



# LEVEL 6 CERTIFICATE IN THERAPEUTIC COUNSELLING SUPERVISION

A course for counsellors who are qualified and would like to work with other counsellors in a supervisory role

COURSE HANDBOOK

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## The Course

Level 6 Certificate in Therapeutic Counselling Supervision is aimed at students who already hold a Counselling Qualification at level 4 or equivalent and who have a minimum of 2 years post qualifying Counselling experience who wish to supervise other Counsellors.

## Course Information

<b>Tutors:</b>	Sue Byrne and Rebecca Metcalf
<b>Awarding Body:</b>	Counselling and Psychotherapy Central Awarding Body (CPCAB)
<b>Course Code:</b>	TCSU-L6
<b>Theoretical model:</b>	Shohet and Hawkins 7 eyed model of supervision
<b>Session Dates:</b>	Wednesday 16 <sup>th</sup> September 2026 – Wednesday 19 <sup>th</sup> May 2027
<b>Session times:</b>	9:00-16:00
<b>Session venue:</b>	<b>Royal Oak Wellbeing Hub, Royal Oak Close, Yateley.</b>
<b>Contact Hours:</b>	90 hours
<b>Structure of the day:</b> (subject to change)	9:00 – 9:15      Check – in 9:15 – 11:00    Teaching 11:00 – 11:15    Break 11:15 – 12:15    Teaching/discussion 12:15 – 12:45    Lunch 12:45- 14:15    Skills/process/supervision 14:15 – 14:30    Break 14:30 – 15:45    Skills/process/supervision 15:45 - 16:00    Check-out
<b>Entrance Requirements:</b>	A minimum of Level 4 Diploma or equivalent in Counselling, 450 Counselling Hours and 2 years post qualifying supervised client work

You may be required to attend an interview. Entrance to the course will be dependent on you meeting the entrance requirements and the interview. If a course is oversubscribed Hart Voluntary Action retains the right to not offer a place even if all criteria are met.

## Applying

**How to apply:** Visit our webpage at <https://hartvolaction.org.uk/community-services/counselling/training-placements> to download an application form or contact Hart Voluntary

Action on 01252 815652 or email [121@hartvolaction.org.uk](mailto:121@hartvolaction.org.uk) to request an application form. Please return completed application forms to [121@hartvolaction.org.uk](mailto:121@hartvolaction.org.uk).

## Structure of the Course

The course is accredited by the Counselling and Psychotherapy Central Awarding Body (CPCAB) and is based on their 7 Learning Outcomes. The learning outcomes are each broken down into criteria which you have to meet to pass the course.

1. Model and supervise the professional framework
2. Model and supervise the skilled use of the relationship
3. Model and supervise the use of theory and research on diversity
4. Model and supervise a user centred approach to the work
5. Model and supervise the skilled use of the self
6. Model and supervise the coherent use of theory, research and skills
7. Model and supervise the self reflective practitioner

The course comprises written work (doc), placement work and skills work (test) and tutor observations (tobs). All candidates are required to keep a record of their learning by compiling a portfolio of their work throughout the course. Each portfolio will contain a Candidate Learning Record (CLR) which details all the criteria you are required to obtain for the course (a list of the criteria is in Appendix 1). The CLR must show that all criteria for the course have been met at least two times, ideally three, in different ways.

**Assessment:** A variety of assessment methods are used throughout the course.

To gain the criteria required to pass the course you will need to show the following in your portfolio:

### **Documents**

Learning reviews

Supervisee record

Supervisory Supervision record

2 written assignments

Self-review

Tutorial Records (by students)

### **Tutor Observations**

2 tutor-observed practice sessions

2 Case presentations

Tutorial Records (by Tutor)

### **Testimony**

2 supervisors report

Peer feedback

Candidates will be expected to update their own Candidate Learning Record and keep a portfolio of their work.

Portfolios need to be kept on OneDrive and the 'Portfolio' folder must be shared with your tutors. In your Portfolios you will need to have the following folders:

- Assignments including notes for case presentations

- Learning Reviews
- Peer Feedback
- Placement
- Tutor Feedback and tutorials
- Work to be marked

**Attendance Requirements:** To be able to pass the course you must have attended at least 80% of all available sessions.

**Assignments:** By completing all the assignments you will be able to obtain all the criteria once (the criteria available in each assignment is subject to change).

**Assignment 1 – legal and ethical**

**Assignment 2 - models of supervision**

**Case study presentation 1**

**Case study presentation 2**

**Self-review**

**Learning Journal:** You will be required to complete a weekly journal. This will not need to be handed in but must be present in your portfolio.

**Supervisor work:** You are required to complete at least 15 hours of work with a supervisee during the course. You are required to find your own placement which must then be agreed with your Tutor.

You must keep a client log during your placement and your client work must be supervised by a senior/experienced qualified supervisor for at least 5 hours for the duration of the course.

**Tutorials:** You will be expected to attend 1-on-1 tutorials twice during the course to check on your progress and highlight any problems or issues. These will be arranged during course hours.

**Pastoral support:** Students will also have tutorials throughout the course.

**What next:** This is a standalone course.

**Plagiarism:** All work that you submit as part of the assessment for the Level in Therapeutic Counselling Supervision must be your own work. Any work that is submitted that is not your own will be reported to CPCAB. The Malpractice policy would also be applicable here.

## Workplace requirements

Students are responsible for finding their own placement or Counsellors to supervise. Any placement must be agreed with the Tutor and organisation before it commences. Students will need to complete 15 hours of supervisor work with supervisees.

Any placement must be able to provide suitable Counsellors for the students. The placement must have all relevant policies in place.

Students must have supervision for the supervisees they are seeing as part of the course. If this is not provided by a placement then the student is responsible for finding and paying for their own supervision.

## Course Administration

### Emails

All Students will be issued with a Hart Voluntary Action email address for the duration of the course. Please read the Hart Voluntary Action Policy concerning IT usage (available on SharePoint).

You will require this email address to be allowed access to Windows 365 which will allow you to use online versions of Word, Excel and Powerpoint as well as having access to SharePoint (an area where everyone can access the same documents), OneDrive (an area where only you can access to save documents that you want to) and Microsoft Teams which can be used for communication between the group, private communication with your Tutor and Video Conferencing if this is ever required because our venue is unavailable (please see Appendix 3 for instructions on how to use this package).

### Paperwork Required during the Course

All required paperwork for the Course is available on SharePoint. Please download the documents you need and these can be completed by you locally. The following is a list of the paperwork available:

CAS	Supervisor Contract
Record of Learning	Supervisor Report
Completion Statement	Record of supervisee Hours
Placement Contract (if applicable)	

At the end of the course you will be required to submit the electronic portfolio of your work using OneDrive. Your portfolio will need to be divided into folders with the following headings:

- Assignments including notes for case presentations
- Learning Reviews
- Peer Feedback
- Placement
- Tutor Feedback and tutorials
- Work to be marked

### Submitting Work

You will need to share your OneDrive with the tutors so that they can access your portfolio. Assignments that are put in your 'work to be marked' folder will then be accessed by the tutors and they will return them to you by email.

## Equal opportunities

Hart Voluntary Action is committed to providing equal opportunities and has policies covering the delivery of the Level 6 Certificate in Therapeutic Counselling Supervision. Please see appendix for all policies.

## Quality Assurance

**Moderation of student work:** A cross section of student work will be moderated to ensure consistency of marking across the board. Tutors will collaborate together during each assignment to discuss standardised marking.

**Internal Quality Assurance:** The person carrying out the role of Internal Quality Assurance (IQA) will be responsible for ensuring that Hart Voluntary Action (HVA) are providing the course Level 6 Certificate in Therapeutic Counselling Supervision to the correct standard as outlined by the Counselling and Psychotherapy Central Awarding Body (CPCAB).

The IQA will carry out this work with HVA twice during the course of the academic year. The first time will be 50% of the way through the course and the second time once the course has completed.

## Complaints

**Complaints procedure:** Hart Voluntary Action has a complaints procedure which you are expected to follow if you have a complaint about any aspect of the course. See 'Handling Students Complaints Policy' in appendix.

**Malpractice/maladministration:** As an organisation Hart Voluntary Action has a policy regarding Malpractice and Maladministration. See general policy section 5

## Reading List

C.D. Stoltenberg & B. W. Mcneill, 2011. IDM Supervision: An Integrative Developmental Model for Supervising Counselors and Therapists. Routledge.

P.Hawkins & R. Shohet, 2012. Supervision in the Helping Professions. Open University Press

V. Wosket, The Therapeutic use of Self, 1999, Brunner and Routledge

J. Holloway and A. Henderson, Practical Supervision - How to become a supervisor, 2014. Jessica Kingsley

S. Page and V. Wosket, Supervising the Counsellor, 2001. Routledge

B. Proctor, Group Supervision, 2008. Sage

N. Luxmoore, Practical Supervision, 2017. Jessica Kingsley

M. Frawley-O'Dea and J. Sarnet, The Supervisory Relationship, 2001. Guildford

M. Creaner, Getting the best out of supervision in counselling and psychotherapy, 2013. Sage

## **Appendix 1**

**For course outline please download here:**

**[Download TCSU-L6 Candidate Guide - CPCAB](#)**

## Appendix 2

### Dates for Level 6 Certificate 2025/26 and Assessment Dates

#### Fridays 09:00 – 16:00

Wednesday 16th September	Assignment 1 Set	
30th September		
14th October		Assignment 1 Due
<b>Half Term (28th October)</b>		
4th November	Assignment 2 Set	
18th November		
2nd December	Case study 1 set	Assignment 2 Due
<b>Christmas Break</b>		
6th January		
20th January		Case study 1 due
3rd February	Case study 2 set	
<b>Half Term (17th February)</b>		
24th February	Self-review set	
10th March		
24th March		Case study 2 due
<b>Easter</b>		
21st April		Self-review due
5th May		
19th May		

## Appendix 3

### Using Microsoft Windows 365

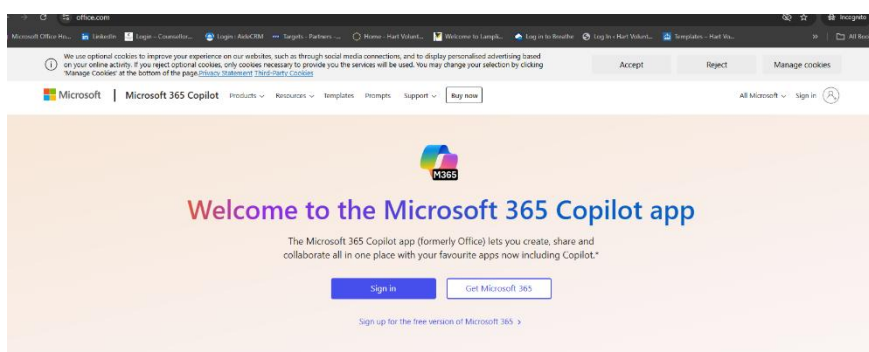
You will be provided with a Hart Voluntary Action email address which will allow you access to Microsoft Windows 365 Office Suite. You will have the use of Word, Excel and PowerPoint online as a part of this package.

In addition you will also have storage space on One Drive and access to the SharePoint for the course which will enable you to access all the documents and paperwork that you need for the course.

To start you need to log in to Windows 365 following the instructions below:

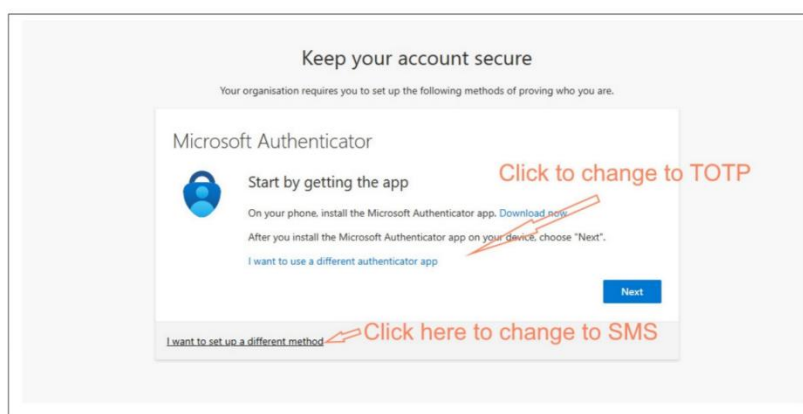
- To use your HVA Office 365 account launch a browser and navigate to the Office 365 sign-in screen at:

[www.office.com](http://www.office.com)



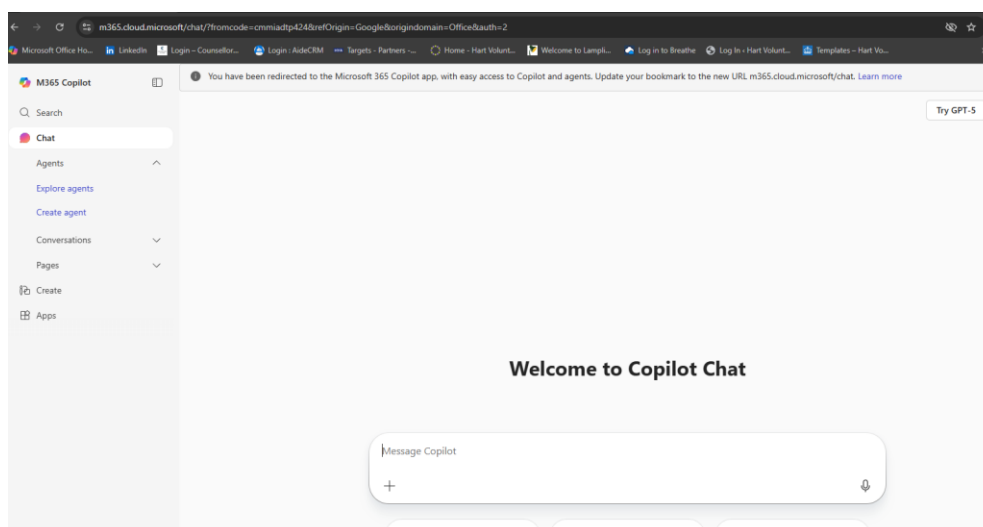
- Sign in with your HVA email address ([someone@hartvolaction.org.uk](mailto:someone@hartvolaction.org.uk))
- On the next screen use your Office 365 password

You will then need to set up Two factor Authentication for your account. Here is the screen shot of the screen where the 2FA method is chosen pointing out what to click to choose the preferred method. Click 'Next' for Microsoft authenticator app Push Notification. Click 'I want to use a different app' for One-Time Passcode with any authenticator app. Click 'I want to use a different method' to use SMS Text without needing an authenticator app at all.



Then you're asked if you want to be permanently signed in. It is only ever safe to say 'yes' if you are the exclusive user of the PC and only ever use 1 Office 365 account otherwise you or the next person who uses the PC will be straight into this email account because you're permanently signed in!

You arrive at the home page of Office 365:



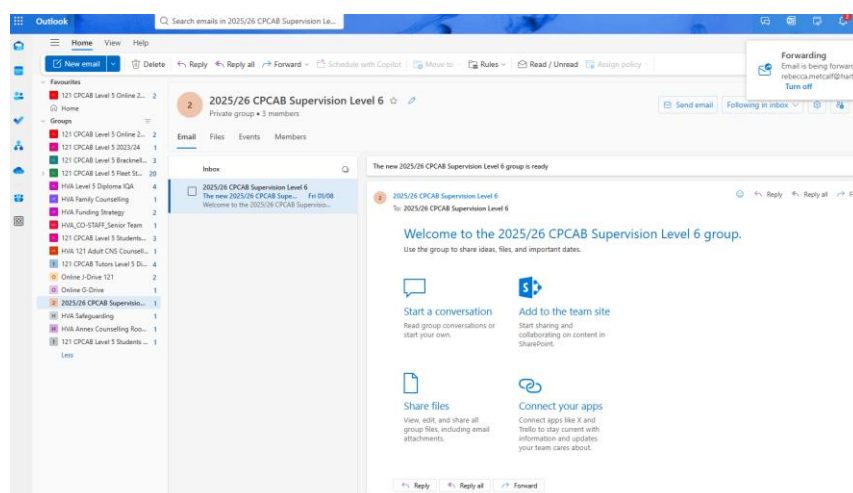
From this 'dashboard' you are able to access all the apps available to you – click on 'Apps' in the left hand menu. Below are some very basic instructions on the Apps you will be required to use during the course. If you want any help with any further aspects please contact Rebecca Metcalf on [rebecca.metcalf@hartvolaction.org.uk](mailto:rebecca.metcalf@hartvolaction.org.uk).

## Email

To view your email click the 'Outlook' icon and the Outlook Web App opens and displays your email. Please ensure that you check your email on a regular basis because this is how your tutor will communicate with you throughout the course.

## SharePoint

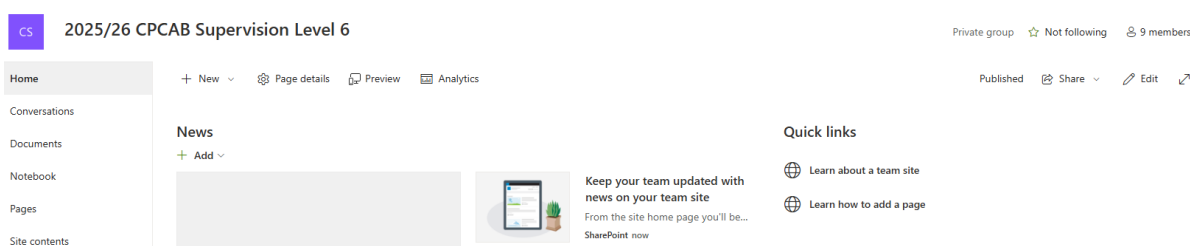
- To set up your SharePoint you will first need to access your email.
- On the left hand side in your email there is a column which has various subheadings in it. Go down to the groups subheading. Under this there should be listed 'Online CPCAB Level 5 Diploma Course Students'
- Click on this message and the following will be displayed:



## Level 6 Certificate in Therapeutic Counselling Supervision: Student Handbook



- If you click on 'Add to the team site' then it will take you to the SharePoint site.
- Click on the 'Not following' star in the top right to follow this page



- If you go back to your dashboard and click on the SharePoint app you should be able to access it through here too.
- In the left hand column there is a 'Documents' tab. Click on this and this will give you access to all paperwork required during the course.
- Please do not edit documents in here – download the document to your local machine to edit. You are then also able to upload it to your OneDrive.

### Teams

If the course needs to be taught remotely for any reason this will be done via Teams.

Before the meeting:

A meeting will be scheduled by either a tutor or staff member inviting all members of the course. You should receive an email in your Outlook inbox. Please accept this by clicking the green tick in the email.

To join the meeting:

- Access Teams via the Microsoft 365 dashboard or download the App and log in using your Hart Voluntary Action email address.
- Access your calendar within Teams (in the task bar to the left hand side of your screen). The meeting will be shown. Click on the meeting.
- Click 'Join'
- This will pop up a box asking you to 'join now'.
- Before selecting join now ensure your video and sound are turned on and you are happy with what is being shown.
- To join click 'Join Now'.
- If no-one else is in the meeting yet you may be required to wait until someone admits you to the meeting.
- You will be able to see others in the meeting (but not necessarily everyone depending on how many people your screen can display).
- If you mute yourself remember to unmute before you talk so everyone can hear you.
- At the end of the session select 'leave'. (It is important you do this otherwise anyone logging back into a meeting at a later date may then be able to see you).

Teams can also be used as a course forum page.

- Click on 'Teams' in the task bar on the left hand side.
- Select your Team.
- You can then post questions/comments which others will be able to see and respond to

### OneDrive

You can access your OneDrive storage page via the Windows 365 dashboard. In this area you can create folders and save work in the same way as you would when saving to a local machine.

You can use OneDrive to store your Portfolio. Ensure that you keep this in order by creating folders for each section ie a folder for assignments, a folder for learning reviews, a folder for placement, a folder for feedback etc.

NB Hart Voluntary Action are unable to accept responsibility for any work lost when using OneDrive. Therefore, please do keep a back up of all your work on a memory stick or your local machine.

### Creating Hyperlinks in your Candidate Learning Record

In your Candidate Learning Record you will need to create a link under each criteria to the document where you have met that criteria. **Before creating your hyperlinks ensure that the documents are all in your Portfolio on your OneDrive in the correct folder.** To create a hyperlink you will need to follow these instructions:

- Right click in the box that you want to put the link in (ie next to the criteria you have met)
- Click on 'Insert Link'

This will bring up a dialogue box.

- Where it says 'Display text' enter the information you want displayed in the box. This must be the name of the document and the way that you have met the criteria eg Assignment 1 – Doc, or Supervisor Report – Test.
- Where it says 'Enter Link' you need to put in the address of the document you are linking.
- To find this open the document in a separate window.
- Copy the URL from the address bar at the top. (It may start hartvolaction-my.sharepoint ..... ) Paste this address into the 'Enter link' box.
- Click 'Insert'.

The link should now have inserted itself into your document. If you click on it then you will open up the relevant document.

Once you have created the link you must not move the document you have linked. If you do this the address changes and the link will no longer work.

## Appendix 4 - Policies

### i. General Policy

#### Introduction

The purpose of this document is to outline the policies around the provision of the Level 5 Diploma in Counselling Adolescents and Level 6 Certificate in Supervision managed by Hart Voluntary Action.

By providing these courses Hart Voluntary Action is aiming to upskill some of its staff to be able to work with younger adolescents or supervisees and provide an opportunity for others to also gain the qualifications.

By providing this course Hart Voluntary Action will also be able provide placements to some of the students which will help to meet the Counselling provision for young people that is needed in the Hart District.

#### 1 Admissions

##### 1.1 Pre-requisites

Applicants will be expected to have all pre-requisites for the course before they are accepted and provide proof of this to the Centre. Applicants will be treated equally and fairly regardless of disability, ethnic identity, religion or gender. As a centre, we will follow CPCAB Recognition of Prior Learning (RPL) and entry requirements

##### 1.2 Identity

All students will need to provide proof of identity in the form of photographic identification before commencing the course

##### 1.3 Attendance

Students will be required to attend at least 80% of the course in order to pass. This will be verified by an attendance register

##### 1.4 Emotional Impact

Applicants will be made aware of the emotional impact that the course may have before they begin, so that they can make a decision as to whether the course is a suitable one for them at that stage.

##### 1.5 Payment

Applicants will be required to pay any fees associated with the course to Hart Voluntary Action which will be advised in writing before the start of the course

##### 1.6 Interview

Applicants may be required to attend an interview as part of the application process

## 2 Hart Voluntary Action (HVA) Responsibilities

### 2.1 Service

HVA is committed to providing a professional service to all students. This will include providing information about the course structure, the requirements, how to apply and where the course will take place.

### 2.2 Resources

HVA will provide access to all necessary staff, paperwork and resources required to complete the Course. As a centre, we will ensure that the course can be delivered to an appropriate standard. We will retain the correct number of staff to be able to run the course.

### 2.3 Certificates

CPCAB will provide a certificate on completion of the course and HVA will ensure that all paperwork is carried out in order for this to be issued.

### 2.4 Supporting students

HVA will provide a reasonable level of support to students with learning difficulties or physical needs. As a small organisation we are unable to provide any specific learning support help but we will be able to help in ways such as extending deadlines for those with learning difficulties and ensuring access to buildings to those with physical needs.

### 2.5 Data protection

All student information will be handled in line with HVA's 'Data protection policy'. In addition, all students will have a copy of the 'Privacy Notice' made available to them.

### 2.6 To Tutors

HVA will provide support in the form of administration and will ensure that the tutors are aware of the provision of peer supervision

### 2.7 Attendance

As a centre, we will register attendance of all students to ensure the criteria for attendance is met.

## 3 Tutor Responsibilities

### 3.1 Qualifications

All tutors will hold a relevant qualification for the course they are teaching

### 3.2 Teaching

Tutors will prepare for each session they deliver and will follow the curriculum as outlined in the bespoke CPCAB qualification.

### 3.3 Marking of work

All work will be marked and returned to the students within a month of the deadline date unless the work has been submitted after the deadline. Tutors have the responsibility to assess whether the candidate has met the specific requirements of the qualification.

## 4 Student Responsibilities

### 4.1 Deadlines

All students are responsible for meeting deadlines set by the course tutors. If they are aware they will be unable to meet a deadline then they must get approval for this from the tutor.

### 4.2 Placement

Students are responsible for finding their own placements for seeing clients but they must have the approval of the course tutor/provider before the placement is started.

## 5 Malpractice and Maladministration

### 5.1 Malpractice

CPCAB defines malpractice as an intentional act that threatens the integrity and/or validity of delivery, assessment or certification of one of its qualifications.

### 5.2 Maladministration

CPCAB defines maladministration as a lack of care, judgement or competence by anyone involved in the development, delivery, assessment or award of its qualifications. On-going maladministration could constitute malpractice.

### 5.3 Implementation of Courses

HVA will provide courses that are implemented in a professional way ensuring that the processes and procedures that are in place are transparent and honest. HVA will follow CPCAB procedures for conducting assessments, moderation and verification

### 5.4 Notification

HVA will notify the CPCAB of any malpractice/maladministration relating to the course accredited by CPCAB.

HVA will inform the person that has been implicated in writing of the nature of the alleged event

### 5.5 Progress

HVA will keep the CPCAB updated of the progress of any investigation.

### 5.6 Complaints

If a student has a grievance/complaint about the course or a member of staff they should follow the procedure outlined in the 'Handling Student Complaints Policy'

### 5.7 Academic Appeal

If a student wishes to make an academic appeal they should follow the procedure outlined in the 'Handling Student Complaints Policy'

## 6 Contingency Planning

### 6.1 Finance

The cost of delivering this course is being underwritten by Hart Voluntary Action. The aim is to enroll a minimum of 6 and a maximum of 16 students per course.

### 6.2 Staffing and HR

In the event of short-term illness of a tutor the second tutor will cover for that session. If both tutors are ill at the same time then the course will need to be suspended for 1 week and the time added on to the end of the course

In event of long-term illness of a tutor a new tutor will need to be advertised for immediately to ensure as little disruption as possible

The course will be able to be taught at Hart Voluntary Action by any tutor, not just the authors of the course

Back-office administration will be provided by 4 people in the office who can be trained in the administration of the course to cope with any short- or long-term illness that may occur.

### 6.3 Premises

The venue is Hart Civic Offices, provided by Hart District Council or one of our satellite venues. In the event that the usual training room is not available another room will be made available at short notice to provide a suitable place for teaching.

### 6.4 Quality Assurance

An Internal Quality Assurance will be in place, with the correct qualification, to ensure that the centre meets the necessary standards for the CPCAB. The person who carries out this role will meet with HVA and the teaching team once or twice a year to ensure quality control.

### 6.5 Moderation

A cross section of work will be marked by a moderator to ensure the marking is consistent and fair to the standard that is required by the CPCAB.

### 6.6 Legal requirements

Hart Voluntary Action has the following in place: Health and Safety policy and Data protection policy.

### 6.7 Insurance

Hart Voluntary Action has the following in place: Public and Employers Liability Insurance and Professional Indemnity Insurance and the company have confirmed that this covers the provision of the Level 5 Diploma.

### 6.8 Student support

Academic support will be provided by the tutors in relation to all aspects of the curriculum. Special needs support can be given in the form of extension of deadlines for those with learning difficulties

All rooms used for teaching are accessible by people with limited mobility.

Hart Voluntary Action can provide administrative help for students to allow them to meet the course requirements with regards to the administration/paperwork required. This will not include help with the content of the course or any assignments that are due.

## 7 Closure of Course

### 7.1 Notifying of Course Closure

HVA will inform CPCAB and Students immediately of the closure of the course. Wherever possible, when it is necessary to withdraw a course, any students currently on that course would be supported to complete the course. However, if this was not possible then students would be supported to find a similar course elsewhere and would be provided with certification/evidence of achievement/credits so far.

### 7.2 Reasons for closure

Loss of CPCAB backing – would work to gain this back as quickly as possible.  
Loss of Staff through death/illness/unforeseen circumstances – alternatives would be sought out immediately but in the event that this can't be solved the course may need to close  
Building unusable due to unforeseen circumstances such as flood or fire – would seek to provide an alternative location to offer the course from

## 8 Refund Policy

### 8.1 Circumstances of refund

A refund would be given under the following circumstances:

The course is cancelled before it begins

The student withdraws before the start of the course (some may be retained for administration fees)

A refund will not be given under the following circumstances:

If a student has not met their obligations to the course

If a student decides to leave part way through

A refund may be given in exceptional circumstances but this will be considered on a case-by-case basis and is entirely at the discretion of Hart Voluntary Action.

If a student wants to request a refund this must be done in writing to the Chief Executive at Hart Voluntary Action stating clear reasons for wanting a refund to be awarded. If fees were paid by a sponsor these will be refunded to the sponsor.

## ii. Handling Students' Complaints

## **1 Introduction**

1.1 HVA aims to deliver a professional service that responds to the needs of its service users in whatever capacity. Policies and procedures are in place to ensure that professional standards of service provision are adhered to and we continually strive to improve this service through training and policy reviews with an aim to developing best practice.

1.2 However there may be times when service users feel a valid complaint needs to be made and it is our intent to take all complaints seriously and to respond in an honest, open and fair manner.

1.3 Complaints may be verbal or written and may be made personally by a service user or on behalf of the service user by a close relative or someone directly involved in their care **provided the service user has consented to the complaint being made**. Staff responsible for the delivery of services are to ensure that those using their services are aware of their right to make a complaint and the procedures set out in this policy.

1.4 All complaints should be made as soon after the cause as possible and will be dealt with promptly within the time frames set out below. It is also hoped that complaints can be resolved as informally as possible. Notwithstanding, those members of staff who deal with a complaint are to record the details, action taken, including any investigation and the outcomes.

1.5 Service users should be assured that making a complaint will not affect their right to receive a service from HVA unless their complaint is found to be unfounded and malicious, in which case their continued participation in the service will be reviewed. Equally, in exercising their right to make a complaint, HVA will ensure that service users are neither victimised nor discriminated against. Depending on the nature and circumstances of the complaint, consideration will however be given to whether the complainant should continue to use the relevant service whilst the complaint is being investigated.

1.6 Any member of staff considered guilty of inappropriate behaviour or misconduct as a result of a service user's complaint will be dealt with separately under HVA's disciplinary procedures.

## **2 Confidentiality**

2.1 All complaints will be dealt with as a matter of confidentiality; any details or information relevant to the complaint will only be shared with those who have a right or a need to know (eg those required to investigate the complaint). This right to confidentiality extends to both the service user making the complaint and any member of staff who might be the subject of a complaint.

## **3 Complaints Procedure**

3.1 A service user may make a complaint to any member of staff responsible for the delivery of the relevant service. Where the complaint relates to the staff responsible for the service delivery, the service user may then make their complaint direct to the Chief Executive.

3.2 In line with the intent to deal with complaints as informally as possible, the member of staff receiving the complaint should endeavour to resolve the matter immediately. To ensure a satisfactory resolution it is good practice to ask the complainant what they want to see happen as a result of their complaint. Where a complaint can be resolved informally at this level the member of staff dealing with it should nonetheless ensure the complainant has been made aware of all the options open for

pursuing the complaint and that the details and outcome have been fully and properly recorded and a summary of the discussion is to be sent to the complainant to ensure accuracy

3.3 In the event that a complaint cannot be resolved informally, the member of staff who first received it should refer the matter, as soon as possible, to their line manager. If the complaint involves the line manager it should be referred to the Chief Executive. The line manager or Chief Executive will then be responsible for fully investigating the complaint and submitting a written response to the

complainant within 10 working days. This response should address all the issues raised in the complaint and, if substantiated, any remedial action being taken. If the complaint is unsubstantiated the response should explain why not and set out what further action the complainant may take.

3.4 If unsatisfied with the outcome of the investigation the complainant should submit details of their complaint in writing together with the reasons they are dissatisfied to the Chief Executive or, if the Chief Executive conducted the initial investigation, the Chairman of the Trustees. The Chief Executive or Chairman will review the initial investigation and, if necessary, conduct a separate investigation and inform the complainant of the outcome within 15 working days of receipt. The decision of the Chief Executive or Chairman will be final.

#### **4 Academic Appeal**

4.1 If a student has a concern about the marking of work or a decision that has been made that has an impact on them academically then they should first approach the tutor to try and resolve the situation.

4.2 If the student feels that this is not handled in the appropriate way they should then ask for the work/decision to be reviewed by a second tutor.

4.3 If the student is still not satisfied with this outcome then their appeal should be made in writing to The Chief Executive who will then consider the appeal.

### **iii. Privacy Notice**

#### **Introduction**

The processing of your personal data for Level 5 Diploma is carried out by Hart Voluntary Action Limited (HVA). HVA is a registered charity in England & Wales No: 1119912. HVA is registered with the Information Commissioner's Office (ICO) for the United Kingdom and the Channel Islands, registration number Z2108957.

We respect your privacy and are committed to maintaining the security of your personal information. This notice outlines how and why we collect and use personal data. We want to ensure you are informed and in control of your personal data.

Please be assured that we will never sell your personal data, and will only ever share it with third parties where we have your permission to do or where it is required under Duty of Care.

## Questions

If you have any questions about how your data is used, you can contact the Chief Executive of HVA directly, by contacting [ceo@hartvolaction.org.uk](mailto:ceo@hartvolaction.org.uk) or calling 01252 815652.

## What data we collect

The personal data we collect is: name, e-mail address, postal address; telephone number(s), gender, date of birth, health condition, qualifications employment history

By enrolling on the course and giving all or part of the above information, it is understood that you consent to HVA storing your personal information.

## How we use this information

We will use your information to contact you about general management and administration of Level 6 Certificate and compliance with Duty of Care and Health and Safety.

Some of the information you supply will be used by:

- CPCAB (the awarding organisation associated with your course) in carrying out its functions when verifying your Unique Learner Number and uploading your achievement data (if any) to your Personal Learning Record.
- The Learning Records Service to fulfil its statutory functions, issue/verify your Unique Learner Number (ULN) and update/check your Personal Learning Record. The Learning Records Service may share your ULN and Personal Learning Record with other education related organisations, such as your careers service, school, college, university, Government Departments and public bodies responsible for funding your education.

## How do we protect personal information?

HVA uses a secure server to store and/or record personal information provided by you for its own purposes and access to personal information is limited to appropriate HVA staff and protected by passwords. We also take appropriate measures to ensure that the information disclosed to us is kept secure, accurate and up to date and kept only for as required by law.

## Withdrawing consent

You can change or withdraw your consent for us to hold or to use your personal data for the purposes set out above by contacting [admin@hartvolaction.org.uk](mailto:admin@hartvolaction.org.uk). Please be aware that by withdrawing consent you will no longer be able to complete the course.

## Right of access

You have the right to ask for a copy of the personal information we hold about you and to have any inaccuracies in your personal details corrected.

## Changes to personal details

If your personal details change, please help us to keep your information up to date by notifying us in writing to [admin@hartvolaction.org.uk](mailto:admin@hartvolaction.org.uk).

We reserve the right to amend this privacy notice so please do check back from time to time. If we do so, we will post notice of the change on our website and make every effort to inform you of any material changes to the notice.

### **Complaints**

If you have any complaints about how your data is used, you can contact the Chief Executive of HVA directly, by contacting [ceo@hartvolaction.org.uk](mailto:ceo@hartvolaction.org.uk) or calling 01252 815652.

If you are not happy with our response, or you believe that your data protection or privacy rights have been infringed, you can complain to the UK Information Commissioner's Office which regulates and enforces data protection law in the UK. Details of how to do this can be found at [www.ico.org.uk](http://www.ico.org.uk).

## **iv. Placement Policy**

### **Work Placement – Guidelines for Work Placements**

Students are responsible for finding their own placement. Any placement must be agreed with the Tutor and organisation before the course commences.

Students will need to complete 15 hours of supervision work

The placement organisation must provide suitable supervisees for the students.

The placement organisation must have all relevant policies in place including data protection, privacy and complaints.

Students must receive clinical supervision for the supervisees they are seeing as part of the course. If this is not provided by the placement organisation, then the student is responsible for finding and paying for their own supervision.

## **v. Hart Voluntary Action Data Protection Policy (extracts)**

### **1. Introduction**

1.1 Current data protection legislation permits Hart Voluntary Action Ltd (HVA) to process individual personal data, providing it is relevant to carrying out of our business. However, from May 2018 new data protection regulations came into force which significantly enhanced UK data protection practices. The changes had implications for many of the aspects of the HVA's operations, including finance, IT, HR, and communications. They also impacted on how HVA deals with service users and external organisations. The regulations cover in much more specific detail than previous data protection legislation the areas of Awareness, Information Held, Communicating Privacy Information, Individuals' Rights, Subject Access Request, Legal Basis for Processing Personal data, Data Breaches,

Data Protection Impact Assessments, Data Protection Officers, and International Implications.

1.2 This policy sets out Hart Voluntary Action's approach to meeting the requirements and, more importantly, ensuring that all personal information is held securely and with the consent and support of all staff, volunteers and service users.

## **2. Personal Data**

### **2.1 General Overview**

2.1.1 HVA is under an obligation to protect the confidentiality of the information held and to ensure that personal data is not divulged to others unless in doing so it strictly follows the purpose for which the information was supplied.

2.1.2. HVA Trustees are the Data Controller, HVA staff and volunteers are Data Processors for the information held. HVA and volunteers will be personally responsible for processing and using personal information in accordance with the Data Protection Act.

2.1.3 All members of staff and volunteers who have access to personal information, gained via association with HVA, will be expected to read and comply with this policy.

### **2.2 Legitimate/Legal Interest**

2.2.1 HVA may process personal information without an individual's knowledge or consent where:

- this is required or permitted by law and HVA needs to protect in individual's interests (or those of someone else) in an emergency
- HVA has a need to use such information in connection with a legal claim
- An individual has already made such information public, such as religious or philosophical beliefs or political opinions.

2.2.2 When processing personal information based on a legitimate interest, HVA will make sure that it is exercised proportionately and is always balanced against the privacy rights and other legal rights of the individual.

### **2.3 Who has responsibility for data protection in HVA**

- The Trustee Board have overall responsibility for compliance.
- The Data Controller (the Chief Executive (CE)) has day to day management responsibility.
- The Administrator has responsibility for managing and processing staff data privacy, consents and processing.
- Individual staff have responsibility for any day to day personal information they may obtain and process.

2.4 Any enquiries about any aspect of HVA's data protection should be directed to the Data Controller, including general queries, specific personal staff questions, subject access requests and/or real or potential breaches of data or data protection requirements. Further information on their responsibilities is contained in paragraph 7.1 below.

#### 2.5 Personal Data

- Shall be processed fairly, lawfully and in particular shall not be processed unless specific conditions are met.
- Shall be obtained only for one or more of the principles specified in the Data Protection Act (2004) and shall not be processed in any manner incompatible with that purpose.
- Shall be adequate, relevant and not excessive in relation to its purpose.
- Shall be accurate and where necessary kept up to date.
- Shall not be kept for longer than is necessary and within lawful legislation.
- Shall be processed in accordance with the rights of data subjects under the Act.
- Shall be kept secure by the HVA who takes appropriate technical and other measures to prevent unauthorised or unlawful processing or accidental loss or destruction of, or damage to personal information.
- Shall not be transferred to a country or territory outside the European Economic Area unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal information.

### **3. Privacy Notices and Consents**

3.1 HVA will issue individual Privacy Notices to all new and existing staff, volunteers and service users. This will detail all the types of personal information which HVA holds and processes, its purposes, how it is processed, why and the security provisions.

3.2 Consent will be requested from staff every three years.

3.3 The Notice will also detail how an individual can have access to their information should they wish to. Individuals have the right to amend inaccuracies, add or delete any information held. However, they will be reminded that the deletion of any information which is relevant to their employment, working with HVA, could have a detrimental effect on their employment, work with HVA.

3.4 The Notice will include the option for individuals to confirm their consent to the Company holding and processing their personal information. This consent will be held in their personal file.

3.4.1 HVA will have a copy of all the Privacy Notices on its website on the appropriate pages for relevant projects and individuals.

#### **4. Training of staff**

4.1 All staff are required to undertake training and/or briefing sessions on HVA's and their personal responsibilities under the data protection regulations. This will be covered in the induction training for new recruits.

#### **5. Dealing with leavers' information**

5.1 All personal information will be held for up to a period of six months. This is to facilitate any requests for references. However, individuals will be asked on leaving whether they consent to any or all of their personal information being held by HVA. They have the right to consent to some or all of their information being deleted on leaving. They will be asked to review their Privacy Statement and confirm which information they wish retained or deleted.

5.2 All information will be securely shredded by at least six months or shorter if advised by the leaver after leaving HVA. However HVA has to keep financial information for 7 years from a legal standpoint

#### **6. Dealing with recruitment information**

6.1 Successful candidates will be dealt with in exactly the same way as existing staff. They will be issued with a Privacy Statement on joining as part of their induction pack.

6.2 Unsuccessful candidates and candidates who reject a job offer will have their information containing any personal details e.g. CVS, References and/or notes, securely shredded within three months of being unsuccessful, either with no interview or following an interview, and/or rejection of a job offer. This will be confirmed in a letter to the individual.

#### **7 Managing risks**

7.1 The following procedures will apply to ensure that any risks arising from obtaining, managing and processing personal information are identified early and procedures put in place to manage.

7.2 The Trustee Board will retain overall responsibility for oversight of and compliance with the data protection regulations and requirements.

7.2.1 The Trustee Board will delegate responsibility to:

- The Chief Executive (CE) as Data Controller, for the day-to-day management and control of data protection in HVA, including application of the policy and procedures, audits, risk identification and management, security, external subject access requests and any other related matters.

- HR, or the individual(s) responsible for HR, for the management and control of personal data of staff, relating to application of the policy and procedures, audits, privacy statements, risk identification and management, security, internal subject access requests and any other related matters. HR, or the HR responsible person, will report to the CE in relation to this.

7.3 The Company will undertake data information audits of all information covered by the regulations. The audits will cover: what data held, why held, whether right to consent applies, how consent will be obtained, length of period information will be held, security measures, vulnerabilities/risks and action needed to remedy gaps. See audit template at point 10.

7.4 The CE will undertake annual reviews of the data protection procedures and provide a report to the Trustee Board on the current situation with any deficiencies and action needed.

7.5 Simple Privacy or Data impact assessments will be conducted at the beginning or in the early stages of projects to identify the most effective way to comply with their data protection obligations and meet individuals' expectations of privacy.

7.5.1 The purpose of a PIA is to ensure that privacy risks are minimised while allowing the aims of the project to be met. Risks can be identified and addressed at an early stage by analysing how the proposed uses of personal information and technology will work in practice. Some of the ways risks can arise are through personal information being: inaccurate, insufficient or out of date; excessive or irrelevant; kept for too long; disclosed to those who the person it is about does not want to have it; used in ways that are unacceptable to or unexpected by the person it is about; or not kept securely.

7.7 Third party suppliers who hold personal information relating to HVA on their own systems, electronic or manual, will be required to comply with the Company's data protection requirements. They will be required to sign Third-party Data Protection Agreements to confirm that any Company data is held and processed securely in line with GDPR regulation. (See paragraph 8.3 below)

## **8 Subject access requests**

### **8.1 Coverage and timescale**

8.1.1 In accordance with legislation, staff, volunteers and service users are entitled to view their personal records, whether held in computerised or manual form. Much of the individual personal information is held electronically and staff, volunteers and service users can ask for a copy of their file to be sent to them electronically. HVA will comply with this request within 3 working days.

8.2 To gain access to any other records held by HVA, an individual must submit a written request to the CE. HVA will generally comply with requests within a month.

8.3 Rejecting a request

8.3.1 Should a staff member, volunteer, service user submit an access request(s) which HVA considers manifestly unfounded, excessive or vexatious, it has the right to charge for the administration time involved and/or reject the request, giving its reasons. Staff, volunteers or service users can appeal any decision to charge or reject. If so, they should put their appeal in writing to the CE or the Chair of the Trustee Board within five working days. Any appeal will be dealt with within a timescale of ten working days, unless a different timescale is agreed with the individual.

## **9 Security**

**9.1** Information and records relating to service users will be stored securely and will only be accessible to authorised HVA personnel.

9.1.1 Information will be stored for only as long as it is needed or required statute and will be disposed of appropriately.

9.1.2 It is HVA responsibility to ensure all personal and company data is non-recoverable from any computer system previously used within the organisation, which has been destroyed or passed on/sold to a third party.

9.2 This policy will be updated as necessary to reflect best practice in data management, security and control and to ensure compliance with any changes or amendments made to the Data Protection Act 1998.

9.3 HVA uses various third-party Data Base Systems to store data. The information held within these databases are encrypted and only accessible by HVA personnel.

9.4 There are three further areas covered:

9.4.1 Staff, Volunteers, Services Users - individuals accessing their personal information out of office should ensure where relevant that their data is viewed private and securely, particularly in public locations.

9.4.2 Managers and administrators - similarly, managers and administrators should ensure that if they are viewing an individual's personal data outside of the office, that the data is viewed private and securely, particularly in public locations. They should ensure that they are not physically overlooked but that their computers and any other personal devices are not accessible electronically.

9.4.3 Third party suppliers - all of these suppliers have signed Third-party Data Protection Agreements to confirm that any Company data is held and processed securely in line with GDPR and Company requirements.

## **10 Procedure for dealing with breaches**

10.1 Breaches may arise from a number of resources e.g. complaint from an individual staff, client, supplier, the Information Commissioner's Office or a review of procedures. If a breach occurs, then it should be reported immediately to the CE. The CE will take immediate steps to close the breach. If possible, this will be done within one working day of the breach occurring

10.2 Where a breach is identified, it will be fully investigated by the CE. This may involve any or all of reviewing procedures, interviewing individuals involved or any other actions considered necessary.

10.2.1 Where possible, the investigation will be completed within ten working days. The CE will produce a written report, summarising the breach, why it occurred, how it was resolved and what further action is needed, including change of procedures, security and/or staff issues. If it is not possible to complete the report within this timetable, the CE will

communicate this to the relevant parties as appropriate (e.g. Trustees, ICO, staff member) with the reasons for the delay and a revised deadline.

10.3 Following completion of any investigation, the CE will submit a Report to the Trustee Board for consideration. The Trustee Board can approve, amend, or ask for further investigation. The Trustee Board will approve the report either within ten working days of receipt or ten working days of completion of any further investigation.

10.3.1 Once approved, the CE will communicate within a further five working writing to the other parties involved summarising the breach, why it occurred, how it was resolved and what further action is needed.

10.4 Should any disciplinary action be necessary against any individual(s) as a result of the breach, this will be dealt with in accordance with HVA's Disciplinary Procedure.

## **11 Data Audit**

11.1 HVA will review all personal data it holds on staff, volunteers and service users on an annual basis as part of its Data Audit processes to ensure compliance as follows:

- HVA has asked individuals to positively opt in to have their personal data held by the company.

- HVA has verified the appropriate lawful basis or legitimate interest for data processing and retention.
- HVA has specified why it wants the data and what it is going to do with that data.
- HVA informs individuals that they can withdraw their consent.