

## Cause for Concern Policy

The purpose of this policy is to outline the process for identifying, reporting, and managing any cause for concern relating to an apprentice's welfare, behaviour, attendance, engagement or overall progress.

The policy ensures that all concerns are addressed promptly, consistently, and sensitively, with the primary aim of supporting the apprentice to remain on programme and achieve successful outcomes.

This policy applies to:

- All apprentices enrolled on programmes delivered by DHA.
- All DHA staff, including Trainers, Coaches, and members of the Operations and Support Teams.
- Employers and line managers involved in supporting apprentices in the workplace.

It covers concerns relating to:

- Safeguarding or wellbeing (including Prevent, mental health, or personal issues).
- Attendance or punctuality (patterns of lateness, missed sessions, or unreported absences).
- Engagement or motivation (lack of participation, incomplete work, or non responsiveness).
- Behaviour or professionalism (inappropriate conduct, breach of policies, or workplace conflict).
- Performance and progress (failure to meet milestones or assessment deadlines).

DHA is committed to the early identification and resolution of issues that may impact an apprentice's ability to engage with or complete their apprenticeship.

All concerns will be:

- Managed promptly and fairly.
- Recorded accurately and confidentially.
- Addressed in partnership with the apprentice and employer.
- Escalated appropriately depending on the nature and severity of the concern.

Where a cause for concern relates to safeguarding or Prevent matters the issue will immediately follow the Safeguarding and Prevent Policy and be referred to the Designated Safeguarding Lead (DSL).

A cause for concern may arise when:

- An apprentice shows a decline in engagement, attendance, or progress.
- An apprentice reports or displays signs of distress, anxiety, or vulnerability.

Policy – Complaints

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- An employer raises issues regarding attitude, performance, or conduct.
- DHA staff notice safeguarding indicators or changes in behaviour that give cause for concern.
- Deadlines or milestones are repeatedly missed without communication.

Concerns may be identified by:

- DHA staff
- Employer or workplace mentor
- Fellow apprentice or colleague
- The apprentice themselves (self-referral)

## **Process for Managing a Cause for Concern**

### **Stage 1 – Initial Identification and Recording**

- The staff member identifies and records the concern using the Cause for Concern Form.
- The concern should include factual, objective information and any supporting evidence (attendance records, communications, etc.).
- The form is shared with the relevant Team Manager.

### **Stage 2 – Initial Discussion**

- The Trainer discussed the concern with the apprentice allowing them to share their perspective.
- If appropriate the employer or line manager is also involved.
- Together, they agree on an outcome that includes: Specific targets and timelines for improvement. Support measures (e.g., wellbeing support, mentoring, learning plan adjustments)

### **Stage 3 – Monitoring and Review**

- The Trainer progress against the targets.
- Updates are recorded on the learner's file each review point.
- Designated Safeguarding Lead will update concern regularly.
- If improvements are made the concern is marked as resolved and closed.

## **Record Keeping and Confidentiality**

- All Cause for Concern records will be stored securely and treated as confidential.
- Access will be restricted to relevant staff and managers involved in resolving the case.
- Information will be shared with the employer or external agencies only when necessary and in line with GDPR and Safeguarding principles.

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