



Complaints and Appeals Policy

Revision: A

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Table of Contents

1. Background	4
2. Scope	4
3. Statement.....	4
4. Receiving Complaints	4
5. Complaints Process	5
6. Appendix A.....	6
6.1. Stage 1 – Initial Information.....	6
6.2. Stage 2 and 3 – Escalated and investigation required.....	7

1. Background

- 1.1.1. Optimum Skills ensure that core values take priority when dealing with complaints from stakeholders, we deal with complaints in a timely and effective manner and use the information to improve our service for the future.

2. Scope

- 2.1.1. This policy applies throughout the whole of the Optimum Skills organisation.

3. Statement

- 3.1.1. It is acceptable that at times, a person can feel aggrieved by their treatment or service, and it is essential that Optimum Skills have a professional mechanism to deal with the complaint. We treat a complaint as any expression of dissatisfaction with our service which calls for a response.

4. Receiving Complaints

- 4.1.1. Complaints may arrive through channels publicised for that purpose, or through any other contact details or opportunities, the complainant may have.
- 4.1.2. Complaints received by telephone or in-person will need to be recorded, and the person who receives a complaint by phone or in person should:
- Write down the details of the complaint into the complaints form (Stage 1)
 - Tell the complainant that we have a complaint procedure and arrange for them to receive so they are aware of further stages should an immediate resolution not be met.
 - Tell the complainant what will happen next and how long it will take.
 - Where appropriate, ask the complainant to send a written account by email so that the complaint is recorded in the complainant's own words.

5. Complaints Process

Stage One Resolve or escalate to the relevant manager	
The complaint must be dealt with by the colleague with the lowest level of authority. The complaint must be acknowledged immediately and a reasonable deadline for a resolution to be given to the complainant within 2 days of receipt of the complaint	At stage 1, the colleague receiving the complaint will provide a reasonable resolution deadline to the complainant by email. If the complaint is not resolved at Stage 1, it is escalated to a relevant manager immediately using Stage 2 of the complaints form which is sent to info@optimumskills.co.uk
If the complaint is resolved after Stage 1, the form is sent to info@optimumskills.co.uk Admin team who then updates the complaints log.	

Stage Two 10 days to resolve or escalate to relevant director	
The complaint must be escalated to the next level of authority who is able to deal with the complaint. If the complaint is resolved after Stage 2, the form is sent to info@optimumskills.co.uk The admin team updates the complaints.	At stage two the colleague will have 10 working days to resolve the complaint. If the complaint has still not been resolved at stage 2, it can be escalated to the relevant director.

Stage Three 10 days to resolve or If the complainant is still not happy with the resolution at stage 3 they may appeal to the MD in writing.	
The complaint must then be resolved by the Director. If the complaint is resolved at Stage 3, an update is then sent to info@optimumskills.co.uk to update the complaints log.	At stage three, the colleague will have 10 working days to resolve the complaint

If the complainant is still not happy with the resolution at stage 3 they may appeal to the board in writing If the complainant is still not happy with the resolution, they can approach the ESFA or Awarding Organisation as the funders of their qualification.
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6. Appendix A

6.1. **Stage 1 – Initial Information**

6.1.1. Please ensure the following information is gathered for all customer complaints as the complaint is made to Optimum Skills. The email to send this form to is (EMAIL) on the date the complaint is received. References

Name of Complainant		Date of complaint	
Contact Number of Complainant		Email address of complainant	
Provision Area		Qualification	
Name of person receiving complaint		Date the complaint was escalated	
What is the complaint? (Please give as much detail as possible, including relevant names, dates, venues, evidence) Where this is a safeguarding concern, at this point it will be referred through the Safeguarding process.			
Name OS staff member dealing with the complaint		Date signed off	

6.2. Stage 2 and 3 – Escalated and investigation required

Complaint needs further investigation	Yes / No	Name of person escalated to		
		Investigation notes: (please include evidence, interviews carried out, and summary of findings.)		
Name OS staff member dealing with the complaint			Date signed off	