

LEARNER MANAGEMENT AND ESCALATION POLICY

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Version Control

Version	Date	Editor	Comments
V1	24/09/2025	Katie	Refresh of full policy including defining role of account managers in escalations
V2	13/07/2026	Chris Brown	Refresh of policy in line with new roles organisationally

Summary of Changes

Page number	Change
4	New Action Plan document created
5	New swim lane diagrams added

Policy Review Schedule	Change reviews every 3 months as part of Policy Steering Committee Full review every 12 months in line with academic year.
Next Review Date	August 2024.

Purpose

LearnTech is committed to providing the best possible service to all its learners, visitors, stakeholders (including employers, and parents), and partner organisations.

This procedure is for all staff who may be involved in a learner management issue to respond quickly to any learner management issues. This includes all delivery staff (trainers, mentors, managers, and any support staff including safeguarding) In any circumstance, appropriate procedures should be followed. However, this policy also serves as information for apprentices on procedures followed should apprenticeship obligations be broken.

Any recommendations from apprentice escalation will be included in quality improvement reports and self-assessment reports of the organisation. They will also be shared with relevant managers, for action and/or to feed their self-assessment process.

Apprentice management issues include but are not limited to:

- Attitudes to learning including non-attendance at training or mentoring sessions

- Rearranging and rescheduling planned visits, appointments, and examinations more than once in a period of a month, or on any regular basis
- Falling behind on tasks and activities set for learning (affecting planned OTJT and progress)
- Quality of work including plagiarism and use of AI
- Incorrect equipment or facilities
- Wellbeing/welfare concerns
- Workplace issues e.g. Manager engagement, Exposure
- Change of circumstances e.g. change of programme, BIL's etc, Redundancy
- Ability to complete programme within planned timescales
- Non-adherence to exams and assessment policies and procedures
- Lack of engagement with English and maths support programmes/ activities (for example core or essentials curriculum or BKSB)
- Non-completion of the core-learning curriculum or Careers Information, Advice and Guidance mandatory activities

Scope

This policy applies to:

- Deputy / Heads of Departments
- Trainers
- Mentors
- Trainer/Mentors
- Quality Team Members
- Administration and Support Staff

Policy Authority

Overall responsibility for this procedure lies with Head of Quality, while responsibility for day to day for implementation lies with the Heads of Department (SDBA, E&M, ICN). All staff have a responsibility to try and resolve informal issues prior to invoking the Procedure. All staff have a responsibility to follow this procedure for any apprentice management issues.

The Director of Education and Board oversee all learner management and escalation.

Policy Owner: Chris Brown
Director: Katie Fowler

Related Documentation

This policy will be monitored and reported against, in line with our Equality and Diversity Policy.
This policy must be read in conjunction with the following documents:

[Progress Action Plan V1 0726](#) – Formal Action Plan document

[Escalation Process 6weeks.pdf](#) – Escalation Process Flow Chart – learners under 6 weeks

[Escalation Process over6weeks.pdf](#) – Escalation Process Flow Chart – learners over 6 weeks

Implementation

There are 4 stages to the policy, depending on whether the apprentice has been on programme for over, or under 6 weeks (42 days) or if it is a concern regarding wellbeing/welfare. If the concern is a safeguarding concern, please follow the wellbeing flowchart so that the appropriate procedures are followed by the DSL.

If there is a safeguarding concern (this relates to learners aged 16-18), then this needs to immediately follow Safeguarding policies and procedures and report to DSL.

This policy is under constant review and may be amended as we discover more about how best to manage the escalation process. Therefore, feedback on potential improvements and issues should be made

Escalations

Within 6 weeks (42 days) on-programme - Stage One

Actions required:

1. The escalation must be entered into the Escalation SharePoint by the person who first becomes aware of the matter. The Account Manager must be tagged in this escalation entry so they are aware (they may not engage with them at this point)
2. Head of Department (HoD) to be immediately tagged in the escalation and if requiring review more urgently, then send a team's message for their swift review of the escalation.
3. HoD to investigate the matter and seek immediate resolution working alongside the Account Manager as required to resolve the issue by informing/working with L&D/HR teams.
4. If resolution cannot be achieved the matter is to be escalated to stage two.

Within 6 weeks (42 days) - Stage Two

The Head of Department will review the matter with Head of Quality and the relevant Account Manager following investigation results. The decision to be made for removal from or resumption of the programme if the issue can be confirmed as being resolved. If involvement from Employer Learning and Development and/or HR teams are required, then the Account Manager must lead the communication with the employer.

Note – all learner management issues within 6 weeks on-programme are to be reported to Head of Operations and Quality for review. The default for any learner management issues is to withdraw the apprentice from the apprenticeship and restart where appropriate.

Actions required:

1. The escalation on SharePoint must be updated with the relevant decision.
2. HubSpot must be updated with the relevant emails and communications by the account manager.

After 6 weeks on programme

Indicative indicators which may warrant escalation or further improvement / support:

- -4 behind on the “Extra Hours per week” section on the Learner Progress Report or more than -20 hours difference in the “OTJT difference” section on the Learner Progress Report.
- Substantively behind on portfolio expectations
- Consistent Low performance: Repeatedly scoring low on assessments, assignments, or exams.
- Poor Attendance: Frequent absences or tardiness to classes <75% attendance
- Lack of Engagement: Disinterest in class activities, participation, discussions, use of webcams.
- Behavioural Issues: Disruptive behaviour, lack of discipline, or negative interactions with peers and delivery staff. Inability to manage time effectively, leading to rushed or incomplete work.
- Low Motivation: Lack of enthusiasm or effort towards learning tasks.
- Difficulty understanding Material: Struggling with basic concepts despite repeated instruction.
- Past planned end date, without swift plans to complete in place or are not meeting milestones in completion plans.
- Lack of manager engagement, lack of exposure or time allowed for OTJT in the workplace.
- Lack of or refusal to engage with English and maths requirements
- Lack of or refusal to engage in core curriculum or wider pastoral learning activities

Stage One – Delivery Team responsible for the INFORMAL management of the escalation

Delivery Team Actions required:

1. The delivery team must input the escalation on the SharePoint escalation board following the below:

Escalation Board SharePoint:

This is the primary method for communicating escalations and the progress and resolution of any escalations; therefore, all require input on this Board prior to raising with the Head of Department. For the avoidance of doubt if progress is communicated verbally or through any other means, the member providing the communication is also responsible for replicating the communication in the Escalation Board.

By the end of the following working day that you come to learn of an escalation or escalation progress you must:

- **Check if there is already a record for the apprentice in question.**
 - If there is, add your own feedback and tag in any other relevant member of the team working with the apprentice.
 - If not, add in a new record and tag in a comment the relevant head of department. Input the learner ULN from the Learners tab to make sure the relevant learner details are patched through from the learner report.
- Ensure you update with relevant notes as to the reason for the escalation.

- Ensure there is a status allocated, a level allocated and that plan status is set to “informal action plan”
 - Tag your line manager and any other Delivery or support staff working with that learner into the comments section on the escalation board and communicate with them that a new escalation has been added.
 - Check if this should be excluded from employer reports. If it should be excluded, then ensure that this is categorised as such in the “Exclude Employer” column
 - Ensure that in the “Employer Comment” section that there is a suitable comment that can be reported to employers with what is being done and actions to take place. This must be dated at the start. E.g.
 - a. Date the issue was raised
 - b. What the issue is
 - c. What has already been done
 - d. What is being done
 - e. What Targets are they working towards
 - f. Exclude all data e.g. how much OTJT they are behind– This will be pulled through from ongoing updated reports
 - **Note: These comments in the “Employer Comment” section are employer facing, so must be of the quality expected for external communications. Comments will be quality assured monthly by the Heads of Department to ensure that they are meeting the required standards.**
2. Within five working days, the Mentor or Trainer to contact the learner directly:
- a. An offer of help and support (study skills and support etc.) for apprentice.
 - b. The LM has been notified, if appropriate.
 - c. Timeframe for this to be reconciled (SMART Target) – informal action plan.
 - d. A meeting to discuss the plan of support and recovery. This could be as part of standard mentoring session with the learner and should include **the Line Manager if appropriate.**

Account Managers: INFORMED ONLY

- It is imperative that the Account Manager is kept informed, so that they can understand any escalation when in general contact and discussions with HR or Learning and Development teams. This means the relevant account manager (as indicated on HubSpot) must be tagged in the escalation.
- At stage one, the account manager will not generally inform L&D or HR, unless requested to do so by the HoD, Head of Apprenticeships and/or Head of Operations & Quality.
- Account Managers general role in escalations is to information broker by providing information only to L&D/HR teams or to book in meetings as required with their contacts. Therefore, they are limited to external communication, and any investigations should be completed by relevant delivery staff members prior to informing Account Managers.

Head of Department Actions required:

1. Head of Department to review and discuss each escalation as part of the following meetings:
 - Learner Progress/Caseload Review Meetings.
 - Team meetings

- 1:1 meeting with Senior Trainer/ Mentor / Head of Department

The delivery Team must report apprentice management issues immediately when setting up the escalation, to the Head of Department for tracking and monitoring by tagging them in the comments section on the escalation board.

Progress of escalations must be demonstrated in a reasonable timeframe in compliance with Apprenticeship funding rules; therefore, improvements should be seen within a 4-week period, or this should be immediately escalated to stage 2 or 3 depending on the severity (this should be discussed and determined by the team member and the head of department).

Timeframes for informal action plans will be monitored and discussed as part of escalation and caseload review meetings and sampling activities conducted by the quality team.

2. HOD to ensure the escalation is kept up to date on the Escalation Board.

Stage Two – Delivery Team with support of the Senior Delivery and IQA responsible for the FORMAL management of the escalation

Description of Stage Two:

If the learner's behaviour does not improve, progress is not made as discussed, issues remain un-resolved by the informal action plan planned dates, then the learner will progress into stage 2. At stage 2 a formal action plan is to be created. A formal recorded meeting will be held with the learner, Line Manager and relevant delivery team member(s) to provide support and help for the apprentice.

The formal action plan will be completed with the apprentice, with input from all parties. This must be uploaded to the learner evidence packs and the record updated on the escalation board for its location.

Actions required at stage two and creation of formal action plan:

1. Delivery Team to conduct meeting with the relevant parties (learner, line manager, mentor/trainer). This must be recorded.
2. Complete the action plan documentation, including a link to the recording of the session: [Formal Action Plan V1](#) . The owner of the Action Plan is the delivery staff member who created the escalation. The action plan must be reviewed by and contributed to, by the learner and the box ticked in confirmation of this.
3. A link to the action plan must be added to the escalation record. All involved parties (Account Manager, HoD etc..) must be tagged in the escalation to notify them of the action plan.
4. Log session as a TLAPs on OneFile and upload the completed and unsigned Action plan. The TLAP should be named "Escalation - Formal Action Plan".
5. Change the information in the "plan section" on escalation SharePoint board to formal action plan
6. At this stage, the assigned person managing the escalation must stay as the delivery staff member who originally created the escalation (as in stage one).

7. Action plan must be reviewed by mentors/ mentor-trainers in ongoing mentoring and progress review sessions with learners.
8. Account Managers at this stage will share a copy of the action plan with any L&D/HR teams, as required, to keep them informed and updated. Delivery team to maintain the Escalations board and Action Plan updates. Account Managers will be tagged into any comments with the action plan associated with the learner (see bullet 3). **NB/ It is at Account Managers discretion to liaise with HR/L&D depending on the situation and relationship. Should staff members handling the escalation want this raising with any employer stakeholders, they must request this from the Account Manager through the escalation board or via email with a full explanation and reason so this can be communicated effectively.**
9. If the action plan is for a student who falls under inclusion or SEND, inform the relevant staff member i.e. DSL or SEND Lead. If the action plan includes SEND/ Inclusion support or Safeguarding teams, all other relevant tracking platforms should be kept up to date by Designated Safeguarding Lead and/or SEND Lead.
10. Trainer/Mentor/HOD to maintain the Escalations board and Action Plan updates.

Note:

The Account Managers role is limited to external communication, and any investigations should be completed by relevant delivery and/or quality staff members prior to informing Account Managers. Account Managers role in escalations is to act as an information broker by providing information only to employers, to support resolution activities conducted by the delivery team and/or to put delivery team in direct contact with employer HR and/or Learning and Development teams.

Stage Three – Head / Deputy of Department responsible for the FORMAL management of the escalation**HOD/IQA:**

All apprentices with a Formal Action Plan in place will be reviewed in the Case Load Review Meetings between the HoD and Delivery Team.

If the apprentice does not meet the SMART targets set in the Formal Action Plan, then this will be escalated to the HoD. The HoD will liaise with the Account Manager who will provide formal introduction for a meeting to be held with any HR/L&D teams, Line manager and apprentice as required.

Following this contact, if the Formal Action Plan is not being met and no resolution is achieved, this will be reported to Head of Quality for a formal decision to be made with L&D teams as to further action planning or removal. The Account Manager must be kept informed through the escalations SharePoint as to the progress of the escalation. However, following the first introduction of the relevant employer teams to delivery teams by the Account Managers, their role remains a supportive and passive one. This means that Account Managers should be involved in communications with relevant employer teams, however, the escalation resolution responsibility remains with Education staff.

Actions required at Stage 3 by HoD:

1. Update Escalation Board with all information.
2. Update assigned person to the Head of Department and tag the IQA.
3. Hold an internal context meeting to gather relevant information pertaining to learner escalation (this should include the Account Manager as a minimum).
4. Tag the relevant Account Manager (as assigned on Hub Spot) and if required request an introduction from the Account Manager to employer L&D and/or HR teams
5. Agree necessary steps for moving forward, including any follow up meetings or introductions required (if not already taken place) with L&D, HR, and Line Manager to agree resolution or withdrawal.
6. Conduct an Action Plan Review meeting with relevant delivery staff, Head of Department, Account Manager and IQA. If the action plan has changed or updated, then the action plan needs to be re-issued to the learner and line manager, and uploaded to the Documents section on OneFile once completed.

Stage Four – Head of Apprenticeships, Head of Quality responsible for the FORMAL management of the escalation

Head of Quality / Director - Education:

If learners / Managers / L&D teams / HR teams are not responsive to the action plans set out by the delivery team and HOD's, the escalation will be passed to the Head of Apprenticeships / Head of Quality (With potential support from Directors) depending on its complexity and level of support needed to get the learner on track or finish their apprenticeship.

Actions required:

The Head of Apprenticeships / Head of Quality will:

1. Investigate the steps taken to date and the actions set out.
2. Upon the review, the Head of Apprenticeships / Head of Quality – Account Managers will arrange an initial meeting with the employer / Line manager / HR / L&D team to discuss the issues and to get their input.
3. A second call will be arranged (if appropriate) with the learner to outline the plans of support already put in place and to agree a way forwards for all parties. This may lead to a learner been removed from programme or a longer term of support for the learner within LearnTech and their place of business.
4. The Head of Apprenticeships / Head of Quality will update the escalations board post meetings and require weekly updates from the delivery team and HODs moving forwards on the learner's progress and performance when in stage 4 escalation

Staff KIT meetings and caseload reviews – ongoing Learner Management

Staff KIT (Keeping in Touch) meetings and caseload reviews are essential to monitor and enhance learners' performance. These meetings should be carried out on a regular basis and serve several key purposes:

1. **Regular Monitoring:** Ensures that Trainers / Mentors regularly check in on each learner's progress, identifying strengths and areas for improvement in a timely manner.
2. **Individualised Support:** By reviewing caseloads, staff can provide tailored support and interventions, addressing specific needs and challenges faced by individual learners.
3. **Communication and Collaboration:** These meetings facilitate better communication among staff members, enabling them to share insights, strategies, and resources that can help improve learner outcomes.
4. **Early Intervention:** Regular reviews help in early identification of issues, allowing for prompt action to support learners before problems become more significant.
5. **Goal Setting and Tracking:** They provide opportunities to set clear, achievable goals for learners and track their progress towards these goals, ensuring they stay on the right path.
6. **Professional Development:** Staff can use these times to discuss best practices, receive training, and stay updated on the latest educational strategies and tools.

Overall, Staff KIT meetings and caseload reviews are vital for maintaining a high standard of education, ensuring that all learners receive the attention and support they need to succeed. These meetings may include but are not limited to:

- Review of OneFile and its data to check on learners' performance and compliance.
- Review of Learner escalations
- Review of data relating to Attendance, Portfolio progress, length of mentor sessions
- Tasks that are set, are being reviewed and quality feedback given, Teaching and learning plans being set.
- Checking that work/evidence is being uploaded and mapped.
- Regular progress reviews are taking place and compliant.
- BKSBs and development of Maths and English are being reviewed.
- OJT entries - are meeting ESFA requirements.
- Feedback for Learning Walks/OTLA with the delivery team are reviewed and discussed.
- Checking ILP's are being reviewed and that ALS logs and occurring to a high standard.
- Issues with learners, non-attendance/lack of communication reported or discussed with LMs
- If exposure to KSB's isn't occurring - mentors to discuss with LM's
- Review outstanding actions from the sampling plan and QA activities.
- Review RAG feedback and targets and discuss strategies for gaining Green.
- Review of Cohort Profiles and check updates are relevant
- Review Learners on BIL's and set target for their return.
- Identify CPD requirements from all of the above areas.