

EMPI AWARDS COMPLAINTS POLICY

EMPI Awards, through this policy, ensures that all complaints are handled in an open; fair; timely and consistent manner.

If you have a complaint about EMPI Awards' services, then please contact us as soon as possible. A complaint would be a serious problem concerning the services provided by EMPI Awards that requires attention and action. EMPI Awards will try to resolve complaints informally in the first instance; however, if it is felt that a formal complaint must be made then please follow the process detailed below.

This policy covers complaints from:

- Apprentices
- Employers
- Training providers
- The general public
- All other parties who interact with EMPI Awards

This policy does not cover Appeals in relation to assessment decisions. Such matters are covered by the EMPI Awards' Appeal Policy and Procedures.

Examples of Complaints

The following list serves to provide examples:

- Breaches of confidentiality
- Poor service
- Slow delivery
- Poor response to information request
- Lack of communication
- Rude staff
- Promises not carried out

All formal complaints must be submitted, in writing (letter or email), addressed to:

The Responsible Officer

EMPI Awards

Swallows Rest

Pendalog

Llanfyllin

Powys

SY225ET

Email: info@empimpawards.co.uk

When submitting a complaint please include the following information:

- Your name, address and contact details
- Full details of your complaint i.e. who; what; when and where it happened; details of others involved if relevant
- What informal steps you have already taken to resolve the issue
- Any information or evidence that supports the complaint
- Your expectations in terms of a resolution

If the complaint involves an allegation of maladministration or malpractice, please refer to EMPI Awards' Maladministration and Malpractice Policy.

EMPI Awards will only investigate complaints from anonymous sources where there is sufficient detail provided to identify the issue/concern, individual, organisation involved, and the service/product implicated in the complaint. However, you are advised that your details may be disclosed to the third party as part of EMPI Awards' investigation process. EMPI Awards will not investigate complaints involving a third party without this process being understood.

EMPI Awards will acknowledge your complaint within 10 working days from when the complaint is received in writing (email or letter). At the time you will be informed of the name of the person who is investigating the complaint. The person appointed to conduct the complaint will normally be the Responsible Officer; (or where the Responsible Officer is the subject of the complaint then the Senior Management Team, except in the circumstance that the Senior Management Team is the subject of the complaint in which case the complaint will be referred to the non-executive Governors who would in this particular instance convene a panel including the IAC to investigate).

EMPI Awards aim to resolve complaints within 20 working days; however, if further information needs to be gathered an interim response will be provided to explain what is being done to deal with the complaint, when a full response can be expected and from whom.

If you are still not satisfied with the response to your complaint, you can request a further review of it within 10 working days of the date of the decision letter. Your request will be referred to the Independent Complaints Panel (ICP) of EMPI Awards. The ICP is comprised of at least one non-executive Governor who is independent of the EMPI Awards Senior Management Team (SMT) and the IAC. The ICP will undertake a review of the complaint, supporting evidence and any documentation related to the previous stages. The ICP will provide an outcome within 20 working days of receipt of the further request other than in exceptional circumstances, involving more complex issues. The decision of the ICP will be final.

Possible Outcomes at each Stage

- Complaint is not upheld – matter closed unless a review is requested; however, EMPI Awards may return to a process of informal discussion regarding any outstanding issues
- Complaint is upheld – if a complaint is upheld then EMPI Awards will take the appropriate action. EMPI Awards will not disclose with the complainant any disciplinary action in which it may engage with EMPI Awards staff or associates.

Taking a Complaint Further

On occasions where you are still not satisfied with the final response from EMPI Awards; you may refer your complaint to Ofqual. Further guidance on this can be found:

<https://www.gov.uk/government/organisations/ofqual/about/complaints-procedure>

Retention of Documentation

EMPI Awards retains all documentation and records in relation to complaints for five years following the decision and outcomes of any such case.

Data Protection

The information provided will be processed in accordance with data protection principles as set out in the Data Protection Act 1998 and from 25 May 2018 General Data Protection Regulations. Data will be processed only to ensure that all persons to whom this policy relates act in the best interests of EMPI Awards. The information provided will not be used for any other purpose.

Policy Review Arrangements

EMPI Awards will review this policy as part of the normal continuous improvement process and revise it as appropriate and/or in response to changes in legislation; regulation; practices; actions from any incidents; or in response to customer or key stakeholder feedback.

29th October 2018