



## Complaints and Compliments Policy and Procedure

October 2024 – Rev 11

# Complaints & Compliments Policy

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# Complaints & Compliments Policy

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## 1. Scope

This policy aims to provide a transparent and straightforward process for individuals and organisations to offer compliments or register complaints regarding the services provided by SIMIAN. The policy ensures that feedback is handled fairly, professionally, and with the intention to continuously improve our training services.

## 2. Our Aim

SIMIAN is committed to improving its quality of service by listening and responding to feedback from apprentices, learners, clients and other customers and by responding positively to complaints.

This Policy and Procedure will apply in all circumstances where an apprentice, learner, employer, client or other customer wishes to complain about the service they have received from SIMIAN or the behaviour of a SIMIAN member of staff or representative. Complaints may be about training and assessment delivery or support functions and consultancy services.

**Therefore, the business aims to ensure that:**

- making a complaint is as easy as possible.
- it treats a complaint as a clear expression of dissatisfaction with our service which calls for an immediate response;
- it deals with complaints promptly, politely and, when appropriate, confidentially;
- it responds in the right way - for example, with an explanation, or an apology where it has got things wrong, or information on any action taken etc;
- it learns from complaints, use them to improve its services, and review annually our complaints policy and procedures.

SIMIAN recognises that many concerns will be raised informally and dealt with quickly, and therefore, we will aim to:

- Resolve informal concerns quickly;
- Keep matters low-key;
- Enable mediation between the complainant and the individual to whom the complaint has been referred.

An informal approach is appropriate when it can be achieved. But if concerns cannot be satisfactorily resolved informally, then the formal complaints procedure should be followed.

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**Definition:** SIMIAN defines a complaint as 'any expression of dissatisfaction (with a service supplied by SIMIAN or with a member of staff) and that requires a formal response'.

SIMIAN Defines a Compliment as a positive remark or recognition of high-quality services, trainers, learning resources, or any aspect of the training experience.

**Purpose:** The formal complaints procedure is intended to ensure that all complaints are handled fairly, consistently, and wherever possible resolved to the complainant's satisfaction.

## 3. SIMIAN's Actions

- Acknowledge the formal complaint in writing;
- Respond within a stated period of time;
- Deal reasonably and sensitively with the complaint;
- Take action where appropriate;
- Monitor complaints and use them to improve the service provides.

## 4. Complainant's Actions

- Raise concerns promptly and directly with a member of SIMIAN staff;
- Explain the problem as clearly and as fully as possible, including any action taken to date.
- Allow SIMIAN a reasonable time to deal with the matter.
- Recognise that some circumstances may be beyond SIMIAN's control.

The team with responsibility for Implementation of this Process is the Quality & Compliance Department, all members of staff, company representatives and Directors of SIMIAN.

## 5. Confidentiality

Except in exceptional circumstances, every attempt will be made to ensure that both the complainant and SIMIAN maintain confidentiality. However, the circumstances giving rise to the complaint may be such that it may not be possible to maintain confidentiality (with each complaint judged on its own merit). Should this be the case, the situation will be explained to the complainant.

## 6. Monitoring and Reporting

The Quality and Compliance department will log all formal complaints on SIMIAN's document management system. If needed, the team will assign a coordinator to handle the investigation. Typically, the centre or departmental manager will serve as the coordinator and investigator,

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uploading any relevant information to support the complaint. Quality and Compliance will review the information and respond to the complainant accordingly. Additionally, the team will log any compliments in the document management system.

## 7. Formal Complaints Procedure

### Stage one

Initially, the complainant should discuss the issue informally with the SIMIAN point of contact, usually the centre/departmental manager or bookings team. This should be done at the time of the dissatisfaction or within 24 hours. If the issue remains unresolved, the complainant can proceed to **stage two**.

### Stage two

If the complainant is unable to resolve the issue informally with the SIMIAN point of contact, a formal complaint should be raised in writing with, Quality and Compliance team, by emailing [complaints@simian-risk.com](mailto:complaints@simian-risk.com)

Complainants can expect acknowledgement within five working days of receipt and a response and an explanation within fifteen working days.

The Quality and Compliance team where applicable will assign an Investigation who will be appointed and will investigate the complaint, produce an Investigation Report (IR) and will respond to the complainant.

### Stage Three

If the complainant is not satisfied with the initial response to the complaint from the Quality and compliance team, the complaint should be raised in writing with the Operations Director to [complaints@simian-risk.com](mailto:complaints@simian-risk.com). The Operations Director will acknowledge receipt of the complaint request within five working days of receipt will provide a response and an explanation within fifteen working days.

SIMIAN's aim is to resolve all matters as quickly as possible. However, some issues will be more complex and therefore may require longer to be fully investigated. Consequently, timescales given for handling and responding to complaints are indicative. If a matter requires more detailed investigation, the complainant will receive an interim response describing what is being done to deal with the matter, and when a full reply can be expected and from whom.

### Final Stage

If the complainant is not satisfied with the subsequent reply from the Operations Director, then the complaint can be escalated further to the **SIMIAN Managing Director, at Wallis House,**

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Birchwood Park, Warrington, WA3 6FW, stating why the complaint requires escalation. This must be done within ten days of receiving the written response from the Operations Director.

The Managing Director will respond within ten working days to advise of the action which will be taken to investigate the escalated complaint, and the likely timescales for the case to be heard formally.

If the complainant is still dissatisfied, the matter may be referred to the awarding organisation (if appropriate), and/or the government funding body.

## Follow-up

We recognised that complaints provide valuable customer feedback. Simian will undertake to improve procedures or systems or implement staff training to address service failures where this is appropriate. This action should reduce the likelihood of a recurrence.

## 8. Formal Compliments Procedure

We welcome and appreciate feedback from all individuals or organisations that interact with our services.

### How to Submit a Compliment:

**Verbally:** You may give compliments directly to any staff member or trainer at the time of service.

**Email:** Compliments can be sent via email to [hello@simian-risk.com](mailto:hello@simian-risk.com)

We will acknowledge compliments within 7 working days and share them with the relevant staff members.

Public recognition or further actions may be taken to celebrate excellence where appropriate and in which case we will ask for permission.

Signed



Simon Hughes  
Managing Director  
October 2024