2026

Policy: Complaints

SRSCC
Skills Training Apprenticeships

OWNER: CUSTOMER SUCCESS MANAGER

SR Supply Chain Consultants Limited | Parkside House, 190-192 Wigan Road, Euxton, Chorley, Lancashire, PR7 6JW

Last Review Date:	26/08/2026
Next Review Date:	26/08/2027
Author:	Amanda Wilson
Signed:	A Wilson
Position:	Customer Success Manager
Approved by:	Eileen Moran
Signed:	
Position:	Head of Quality Assurance and Compliance
Information Classification Level	

Contents

Policy Summary 3
Aims and Objectives 3
Commitment 4
Terms of Reference 5
Terms of Reference 5
Scope 6
Responsibilities 6
Process Overview 8
Raising a Complaint 8
Early Resolution 9
Formal Complaint Investigation 9
Complaint Timescales 10
Complaint Outcomes 10
Internal Review 11
External Escalation 11
Complaints Outside the Scope of this Policy 11
Implementation 12
Accountability 12
Monitoring and Review 13
Monitoring 13
Review 14
Document Update 14

Policy Summary

SRSCC is committed to providing high-quality training, education and support services to apprentices, commercial learners, employers and other stakeholders. We recognise that, despite our commitment to excellence, concerns or complaints may occasionally arise. We view complaints as an opportunity to learn, improve our services and strengthen the experience of those who engage with us.

This policy establishes a fair, transparent and consistent framework for receiving, investigating and resolving complaints relating to the services provided by SRSCC. It ensures that complaints are managed professionally, impartially and within reasonable timescales, whilst promoting early resolution wherever appropriate.

SRSCC is committed to handling complaints with courtesy, respect and confidentiality, ensuring that every complainant is treated fairly and without disadvantage. Where appropriate, lessons learned from complaints will be used to improve service delivery, strengthen operational processes and support continuous organisational improvement.

This policy should be read alongside: -

POL-86 Complaints Prevention Policy.docx
POL-74 Refund Policy.docx
PRO-142 Complaints Prevention Process.docx
POL-07 Malpractice and Maladministration Policy.docx
T011 General T&C's.docx
POL-63 Safeguarding and Prevent Duty Policy.docx
POL-08 Data Protection, Retention and Privacy Policy.docx
HR036 - Whistleblowing Policy and Procedure Sept 2022.pdf
PRO- 155 Dispute Resolution Process.docx
POL- 101 Dispute Resolution Policy.docx
PRO - 154 Appeals.docx
POL -100 Appeals .docx

Aims and Objectives

The purpose of this policy is to provide a clear, accessible and consistent approach to the management of complaints received by SRSCC. It aims to ensure that concerns are investigated fairly, decisions are evidence-based, and complainants receive timely and appropriate responses.

SRSCC seeks to encourage the early resolution of concerns wherever possible, recognising that many issues can be resolved quickly through effective communication before they develop into formal complaints. Where formal complaints are necessary, they will be investigated objectively by appropriately authorised members of staff who have not been directly involved in the matter wherever reasonably practicable.

This policy also aims to ensure compliance with applicable legislation, contractual obligations and regulatory expectations, whilst supporting a culture of openness, accountability and continuous improvement. Information arising from complaints will be monitored to identify recurring themes, improve organisational performance and reduce the likelihood of similar issues arising in the future.

Commitment

At SRSCC, we are dedicated to upholding the highest standards of quality and ensuring the effective implementation of the following policy:

We commit ourselves to the principles, goals, and objectives set forth in this policy, and we will actively work towards its successful implementation. As an organisation, we recognise the importance of aligning our actions with the policy's provisions to achieve the desired outcomes. Our commitment includes:

- Compliance: We will diligently adhere to all the guidelines, procedures, and regulations outlined in the policy. We will ensure that our actions are consistent with the intended spirit and objectives of the policy.

- Responsibility: We acknowledge our roles and responsibilities in implementing the policy. Each member of our organisation will be aware of their specific duties and contribute to the successful execution of the policy.
- Resources: We will allocate the necessary resources, to support the implementation of the policy. We understand that adequate resources are essential for its effective execution.
- Timelines: We will establish clear timelines and milestones to ensure timely progress towards the policy's objectives. We will regularly review and assess our progress to stay on track and make adjustments as needed.
- Reporting and Monitoring: We will establish robust reporting and monitoring mechanisms to track our performance and measure the outcomes of the policy. We will provide timely and accurate reports to relevant regulatory bodies and internal teams as required.
- Continuous Improvement: We are committed to continuously improving our processes, systems, and practices to enhance the effectiveness of the policy's implementation. We will actively seek feedback, identify areas for improvement, and implement necessary changes to achieve better results.
- Training and Awareness: We will invest in training programmes and initiatives to ensure that all our staff members are aware of the policy, its objectives, and their individual responsibilities. We will foster a culture of awareness and understanding to promote policy adherence throughout the organisation.

We recognise that upholding the quality and successful implementation of this policy requires the collective effort and commitment of every individual within our organisation. By adhering to this commitment statement, we aim to create a culture of excellence, accountability, and continuous improvement.

Terms of Reference

Term	Definition
Complaint	A formal expression of dissatisfaction regarding SRSCC's services, staff, training delivery, administration, customer service or learner experience where a response or resolution is expected.

Term	Definition
Complainant	Any individual or organisation raising a complaint under this policy, including apprentices, commercial learners, employers, prospective learners or other stakeholders.
Early Resolution	The prompt and informal resolution of a concern before it becomes a formal complaint, normally managed in accordance with POL-86 Complaints Prevention Policy.docx and PRO-142 Complaints Prevention Process.docx
Formal Complaint	A complaint requiring investigation under this policy following unsuccessful early resolution or where the seriousness of the matter requires formal investigation from the outset.
Complaint Outcome	The written decision issued following completion of a complaint investigation, including the reasons for the decision and any actions identified.
Internal Review	A review of the complaint outcome requested where the complainant believes the complaint has not been handled fairly, consistently or in accordance with this policy. The review will normally be undertaken by an individual not previously involved in the complaint wherever reasonably practicable.
Remedy	Any action taken by SRSCC to resolve or address a complaint. Remedies may include an apology, explanation, corrective action, service improvement, remedial learning, refund consideration under POL-74 Refund Policy.docx or another proportionate resolution.
Complaint Prevention	Activities undertaken by SRSCC to identify and resolve concerns before they escalate into formal complaints, managed under POL-86 Complaints Prevention Policy.docx and PRO-142 Complaints Prevention Process.docx
Dispute	A contractual, financial or commercial disagreement that falls outside or continues beyond the scope of this policy and may be managed under the POL- 101 Dispute Resolution Policy.docx and PRO- 155 Dispute Resolution Process.docx

Scope

This policy applies to all complaints relating to the services provided by SRSCC and may be used by apprentices, commercial learners, employers, prospective learners and other stakeholders who have engaged with SRSCC.

The policy covers complaints relating to training delivery, customer service, learner support, communication, administration, enrolment, information provided before or during learning,

service standards, facilities, online learning, operational processes and any other aspect of the services delivered by SRSCC.

This policy does not apply to concerns that can be resolved through the Complaints Prevention Policy before becoming formal complaints. Neither does it replace or override the procedures relating to safeguarding, whistleblowing, assessment decisions, End-Point Assessment decisions, malpractice or maladministration investigations, staff grievance or disciplinary procedures, data protection rights, refund and compensation requests, or contractual disputes where separate procedures apply.

Where a matter falls outside the scope of this policy, SRSCC will advise the individual of the most appropriate policy or procedure and, wherever reasonably practicable, provide guidance regarding the next appropriate steps.

Responsibilities

Responsibilities	Details
Governors	Receive appropriate oversight information relating to complaint trends, outcomes, organisational learning and service improvements where appropriate through governance reporting.
Senior Leadership Team	Provide strategic oversight of complaint handling arrangements, ensure sufficient resources are available, review significant or escalated complaints and monitor organisational performance arising from complaint data.
SRSCC Managers	Support complaint investigations, implement agreed corrective actions, ensure complaints are managed consistently within their areas of responsibility and promote early resolution where appropriate.
SRSCC Employees	Respond professionally to concerns and complaints, cooperate fully with investigations, maintain confidentiality and comply with the requirements of this policy.
Apprenticeship Leads	Support investigations relating to apprenticeship delivery, learner progress and employer engagement, ensuring relevant information is provided promptly to complaint investigators.
Employer Line Managers	Raise concerns promptly, provide relevant information during investigations where appropriate and work collaboratively with SRSCC to support fair resolution.
Apprentices	Raise complaints in a timely manner, provide accurate information to support investigation and engage respectfully throughout the complaints process.
Commercial Learners	Raise complaints promptly, provide relevant evidence where available and cooperate with reasonable requests for information during investigations.

External Stakeholders	Co-operate with complaint investigations where appropriate and provide accurate information to support fair decision making.
Customer Success and Complaints Prevention Manager	Oversee implementation of this policy, allocate complaint investigations, review complaint outcomes, monitor complaint trends, ensure organisational learning is implemented and report significant issues to the Senior Leadership Team.

Process Overview

SRSCC encourages individuals to raise concerns at the earliest opportunity so that they can be resolved quickly, fairly and informally wherever possible. Many concerns can be addressed through open communication and early intervention without the need for a formal complaint.

Where a concern cannot be resolved through early resolution, or where the nature or seriousness of the matter requires formal investigation from the outset, it will be managed in accordance with this policy.

Complaints will be investigated objectively, proportionately and without prejudice. Wherever reasonably practicable, the individual responsible for investigating a complaint will not have been directly involved in the matter giving rise to the complaint.

Throughout the complaints process, SRSCC will seek to communicate openly with the complainant, provide updates where appropriate and ensure that decisions are supported by evidence. Every complaint will be considered on its own merits, taking into account all relevant information available at the time.

Where a complaint identifies wider service issues, opportunities for improvement or organisational learning, appropriate corrective and preventative actions will be implemented to reduce the likelihood of recurrence.

Matters relating to safeguarding, whistleblowing, assessment or Apprenticeship assessment decisions, malpractice or maladministration, refund and compensation requests, contractual disputes or data protection rights will be managed under the relevant SRSCC policy or procedure where appropriate.

Raising a Complaint

Complaints may be submitted by apprentices, commercial learners, employers or other stakeholders who have received or sought to receive services from SRSCC.

Wherever possible, complaints should be submitted as soon as reasonably practicable after the issue arises to enable a timely and effective investigation. Delays in raising complaints may affect the availability of evidence or the ability to fully investigate the matter; however, each complaint will be considered on its individual circumstances.

Complaints may be submitted by email, in writing or by any other reasonable method accepted by SRSCC. Individuals who require additional support to raise a complaint because of disability, language needs or other personal circumstances will be offered appropriate assistance to ensure equal access to the complaints process.

Complaints should normally include sufficient information to enable the matter to be investigated effectively, including the nature of the complaint, relevant dates, individuals involved where known and the outcome being sought.

Complaints should be directed to:

Customer Success Team
Email: **customerservice@srscc.co.uk**

Or by post to:

SR Supply Chain Consultants Ltd
Parkside House
190–192 Wigan Road
Euxton
Chorley
Lancashire
PR7 6JW

Early Resolution

SRSCC recognises that many issues can be resolved quickly through discussion, clarification or prompt corrective action without requiring a formal complaint investigation.

Where appropriate, concerns will initially be managed in accordance with POL-86 Complaints Prevention Policy.docx and PRO-142 Complaints Prevention Process.docx. Early resolution does not prevent an individual from submitting a formal complaint should they remain dissatisfied or where the matter is sufficiently serious to require formal investigation from the outset.

Where a concern is resolved through early intervention, appropriate records will be maintained to support organisational learning and continuous improvement.

Formal Complaint Investigation

Where a complaint requires formal investigation, SRSCC will acknowledge receipt of the complaint and allocate it to an appropriate investigating officer.

The investigating officer will review all relevant information, gather appropriate evidence, speak with individuals involved where necessary and consider whether organisational policies, contractual obligations or service standards have been met.

The complainant may be contacted during the investigation to clarify information, provide additional evidence or discuss possible resolutions where appropriate.

Investigations will be conducted objectively, fairly and proportionately. All parties involved will be treated with dignity and respect throughout the process.

Where additional time is required due to the complexity of the complaint or the availability of evidence, SRSCC will keep the complainant informed of progress and provide revised timescales where reasonably practicable.

Complaint Timescales

SRSCC aims to acknowledge formal complaints within **five working days** of receipt.

Complaint investigations will normally be completed, and a written outcome issued, within **twenty working days** of acknowledgement.

Where it is not reasonably practicable to conclude the investigation within this timescale, the complainant will be informed of the reasons for the delay, advised of the progress made and provided with an anticipated completion date.

Complex complaints involving multiple parties, external organisations or significant evidential review may require additional time. In such circumstances SRSCC will continue to provide reasonable updates throughout the investigation.

Complaint Outcomes

Following completion of the investigation, SRSCC will provide a written outcome explaining the findings of the investigation, the reasons for the decision reached and any actions that will be taken where appropriate.

Where a complaint is upheld, SRSCC will implement appropriate corrective action. Depending upon the circumstances, this may include an apology, clarification, service improvement, remedial learning opportunities, review of internal procedures, staff development or consideration of remedies available under POL-74 Refund Policy.docx where applicable.

Where a complaint is not upheld, the response will explain the reasons for the decision and the evidence considered during the investigation.

Where only part of a complaint is upheld, the response will clearly distinguish which aspects have been upheld and which have not, together with the reasons supporting those conclusions.

Internal Review

If the complainant remains dissatisfied with the outcome of the complaint investigation, they may request an internal review.

Requests for an internal review should normally be submitted within **ten working days** of the complaint outcome being issued and should explain why the complainant believes the original decision should be reconsidered.

The internal review will normally be undertaken by an appropriately authorised individual who has not previously been involved in the complaint wherever reasonably practicable.

The purpose of the internal review is to determine whether the complaint has been investigated fairly whether the policy has been applied correctly and whether the outcome remains reasonable based upon the available evidence. An internal review is not intended to reinvestigate the complaint in full unless new evidence or significant procedural concerns are identified.

The outcome of the internal review will normally represent SRSCC's final internal decision.

External Escalation

Where the complainant remains dissatisfied following completion of SRSCC's internal complaints process, they may seek independent advice or refer the matter to an appropriate external organisation where applicable.

Depending upon the nature of the complaint, this may include the **Department for Education (DfE)**, **Ofsted**, the relevant awarding organisation or End-Point Assessment Organisation, or another regulatory or professional body with responsibility for the service concerned.

Where the complaint relates to a contractual or commercial dispute that cannot be resolved through SRSCC's internal procedures, either party may seek Alternative Dispute Resolution through the **Centre for Effective Dispute Resolution (CEDR)** in accordance with the **Dispute Resolution Policy** and **Dispute Resolution Process** or pursue any other legal remedy available to them.

Complaints Outside the Scope of this Policy

Where a complaint relates primarily to safeguarding concerns, whistleblowing disclosures, assessment or End-Point Assessment decisions, malpractice or maladministration, requests under data protection legislation, refund or compensation matters, contractual disputes or employee grievances, SRSCC will manage the matter under the relevant policy or procedure.

Wherever reasonably practicable, the individual raising the concern will be informed of the appropriate alternative process and any relevant next steps.

Implementation

This policy will be implemented through the application of consistent complaint handling procedures across SRSCC and supported by the associated POL-86 Complaints Prevention Policy.docx and PRO-142 Complaints Prevention Process.docx. All employees responsible for receiving, managing or investigating complaints will be expected to understand the requirements of this policy and apply it consistently, fairly and objectively.

The **Customer Success and Complaints Prevention Manager/Customer Success Co-ordinator** is responsible for overseeing the implementation of this policy and ensuring that complaint investigations are managed appropriately, timescales are monitored, records are maintained and organisational learning is captured. They will support implementation through the receipt, acknowledgement, recording and administration of complaints, ensuring that complainants receive appropriate communication throughout the complaints process.

Implementation will also be supported through staff induction, ongoing training, management oversight, internal quality assurance activity and periodic review of complaint handling arrangements. Information arising from complaints will be used to identify opportunities for service improvement, strengthen operational processes and reduce the likelihood of recurring issues.

This policy is published on the SRSCC website and is provided to apprentices, commercial learners and employers as part of the learner and employer onboarding process to ensure that all stakeholders understand how complaints may be raised and how they will be managed.

Accountability

Overall accountability for this policy rests with the **Senior Leadership Team**, who are responsible for ensuring that SRSCC maintains an effective, transparent and accessible complaints process that supports learners, employers and other stakeholders whilst meeting legal, contractual and regulatory requirements.

The **Customer Success and Complaints Prevention Manager** is responsible for the day-to-day management of this policy, monitoring complaint handling performance, reviewing complaint trends and ensuring that recommendations arising from complaint investigations are implemented where appropriate.

Managers throughout SRSCC are responsible for ensuring that employees within their areas understand and comply with this policy, cooperate with complaint investigations and implement agreed corrective actions within reasonable timescales.

All employees have a responsibility to respond professionally to complaints, cooperate with investigations, maintain confidentiality and contribute to a culture that values feedback, accountability and continuous improvement.

Monitoring and Review

At SRSCC, we understand the importance of monitoring and reviewing our policies to ensure their effectiveness and relevance. We are committed to conducting regular assessments and

making necessary adjustments to achieve the desired outcomes. This Monitoring and Review Statement outlines our approach to monitoring and reviewing the **Complaints Policy and Procedure**.

Monitoring

We will establish a comprehensive monitoring framework to track the implementation of the policy. This will involve regular data collection, analysis, and evaluation of key performance indicators (KPIs) related to the policy's objectives. The monitoring process will include:

- Data Collection: We will gather relevant data and information to assess the progress, impact, and compliance related to the policy.
- Analysis: We will analyse the collected data to identify trends, strengths, weaknesses, and areas for improvement. We will use this analysis to inform decision-making and guide policy adjustments, if necessary.
- Evaluation: We will evaluate the impact and effectiveness of the policy by comparing the achieved results against the desired intent and implementation.

Review

We are committed to conducting periodic reviews of the **Complaint Policy and Procedure** to ensure its ongoing relevance and alignment with organisational goals. The review process will involve:

- Review Period: Initially, the review period for this policy will be set every 2 years. However, we acknowledge that circumstances may change, and it may be necessary to alter the review period based on evolving needs or external factors.
- Stakeholder Involvement: We will actively involve relevant stakeholders, including employees, managers, and external experts, in the review process. Their insights and feedback will contribute to a comprehensive evaluation of the policy's performance.
- Communication: We will ensure effective communication of any policy changes resulting from the review process. This will include notifying relevant stakeholders, providing updated documentation, and facilitating necessary training or awareness initiatives while taking into consideration SRSCC's communications strategy.

By implementing a robust monitoring and review process, we aim to continuously improve the effectiveness of the **Complaint Policy and Procedure.** We are committed to maintaining its relevance, ensuring compliance, and driving positive outcomes for our organisation and stakeholders.

Document Update

This section outlines any fundamental updates to this policy.

Date of Update	Update	Person Responsible	Impact
09.07.2026	Policy Created	AW	