



Compliments and Complaints Policy

Policy Details	
Policy Owner	Assistant Principal, Quality, Performance & Innovation
Approved by	Policies and Procedures Committee
Date approved	May 2023
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Publication	4Policies, Student VLE & Website
Version	4

1. Statement of Intent

- 1.1 USP College welcomes suggestions and comments aimed at improving its provision.
- 1.2 Complaints will be investigated impartially and addressed promptly.
- 1.3 Compliments will be shared with a view to prompting best practice and instilling a culture of continual development.
- 1.4 No person will experience discrimination as a result of raising a compliment or complaint.
- 1.5 Discrimination against a person who has made a complaint will be subject to Disciplinary Procedure.
- 1.6 Students will be given the appropriate support to lodge a compliment or complaint. Students may request the support of their Progress Coach/Personal Tutor or another member of college staff to make a complaint.
- 1.7 The Assistant Principal, Quality, Performance & Innovation will monitor compliments and complaints received, the outcomes and any trends.
- 1.8 A summary of the compliments and complaints received by the college will be presented to the Quality Committee and Corporation annually.

2. Introduction and Purpose

- 2.1 This policy aims to highlight and share good practice and enables shortcomings in the performance of the college to be identified more easily. It is aimed at improving our clients' satisfaction by dealing promptly and efficiently with the complaints received.

3. Related Policies and Procedures

- a. Grievance Policy
- b. Harassment and Bullying Policy
- c. Positive Behaviour Policy
- d. Staff Disciplinary Policy
- e. Whistleblowing Policy
- f. Student Protection Plan
- g. Fees and Refund policy
- h. Freedom of Information Act
- i. Data Protection Policy (GDPR)

4. Procedures

4.1 Compliments

- a. Anyone that wishes to submit a compliment to the college should email feedbackmatters@uspcollege.ac.uk
- b. The compliment will be logged by the SMT Support team and shared with the relevant parties
- c. The compliment will be shared with relevant member(s) of staff and will be used to continue to improve our service.

4.2 Non-formal Complaints

- a. Anyone wishing to raise a complaint should raise this, in the first instance, with a member of staff to resolve internally. If this is not resolved to the complainant's satisfaction it should be escalated to feedbackmatters@uspcollege.ac.uk where it will be dealt with by the Assistant Principal, Quality, Performance & Innovation and relevant managers.
- b. Any member of staff who receives a non-formal complaint will:
 - i. Immediately discuss the issue with the complainant with the aim of reaching a satisfactory conclusion there and then or;
 - ii. Explain what action they will take to investigate and resolve;
 - iii. Notify their Manager or Assistant Principal of the nature of the non-formal complaint and their course of action as a result. The Manager or Assistant Principal should email the details of the complaint SMT support team.
 - iv. However, where the recipient judges the nature of the complaint to be serious or immediately un-resolvable, they must encourage the complainant to put their complaint in writing to feedbackmatters@uspcollege.ac.uk
 - v. Anyone who is not satisfied that the informal complaint has been dealt with fairly or effectively and within 10 working days may lodge a "Formal Complaint" in writing.

4.3 Formal Complaints

- a. Any written complaint in the form of a letter or email to the Principal and CEO will be regarded as a Formal Complaint if the complaints process has been followed.
- b. The SMT Support Team will keep a log of all formal complaints received. If provided, the ethnicity, gender, age, health or learning needs of the complainant (or the person about which the complaint relates) will be logged to monitor for possible discrimination. All logs are maintained in line with the GDPR standards.
- c. Complaints against the Principal which cannot be resolved will be referred to the Chair of Governors for attention of the Corporation.
- d. Complaints addressed to the Principal and CEO will be acknowledged by the Principal in writing within 5 working days and a copy of the complaint will be passed to the Assistant Principal, Quality, Performance & Innovation. The Assistant Principal will pass the complaint to the relevant manager to instigate investigation.
- e. The senior manager receiving the "Formal Complaint" should immediately start an investigation. The SMT Support Team will be kept informed of progress.

4.4 Investigation

- a. The complaint will be investigated and, if necessary, appropriate action will be taken to improve provision. The Manager will report the outcome of the investigation within 10 working days to the appropriate SMT member (usually Assistant Principal, Quality, Performance & Innovation) who (with the agreement of the Principal and CEO) will notify the complainant in writing within 15 working days of receiving the complaint. The

SMT member will also inform the complainant of their right of appeal to the Principal and CEO.

- b. In the event of complaints requiring a liaison with an Exam Board or other bodies for their solution, the complainant will be informed of possible delays in the notification of the outcome.
- c. In the event that students, who have paid for their course, are seeking compensation, this will be presented to the academic board for investigation. The board will convene immediately and make recommendations.
- d. All correspondence relating to the complaint must be retained within the SMT support team.

4.5 Appeal and Escalation

- a. Anyone who considers that their Formal Complaint has not been fairly and/or effectively addressed may escalate this to the ESFA.

4.6 External Support

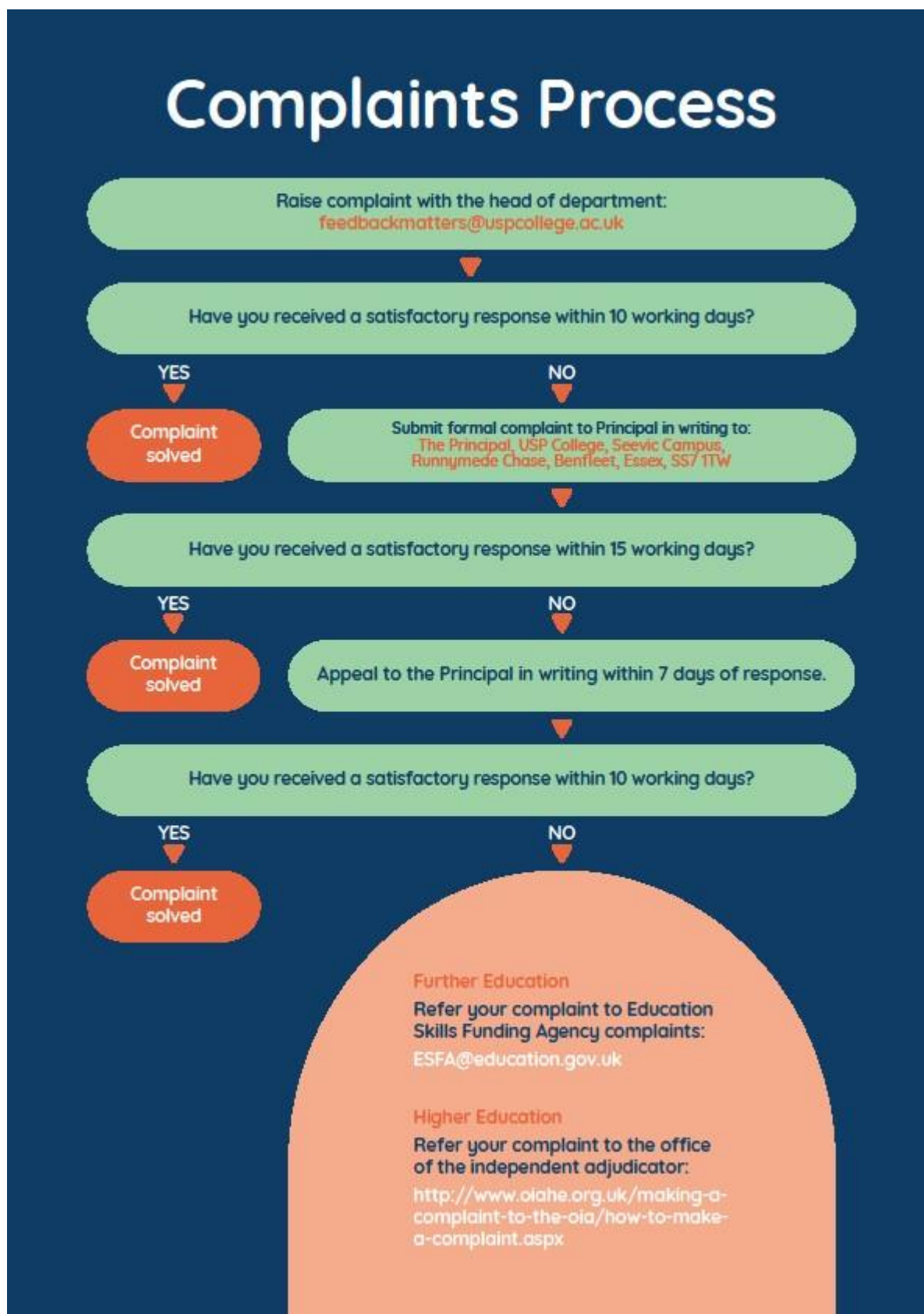
- a. The college may promote the services of a professional arbitration service should the complainant remain dissatisfied after the appeals procedure as an alternative to legal action being taken. Both the college and the complainant must agree that the arbitration will be binding and that no further action of any kind will be taken subsequently.
- b. The college will seek advice, where necessary, from the college's solicitors relating to legal and insurance issues.

4.7 Internal Support

- a. The Assistant Principal, Quality, Performance & Innovation will review all complaints received and will seek to identify potential areas for improvement in the college. The Assistant Principal, Quality, Performance & Innovation will present these, together with any recommendations, to SMT when appropriate.
- b. The Assistant Principal, Quality, Performance & Innovation will present an annual report on Compliments and Complaints to the Governors where recommendations for actions will be included.

4.8 Reference to External Policies and procedures

- a. Other complaints may be appropriately referred to specific awarding bodies or examining boards. Copies of complaints policies from relevant external institutions are available on request from the Exams department or directly via the relevant institutions.



Equality and Diversity Statement & Impact Assessment

USP College is committed to equality of opportunity. The aim is to create an environment in which people treat each other with mutual respect, regardless of: age, disability, family responsibility, marital status, race, colour, ethnicity, nationality, religion or belief, gender, gender identity, transgender, sexual orientation, trade union activity or unrelated criminal convictions.

This form should be used by managers and policy owners within their area of responsibility to carry out Equality and Diversity Impact Assessments (EDIAs) in relation to protected characteristics including, but not limited to: Age, Disability, Gender reassignment, Marriage and civil partnership, Pregnancy and maternity, Race, Religion and belief, Sex, Sexual orientation. The word 'policy' is taken to include strategies, policies, procedures and guidance notes; both formal and informal, internal and external.

1. Name of Policy

Compliments & Complaints Policy

2. Which of the following groups could be affected by this policy?

(Tick all that apply)

Students	✓
Staff	✓
Wider Community	✓

3. Complaints

Have complaints been received from anyone with one or more protected characteristic about the service provided?
If yes then please give details.

NA

4. The Impact

Four possible impacts should be considered as part of the assessment:

- Positive Impact** - Where the policy might have a positive impact on a particular protected characteristic.
- None or Little Impact** – Where you think a policy does not disadvantage any of the protected characteristics
- Some Impact** – Where a policy might disadvantage any of the protected characteristics groups to some extent. This disadvantage may be also differential in the sense that where the negative impact on one particular group of individuals with protected characteristic is likely to be greater than on another.
- Substantial Impact** – Where you think that the policy could have a negative impact on any or all of the protected characteristics. This disadvantage may be also differential in the sense that the negative impact on one particular protected characteristic is likely to be greater than on another.

Thought-provoking questions, which might help come to a decision about the impact of a policy on individuals with protected characteristics:

- Does policy outcomes and service take up differ between people with different protected characteristics?
- What key information do we have? Does data or engagement with people with protected characteristics give insights into areas of disadvantage, which relate to the policy area?
- If the policy is likely to have a negative impact on individuals, sharing particular characteristics what steps can be taken to mitigate these effects?
- Will the policy deliver practical benefits for certain groups?
- Does the policy miss opportunities to advance equality of opportunity and foster good understanding/relationships between groups?

- j. Do other policies need to change to make this policy more effective?
- k. Is there any elements of the policy that could be unlawful under the Equality Act 2010?

Use the guidance provided above and complete the following table: **(Please Tick ✓)**

Gender/Age	Positive Impact	No or Little Impact	Some Adverse Impact	Substantial Adverse Impact
Gender		✓		
Age		✓		
Disability	Positive Impact	No or Little Impact	Some Adverse Impact	Substantial Adverse Impact
Visually Impaired		✓		
Hearing impaired		✓		
Physical Disability		✓		
Specific Learning Difficulties		✓		
Global Learning Difficulties		✓		
Autistic Spectrum Disorder		✓		
Any other disability – Various		✓		
Other Factors	Positive Impact	No or Little Impact	Some Adverse Impact	Substantial Adverse Impact
Race		✓		
Culture		✓		
Religious Belief		✓		
Sexual Orientation		✓		
Gender Reassignment		✓		
Marriage/Civil Partnership		✓		
Pregnancy /Maternity /Paternity		✓		

Please comment on any areas where some or substantial impact is indicated. Any resulting actions must be added to the below action plan.

5. Is there anything that cannot be changed?

What cannot be changed?	Can this be justified?	If so, how?
Not applicable		
E.g., Disabled people can be treated more favorably under the Disability Discrimination Act 2005. If a policy appears to treat disabled people more favorably than other equality groups, the disadvantage may be justifiable		

Please list the main actions that you plan to take as a result of this assessment in your area of responsibility. (Continue on separate sheets as necessary)

Action Plan:

