



# **Equiniti Apprenticeship Division Compliments and Complaints Policy and Procedure**



### **Scope**

This policy specifically relates to our Apprenticeship division and sits outside the wider Equiniti complaints policy.

This policy is reviewed annually.

### **Our Aim**

Equiniti is committed to providing a quality service and working in an open and accountable way that builds trust and respect.

One of the ways in which we can continue to improve our service is by listening and responding to the views of our clients and candidates, and in particular by responding positively to complaints, and by putting mistakes right. Therefore, we aim to ensure that:

- making a compliment or complaint is as easy as possible.
- we welcome compliments, feedback, and suggestions.
- we treat a complaint as a clear expression of dissatisfaction with our service which calls for an immediate response.
- we deal with it promptly, politely and, when appropriate, confidentially
- we respond in the right way - for example, with an explanation, or an apology where we have got things wrong, or information on any action taken etc.
- we learn from complaints, use them to improve our service, and review annually our complaints policy and procedures.

We recognise that many concerns will be raised informally and dealt with quickly.

Our aims are to:

- resolve informal concerns quickly.
- keep matters low-key.
- enable mediation between the complainant and the individual to whom the complaint has been referred.

This policy ensures that we welcome compliments and provide guidelines for dealing with complaints from members of the public about our services, facilities, staff, and candidates.



### **Definitions**

A compliment is an expression of satisfaction about the standard of service we provide.

A complaint is defined as any expression of dissatisfaction; however, it is expressed. This would include complaints expressed face to face, via a phone call, in writing, via email or any other method. All staff should have sufficient knowledge to be able to identify an “expression of dissatisfaction” even when the word “complain”, or “complaint” is not used.

### **Purpose**

We are always glad to hear from people who are satisfied with the services we offer. All compliments are recorded, acknowledged, and a copy is sent to the relevant persons to provide feedback to the member of staff, clients, and candidates.

### **Complaints**

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

### **Responsibilities**

Equiniti responsibility will be to:

- acknowledge the formal complaint in writing.
- respond within a stated period of time.
- deal reasonably and sensitively with the complaint; and
- take action where appropriate.

A complainant's responsibility is to:

- bring their complaint, in writing, to Equiniti attention normally within 8 weeks of the issue arising.
- raise concerns promptly and directly with a member of staff within Equiniti
- explain the problem as clearly and as fully as possible, including any action taken to date.
- allow Equiniti a reasonable amount of time to deal with the matter and recognise that some circumstances may be beyond Equiniti's control



### **Confidentiality**

Except in exceptional circumstances, every attempt will be made to ensure that both the complainant and Equiniti 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 facts). Should this be the case, the situation will be explained to the complainant.

### **Complaints Procedure**

Written records will be made by Equiniti at each stage of the procedure.

Complaints should be made using the attached form.

#### ***Stage One:***

We will try to deal with your complaint informally, by either phone, email, in writing or in person. Our staff will try to settle your complaint without you needing to do anything else.

We will respond to your complaint within 15 working days.

If we cannot resolve your complaint within this time frame, we will write to you and let you know the person handling your complaint and a timeframe this should be resolved.


If you are not satisfied with the solution offered this will be escalated to stage two.

#### ***Stage Two:***

This will now be dealt with as a formal complaint; formal complaints must be put in writing to the managing director.

You will then hear from the Group Apprenticeship Manager within 5 working days of your formal complaint with a solution.

Once your complaint is dealt with to a satisfactory conclusion, records will be kept on file for a 12-month period.

Signed: 

Name: Caroline Gascoigne

Title: Group Apprenticeship Manager

Policy reviewed annually. Next review date September 2026



**Complaints Form**

You may use this form to make a suggestion or to make a complaint about Equiniti Apprenticeship Division

We would like you to return this form as soon as possible.

**Your Name** .....

**Address** .....

**Telephone** .....

Please send this form to our Academy Programme Co-ordinator, at:

[EQApprenticeships@equiniti.com](mailto:EQApprenticeships@equiniti.com)

---

**Date of incident**

**Approximate time of incident**

---

**Suggestion / Complaint**

---

**What action would you like to be taken?**

---

**What times are convenient for you to have an appointment to discuss this?**