

Complaints Policy & Procedure



Contents

Contents	2
Policy	
1. Purpose	3
2. Regulatory Context.....	3
3. Policy Statement.....	3
4. Principles	4
5. Scope.....	5
6. Learner Protection and Qualification Integrity.....	6
7. Equality, Diversity and Inclusion	6
8. Governance and Monitoring	6
9. Roles and Responsibilities	7
10. Unacceptable Behaviour	7
11. Monitoring and Review	8
Procedure.....	9
1. Purpose	9
2. Who May Complain.....	9
3. Complaints About Centres	9
4. How to Submit a Complaint	10
6. Anonymous and Confidential Complaints	11
7. Stage One – Acknowledgement	11
8. Stage Two – Consideration/Investigation	11
9. Stage Three – Outcome.....	12
10. Stage Four – Review.....	13
11. Root Cause Analysis and Corrective Action	13
12. Regulatory Escalation.....	13
13. Records and Retention	14
14. Reporting.....	15



Policy

1. Purpose

BIIAB Qualifications Ltd ("BIIAB") and Skills and Education Group Awards (SEG Awards) are committed to delivering high-quality qualifications, end-point assessment services and stakeholder support. BIIAB and SEG Awards recognise that feedback and complaints provide valuable opportunities to improve services, protect learners and maintain confidence in the qualifications and assessments it develops, delivers and awards. This policy establishes the principles that govern the management, investigation and resolution of complaints received by BIIAB and SEG Awards.

2. Regulatory Context

2.1 This policy supports compliance with:

- Ofqual General Conditions of Recognition
- Qualifications Wales Standard Conditions of Recognition
- CCEA Regulation Conditions
- Qualifications Scotland Accreditation Regulatory Principles
- Equality Act 2010
- UK GDPR and Data Protection Act 2018

2.2 This policy should be read alongside:

- Appeals Policy
- Malpractice and Maladministration Policy
- Whistleblowing Policy
- Equality, Diversity and Inclusion Policy
- Data Protection & GDPR Policy
- Safeguarding Policy

2.3 This policy applies to all customers of BIIAB and SEG Awards, including learners, centres, employers and other stakeholders. It applies to all products and services offered by BIIAB and SEG Awards.

3. Policy Statement

3.1 BIIAB and SEG Awards are committed to ensuring that complaints are:

- Easy to raise
- Accessible to all stakeholders
- Investigated fairly and impartially
- Resolved promptly and consistently
- Handled confidentially where appropriate
- Used to support continuous improvement
- Subject to appropriate governance and regulatory oversight.

No individual will suffer disadvantage or detriment as a result of raising a genuine complaint.

4. Principles

When handling complaints BIIAB and SEG Awards will ensure:

- 4.1 Accessibility - Providing accessible arrangements for submitting complaints, including reasonable adjustments where required.
- 4.2 Fairness - Ensuring complaints are considered objectively and based on evidence.
- 4.3 Independence - Ensuring individuals reviewing complaints have appropriate authority and independence from the matter under consideration.
- 4.4 Confidentiality - Protecting personal information in accordance with data protection legislation and only share information where necessary.
- 4.5 Transparency - Providing clear information about complaint outcomes and next steps.
- 4.6 Continuous Improvement - Analysing complaints to identify trends, risks, failures and opportunities for improvement.
- 4.7 No financial barriers - BIIAB and SEG Awards do not wish to present any financial barriers to individuals wishing to make a complaint, and will therefore not make any charge to complainants unless it is found that the complaint is either frivolous or malicious, in which case BIIAB and SEG Awards reserve the right to charge a fee and/or to take other action against the complainant, which may include removal of the complainant's individual and/or centre approval to deliver BIIAB and/or SEG Awards qualification(s).



5. Scope

- 5.1 Feedback is a comment about BIIAB or SEG Awards products or services that does not express dissatisfaction.
- 5.2 complaint is an expression of dissatisfaction with BIIAB and SEG Awards products or services. Complaints may be received in a variety of formats although complainants are encouraged to use the form available to help us gather the necessary information.
- 5.3 This policy applies to complaints relating to BIIAB and SEG Awards products, services and regulated activities including but not limited to:
- Customer service
 - Centre support
 - Communications
 - Certification services
 - Qualification development
 - Apprenticeship assessment services
 - Website and digital systems
 - Published guidance and support materials
 - Conduct of employees, contractors and representatives
 - Administrative errors
 - Delays or failures in service delivery
 - Equality, accessibility and discrimination concerns
- 5.4 The following matters will not be dealt with under this policy but under the relevant policy as indicated below:

Matter	Relevant Policy
Assessment decisions	Appeals Policy
Results and grading decisions	Appeals Policy
EQA decisions	Appeals Policy
Special consideration decisions	Appeals Policy
Reasonable adjustment decisions	Appeals Policy
Suspected malpractice or maladministration	Malpractice and Maladministration Policy
Public interest disclosures	Whistleblowing Policy
Subject access requests	Data Protection & GDPR Policy
Freedom of Information requests	Data Protection & GDPR Policy



6. Learner Protection and Qualification Integrity

Where a complaint identifies a failure that may adversely impact learners, centres or public confidence in qualifications, BIIAB and SEG Awards will take all reasonable steps to:

- Identify affected learners and centres
- Correct the issue where possible
- Mitigate adverse effects
- Protect the integrity of qualifications and certifications
- Implement corrective and preventative actions
- Notify regulators where required
- Monitor the effectiveness of actions taken

7. Equality, Diversity and Inclusion

7.1 BIIAB and SEG Awards actively encourage complaints where individuals believe they have experienced:

- Discrimination
- Harassment
- Victimisation
- Bias
- Accessibility barriers

7.2 The complaints process will be made available in alternative formats and reasonable adjustments will be implemented where appropriate.

8. Governance and Monitoring

8.1 BIIAB and SEG Awards will maintain a central complaints log.

8.2 Complaint data will be reviewed regularly to:

- Identify trends
- Monitor emerging risks
- Detect systemic issues
- Monitor equality impacts
- Inform continuous improvement activities



- 8.3 Summary complaint reports will be presented to the relevant governance committees and Board. Serious complaints and regulatory concerns will be escalated immediately through established governance arrangements.

9. Roles and Responsibilities

9.1 Quality and Regulation Team

Responsible for:

- Administration and monitoring of complaints
- Maintaining complaint records
- Coordinating investigations

9.2 Director of Quality, Assessment and Regulation

Responsible for:

- Oversight of complaints management
- Approval of review decisions
- Escalation of significant issues

9.3 Executive Team

Responsible for:

- Ensuring appropriate resources
- Reviewing complaint trends and risks

9.4 Board

Responsible for:

- Monitoring effectiveness of complaints management arrangements
- Providing strategic oversight

10. Unacceptable Behaviour

- 10.1 BIIAB and SEG Awards expects all parties involved in complaints to behave respectfully.
- 10.2 Threatening or abusive correspondence or behaviour will not be tolerated under any circumstances, and BIIAB and SEG Awards staff will not engage



with persistent or harassing contact from complainants. If this kind of behaviour occurs, BIIAB and SEG Awards will treat it as vexatious.

- 10.3 Threatening, abusive, harassing or vexatious behaviour may result in restrictions being placed on communication methods while ensuring regulatory obligations continue to be fulfilled.

11. Monitoring and Review

- 11.1 This policy will be reviewed annually, or earlier, should any feedback or concern be brought to the attention of BIIAB and/or SEG Awards, to ensure it remains fit for purpose and the process and its outcomes are deliverable.
- 11.2 It is also reviewed as part of BIIAB and SEG Awards continuous improvement monitoring through its annual self-assessment arrangements.
- 11.3 This policy will be reviewed sooner when there are:
- Regulation changes
 - Complaint trends indicate improvements are required
 - Governance review identifies weaknesses
 - Regulatory guidance changes



Procedure

1. Purpose

- 1.1 We aim to deal with complaints quickly and efficiently avoiding the need for written complaints wherever possible. Where this is not possible, this procedure explains how complaints may be submitted, considered/ investigated, reviewed and resolved.
- 1.2 The purpose of this procedure is to provide a clear and consistent approach for feedback or raising complaints relating to BIIAB and SEG Awards products and services and to provide information about what we will do on receipt of a complaint, the process we will undertake to resolve the complaint, identify the cause of the problem, and implement any necessary mitigation or remedial action. The process for escalating a complaint to the relevant qualification regulator is also set out in this procedure.

2. Who May Complain

- 2.1 Complaints may be submitted by;
 - Learners
 - Centres
 - Employers
 - Apprentices
 - Parents or guardians
 - Members of the public
 - Regulatory stakeholders
 - Other users of BIIAB and SEG Awards products and services

3. Complaints About Centres

- 3.1 As part of the BIIAB and SEG Awards Centre Recognition process, all Centres must have an internal policy and procedure in relation to complaints. Learners should normally exhaust the centre's own complaints procedure before escalating a complaint to BIIAB or SEG Awards.

- 3.2 If the complaint falls outside of the scope of this procedure, we will notify complainants of this and, where applicable, of the appropriate policy/procedure that should be followed.
- 3.3 BIIAB and SEG Awards may accept complaints without evidence of centre escalation where there are concerns regarding:
- Safeguarding
 - Discrimination
 - Victimisation
 - Conflicts of interest
 - Serious malpractice concerns
 - Risks to learners

4. How to Submit a Complaint

- 4.1 Most issues can be resolved informally and quickly, and this should be the first course of action taken. Complainants should contact either the member of staff concerned or the relevant manager, to explain the complaint, and this can be verbal.
- 4.2 Where informal resolution is not possible, to help us to deal with complaints promptly and efficiently we encourage complainants to complete the complaints form linked to this procedure [here](#).
- 4.3 Complainants should provide:
- Name
 - Contact details
 - Centre name (if applicable)
 - Full details of the complaint
 - Relevant dates
 - Supporting evidence
 - Desired resolution
- 4.4 Complaints can also be submitted to:

Quality and Regulation Team

BIIAB Qualifications Ltd/SEG Awards
Robins Wood House
Robins Wood Road
Nottingham
NG8 3NH

Email: ComplianceandRegulation@biiab.co.uk

Email: complianceandregulation@skillsedugroup.co.uk



5. Time Limits

5.1 Complaints should normally be submitted:

- Within five working days of receiving a response to your informal complaint; or
- Within one month of the matter occurring; or
- Within ten working days of receiving a centre's final complaint response.

5.2 Late complaints may be considered where there are exceptional circumstances.

6. Anonymous and Confidential Complaints

6.1 Anonymous Complaints

BIIAB and SEG Awards will consider anonymous complaints where sufficient information has been provided to support investigation.

6.2 Confidential Complaints

Where confidentiality is requested, BIIAB and SEG Awards will make reasonable efforts to protect the complainant's identity. Complete confidentiality cannot always be guaranteed where disclosure is required for a fair investigation or to satisfy legal or regulatory obligations.

7. Stage One – Acknowledgement

7.1 BIIAB and SEG Awards will:

- Acknowledge receipt within five working days
- Log the complaint on the C&R Tracker
- Determine whether the complaint falls within scope
- Request any additional information required

8. Stage Two – Consideration/Investigation

8.1 An appropriate individual will be appointed.



Consideration/investigation of the complaint may include:

- Reviewing records
- Reviewing policies and procedures
- Interviewing relevant individuals
- Considering centre documentation
- Obtaining witness statements
- Reviewing learner impacts
- Assessing regulatory implications

This is not an exhaustive list. Investigations will be conducted objectively and proportionately.

- 8.2 If the investigation requires additional visits to a centre, to investigate a complaint regarding a centre, the centre will be charged for each visit, and/or other fees may be charged to the centre as necessary (e.g. courier fees to send assessment evidence). Please see the BIIAB and SEG Awards website for details of [current fees](#). These fees are non-refundable.

9. Stage Three – Outcome

- 9.1 BIIAB and SEG Awards aim to issue an outcome within twenty working days of receipt of all relevant information regarding the complaint.
- 9.2 Where additional time is required, BIIAB and SEG Awards will notify the complainant and provide an updated timescale.
- 9.3 Outcomes will state one of the following:
- Upheld
 - Partially upheld
 - Not upheld

Outcome emails or letters will include:

- Complaint summary
- Findings
- Evidence considered (subject to confidentiality or data protection restrictions)
- Conclusions reached
- Any corrective actions identified (subject to confidentiality or data protection restrictions)
- Review rights



10. Stage Four – Review

- 10.1 If dissatisfied, the complainant may request a review within five working days of the outcome letter.
- 10.2 Reviews will be undertaken by a senior manager within BIIAB / SEG who was not involved in the original consideration/investigation. The review will only consider the original complaint and how it was handled, it will not consider new information or additional complaints.

The review will consider:

- whether procedures were followed;
 - whether evidence was appropriately considered;
 - whether conclusions reached were reasonable
- 10.3 The review outcome normally represents the final stage of the BIIAB and SEG Awards complaints process. The review decision will normally be issued within twenty working days from receipt of the complaint.

11. Root Cause Analysis and Corrective Action

- 11.1 Where complaints identify failures in systems or controls, BIIAB and SEG Awards will undertake root cause analysis.
- 11.2 Actions may include:
- Corrective actions
 - Preventative actions
 - Staff training
 - Policy revision
 - Centre intervention
 - Additional monitoring
 - Regulatory notification
- 11.3 Root cause analysis findings will be recorded and monitored to completion.

12. Regulatory Escalation



Following completion of BIIAB and SEG Awards complaints process, complainants may refer concerns relating to regulated qualifications to the relevant regulator.

Ofqual

[Make a complaint](#)

Qualifications Wales

Q2 Building

Pencarn Lane

Imperial Park

Newport

NP10 8AR

Email: enquiries@qualifications.wales

CCEA Regulation

29 Clarendon Road

Belfast

BT1 3BG

Email: complaints@ccea.org.uk

Qualifications Scotland Accreditation

[Qualifications Scotland Accreditation - Complaint Form](#)

Scottish learners and the Scottish Public Services Ombudsman

For qualifications regulated by Qualifications Scotland Accreditation, learners have the right to raise concerns with Qualifications Scotland Accreditation in accordance with its published procedures.

Where a complaint relates to a Scottish public body, such as a further education college, university or local authority centre, complainants may also have rights to escalate complaints to the Scottish Public Services Ombudsman (SPSO) after exhausting the relevant organisation's complaints procedures. Further information regarding SPSO jurisdiction and complaint eligibility can be found on the SPSO website.

13. Records and Retention

13.1 BIIAB and SEG Awards will maintain records of:

- Complaints received
- Evidence reviewed
- Complaint/ Investigation findings
- Outcomes

- Corrective actions
- Review decisions

13.2 Records of complaints will be stored in our internal CRM system. Records will be retained in accordance with BIIAB and SEG Awards Record Keeping Policy and Data Protection & GDPR Policy.

14. Reporting

Complaint information will be used to:

- Monitor service performance
- Identify recurring issues
- Support risk management
- Improve customer experience
- Inform governance reporting
- Support regulatory compliance activities