



**THE INSTITUTE OF EXPORT  
&  
INTERNATIONAL TRADE  
(IOEx Ltd)**

**Complaints Policy  
&  
Procedure**

This document is approved and authorised for application within **IOEx Ltd**.

Revision history


<b>DOCUMENT CLASSIFICATION</b>	Level 0 – Public
<b>DOCUMENT REF</b>	QAD 016
<b>VERSION</b>	0.2
<b>DATED</b>	06.06 2023
<b>DOCUMENT AUTHOR</b>	AL
<b>DOCUMENT REVIEW</b>	<b>6<sup>th</sup> June 2024</b>

VERSION	DATE	REVISION AUTHOR	SUMMARY OF CHANGES
0.2	06.06.2023	AL	Review of document as per organisation requirement

Distribution

NAME	TITLE
All team members	O16 Complaints Policy & Procedure

Approval

NAME	POSITION	SIGNATURE	DATE
Vicky Payne	Director of the Academy		6/6/2023

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## Contents

Aim.....	4
Informal Procedure.....	4
Receiving complaints.....	4
Formal Procedure .....	5
Investigating Complaints.....	6
Standards .....	6

**IOE&IT and IOEx Ltd will be referred to as “the company” in this document.**

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## Complaints Policy and Procedure

### Aim

A complaint is classified as notification of dissatisfaction of products or services provided by *the company*. It is an objection to something that is perceived to be unfair, unacceptable, or otherwise not deemed as in line with acceptable standards. It is the aim of the Institute of Export and International Trade (IOE&IT) and IOEx Ltd (the company) to provide excellent customer care that builds trust and respect between the company and all its clients.

Our commitment is to listen to our clients, employers, learners and apprentices who have cause to make a complaint, respond positively and to put any mistakes right. We aim to:

- Ensure that making a complaint is as easy as possible by using this policy and procedure.
- Treat all complaints as an expression of dissatisfaction with the service we provide.
- Deal promptly, fairly, politely, and when appropriate, in confidence, to all complaints received.
- Learn from our mistakes and use them to improve our service.
- Review this policy on an annual basis.

### Informal Procedure

In many cases the complaint may be resolved informally to the satisfaction of all concerned, it is the intention of '*the company*' to commit to undertaking the resolution of complaints informally, if possible. (Appendix 1)

### Receiving complaints

Complaints should, in the first instance, be sent to [studentsupport@export.org.uk](mailto:studentsupport@export.org.uk) and clearly marked "APPRENTICESHIP COMPLAINT" - in the subject heading.

The client should:

- Record all relevant details relating to the nature of the complaint.
- Include your contact details.

The company will:

- Inform the client that the complaint has been received and is being dealt with by the appropriate person.
- Ensure the client receives a response to the complaint within 5 working days.

### Resolving Complaints

All complaints received must be recorded with the information provided by the client and the outcome clearly stated.

When the complaint has been dealt with informally a note stating the nature of the complaint and the outcome must be recorded and stored in the Rulings list, with an issue type "Complaint".

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## Formal Procedure

In some cases, the complaint may not be resolved informally, this may be due to a serious breach of behaviour, or an issue that is of a sufficiently serious or complex nature that requires further investigation to take place.

In this situation, the customer must be informed immediately that the issue has been passed to, and will be investigated by, the appropriate department.

- Academy Standards Manager (IOE&IT)
- Apprenticeship Quality Manager (IOEx Ltd)

*The company* commits to provide the client/s with an outcome within 10 working days. If this is not possible, for example, if further investigation is to take place, the Academy Standards Manager/Apprenticeship Quality Manager must: -

- Inform the client that this is taking place and agree a timescale for resolution.
- Ensure that they receive all relevant and pertinent information from all parties concerned. This may require further information being obtained.
- Conclude the investigation and inform the client of the outcome.
- Provide the client with a full account of the complaint and its resolution.

If the client is unsatisfied with resolution, they will be informed that the complaint will be sent to the Director of the Academy who will review the case and inform the client directly of their decision within 14 working days. (Appendix 1)

## Recourse to other organisations

If the client is still unsatisfied with the outcome, they may take their complaint to: -

The Office of the Independent Adjudicator (OIA) - [oiahe.org.uk](http://oiahe.org.uk).

Alternatively, via the Awarding Organisation for the qualification: - Highfield Awarding Body for Compliances (HABC) - [info@highfield.co.uk](mailto:info@highfield.co.uk)  
Telephone: 01302 363277

Apprentices and their employers may also contact the ESFA by following the complaints procedure at <https://www.gov.uk/government/organisations/education-and-skills-funding-agency/about/complaints-procedure>, or in a letter addressed to: Complaints Team, Education and Skills Funding Agency, Cheylesmore House, Quinton Road, Coventry CV1 2WT.

## Completion of Procedures

Within 28 working days from the end of the formal process the Academy Standards Manager/Apprenticeship Quality Manager will issue a Completion of Procedures letter, containing: -

- A summary of the complaint or appeal the student has made.
- The title of the regulations/procedures that were applied.
- A summary of the issues considered at the final stage of the internal procedures.
- The company's final decision

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- The reasons for that decision
- Information about the role of the OIA/HABC/ESFA
- The deadline for bringing a complaint to the OIA/HABC/ESFA.

### Investigating Complaints

Whether the complaint is received by voice call (IOEx Ltd Telephone number – 01733 404400), email ([studentsupport@export.org.uk](mailto:studentsupport@export.org.uk) – Re: APPRENTICESHIP COMPLAINT), or messaging system.

If your complaint relates to an apprenticeship programme delivered by *the company*, then you can send your complaint to the Education and Skills Funding Agency (ESFA) by following the complaints procedure at <https://www.gov.uk/government/organisations/education-and-skills-funding-agency/about/complaints-procedure>, or in a letter addressed to: Complaints Team, Education and Skills Funding Agency, Cheylesmore House, Quinton Road, Coventry CV1 2WT

### When you contact the ESFA, you will need to provide the following:

1. The name of the organisation you are complaining about.
2. Details of what your complaint is, together with the relevant documents.
3. Evidence that you have fully exhausted the organisation's complaints procedure, including any appeals process (for example, written correspondence confirming the outcome)
4. Permission to disclose details of your complaint to the organisation concerned.
5. If you are acting on behalf of a learner, evidence that you have their permission to do so.

'The company' staff member dealing with the complaint must remain calm and respectful throughout the conversation/exchange.

It is important to listen to the client without making judgements and to record all details of the complaint as stated.

*The company* staff member must pass the complaint or complainant to the Academy Standards Manager/Apprenticeship Quality Manager to deal with if the issue cannot be resolved informally.

### Standards

In all cases 'the company' staff must:

- Obtain all details of the complaint, seek clarification to ensure they have all the relevant information from the complainant and if appropriate ask them how they would like the issue resolved, that is, what outcome they seek.
- Acknowledge that the client may be angry.
- Let the client know that they take their concerns seriously and will do their best to resolve the issue(s).
- Investigate the situation, considering all information and parties views.
- If an apology is needed, make an apology without making any admission of fault on behalf of *'the company'*.
- Be clear about what can be done to resolve the issue, timescales and what it is likely to involve.
- Not make promises that cannot be delivered.
- Give clear and valid reasons why requests cannot be met.
- Ensure, as far as is possible, that the client understands the process and outcomes.
- Inform the client that they may wish to appeal the decision and the process for doing so.

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**Note:** during the investigation it may become apparent that other policies and procedures have been breached, and as such subsequent policies and procedures need to be implemented. If such a case emerges the correct policy and procedure must be followed as soon as this is known.

### **Monitoring**

All complaints will be recorded in the complaints register and analysed by the academy senior management team to determine trends, training gaps and lessons that can be learned on an annual basis.

The complaints register will be reviewed at each Academic Board meeting and resolutions and learning communicated to all staff by the Academy Standards Manager. The Academy Standards Manager /Apprenticeship Quality Manager will be responsible for ensuring that policies and procedures are updated, and that all action necessary to minimise similar concerns have been taken as quickly as possible.

The findings of the analysis will be provided to the Director of the Academy for comment and further action if required.

## **Appendix 1 - Complaint Process**

### **Informal Procedure**

Upon receipt of the complaint, early resolution is expected via a discussion with the complainant and 'the company' staff (not including the Academy Standards Manager or Apprenticeship Quality Manager) such as tutor, Student Support, Deputy Director of the Academy etc to resolve issues. A response to the complaint will be provided within 5 working days where appropriate.

### **Formal Procedure**

#### **Stage 1**

Client complaint not resolved at the Informal Procedure stage this then proceeds to Stage 1 of the Formal Procedure. Receipt of complaint and outcome feedback provided by the Academy Standards Manager /Apprenticeship Quality Manager within 10 working days. If further investigation is required, then the Academy Standards Manager/Apprenticeship Quality Manager will agree a timescale with the customer.

#### **Stage 2**

If the client is unsatisfied with resolution, they should be informed that the complaint will be sent to the Director of the Academy who will review the case and inform the customer directly of their decision within 14 working days.

#### **Stage 3**

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If the client is still unsatisfied with the outcome, they may take their complaint to the Office of the Independent Adjudicator - [oiahe.org.uk](http://oiahe.org.uk)

Alternatively, via the Awarding Organisation for the qualification: -

Highfield Awarding Body for Compliance (HABC)

Highfield ICON

First Point

Balby Carr Bank

Doncaster

South Yorkshire

DN4 5JQ, UK

[info@highfield.co.uk](mailto:info@highfield.co.uk)

Telephone: 01302 363277

Apprentices and their employers may also contact the ESFA by following the complaints procedure at <https://www.gov.uk/government/organisations/education-and-skills-funding-agency/about/complaints-procedure> , or in a letter addressed to: *Complaints Team, Education and Skills Funding Agency, Cheylesmore House, Quinton Road, Coventry CV1 2WT.*

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