

Complaints Policy and Procedure

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Ratified By:	David Hampton
Reviewed By:	14 th January 2023 David Hampton
Other applicable and relevant policies	<p>This policy should also be read in conjunction with the following policies:</p> <ul style="list-style-type: none"> • Malpractice and Maladministration Policy • Conflict of Interest Policy • Reasonable Adjustments and Special Considerations Policy • Whistleblowing Policy • Appeals Procedure

Introduction

The purpose of this policy is to outline our policy and intentions in relation to complaints.

We understand how important it is to deliver excellent customer service. This philosophy is shared throughout the team, with an emphasis on putting apprentices' needs at the heart of everything we do.

We aim to deliver and, whenever possible, exceed customer expectations at every interaction. Our team are experienced in the subjects we assess and committed to ensuring quality, independent assessment along with robust compliance and high quality, consistent service.

We recognise that there will be times when our customers may feel the need to complain. Our complaints policy is intended to support all customers and stakeholders who use our services or interact with us. We are committed to providing the highest quality experience for apprentices undertaking EPA with us and working

in an open and accountable way to earn the trust and respect of everyone that we work with.

We aim to ensure that it is easy to make a complaint and to deal with it as quickly and effectively as possible. The purpose of this policy is to outline the standards and procedure that we follow in receiving and dealing with a complaint from any stakeholder.

All employees, directors, contractors, and associates must comply with this policy.

Simple and professional complaints process

We will use reasonable endeavours to:

- encourage clients, customers, and apprentices to come forward with feedback both positive and otherwise
- be positive in respect of complaints and view them as a way to improve our service and to provide the best possible, impartial and fair, EPA experience for apprentices
- deal with complaints in a supportive and professional manner
- make the complaints process simple and easy
- encourage fairness, impartiality, and the resolution of complaints as reasonably promptly and as close as possible to the source of the complaint

Applicability

This policy is applicable to all our clients (including apprentices and their employers), employees, associates, and partners.

This policy does also not apply to disputes between internal stakeholders and contractors/sub-contractors, associates, service providers or any other personnel or organisation under a service agreement, memorandums of understanding or any other formal agreement.

Initial Complaints – informal process

We are happy to take calls or informal emails to discuss any issues and help support you or to come to a mutually acceptable resolution when possible. Training providers and apprentices are welcome to call or email our team, who will be more than happy to investigate informal queries. Our website has an easy-to-use contact form, which can also be used for queries following the link below:

[Contact Us – Advanced Analytics Solutions](#)

Formal complaints

If you are not satisfied with the response or you wish to escalate your complaint, you should email the completed form at the end of this policy to info@advancedanalyticsolutions.co.uk within 20 working days of the event you are complaining about. Your complaint will be escalated to our Lead Independent End Point Assessor/Head of Quality Assurance.

Complaints brought to our attention by External Quality Assurance (EQA) or Ofqual

Where one of the EQA bodies notifies us of a complaint, we will follow the same process. We will review our procedures as required. If it is a process-based complaint we may implement suitable changes following an internal review or investigation.

Complaints that are upheld

Following investigation, should any part of your complaint be upheld, we shall of course apologise and when needed, look to review processes, procedures, and staff training. We will take corrective action when needed as detailed in the outcome of the investigation.

We will, if applicable, take actions such as informing the relevant quality assurance body/regulator (where required) and/or take practical steps to make corrections when needed.

Complaints that are not upheld or partially upheld

Not all complaints are upheld and if we do not agree with your complaint, we will write to you detailing the reasons your complaint has not been upheld.

If you disagree with the decision, please write to us explaining the reasons. This will be reviewed by a senior member of staff who will consult with others, as necessary.

That outcome will be final unless the complaint is about a matter that can be appealed. If you wish to appeal under the jurisdiction of our appeals policy, please follow the arrangements which are outlined in our Appeals Policy.

Formal complaints process overview

Complaint received (should be received within 20 working days of the event being complained about). This should be submitted using the form at the end of this document



We aim to acknowledge receipt of the complaint within 5 working days via email or letter



We will log all formal complaints centrally



We will formally acknowledge and give an update on the complaint within 10 working days



Full review of the complaint and response in writing within 21 working days

Appendix 1

Complaint Form

To be completed by the Apprentice, Training Provider, Employer, or other relevant stakeholder

Name and contact details of person(s) raising the complaint (please include name, phone number, email)	
Relationship to the apprentice if an employer/provider	
Date of event leading to complaint	

Apprentice Name	
Employer name and contact details	
Training Provider name and contact details	
Apprenticeship Standard	
Date of EPA event if applicable	
Name of staff involved if applicable/known	
Please provide details of the complaint	

Any other information you could give to help support us in dealing with your complaint	
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Please let us know what the complaint relates to. Tick all that apply:

Reason for complaint	Tick if applicable	Notes if required
Results or grades awarded		
Customer Service		
Fees		
Funding		
Re-takes or re-sits		
Conflict of Interest		
GDPR		
Our website		
Incorrect advice		
End Point Assessor		

Is this a whistle-blower or anonymous complaint? If so, please provide details	
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Appendix 2

Client Complaint Investigation Form

Complaint details	
Complaint Investigated by	
Date of responses at each stage of complaint	
Overview of complaint	
All correspondence signposted/dates etc.	
Outcome and next steps if applicable	