



**AIMASSESSMENT**

policies

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for centre staff



# AIM Assessment

## Compliments, complaints and whistleblowing

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# Document version history

Version Number	Date	Description
2	March 2020	- Updated branding and text

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## Welcome

AIM Qualifications and Assessment Group are an end-point assessment organisation approved on the register for a range of apprenticeship standards. AIM Group are also a regulated awarding organisation and Access Validating Agency.

## Introduction

This document is intended for apprentices, employers and training providers and provides details on making a complaint and appealing a decision for end-point assessment.

# Complaints

We are committed to providing our services in a responsive, accessible and prompt manner in accordance with the service standard timescales for further information on this please contact the AIM office. We endeavor 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 the process is described below.

## How to make a complaint

If you feel you need to make a complaint about any aspect of our service, in the first instance please contact your allocated contact person and explain the issue. In most cases we will seek to resolve your complaint informally.

1. If you still wish to complain the below process should be followed. Submit a written complaint via email to [assessment@aim-group.org.uk](mailto:assessment@aim-group.org.uk) marking it for the attention of the Director of Compliance and Quality Assurance (DoCQA) within 14 working days
2. The DoCQA will acknowledge the complaint within five working days
3. The DoCQA will investigate the complaint with assistance from appropriate members of staff and inform the complainant of the outcome within 10 working days
4. If the complainant remains dissatisfied with the response, the complaint will be passed to the Chief Executive Officer (CEO) or deputy who will reconsider the decision within five working days and may uphold the complaint, dismiss the complaint or suggest alternative action
5. In the event that the complainant is still dissatisfied with the outcome, an appeal in writing should be submitted within 14 days to Board of Trustees (BoT) who will consider the matter and reply within 10 working days

Our Board of Trustees receive a summary of complaints in the annual self-assessment Report.

## Whistleblowing

Whistleblowing is a term used when an individual discloses information relating to malpractice or wrongdoing and/or the covering up of malpractice or wrongdoing.

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:**

- 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

## Making an allegation

**Key examples of whistleblowing disclosures being made to us include:**

- a worker for a training provider making a disclosure about that training provider's malpractice
- an apprentice or parent/guardian making a disclosure about a training provider's malpractice
- potentially fraudulent claims for apprenticeships

In some cases, you may want to raise your concern with your employer or training provider first, perhaps through your line manager or tutor. If you do not feel that this is appropriate you could consider approaching senior management within your organisation. If you feel that a concern you have raised internally has not been appropriately addressed or if you feel unable to raise your concerns internally you may want to make a disclosure to someone outside of your organisation. Similarly, it may be that your concern is about something you have witnessed outside of your place of work, for example as a service user or observer.

## Investigating allegations

1. If you choose to make a whistleblowing disclosure to us, we will normally ask you to provide as much of the evidence you have seen 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:**

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

A whistleblower should also recognise that he or she 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.



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