one or more of the following criteria:
 - 2.1.4.1 Persists in pursuing a complaint where the procedure for handling complaints has been fully and properly implemented and exhausted
 - 2.1.4.2 Repeated unwillingness to accept documented evidence given as being factual, denying receipt of an adequate response, despite correspondence answering their complaint, or not accepting facts that have been verified to a reasonably possible extent
 - 2.1.4.3 Regular and continuous focus on a trivial matter to an extent which is out of proportion to its significance
 - 2.1.4.4 Persistently raises new issues or seeks to prolong contact by raising further concerns or questions whilst the complaint is being addressed. This specifically

excludes new issues which are significantly different to the original complaint and must be addressed.

2.1.4.5 Unreasonable complaints or demands which impose a burden on the APF in terms of required resources which is out of proportion to the seriousness of the allegation or complaint, and where the complaint clearly is designed to disrupt or annoy, or has the effect of harassing another person, or can otherwise be characterised as obsessive or manifestly unreasonable

2.1.4.6 Are repetitive complaints and allegations which ignore the actions and responses previously supplied

3 THE PURPOSE OF THIS POLICY is:

3.1 To provide a complaints procedure to be implemented by the Award Programme Foundation, which is fair, clear, and easy to use for anyone wishing to make a complaint

3.2 To ensure all complaints are investigated fairly and in a timely manner

3.3 To ensure that complaints are, wherever possible, resolved amicably

3.4 To gather information which helps the Foundation to improve its performance and practice, particularly in respect of the overall governance practice of the Foundation.

3.5 To ensure the confidentiality of the process of handling complaints to protect both the complainant and any respondent during the process

4 ACTIONS TO SUPPORT IMPLEMENTATION

For a full implementation of this Policy, the APF will:

4.1 Publicise the existence of this Policy and associated procedures by making it easily available on the IAYP website www.iayp.co.in

4.2 Make sure all Sub-licensees, employees, volunteers, Award leaders, activity providers are aware of the policy

4.3 Make sure all APF employees engaged in activities for, and on behalf of, the IAYP are aware of the process to submit a complaint

4.4 When a complaint is received:

4.4.1 Assign an individual to receive and handle communications between the complainant, and the respondent

4.4.2 Notify the Chair of APF, of any complaints received and of the conclusion of such complaints

5 CONFIDENTIALITY

5.1 All complaint information will be handled sensitively and confidentially, providing information to the relevant parties only and in accordance with any relevant data protection and legal requirements in respect of the subject of the complaint.

5.2 Anonymous complaints will not be accepted.

5.3 At the discretion of those investigating the complaint, the identity of the complainant may be withheld from a respondent. This option may only be exercised where withholding the information does not undermine a respondent's ability to address the complaint. It is understood that if the case is referred to public authorities, then the matter of withholding the identity of the complainant may not be an option.

6 RESPONSIBILITY

- 6.1 Overall responsibility for this Policy and its implementation lies with the National Director of IAYP
- 6.2 One APF employees are designated by the Chair to receive complaints. They are responsible for notifying the Chair of all complaints received and for handling the communication between the complainant, and the respondent.
- 6.3 Where a complaint concerns either of the APF's designated employees that person will be immediately removed from the process by the Chair and another employee substituted.
- 6.4 The National Director is responsible for the actions, in accordance with this Policy, after a complaint is received.

7 PRINCIPLES OF THE COMPLAINTS AND DISPUTES POLICY

- 7.1 Every effort will be made to resolve complaints and disputes as close to the point of conflict as possible. Resorting to the APF's complaints and disputes policy should be seen as a last resort. Where no effort has been made to resolve the matter locally, the Foundation reserves the right to refer the matter to the sub-licensee or activity provider or other concerned.
- 7.2 All complaints and disputes will be taken seriously, managed expeditiously, dealt with in a timely manner, and promote the maintenance of relationships.
- 7.3 The process of complaint and dispute handling will be robust and safeguard against the ability of any individual to manipulate the outcome of a complaint.
- 7.4 For a complaint or dispute to be considered, it must:
 - 7.4.1 be submitted in writing.
 - 7.4.2 be within the scope of this policy.
 - 7.4.3 be submitted within three months of the date that the complainant reasonably knew enough facts to report the issue.
 - 7.4.4 identify the complainant and provide contact information.
 - 7.4.5 state the complainant's relationship to the organisation.
 - 7.4.6 provide the basis for the complaint in 1,000 words or less, and in a clear and concise statement including whatever evidence is available, including dates and times.
 - 7.4.7 provide details of the formal or informal resolution actions that have been taken so far to try to resolve the issue.
 - 7.4.8 describe what the complainant would see as an acceptable outcome.
 - 7.4.9 if there is reasonable belief that a complaint is vexatious or malicious, then it will not be progressed.
- 7.5 This Policy will not be used where individuals disagree with any APF or IAYP policy, or guidance provided within the Award Handbook. Any concerns about such matters should instead be raised with IAYP Operations.
- 7.6 To prevent a single point of failure, the receipt of complaints will be monitored by the Chair of APF who will report all complaints received to the National Director.
- 7.7 The APF employee responsible for processing the complaint:
 - 7.7.1 will provide all parties involved the opportunity to present their views clearly to ensure all facts are clear and understood.
 - 7.7.2 must consider all facts and points of view.
 - 7.7.3 may, as required within the constraints of confidentiality, seek the advice of other experts or consultants.

- 7.7.4 should seek a solution that provides a right to a fair hearing, and is acceptable for both parties.
- 7.7.5 must record the factors on which they have based their recommendation.
- 7.7.6 should investigate and conclude the process as expeditiously as reasonably possible.
- 7.7.7 Should ensure that, wherever possible, the complaint process is handled in a language acceptable to that particular complainant or respondent.
- 7.8 The process allows for a single appeal on any recommendation arising from a complaint by either the respondent or complainant, and the decision after the appeal process, as approved by the Chair of APF will be final.
- 7.9 If the complaint is considered by the Foundation to involve a crime, the complainant must be advised and encouraged to report the matter to the relevant authorities in the jurisdiction of the crime at any time.
- 7.10 If the complaint involves an APF employee as a respondent, the process will be governed by the same procedure as anyone else. Once the decision is ratified by the Chair, the decision will be implemented by the National Director via the appropriate internal processes, in accordance with the relevant terms of employment.

8 PROCESS OF COMPLAINT HANDLING

- 8.1 As stated above, every effort will be made to resolve complaints and disputes as close to the point of conflict as possible. Resorting to APF's complaints and disputes process should be seen as a last resort. Where no effort has been made to resolve the matter locally APF reserves the right to refer the matter to the sub-licensee or activity provider concerned.
- 8.2 If a local resolution has not been possible complaints should be submitted to the Award Programme Foundation, either: by email to dsl@dofe.in or by post or by hand to: IAYP Complaints, 86/1 Shahpur Jat, Hauz Khas, New Delhi 110049.
- 8.3 On receipt of a complaint:
 - 8.3.1 The APF employee acknowledges the complaint within seven days. Acknowledgement does not necessarily mean the complaint has been accepted in accordance with the policy; it is simply a confirmation that the information sent by the complainant has been received.
 - 8.3.2 The APF employee logs the complaint, and informs the Chair, to advise them of a complaint having been received and note the respondent, if one exists. If the respondent to the complaint is one of persons of the Complaint resolution process, that individual will be excluded from the distribution list for that specific complaint and only be notified as the respondent in accordance with the process below.
 - 8.3.3 If a complaint relates to a National Director or Chair/Trustee the matter will immediately be referred to a committee of two other trustees.
 - 8.3.4 The APF employee receiving complaints will ensure that the complaint complies with the requirements above. If the complaint meets those criteria, then:
 - 8.3.5 The complainant is notified by the APF that the complaint has been accepted and is being processed. A concise list of the areas to be investigated is provided and a request for the complainant to confirm they are happy to proceed with an investigation into the complaint on this basis. Once confirmation has been received, the process then continues as below.
 - 8.3.6 If the complaint does not meet those criteria, then:

The Foundation notifies the complainant that the complaint does not meet the requirements of the Policy and requests the complainant to either: restate why it should be considered under the criteria or provide supporting information to allow the APF to act on the complaint. If, on receipt of the restatement or additional information, the APF employee agrees that the complaint meets the criteria then the process follows from Section 9.

- 8.3.7 If, after being referred back to the complainant, and in consultation with the Chair, it is agreed that insufficient information is provided to justify the complaint meeting the criteria, the APF will notify the complainant that the complaint does not meet the requirements of the Policy and the process ends.
- 8.3.8 If the complaint relates to a volunteer, staff member or participant related to a sub-licensee or activity provider, once the complaint is accepted as valid under this Policy, the APF, depending on the nature of the matter and balancing between confidentiality and transparency, may, at its discretion, inform the relevant sub-licensee or activity provider that a complaint has been received in respect of that person.

9 PROCESSING A COMPLAINT

9.1 On receipt of a complaint, the designated staff will:

- 9.1.1 Confirm that there is no conflict of interest in respect of the complaint
- 9.1.2 Where necessary to address the complaint, request additional support from the APF either directly or to involve experts or consultants with specialised skills

9.2 If the matter is deemed to be such that the continued involvement of the respondent constitutes a safety or reputational risk to the Award, the designated staff may:

- 9.2.1 Make a recommendation to the Chair for suspension of the respondent in respect of any APF activity while the matter is investigated.
- 9.2.2 If the respondent is an active volunteer related to a sub licensee or activity provider or a member of staff, and with the consent of the Chair, issue a recommendation of suspension along with details of the complaint to relevant person of the employer.
- 9.2.3 If the respondent is a APF employee, pass the recommendation for suspension to the Chair for action under the relevant internal processes.

9.3 Within five working days the designated staff member will, via the APF:

- 9.3.1 Complete a complaint document that details the alleged circumstances of the complaint including dates, places time and people involved.
- 9.3.2 Share the complaint document with the complainant and provide at least 14 days (or a reasonable time for the complainant to review and accept the pertinent information), before the complaint document is issued to the respondent: and then,
- 9.3.3 notify the complainant and respondent of a proposed timeline for actions on the complaint

9.4 Should the staff members, during the investigation of the matter, identify further issues beyond those detailed in the complaint document, either by the respondents, the complainants or any third parties, they will be granted the full process and rights allocated to the initial respondents in the process. Where this requires an adjustment to the timelines previously communicated, such change and the reason therefore shall be notified in writing to all respondents and complainants.

9.5 Once the matter has been investigated and considered, the staff members will decide if the complaint (or each part of it) is upheld, partially upheld, or not upheld. They will also

recommend if any sanction is required and issue an overall recommendation on the complaint to the Chair.

- 9.6 If the recommendation is one of no sanction, the APF will notify the complainant and the respondent of this recommendation. Should the complainant object to this, they may at this stage initiate the appeal process detailed below in Section 10.
- 9.7 If the recommendation is any form of sanction, the recommendation will be passed to the Chair for ratification. If the recommendation entails multiple independent actions of sanction, the Chair will be permitted to ratify each sanction independently.
- 9.8 If the Chair approves the recommended sanction by the National Director, the APF will notify the respondent and complainant and take the recommended actions. Should either the complainant or the respondent object to the recommended sanction, they may at this stage initiate the appeal process detailed below in Section 10.
- 9.9 If the Chair does not approve the recommendation, the recommendation will be referred back to the National Director for reconsideration.
- 9.10 Having considered the comments of the Chair, the National Director shall issue a revised recommendation and substantiation for the Chair's approval.
- 9.11 In the event that a matter has multiple respondents, the National Director will make separate recommendations for independent consideration in the matter of each individual respondent.
- 9.12 When informing the complainant and respondent of the outcome, the National Director will clearly state if the complaint is to be upheld, partially upheld, or not upheld and the reasons that led to this decision; referencing, where possible, all the key issues raised by the complainant based on the findings of the investigation. The communication will also identify recommendations that will be undertaken based on the outcome of the complaint in the spirit of continuous improvement.
- 9.13 It will also explain how the complainant can appeal if they are unhappy with the process undertaken or the outcome of the complaint and how they can be contacted.
- 9.14 Both the complainant and respondent are entitled to one appeal under this process. Once the appeal as detailed below has been heard, the ratification of the recommendation is final.

10 APPEALS PROCESS

- 10.1 Either the complainant or the respondent may appeal a decision by written notice by email, by post, or by hand to the APF. The appeal letter must provide sufficient basis for the appeal to be heard and present any information required to consider the appeal. This appeal must be submitted within seven working days of the notice being received from the APF by the complainant or the respondent respectively, or by the appealing party in terms of the actions related to Section 9.
- 10.2 In the event of a matter involving multiple respondents, an appeal will only be considered on an individual-by-individual basis and will only impact on the specific recommendation for which that appeal is lodged and will have no effect on decision relating to the other non-appealing parties.
- 10.3 The appeal letter will be considered by two Trustees appointed by the Chair. Should this be deemed to be a valid appeal, the complaint, along with the appeal submitted by the appealing party, will be reviewed by the appointed Trustees supported by such staff as may be required but not including any person who considered the original complaint. Additional people may be recruited to advise and support the appointed Trustees.

- 10.4 Having considered the appeal and complaint, the appointed Trustees shall issue a recommendation to the Chair.
- 10.5 If the Committee approves the recommendation and action (if any), the APF will notify the respondent and the complainant and take the recommended actions. The approval of the Chair of this outcome from the appeal is final.
- 10.6 If the Chair does not approve the recommendation, the recommendation will be referred back to the appointed Trustees for reconsideration. Having considered the comments of the Committee, the Trustees shall issue a revised recommendation for approval by the Committee. Approval of this outcome of the appeal is final. Should the revised recommendation not be accepted, the Committee will take such action as it deems fit.

11 DOCUMENTATION AND RECORDING

- 11.1 The complaint and recommendation, along with copies of communications with the complainant and respondent will be filed by the Foundation for up to seven years.
- 11.2 For the purposes of institutional learning, the National Director will produce an anonymised summary of the complaint and recommendations arising for the use of the Foundation in internal communications.

12 MONITORING AND LEARNING FROM COMPLAINTS

- 12.1 The National Director will be responsible to report to the Trustees annually on complaints raised and corrective actions required. These reports are to be reviewed annually to identify any trends, which may indicate a need to take further action.

13 EFFECTIVENESS AND APPLICABILITY

- 13.1 This Policy is reviewed at a minimum of once every three years and updated as required. It is effective as of the adopted date of 1 June 2024. This Policy shall apply to complaints submitted on or after the effective date above.

13.2 Complaint Template DATA PROTECTION:

This form is used to collect information for the purpose of gathering compliant details as part of the complaints process. We don't share your personal data provided in this form with any third parties. We take your personal data privacy seriously. The data you provide to us is securely stored and we will keep the data we capture from this form for six years.

Name:

Contact email:

Contact number:

Preferred contact method:

Your relationship to the Duke of Edinburgh's Award (i.e. volunteer, parent/carer):

Complaint summary (what you think went wrong, including dates and times or any reported incidents. Please provide a clear list of matters you would like investigated. Please don't exceed 1,000 words and note that there will be opportunities to submit further evidence if required.)

Please provide details of any actions that have been taken so far to try to resolve the issue:

What is your desired outcome from the complaint process?

I (insert name)
understand that any information given about myself or on behalf of someone else is limited to that which is relevant to the investigation of the complaint, and only disclosed to people who have a need to know it to investigate, respond and resolve the complaint.

Date:

To report any complaint/feedback:

- Email at dsl@dofe.in
- or
- Mail through post at The Award Programme Foundation: First Floor, 86/1 Shahpur Jat, August Kranti Marg, Near Asian Games Village, New Delhi – 110049, India | Contact: +9111-41087062