



Complaints Policy

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1 Policy statement

- 1.1 We aim to provide high quality services to all our customers. However, we recognise that from time to time customers may not be satisfied with the quality of services provided and may wish to complain. It is important that these instances are brought to our attention for a prompt and thorough investigation to be carried out which may provide us with the opportunity to put things right and learn from any mistakes. We view complaints as a valuable source of feedback on our services and a learning opportunity to enable us to continuously improve

2 Aims and objectives

- 2.1 Solution focused
Our objective is to rectify the situation which has resulted in a complaint quickly. Wherever possible we'll provide a solution at the first point of contact
- 2.2 A consistent process
We aim to give our customers a fair and consistent process to provide a mutually acceptable resolution of complaints
- 2.3 A positive process
We use the outcome of complaints and any remedial action as a way of improving our services to customers
- 2.4 A quality process
We want to:
- Continuously improve the quality of the services we provide
 - Improve our relationships with customers
 - Encourage best practice amongst all our employees
 - Operate within the regulatory and statutory framework
- 2.5 A process that values diversity
We recognise and value the diversity of our communities. We aim to positively reduce barriers and so ensure that everyone has equal access to the complaints service. We are committed to treating everyone fairly and shall ensure that we comply with all relevant legislation under the Equality Act 2010.



2.6 We shall meet these aims and objectives by

- Investigating all complaints, keeping and maintaining a record of them and the action taken in compliance with the General Data Protection Requirements and Data Protection Act detailed in point four
- Informing the complainant of the procedure, providing the name of the lead officer responsible for their complaint and contact details
- Keeping the complainant informed about the progress of our investigation
- Considering claims for compensation where complainants have suffered a material loss, including time and trouble, according to the compensation policy
- Keeping within the target response times for each stage of the procedure
- Dealing professionally, objectively and impartially with complaints
- Referring complainants to the appropriate agency if outside of our policy or remit
- Monitoring the complaints, we receive and how they are handled to ensure the policy and approach is applied fairly and consistently

3 Confidentiality

- 3.1 We respect the confidentiality of all complainants. The collection, storage, access to, provision and disclosure of data is done in accordance with the Data Protection Act 2018
- 3.2 Complaint and personal details will only be disclosed to Moat employees and appropriate representatives of its contractors in order to provide a response

4 What is a complaint?

- 4.1 A complaint is an expression of dissatisfaction about the quality of service, delivery of service, actions or lack of action by us, our employees or associated partners which requires a response. Complaints should be raised within three months of the issue occurring. Negative feedback which does not require a response will be considered outside of the complaints process



5 Who can make a complaint?

- 5.1 A complaint can be made by anyone who receives a service from us. Groups of customers may make a complaint collectively, but this should be through a single named representative

6 How to make a complaint?

- 6.1 Complaints can be made in a number of ways:

- By emailing slice@cakepd.co.uk
- Calling our office 01603 733006
- Writing to us or by visiting our office. Unit 20a Diss Business Park, Hopper Way, Diss IP22 4GT

If you are on an **Apprenticeship programme** with us, you may direct your complaint as above or by talking with our Quality Assurance Manager, Sue Hill, on 01603 733006. If your complaint relates to a Safeguarding issue, then you can call the Designated Safeguarding Officer, Laura Burns, on 01603 733006.

Should you wish to escalate your complaint to the Education and Skills Funding Agency, you can call them on 08000 150400 or email them at nationalhelpdesk@apprenticeships.gov.uk. Further information can be obtained from their website: <https://www.gov.uk/government/organisations/education-and-skills-funding-agency>

7 Exceptions to the complaints policy

- 7.1 The following will be excluded from the complaints policy:

- Legal and/or insurance proceedings – where a complainant has started court action or an insurance claim against us in respect of the specific issue(s) covered by their complaint, the complaint will be removed/excluded from our complaints process
- Mediation - if a referral for mediation is in progress or has been made the complaint will be put on hold until the outcome of mediation is known. Subject to the outcome of mediation, the complaint lead officer should assess whether it is appropriate to resume the complaints process
- Policy – complaints about our policies are excluded but complaints about how a policy has been applied or communicated can be considered



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- Complaints from people who do not receive our services – these will be considered on an individual basis and are not covered by this policy
 - Complaints against an employee – the complaint will follow the complaints procedure. However, should there be a need to invoke disciplinary or capability procedures, these will be undertaken in accordance with our HR policies and procedures. In these circumstances, details of any action taken against individual employees will not be disclosed to the complainant
- 7.2 Your complaint will be logged at the initial stage only and you will be provided with a complaint reference number. At this stage we will agree timescales for communication with you
- 7.3 Should we fail to communicate as agreed or achieve the timescales agreed to, a complaint can be raised for non-response which will follow CAKE PD's Complaints Procedure

8 Principles of the complaints policy

- 8.1 Quick Resolution - Customer Service Centre
There may be instances where a complaint can be resolved quickly and without the need for a written response. These can be dealt with at first point of contact by the CAKE team and will be resolved within two working days. If the complaint has not been resolved to the customer's satisfaction within this time it will be escalated to our formal procedure at stage one
- 8.2 We operate a two-stage procedure for formal complaints. All complaints should follow each stage in turn
- 8.3 Stage one – Service department reviews
Where a more detailed investigation is required, a lead officer will be assigned
- 8.4 The lead officer must contact the complainant within three working days of receipt of the complaint to gather any additional detail required and to agree a date for resolution. This date must be within 28 calendar days from receipt of the complaint unless there are exceptional circumstances and/or a later date is agreed with the complainant due to the dependency of third-party information



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- 8.5 In circumstances where the resolution to the complaint has been agreed by the lead officer and the complainant, the complaint will be closed, and an ongoing commitment made to undertake works or other activities within defined timescales. The lead officer is responsible for ensuring that the commitments are delivered as agreed
- 8.6 If we fail to honour a commitment, the complainant can re-open their complaint at the same stage at which it was closed, and the complaint will continue to follow each stage of the complaint's procedure in turn
- 8.7 A complaint which has had a full response at stage one should not remain open beyond 28 calendar days of the date of the response. The complainant may close the complaint if satisfied with the response or escalate to stage two of the complaints process
- 8.8 We reserve the right to close the complaint if the complainant does not wish to move to stage two and the full 28 days have expired
- 8.9 Stage two – Director reviews
If the complainant is not satisfied with the resolution at stage one, the complaint can be referred to a Director. In order to escalate the complaint to stage two, the complainant must identify the area of their original complaint that they feel has not been adequately addressed, why they remain dissatisfied and what actions they are seeking to resolve their complaint
- 8.10 The review carried out by the Director will consider if the original complaint has been fairly and thoroughly investigated and the reason the complainant remains dissatisfied
- 8.11 The timescale for initial contact from the Director is three working days from the date of referral. We aim to complete stage two reviews within 21 calendar days unless there are exceptional circumstances, we are reliant on third party information and/or a later date is agreed with the complainant
- 8.12 Using discretion
CAKE reserves the right to use discretion when applying the complaints policy and procedure and may deal with a complaint differently where individual circumstances merit it. This decision will be agreed by the Director



9 Other Enquiries

- 9.1 Social media enquiries relating to a first request for service will be responded to by the relevant part of the organisation
- 9.2 Should it become apparent during interactions that a full investigation into concerns will be necessary; this will either be entered into our formal complaint procedure at CAKE PD's discretion or included as further information in a complaint already being investigated

10 Closing complaints

10.1 A complaint can be closed when:

- The investigation is complete, and a response is sent
- After sending a response and attempting to make contact to discuss it, there is no further contact from the complainant after 28 calendar days
- When a resolution is agreed, and a commitment made as outlined in paragraph 8.5