Compliments and Complaints Policy and Procedure

Document version control

Document title:	Compliments and Complaints Policy and Procedure
Document status:	Final
Version number:	6.7
Date:	16/10/2026
Author:	Head of Quality
Approved by:	SMT
Review date:	October 2027

Contents:

Section	Section Title	Page
1	Introduction	3
2	Scope of Policy	3
3	Impact on the Learner	3
4	Definitions	
5	Anonymous Complaints	4
6	Vexatious Complaints	4
7	Quality Team	4
8	Complaints Procedure	4
8.1	Stage One – Informal Complaints	4
8.2	Stage Two – Formal Complaints	5
8.3	Stage Three – Formal Complaints	5
8.4	Stage Four – Formal Complaints	5
8.5	Stage Five – Formal Complaints	5
9	Appeals	6
10	Responsibilities	7
10.1	Board of Directors	7
10.2	Senior Management Team	7
10.3	Quality Team	7
10.4	Managers	7
10.5	Staff	7
11	Communication	7
12	Monitoring and Review Processes	8
13	Overview of Educ8 Complaints Procedure	10

1. Introduction:

Educ8 and its member organisations are committed to providing excellence in all aspects of our learning provision and services. This policy notes that any compliments delivered as verbal or written feedback should be duly noted and conveyed to the team it concerns.

However, it is recognised that sometimes things can go wrong. The views of our learners, employers, and other stakeholders, whether positive or constructive, are an important part of learning, adapting, and improving to provide a better service.

The Educ8 complaints procedure is not designed to apportion blame but ensures that the company is able to continuously improve its services and levels of customer service and satisfaction. Educ8 ensures that there are sufficient platforms to facilitate complaints and that the process is easy to follow, fair and sensitive to both staff and the complainant.

All formal complaints will be centrally evaluated to inform continuous improvement of the organisation's undertakings.

2. Scope of Policy:

This procedure applies to compliments or complaints arising from any activities and services undertaken by Educ8 and its member organisations.

3. Impact on the Learner:

The implementation of this policy will ensure that all learners are able to offer feedback and raise concerns related to their learning programmes in a safe environment

4. Definitions:

A compliment is defined as a statement made that provides positive feedback, gratitude or praise for the company or individual for the service received. A complaint is defined as a statement that something is perceived as unsatisfactory or unacceptable.

A complaint may be informal or formal and may vary in nature and severity. Compliments may be about:

- Individual team members performance service delivery
- Organisational service standard
- Any other positive comment delivered internally from and to colleagues

Complaints may be about:

- A failure to provide a service or an inadequate quality or standard of service
- A request for a service or for information which has not been actioned or answered
- Policies and procedures not being available or followed correctly
- Incorrect information being provided
- The quality and availability of facilities and learning resources
- Accessibility of buildings or services
- Staff or learner conduct
- Treatment by, or attitude of, a staff member or a learner

A complaint is ***not***:

- A routine first time request for a service
- A request for information or an explanation of a policy or practice
- A disagreement with an assessment decision
- A claim for compensation from the provider

- Issues that are in court or have already been heard by a court or tribunal
- A request for information under the Data Protection and Freedom of Information Acts

- A grievance by a member of staffA separate procedure for dealing with appeals against assessment decisions is in place, details of which can be found in the Learner Handbook or a hard copy can be made available upon request.

The Educ8 Complaints Procedure is supported by further policies and procedures for matter of public interest and serious concerns:

- Educ8 Malpractice and Maladministration Policy
- Educ8 Whistleblowing Policy
- Educ8 Anti Bullying & Anti-Harassment Policy
- Educ8's Anti-racist Action Plan

5. Anonymous Complaints:

All feedback is valued and all complaints will be investigated and actioned as appropriate, including those made anonymously when possible, based on the information provided. Where insufficient information is provided such complaints will be recorded but marked as no further action to be taken.

6. Vexatious Complaints:

A complaint may be considered to be vexatious if it is deemed to have been made with the sole purpose of causing inconvenience, harassment or expense to the organisation. A vexatious complaint is an unjustified, inappropriate or improper use of formal procedure.

For example, a vexatious complaint may be:

- Where there is evidence which indicates that the complainant has a personal grudge and correspondence is targeted towards a particular member of staff.
- Where a complainant is unreasonably persistent in attempting to reopen an issue which has already concluded.
- Where a complainant is using abusive or aggressive language which is beyond the level of criticism that could be reasonably expected.

7. Quality Team:

The Quality Team has a suitable level of authority to ensure that the correct compliments and complaints process is followed and to appoint an investigating officer.

The Quality team will ensure that any external compliments received or analysed during feedback capture are appropriately passed on within 10 working days of receipts, or within the current data analysis cycle.

The Quality Team will ensure that complaints are resolved as soon as possible in line with this policy. The Quality Team may allow reasonable extension of timescales in exceptional circumstance to ensure full and fair investigation but must ensure the complainant is advised in writing should this be required,

The Quality Team will act with impartiality throughout the complaints process.

8. Complaints Procedure:

Complaints are not defined by the process through which they are reported but by the severity of their nature. Complaints can be made verbally in person or by phone or in writing by email or letter. Complaints may be made in Welsh or English and will be treated equally.

8.1 Stage One – Informal Complaints (Non-serious, low risk, low profile):

Every effort is made to resolve a complaint as quickly and easily as possible. Depending on the severity of the complaint it may be possible to address the matter informally through discussion with a member or staff. Any member or staff will be happy to discuss any concerns and will take action accordingly. Anyone making a complaint should be made to feel comfortable in doing so, without fear that it may

have an adverse impact on their learning or relationship with Educ8, its member organisations or sub-contractors.

Whilst learners are encouraged to discuss any informal complaints with their trainer coach, should any learner feel unable to do so they will be supported to speak to an appropriate manager.

Stage One complaints not requiring investigation will be addressed within 5 working days. full details, including outcome, are to be communicated to Quality Team.

8.2 Stage Two – Formal Complaints (More serious, high risk, high profile):

If it is felt that a complaint has not been addressed fully at stage one, or if the nature of the complaint is sufficiently serious it may be more appropriate to make a formal complaint in writing, support in doing so can be provided on request and complaints are welcome in Welsh and English.

A complaint which may be high risk or high profile could include:

- An allegation of corruption against an employee
- An allegation of fraud or other illegal activity
- A claim of dereliction of duty
- A potentially significant risk to the organisation's operations
- A claim of personal injury
- A claim of discrimination in relation to the protected characteristics as set out in the Equality Act 2010
- An allegation of significant harm or abuse, or where there is a suspicion that someone may suffer significant harm
- A serious failure in service delivery such as major delays or repeated failures
- Significant and ongoing press interest

Investigation of the complaint will commence within 5 working days of receipt and the complaint will be acknowledged, in writing, within 2 working days by the organisation's Quality Team.

The Quality Team will appoint an Investigating Officer (IO) who will record the details of the complaint on the Educ8 Complaints Log and undertake investigations as appropriate.

8.3 Stage 3 – Formal Complaints:

The complaint will be investigated and contact will be made with all relevant parties to gather information and supporting evidence. The IO will advise the complainant and Quality Team of progress at each stage.

8.4 Stage 4 – Formal Complaints:

Within 15 working days the complainant will receive written notification of the outcome of the complaint or details of any ongoing investigations as appropriate by the Quality Team.

8.5 Stage 5 – Formal Complaints:

If it has been necessary for the investigation period to be extended beyond 15 working days, the complainant will receive written notification of the outcome within 6 weeks. This outcome will be the final decision unless the complainant chooses to appeal.

In order to learn from all complaints, even if it is something that can be addressed informally, the member of staff to whom the complaint was reported will complete the Educ8 Complaints Log to record the

nature of the matter and how it has been resolved. This will be submitted for central evaluation to determine whether changes need to be made to prevent re-occurrence.

For analytical and evaluation purposes all formal complaints will be recorded and categorised.

Nature:

1. Equal opportunities
2. Staff conduct
3. Resources
4. Teaching and learning
5. Health and safety
6. Support
7. Welsh language
8. Other

Severity:

A. Very serious
B. Serious
C. Minor

Source:

S. Stakeholder
L. Learner
E. Employer

9. Appeals:

If the complainant is unsatisfied with the outcome of their complaint they have the right to appeal. An appeal may be made on the grounds of the resulting decision or the improper application of process.

In the first instance, an appeal should be made in writing to the Educ8 Director of Quality. If the Educ8 Director of Quality implicated in the complaint, the appeal should be made in writing to the Operations Director.

Appeals must be submitted within 15 working days of receiving the written complaint investigation outcome.

Appeals will be acknowledged in writing within 5 working days of receipt and resolved within 15 days of receipt. The complainant will be advised of the outcome in writing.

If required, an appeals meeting will take place within 15 working days of receipt of an appeal. This will take place at a mutually convenient time, and the complainant will be given one week's notice and will be allowed to bring someone with them such as a line manager, colleague or family member. However, **legal representation will not be permitted**. The complainant will then be advised of the outcome within 10 working days of the meeting.

Should the complainant not attend an appeal the appeal may still be addressed in their absence, and the complainant advised of the outcome in writing.

Educ8, its member organisations and sub-contractors, will endeavour to work supportively and constructively to resolve complaints to the satisfaction of the complainant.

Should difficulties arise in the amicable resolution of a complaint, mediation may be utilised to support the complaint process for the benefit of all concerned.

10. Responsibilities:

10.1 The Board of Directors:

- Ensuring Educ8, its member organisations and sub-contractors fully meet associated legal requirements
- Ensuring this policy meets the requirements of relevant legislation and regulations
- Ensuring effective implementation and monitoring of this policy
- Sharing significant compliments and complaints within monthly board report summaries
- The Educ8 Head of Quality include summary information on complaint trends within the annual Self-

Assessment Report

10.2 The Operations Board

- Ensuring that this policy is fully supported by their organisation
- Creating an open culture which values complaints as an opportunity to improve provision and services
- Sharing significant compliments and complaints within monthly board report summaries
- Supporting Quality Teams in undertaking actions as part of this policy
- Working with Quality Teams to understand complaint trends and themes and the identification of areas for improvement
- Monitoring the number and type of complaints and identifying and responding to any themes arising from complaints

10.3 The Quality Team:

- Monitoring and reporting to the Head of Quality and member organisation Senior Management Team in relation to the nature of the compliment or complaint and actions taken
- Raising awareness of the complaints process across their organisation
- Ensuring that appropriate complaints records are maintained including the complaints log spreadsheet

10.4 Managers:

- Ensuring that both formal and informal compliments and complaints are effectively supported and recorded
- Ensuring that all employees are fully aware of this policy and procedure and have received suitable training
- Ensuring that formal and informal complaints are reported to the organisation's Quality Team

10.5 Staff:

- Ensuring that straightforward complaints are addressed appropriately and promptly where possible and reported/recorded
- Escalating complaints to an appropriate manager and/or the organisation's Quality Team
- Co-operating fully with the Quality Team and those investigating a complaint
- Using the Team8 Kudos system as a method of internally complimenting colleagues for public recognition

11. Communication:

This policy is available bilingually on the Educ8 website and may be provided in large print on request.

Employers and learners will be provided with access to this procedure in electronic or hard copy formats at the start of the training programme and it will also be accessible through contact with the member organisation.

12. Monitoring and Review Processes:

All compliments and complaints will be monitored via senior management in individual member organisations and discussed at Board level if applicable. Outcomes of complaints will be held centrally within each member organisation and be reviewed on an annual basis through the electronic central Educ8 Complaints Log.

This procedure will be reviewed on an annual basis to ensure it continues to meet the needs of the organisation and its stakeholders. The review will be conducted by the Educ8 Board.

13. Overview of Educ8 Complaints Procedure

STAGE ONE – INFORMAL COMPLAINT

ACTION	TIMESCALE
Resolution by member of staff receiving complaint Quality Team to be informed	5 working days

STAGE TWO – FORMAL COMPLAINT

ACTION	TIMESCALE
Quality Team informed of complaint	On receipt of complaint 24 hours
Quality Team to ensure email or written acknowledgement of complaint to complainant	2 working days

STAGE THREE – FORMAL COMPLAINT

ACTION	TIMESCALE
Investigation to commence	5 working days

STAGE FOUR – FORMAL COMPLAINT

ACTION	TIMESCALE
Outcome of Complaint to be emailed or sent in writing to Complainant	15 working days

STAGE FIVE – FORMAL COMPLAINT

ACTION	TIMESCALE
Complainant advised in email or writing of any extension to investigation timescales, Including reasons for delays. Maximum time between complaint	30 working days

APPEALS

ACTION	TIMESCALE
Submission in writing to Educ8 DQ following receipt of outcome	15 working days
Appeal acknowledged in email or writing to Complainant	5 working days
Outcome of appeal to be sent in email or writing to Complainant	15 working days