

Compliments and Complaints Policy

October 2016



1. Policy statement

- 1.1 The Higher Education Academy (HEA) aims to set, maintain and deliver high standards of service to all our stakeholders.

2. Aim of Policy

- 2.1 The main aim of the policy is to provide clear guidance for stakeholders on how to make a formal compliment or complaint to the HEA and what will happen in the event of a compliment or complaint being received.
- 2.2 The HEA will make sure that complaints are, wherever possible, resolved and that relationships are repaired.

3. Definition

- 3.1 A compliment or complaint is one which has been received formally either in writing, by email or over the telephone.
- 3.2 A complaint is any expression of dissatisfaction, whether justified or not, about any aspect of the HEA.
- 3.3 A compliment is an expression of praise or admiration.

4. Confidentiality

- 4.1 The HEA will maintain confidentiality at all times and will only disclose information to others as is necessary to complete any investigation. The compliments and complaints monitoring logs will hold the names of individuals, but any summary reports prepared for internal monitoring purposes will not name individuals or enable them to be identified.

5. Complaints procedure of the HEA

- 5.1 We aim to deal with complaints fairly and objectively and to ensure that appropriate action is taken to improve the quality of service the HEA provides.

Stage 1

- 5.2 If you have a problem please contact the HEA by telephone on 01904 717500 to see if the matter can be settled informally in the first instance.
- 5.3 If informal resolution is not possible stage 2, 3 and 4 are available to support complainants.

Stage 2

- 5.4 Complain in writing to the Company Secretary at the address stated above. Your complaint will be acknowledged within 5 working days of receipt. It will then be referred to the relevant manager who will investigate your complaint and respond within 15 working days.
- 5.5 Within 15 working days of receipt of the complaint (or within the notified extended timescale), we will send a written response indicating whether the complaint has been accepted, partly accepted, rejected or if further investigation is needed. The actions will be outlined and reasons given in the response.

Stage 3

- 5.6 If you remain dissatisfied with the outcome of the investigation into your complaint you should write again to the Company Secretary. Please identify the areas of disagreement and explain why you are not satisfied. Your complaint will be acknowledged within 5 working days of receipt and will be referred to the HEA Executive who will review your complaint and respond within 15 working days.

Stage 4

- 5.7 In some cases it may be appropriate to then refer the complaint to the Board or Chair of the Board. At this stage an indication of timescales will be given to the complainant. A full investigation will then be undertaken by a Board member as designated by the Chair of the Board and a full report produced. The findings will then be shared with the complainant. It is aimed for the investigation to be undertaken and report produced within 5 weeks of receiving the complaint.
- 5.8 The Board may vary the procedure for good reason. This may be necessary to avoid a conflict of interest.

- 5.9 Should your complaint require further escalation, you are able to complain to the Charity Commission at any stage in the complaint. Further information can be found on their website, www.charitycommission.gov.uk

6. Monitoring of Complaints

- 6.1 The HEA will record all complaints on its Complaints log. All complaints that are referred to a manager, director and/or the Chief Executive will be monitored to ensure agreed timescales are met.

7. Compliments procedure

- 7.1 Compliments are always welcome and can be made formally – either direct to particular members of staff concerned or to the relevant manager or formally through the policy.
- 7.2 Written compliments may be sent to the below address:
Company Secretary
The Higher Education Academy
Innovation Way
York Science Park
York
YO10 5BR
- 7.3 If you would like to email, please use the following address enquiries@heacademy.ac.uk and include “formal compliment” in the subject line.
- 7.4 On receiving a formal compliment it will be acknowledged in writing within 5 working days of receipt, a copy will be filed centrally and details recorded. A copy will be sent to each member of staff to which the compliment relates and their relevant line manager.

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