

7.11

COMPLAINTS POLICY AND PROCEDURE

# Key Details

|  |  |
| --- | --- |
| **POLICY TITLE** | Complaints Policy and Procedure |
| **DATE APPROVED** | 07 Oct 2009 |
| **APPROVING BODY** | Academic Board |
| **VERSION** | 7 |
| **PREVIOUS REVIEW DATES** | Sep 2010, Sep 2013, Feb 2014, Aug 2015, Dec 2019, Jun 2022, Jul 2024 |
| **NEXT REVIEW DATE** | 2027 |
| **OUTCOME OF EQUALITY IMPACT ASSESSMENT** |  |
| **RELATED POLICIES / PROCEDURES / GUIDANCE** | [*Academic Handbook Ah1\_07 (cardiffmet.ac.uk)*](https://www.cardiffmet.ac.uk/registry/academichandbook/Pages/Ah1_07.aspx) |
| **IMPLEMENTATION DATE** | 07 Oct 2009 |
| **POLICY OWNER (JOB TITLE)** | Director of Registry Services |
| **UNIT / SERVICE** | Registry Services |
| **CONTACT EMAIL** | complaints@cardiffmet.ac.uk |

# Version Control

|  |  |  |
| --- | --- | --- |
| **VERSION** | **DATE** | **REASON FOR CHANGE** |
| 7 | 3 Jul 2024 | To incorporate further OIA good practice guidance and necessary updates identified through recent cases. |

Complaints Policy and Procedure

# Policy Statement

## The University is committed to providing high quality services and facilities for students, staff and the general public. Integral to this is monitoring and evaluating those services to enhance quality and to ensure specified standards are met.

## The University has in place a variety of mechanisms to ensure that students, staff and the public have the opportunity to participate fully in the development and improvement of services and it is expected that all parties will take full advantage of these in making their views known.

## The Complaints Policy and Procedure is available for use by students, staff and members of the public.

## The University recognises that there may be occasions when ordinary feedback mechanisms are not sufficient to deal with problems. It is for this reason that a formal Complaints Policy and Procedure has been established.

# Definition of a Complaint and Scope

## A complaint is defined as an oral or written expression of dissatisfaction or concern someone may have about policies, processes, facilities or services provided by the University or about actions or lack of actions by the University or its staff.

## This does **NOT** include:

|  |  |
| --- | --- |
| Harassment and Bullying | [Student Disciplinary Procedure](https://www.cardiffmet.ac.uk/registry/academichandbook/Pages/Ah1_09.aspx) – students[Harassment and Bullying Policy](https://www.cardiffmet.ac.uk/about/policyhub/Pages/default.aspx) - staff |
| Academic decisions | [Appeals](https://www.cardiffmet.ac.uk/registry/Pages/appeals.aspx) procedures |
| Students’ Union procedures | [Students’ Union Complaints Procedure](https://www.cardiffmetsu.co.uk/union/governance/)[Students’ Union Membership Code of Conduct](https://www.cardiffmetsu.co.uk/union/governance/) |
| Staff grievances | [Staff Grievance Policy](https://www.cardiffmet.ac.uk/about/policyhub/Pages/default.aspx#hr) |
| Disciplinary or Misconduct matters | [Student Disciplinary Procedure](https://www.cardiffmet.ac.uk/registry/academichandbook/Pages/Ah1_09.aspx) – students[Staff Disciplinary procedure](https://www.cardiffmet.ac.uk/about/policyhub/Pages/default.aspx) |
| Financial matters | See [Policy Hub](https://www.cardiffmet.ac.uk/about/policyhub/Pages/default.aspx) for Financial Regulations and finance-related policies |
| Freedom of Information and Environmental Information Regulations | [Freedom of Information Policy](https://www.cardiffmet.ac.uk/about/policyhub/Pages/default.aspx)[Data Protection Policy](https://www.cardiffmet.ac.uk/about/policyhub/Pages/default.aspx) |
| Complaints/Appeals from Applicants | [Complaints Procedure (Applicants)](https://www.cardiffmet.ac.uk/registry/Pages/Complaints.aspx) |

## These issues are covered by separate procedures, but if in doubt advice may be sought from the Complaints Manager (or nominee), who will advise on which procedure to follow. Further information can be found under para 6 of this procedure. If an appropriate procedure is not available or there is doubt about which one is most suitable, then the Complaints Procedure will be adopted.

## Academic procedures are found within the University’s [Academic Handbook](http://www.cardiffmet.ac.uk/registry/academichandbook/Pages/default.aspx). Other policies and procedures are available via the University’s [Policy Hub](https://www.cardiffmet.ac.uk/about/policyhub/Pages/default.aspx).

## Where a complaint involves more than one School/Unit, one Investigating Officer will undertake the Complaint investigation. This will be agreed between the Schools/Units and the Complaints Manager (or nominee).

## Where an issue involves aspects that are covered by more than one procedure, it would not be prudent to have more than one investigation into a case running concurrently. In this situation, the Complaints Manager (or nominee) will write to the complainant advising of the situation and clarifying the approach that will be adopted. This will vary depending on the facts of the case, but the decision will always be explained to the complainant and they will be given an opportunity to object. The Complaints Manager (or nominee) will consider the grounds of any objection and will make a final decision on the course of action to be followed.

## For example, it may be in the best interests of the complainant to have an appeal of an exam board decision investigated before a complaint, due to the time limits involved in each process. The most appropriate approach will be judged on a case-by-case basis.

## The Complaints Procedure can be used by students who are currently on a period of suspension from their studies. This covers a period of either voluntary suspension, or suspension imposed by the University under its policy and procedure framework.

## The Rules of Natural Justice will be observed in all complaint investigations to ensure that the complaint is investigated and processed fairly, that there is no bias, and that the complainant and the subject of the complaint are given the opportunity to state their case, having been appraised of all relevant facts.

## The standard of proof at each stage of the procedure is ‘on the balance of probabilities’, which means that something is more likely than not to have happened.

## The burden of proof lies with the complainant, which means it is the responsibility of the complainant to prove their case on the balance of probabilities.

# Purpose of the Complaints Procedure

## The purpose of the procedure is to provide a route through which a complainant, as a student or member of staff or member of the public, can bring a complaint to the attention of the University.

## The procedure aims to:

## be accessible;

## encourage informal conciliation and resolution nearest to the source of the complaint;

## allow speedy handling, within established time-frames;

## ensure full and fair consideration of complaints;

## respect complainants’ confidentiality;

## provide an effective and appropriate response;

## support the right of the complainant to be accompanied at any stage of the procedure;

## contribute to the University’s performance measurement;

## identify areas of weakness in order to support the University’s development and improvement;

## ensure compliance with good practice and guidance issued by the Office of the Independent Adjudicator (OIA).

# Who is responsible?

## The Vice Chancellor’s nominee, normally a member of the University’s Executive Group has overall responsibility for the University’s Complaints Policy and Procedure, including reviewing, monitoring and reporting upon its implementation.

## The Registry Operations Manager (Complaints and Conduct), denoted as ‘Complaints Manager (or nominee)’ throughout this document, has day-to-day responsibility for the delivery and management of the Complaints Procedure.

# Welsh Language Standards

## The University supports the principles of the Welsh Language (Wales) Measure 2011 and has adopted the principle of treating the English and Welsh language equally.

## The University is fully committed to meeting the Welsh language standards set under the powers provided in the Welsh Language (Wales) Measure 2011 and to ensuring that the Welsh language has equal status.

## In line with those standards the following principles apply:

### This policy and procedure is available in Welsh.

### Complainants can submit complaints and correspondence in Welsh.

### A member of staff can respond in Welsh to any complaint made about them and the University will advise them of their right to do so.

### Where any complaint is made in Welsh any written response to that complaint will be provided in Welsh.

### Where any formal meetings are required under this policy and procedure the complainant and respondent will be offered the opportunity to use the Welsh language at the meeting.

### A translation service from Welsh to English will be provided for any formal meetings that are requested through the medium of Welsh, with a simultaneous translation service from Welsh to English where meetings are conducted in the medium of Welsh.

### When the University informs a complainant of a decision and / or an outcome that has been reached in relation to a complaint made by them, this will be made available in Welsh where that complainant:

### brought the complaint in Welsh;

### asked for a formal meeting to be conducted in Welsh;

### asked to use the Welsh language at a meeting about a complaint.

### Where the University informs a member of staff of a decision or outcome that has been made in relation to a complaint made about them, this will be made available in Welsh where that employee:

### Responded to a complaint about them in Welsh

### Asked for a formal meeting a about a complaint to be conducted in Welsh

### Asked to use the Welsh language at a meeting about a complaint.

## The complaints procedure specified in this policy document can be used to bring a complaint against the University’s compliance with the Welsh Language Standards. This includes (but not limited to) policy making and operational standards. The use of this complaints procedure is in addition to a complainant’s rights to take a complaint about the University’s compliance with the Welsh Language Standards to the Welsh Language Commissioner:

## [Gwneud cwyn (comisiynyddygymraeg.cymru)](https://www.comisiynyddygymraeg.cymru/eich-hawliau/gwneud-cwyn)

## The Complaints Manager (or nominee) will keep a record of all complaints received about the University’s compliance with the Welsh Language Standards, or any written complaint that relates to the Welsh language.

## Any individual who is involved in translation services, will treat any completed complaint form, correspondence, discussions and meetings that they are involved in, in strict confidence.

# Specific Complaints

## Partner Institutions

### Where a complaint relates to provision at a Collaborating Partner Institution, the complaint should be raised through local procedures in the first instance. If the complaint remains unresolved after completing the internal procedure of the partner institution, students may access Stage Two (Review) of the University’s Complaints Policy and Procedure. This stage will be initiated if the matter relates to the academic standards of the award and/or the quality of the learning opportunities and/or any aspect over which Cardiff Metropolitan has authority and the power to deliver a remedy. The scope of the Stage Two review will include the partner’s handling of the original complaint. The principles of a Stage Two review (including timeframes) are found under para 10.3.

### If there is any uncertainty over whether the complaint of a student from a Collaborative Partner Institution is eligible to be considered under the University’s Complaints Policy and Procedure, the Complaints Manager (or nominee) will make the final decision and provide the justification of this decision to the student and partner institution.

## Group Complaints

### Most complaints are made to the University by students who have been affected by something that happened to them as an individual. If however, there is common concern / issue between a group of students and they wish to bring the matter to the attention of the university, then this is possible under the University’s complaints policy and procedure (‘Group complaint’).

### For the matter to be considered as a ‘common concern / issue’ by the University and joined as part of a Group complaint the complaint must be about the same, or very similar issue(s).

### A Group complaint may be brought against a specific student, member of staff (or both) and / or upon any matter that falls within the definition of a complaint under para 2.1.

### The group will be asked to appoint a spokesperson who will be responsible for completing the complaints form. All complainants must all agree in writing to the spokesperson acting on their behalf.

### 

### The names / details of all those individuals who wish to be included within a Group complaint must be cited on the complaints form submitted by the spokesperson. All complainants must be able to demonstrate that they have been personally affected by the matter.

### The spokesperson will be responsible for communicating with the University as the complaints progresses. They will also be responsible for agreeing whether the option of mediation is acceptable to the group.

### If there is an ongoing Group complaint the University may set a deadline for other student complaints to be added. The University may also determine that it is not appropriate for a complaint to be added. A reason for this decision will be provided to the student.

### No outcome will be delivered to a student who is not named on the Group complaint. To be clear, as stated in para 8.3 a complainant will not be disadvantaged in any way by raising a complaint.

### If a complaint is about the conduct or behaviour of another student or staff member, then those named in the Group complaint will be expected to take part in any investigation following that allegation e.g Student Disciplinary Procedure / Finess to Practise / Academic Misconduct. Support will be provided.

### Students are reminded that Year / Students’ Union Reps are able to support and represent students on a Group Complaint.

### In addition to the information provided in Para 10.2, students should be aware that the OIA has issued specific information on taking Large Group Complaints to them:

### <https://www.oiahe.org.uk/about-us/our-scheme/our-rules/additional-rules-that-apply-to-large-group-complaints/guidance-note-additional-rules-for-large-group-complaints/what-is-a-large-group-complaint/>

## Complaints about Staff

### Where a complaint relates to a member of staff, there is a difference between a service complaint directed at an individual member of staff (which would likely come under the Complaints Policy and Procedure), and a complaint about alleged misconduct of a staff member (which would likely come under one of the other procedures listed in para 2.2).

### What information is disclosed about a disciplinary outcome to a complainant may vary depending on the facts of a particular case, and information will be provided in line with the University’s obligations under the Data Protection Act 2018 /GDPR. The [guidance issued by Universities UK on Data Sharing (Impact and Risk Assessment)](https://www.universitiesuk.ac.uk/sites/default/files/uploads/Reports/Changing-the-culture-sharing-personal-data-in-harassment-cases-Practical-guide.pdf) will inform the University’s decisions in this regard.

### Further clarification on this will be provided by the Complaints Manager (or nominee) at the beginning of the procedure.

# Supporting Disabled Students and Staff

## For students with a disability under the Equalities Act 2010, support in navigating University procedures is specifically available from the Student Services department. Advice and representation is also available from the Students’ Union in bringing a complaint forward. The Complaints Manager (or nominee) can also provide assistance and information on the Complaints Procedure.

## This support is available whether or not a complaint is in relation to a breach of the Equalities Act 2010.

## For staff with a disability involved in complaints under this procedure, further support in navigating University procedures can be provided by People Services. The Complaints Manager (or nominee) can also provide assistance and information on the Complaints Procedure.

## If information, correspondence or a complaints form is required in an alternative format, complainants should email [complaints@cardiffmet.ac.uk](mailto:complaints@cardiffmet.ac.uk).

## In some cases, where there is evidence that the student’s ability to engage with the correct procedure is impaired, it may be reasonable for the University to make adjustments to this procedure to remove any advantage which the student may otherwise encounter. In such cases, these adjustments will be confirmed in writing.

## The Complaints Procedure can be used by disabled students who do not agree with the University about the support which the University has made available to them following a Disabled Students Allowances (DSA) assessment.

# Ground Rules

## Before making a formal complaint, it is expected in most circumstances that an attempt should be made to resolve the matter informally with the relevant person, or through their line manager. The Complaints Manager (or nominee) can be contacted if particular advice or assistance is required, or where the complainant feels unable to contact the most relevant person.Appropriate action must be taken to prevent unnecessary escalation of the complaint (see para 10 for further information).

## At all stages of both the informal and formal procedure, a complaint should be acknowledged, handled in a quick, polite and straightforward way and investigated thoroughly and impartially.

## A complainant will not be disadvantaged in any way by raising a complaint.

## The University reserves the right not to investigate or act upon anonymous complaints, those raised on behalf of an anonymous third party or where a third party makes a complaint on behalf of someone else without their written consent.

## Consent must be given before a parent or representative can act on behalf of a student over 18 years of age.

## If a student under the age of 18 complains, normally subject to obtaining the consent of the student, the University will notify the parent(s)/guardian(s) in writing and keep them informed of the progress of the complaint. The University will also allow them to act on behalf of the student at the time of submitting a complaint, provided the student agrees to this in writing.

## If a complaint is found to be frivolous, vexatious, defamatory, unreasonable, or motivated by malice, the University reserves the right not to proceed with the complaint and to take action against the complainant.

## It is reasonable for the University to expect that, having submitted the complaint, the complainant will engage with the Complaints Procedure in order that a fair resolution can be reached. If a complainant fails to engage following submission of their complaint, or fails to respond to the first attempt to make contact, two further attempts will be made in one or all of the following ways: by email sent to the University email address, by personal email address listed on the Student System, and by telephone. It is the student’s responsibility alone to ensure that their most up to date contact details have been made known to Cardiff Metropolitan University. The University reserves the right not to proceed with the complaint at this point.

## The subject of a complaint will be informed of the detail of the complaint.

## Mediation is open to parties at the informal or formal stage. This is a process by which an impartial person helps others to resolve their difficulties. It is voluntary and it can help to resolve problems. Mediation is undertaken without any admission of wrongdoing by any party, and without precluding any opportunity to pursue formal action. If a student decides they would like to use mediation, they should discuss the matter with the Complaints Manager. Mediation can only proceed with the agreement of all the parties.

## To enter the formal stages of the procedure, the complaint must be submitted in writing, including a statement of the desired outcomes and supporting evidence provided, where reasonably possible. A Stage Two Review must also be submitted on specific grounds (para 10.3).

## Supporting evidence may include (but is not limited to):

## Correspondence (e.g. emails)

## Medical evidence

## Reports by professionals

## Financial information

## Witness statements

## When evidence is not provided or cannot be obtained where it can be reasonably expected, the University reserves the right not to proceed with the complaint and a Completion of Procedures (COP) Letter will be provided (see para 11.1 for further detail)..

## At all stages of the informal and formal procedures the case may be presented in Welsh or English. If a complainant intends to be present at a meeting, they must give prior notice of their preferred language.

## The timescales laid down in the procedure may need to be extended in certain circumstances, for example where a case is particularly complex, or where witnesses or the Investigating Officer are unavailable. Where this need arises, the Complaints Manager (or nominee) will inform the parties in writing.

## The University reserves the right, however, not to consider any complaint that is submitted more than **three months** after the event and to set a final deadline at any stage, after which the complainant will forfeit the right to pursue the complaint further.

## All persons involved will be provided with details of the complaint and any supporting documentation at least **five working days** before any interview or meeting.

## When making a formal complaint the complainant, and/or any person(s) being complained about and/or any witnesses may be accompanied by a support person (e.g. friend, family member, officer of the Students’ Union or a professional union). The role of this person is to support the student and they will not be able to speak for or represent the individual and they will not be able to speak for or represent unless it has been agreed in advance as a reasonable adjustment due to a disability. The name and status of the support person must be provided to the University at least two working days before the meeting.

## Legal representation at a complaint meeting would only be appropriate in exceptional circumstances and must be agreed in advance by both parties. If a individual’s chosen support person has legal qualifications, they must notify the University of their name and status at least five working days before the meeting.

## If legal action is considered by a complainant, the University will take suitable steps to ensure that its legal position is fully protected.

## Decisions and outcomes will be communicated to the person(s) complained about at the same time as the complainant.

# Confidentiality

## Privacy and confidentiality will be maintained, and information restricted to only those involved in the investigation and resolution of the complaint. There may be certain circumstances where the information needs to be shared on a wider basis, including but not limited to where:

### it is judged that there may be concerns for the immediate wellbeing of a student, in which case the Complaints Manager (or nominee) may take reasonable steps to support the student, for example ask Student Services to contact the student to establish if any support can be provided.

### information within the complaint gives rise to a safeguarding concern in relation to a student or someone else, in which case advice will be sought from the University’s Safeguarding Lead.

## All those involved in a complaint, including the complainant(s) and any individual who is the subject of a complaint, should respect the confidential nature of the procedure, to avoid compromising the independence of any investigation.

## Complaint outcomes will be recorded in order to identify trends and inform the University’s review of procedures, however in sharing statistics internally, individual students are not identifiable.

## For further information on Data Privacy, please refer to the Cardiff Metropolitan University Data Privacy Statement or contact the Information and Data Compliance Officer by emailing DataProtection@cardiffmet.ac.uk.

## All records of complaints will normally be destroyed after **six years** has elapsed from the complaint being resolved or closed.

## If complainants have any queries or concerns regarding the confidentiality of their complaint, they should email complaints@cardiffmet.ac.uk.

# Complaints Procedure

## Early Resolution at a Local Level

### The first step is to try to resolve the complaint informally with the person(s) concerned at the point at which the problem arose.

### If the complaint is about a particular service, the complainant should approach staff responsible for delivering that service as they may be able to resolve the complaint directly and/or there may be an established mechanism for providing feedback.

### If the complaint is about treatment by a specific individual, then the complainant should normally try to approach this person in the first instance if they feel comfortable doing so. Alternatively, they may wish to talk informally with someone else or approach the person’s line manager or contact the Complaints Manager (or nominee) for advice and assistance.

### There may be instances where the Complaints Manager (or nominee) identifies that early resolution has not been attempted yet, or there is further scope for early resolution to be attempted and they will offer to support the complainant accordingly.

### Further information on the possibility of mediation can be found under para 8.10.

### Normally a complaint must be raised as soon as possible after the event that is the cause for complaint.

### An acknowledgement will normally be sent within **5 working days** and hopefully a resolution within **30 working days**.

### Only the outcome will generally be recorded in writing during the early resolution stage. A written response can however be provided to the complainant when a complaint is submitted in writing.

### In most circumstances, all involved must try to reach a resolution before considering any formal procedures.

### It is recognised that some circumstances may not be appropriate for consideration under the early resolution stage, for example due to the nature, complexity or seriousness of the case. In these instances, the complainant should be promptly directed to Stage One of this procedure. Further advice can be sought from the Complaints Manager (or nominee).

## 

## Stage One – Formal Investigation

### If the complainant is dissatisfied with the outcome of attempts to reach early resolution of the complaint, Stage One of the Complaints Procedure should be initiated. This must be done either by completion of the online ‘Complaints form’ or email submitted to [complaints@cardiffmet.ac.uk](mailto:complaints@cardiffmet.ac.uk) (if this has not already been done during an attempt at early resolution).

### 

### A copy of the Complaints Form can be located using the link below. A Welsh language version of the form is also available on the link.

### <http://www.cardiffmet.ac.uk/registry/Pages/Complaints.aspx>

### If an alternative format is required, please email [complaints@cardiffmet.ac.uk](mailto:complaints@cardiffmet.ac.uk).

### The nature and grounds of the complaint must be outlined, along with evidence, and the outcome or redress sought. This must be received within **10** **working days** of the failure to resolve the issues through early resolution.

### The Complaints Manager (or nominee) will normally acknowledge receipt of the formal complaint within **5** **working days**. If the complaint is accepted for investigation, the Complaints Manager (or nominee) will then normally liaise with the relevant Dean of School/Department of Unit to arrange for an investigation to be undertaken by an Investigating Officer.

### The Investigating Officer will be a senior colleague from a different department/area within the University to the subject matter/events cited in the complaint, who has had no involvement with the events cited in the complaint.

### The investigation may involve holding meetings and interviews with relevant people. Written notes of such meetings will be made, normally by a note taker from the University..

### Should the complaint be against the Dean of School/ Director of Unit, the investigation will be overseen by a member of the University’s Executive Group.

### The investigation will be completed as quickly as possible and completed within **30** **working days**. When the investigation is concluded, the Investigating Officer will submit a report of the investigation to the Complaints Manager (or nominee) who will liaise with the relevant Dean of School/Director of Department (or nominee) for consideration and approval. If the complaint is upheld, the parties will be informed of any action that the University intends to take.

### The report will be held by the Complaints Manager (or nominee) for monitoring purposes.

### The report of an appointed Investigating Officer will be based upon the following headings:

### Purpose of the Report

### The Nature of the Complaint, including allegations

### Background/Context, including outcomes of any previous Stages

### Evidence reviewed

### Details of the Complaint and Investigator’s findings in relation to each issue/ allegation,

### Conclusion and Recommendations, including whether the complaint is upheld or not.

### 9.2.11 The parties involved will normally be informed of the outcome by the Complaints Manager (or nominee) or the Dean of School/ Director of Unit (or nominee).

## Stage Two – Review of the Complaint Investigation

### Where the complainant remains dissatisfied with the outcome of the Stage One Formal Investigation, they may request that the outcome be reviewed at Stage Two.

### In order to initiate Stage Two, the complainant must submit details in writing to the Complaints Manager (or nominee) within **10 working days** from the date of notification of the outcome of Stage One.

### A complainant’s request for review, which should be submitted via email to [complaints@cardiffmet.ac.uk](mailto:complaints@cardiffmet.ac.uk), must provide grounds for requesting a review, the desired outcomes and outline why the decision of Stage One was not satisfactory. A request for review will only be accepted on the following grounds:

### that there has been a procedural error in the Stage One investigation;

### that new evidence is available, which the complainant could not reasonably have been expected to produce at the original meeting;

### that the outcome was not reasonable in the circumstances.

### The situation will normally be reviewed by the Complaints Manager (or nominee) (or nominee - the Independent Reviewer) and the complainant will be notified within **5** **working days** whether the investigation is to proceed.

### Where the grounds are not met, the case will be closed and the student will be informed of the reasons in writing.

### The Independent Reviewer will have access to all prior correspondence and the results of the previous stages. They may wish to meet with the complainant and any other parties involved, in order to reach a decision, although this is not always necessary.

### The Review should be completed and the decision / recommendations communicated to all parties within **30 working days** of the start of the investigation. Where appropriate, the complainant will also be informed of any action that the University intends to take. If the review is expected to take longer, parties will be kept informed of progress.

# Conclusion

## The formal Stage Two Review completes the internal procedures for complaints. The complainant will be finally and promptly issued with a Completion of Procedures letter in accordance with the guidance published by the Office of the Independent Adjudicator (OIA). This letter will:

## a) confirm that all internal procedures have been exhausted;

## b) list the issues involved and dealt with and their outcome; and

## c) inform the complainant of the right to take the complaint further to the OIA within the specified time frame.

## If the complainant is a student or a parent or guardian acting on behalf of a student and still dissatisfied, the case can be taken to the OIA. The University will provide information about the OIA and how to contact them. Their website address is [www.oiahe.org.uk](http://www.oiahe.org.uk/)

# Monitoring and Review

## The Complaints Procedure will be reviewed every three years, in line with institutional practice. This is the responsibility of the Registry Operations Manager (Complaints and Conduct) (or nominee).

## Monitoring of the process is undertaken by:

## maintaining a tracking system and record of each complaint;

## providing an annual report, review and analysis of complaints for the University’s Academic Board;

## feeding back details of actions and outcomes to relevant Schools and Units;

## ensuring staff responsible for co-ordinating complaints and responses undertake staff development. Training is offered at regular intervals each year.

## establishing a rigorous and effective system of dealing with proven culpability by one or more parties and feeding back to the complainant the course of action that has been taken by requiring a report from the Dean of School/Head of Unit involved on what has been achieved and implemented to prevent the same situation happening again.

## 11.3 Any review of the procedure should ensure ongoing alignment with good practice and guidance issued by the external ombudsman for student complaints, the Office of the Independent Adjudicator (OIA).