



**AIMASSESSMENT**

**Policies**

For apprentices, employers,  
and training providers



## Compliments, complaints and whistleblowing

## Document version history

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Version Number	Date	Description
1	September 2019	<b>T</b> Document created
2	April 2020	<b>T</b> Updated branding and text
3	May 2021	<b>T</b> Updated introduction ( <i>see page 1</i> ) <b>T</b> Added ' <b>Compliments</b> ' section ( <i>see page 2</i> ) <b>T</b> Updated ' <b>Complaints</b> ' section ( <i>see page 2</i> ) <b>T</b> Updated ' <b>How to make a complaint</b> ' section ( <i>see pages 2</i> )
4	May 2022	<b>T</b> ' <b>How to make a complaint</b> ' section updated with new guidance ( <i>see page 2</i> )
5	July 2023	<b>T</b> full review and added ' <b>Scope</b> ' ( <i>see page 1</i> )

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## Scope

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### This policy is intended for

- Apprentices registered with AIM for an apprenticeship Standard
- Employers or Training Provider contracted with AIM for an apprenticeship Standard

### This policy is not intended for

#### Complaints about:

- Independent assessment decisions
- Assessment results
- Reasonable adjustment decisions
- Refusal to grant special considerations

## Introduction

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### About us

AIM Qualification and Assessment Group is an end-point assessment organisation approved by Ofqual to deliver a range of apprenticeship standards. AIM Group is also a regulated awarding organisation and Access Validating Agency.

# Compliments, complaints and whistleblowing

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## Compliments

We endeavor to provide the best possible service to all AIM customers and whilst we receive and investigate complaints, it is also useful and encouraging to receive compliments and to know when we are doing things right. If you identify an area of our service or provision that you find outstanding in any way, we would be grateful to receive details.

If you would like to compliment AIM or any of its staff you can email [assessment@aimgroup.org.uk](mailto:assessment@aimgroup.org.uk).

Alternatively you can leave feedback through [Google Review](#).

## Complaints

We are committed to providing our services in a responsive, accessible and prompt manner in accordance with our service standard timescales. We aim to provide you with the best possible service to enable you to cater for the needs of all your registered apprentices.

If you have a complaint about our services, then please let us know as soon as possible. A complaint would be a serious problem concerning the services we provide that requires our attention and action. We do try to resolve complaints informally in the first instance.

However, if you feel you must make a formal complaint, **follow the procedure below**.

## How to make a complaint

There are two stages to the complaints process where the complaint is about the services of AIM.

### Informal stage

- In the first instance it is recommended that problems are addressed at the earliest opportunity by speaking to your contact at AIM

### Formal stage

- If the complaint cannot be resolved informally, a formal written complaint should be made by following the below process

1. Submit a written complaint via [assessment@aimgroup.org.uk](mailto:assessment@aimgroup.org.uk).

this should contain:

- The complainant's full name, contact details including a phone number\*
- A full description of the complaint, including subject matter, dates and times if known
- Names of any people dealt with
- copies of any evidence, documents, papers or letters related to the complaint

2. We will acknowledge the complaint within **two working days**.

3. We will investigate the complaint with assistance from appropriate members of staff and inform the complainant of the outcome **within ten working days**. **Please note in some circumstances the complaint response may take longer, in such instances AIM will keep all parties fully informed of revised timescales and progress**

*\*the claimant maybe contacted within this period to seek further information or clarification.*

## Complaint outcome

- If any part of the complaint is upheld, AIM will advise the complainant accordingly
- In situations where a complaint is upheld and indicates a failure in the assessment process of AIM, the relevant regulator will be informed

The actions AIM may take where an investigation finds that there has been a failure in its assessment processes may include:

- correcting, or where it cannot be corrected, mitigating as far as possible the effect of the failure
- ensuring that the failure does not reoccur in the future

## Whistleblowing

Whistleblowing is a term used when an individual discloses information about another individual or organisation relating to any wrongdoing, malpractice or maladministration, bad practice or corruption and/or the covering up of any of these.

This whistleblowing policy can be brought into effect should an individual become aware of information which they reasonably believe **tends to show one or more of the following:**

- an incident of malpractice or maladministration\*
- A criminal offence has been, is being or is likely to be committed.
- A person has failed, is failing or is likely to fail to comply with a legal obligation.
- A miscarriage of justice has occurred, is occurring or is likely to occur.
- The health and safety of an individual has been, is being or is likely to be endangered.
- The environment has been, is being or is likely to be damaged, **or**
  - information relating to any of the above has been or is likely to be deliberately concealed

\***Malpractice** is any deliberate activity or practice which contravenes regulations. Compromises the integrity of the internal or external assessment process and/or the validity of results or certificates. Damages the authority, reputation or credibility of AIM Qualifications and Assessment Group, the centre, or the wider education sector.

**Maladministration** is any activity or practice which results in non-compliance with management and administrative regulations and requirements.

## Making an allegation

Submit a written whistleblower disclosure via [assessment@aimgroup.org.uk](mailto:assessment@aimgroup.org.uk). this should contain (where possible):

- The whistleblowers contact details including a phone number\*
- A full description of the allegation, including subject matter, dates and times if known
- copies of any evidence, documents, papers or letters related to the allegation

We will acknowledge the disclosure within **two working days**.

*\*If these details are provided, the whistleblower may be contacted within this period to seek further information or clarification.*

## Investigating allegations

1. If you choose to make a whistleblowing disclosure to us we will normally ask you to provide as much evidence as possible to support your disclosure.
2. We will look into anonymous whistleblowing disclosures or pass them on where appropriate. However, it may not always be possible to investigate or substantiate anonymous disclosures.
3. We will consider each disclosure of information sensitively and carefully, and decide upon an appropriate response. We may share with third parties, information received in the disclosure where we consider it necessary to do so.
4. We will not normally inform an informant about the outcome of an investigation.
5. AIM staff will not engage with abusive complainants or persistent and repeated contacts from complainants as these reduce the time that can be dedicated to carrying out investigations.

## Confidentiality

We will always endeavour to keep a whistleblower's identity confidential where asked to do so, although we cannot guarantee this and **we may need to disclose your identity to:**

- the police, fraud prevention agencies or other law enforcement agencies (*to investigate or prevent crime, including fraud*)
- the courts (*in connection with court proceedings*)
- another person to whom we are required by law to disclose your identity

A whistleblower should also recognise that they may be identifiable by others due to the nature or circumstances of the disclosure. Individuals who are concerned about being identified should discuss their concerns at the time of disclosure.

## Appeal against the decision or action

Any relevant party(ies) can appeal the decision taken by AIM if they are dissatisfied with the outcome of an allegation, by referring to the AIM enquiries and appeals policy. (**Insert EPA link here**)





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