

## **COMPLAINTS POLICY AND PROCEDURES**

<b>Subject:</b>	Complaints Policy and Procedures	
<b>Origination date:</b>	November 2017	
<b>Last approved:</b>	January 2020	
<b>Effective date:</b>	January 2020	
<b>Person responsible:</b>	Deputy Principal - Curriculum & Quality	
<b>Approved by:</b>	SLT	
<b>For information to:</b>	All staff	<b>POLICY NO. S8/20</b>

### **1. INTENT**

- 1.1. As part of our Corporate objective to strive for Quality Improvement, the College seeks to operate fair and efficient procedures for dealing with complaints from students and members of the public.

### **2. INTENT**

- 2.1. This Complaints Policy applies to all college provision, including higher education courses, and all those who are affected by the actions of HCUC (*Harrow College & Uxbridge College*).
- 2.2. A complaint may be defined as any expression of dissatisfaction regarding a facility or service provided by the College and must refer to the current academic year, or is lodged within six months of completion of a course. Any complaints received outside these timescales will be considered to be out of time, but may be examined at the discretion of the College.
- 2.3. Complaints regarding academic grading, including those relating to higher education courses, should be dealt with by the Academic Appeals Procedure. All other complaints about the services of the College should be directed to the *Harrow College Quality Improvement Officer* or the HCUC Academic Standards Manager / Quality Management. If it is deemed that a complaint relates directly to serious, inappropriate staff conduct, then this will be discussed with the Director of Human Resources to ensure that the appropriate Director conducts the Investigation, with HR support if necessary.

### **3. PERFORMANCE STANDARDS**

- 3.1. Managers and staff will endeavour to resolve all complaints to the satisfaction of the complainant and the College.
- 3.2. A first principle is to ensure that early intervention and response by all staff will address customer dissatisfaction before issues become formal complaints
- 3.2.1 For example, student complaints about their course should be discussed firstly with their lecturer or group tutor / Student Progression Advisor (SPA) where appropriate. If the issue is not resolved, it should then be discussed with the *Curriculum Manager / Senior Curriculum Manager / Section Manager / Head of School*. If a satisfactory resolution cannot be reached, the complaint should then be put in writing and enter the formal phase to be investigated by a Director.
- 3.2.2. If the line manager is the person at which the written complaint is directed, they will pass the written complaint directly on to the Deputy Principal - Curriculum & Quality (DP C&Q) / Academic Standards Manager (ASM) who will then ensure the complaint is investigated by an independent third party within the College, including allocating it to the most appropriate Senior Manager where appropriate.

3.2.3 An attempt must be made where possible to resolve issues of customer dissatisfaction at a local level i.e. with the *School / Curriculum or Support Area*. Where resolution is possible, all such informal complaints must be logged on an informal complaints register with the School and Support Area and reported at performance management meetings.

Issues of customer dissatisfaction must be logged on an informal complaints register within the school or support area and reported in Board of Study and Performance Reviews.

- 3.3 Complaints that staff deem cannot be resolved will be referred to the HCUC ASM for a full response.
- 3.4 Where complaints cannot be resolved to the satisfaction of the complainant, full responses will be given to record the outcome of a formal complaint investigation conducted by a Director.
- 3.5. All formal complaints will be recorded and reported on a regular basis to the Senior Leadership Team and at each meeting of the Governing Body. In addition, the Equality and Diversity Forum will review the analysis of complaints by group category at each meeting.
- 3.6. Complaints will be responded to within the stated periods at paragraph 4.4.
- 3.7. Responses to complaints will be constructive.
- 3.8. Copies of this policy and procedure will be available from the College's Receptions and accessible to students through Moodle (the College's virtual learning environment).
- 3.9. Copies of complaint reporting forms will be on display at key service points throughout the College and accessible to students via the college website. Complaints can also be communicated by telephone and email.
- 3.10. For complaints which are of a serious nature but which have not been received in writing, every effort will be made to report and record the complaint and outcomes for the purposes of monitoring and resolution.

#### **4. COMPLAINTS PROCEDURES**

- 4.1. If a student has a complaint, in the first instance they should raise the complaint informally within their *Curriculum Area / School* as set out in the complaints procedure published in course information on Moodle/ in course handbooks. This indicates clearly how a student may progress a complaint to a formal written complaint if the complaint remains unresolved.
- 4.2. Written complaints should wherever possible be recorded on the Complaints Reporting Form by the complainant, which should then be handed in at Reception or emailed (ref. 3.9 above) for the attention of [Feedback@Harrow.ac.uk](mailto:Feedback@Harrow.ac.uk) (for *Harrow College*) / [Feedback@Uxbridge.ac.uk](mailto:Feedback@Uxbridge.ac.uk) (for *Uxbridge College*). The College will however accept letters or emails of complaint submitted to any recognised member of staff or curriculum/service area of the College. Alternative formats (e.g. audio recordings or notes from a meeting or telephone call with a member of staff) may also be acceptable where the complainant has special needs such as learning difficulties or a disability.
- 4.3. All complaints received by the Quality Department will be allocated a risk to the College as defined in 5 below and the HCUC ASM will investigate the complaint. Where necessary, serious complaints will be notified to the College's insurance company and/or solicitors. If the ASM is absent for a week or more then risk to the college will be allocated by the Investigating Officer.
- 4.4. All complaints will normally be acknowledged within five working days, and normally be completed within 10 working days during term time following acknowledgement. Whilst the College will endeavour to meet these timescales, this may not always be possible. The HCUC ASM will ensure the findings of the investigation are conveyed to the Complainant within 5 working days following completion of the investigation.

- 4.5. The HCUC ASM will carry out an investigation into the complaint with reference to the responsibilities outlined in 6 below.
- 4.6. The investigation process will follow the framework for the investigation of complaints (see Appendices 1 & 2 for details).
- 4.7. During the investigation if there are opportunities to resolve the complaint via mediation to the satisfaction of the Complainant, these should be considered with agreement from the HCUC ASM. A report must still be completed.
- 4.8. The HCUC ASM will write to the Complainant with the findings of the investigation. Apologies will be made where appropriate and actions being addressed as a result of the complaint will be stated.
- 4.9. In the event of the Complainant not having gained satisfaction, the Complainant may submit an appeal in writing to Principalship within ten working days for final consideration by the College, provided the grounds for appeal, as laid out in 13.1 below, are met.
- 4.10. The Principalship will acknowledge the complaint Appeal within five working days and will advise the Complainant of their response or further actions.
- 4.11. Should the Complainant contact the Principalship, making clear their disagreement and dissatisfaction with the final decision, they will be advised of their right to inform the appropriate funding or statutory body if considered appropriate.
- 4.12. In the case of FE, the college's own complaints procedure, including any appeals process should have been exhausted before the Education Skills Funding Agency will consider any complaint directly. The appropriate guidance needs to be followed. Please see Appendix 3.
- 4.13. In the case of HE programmes students will be informed of completion of procedures and their right to take their complaint to the Office of the Independent Adjudicator. A suggested template for the Completion of Procedures letter is in Appendix 4.
- 4.14. In the case of complaints relating to Special Educational Needs, once the College's complaints and appeals procedures have been exhausted, complaints should be taken to the relevant local authority.
- 4.15. This policy does not affect an individual's statutory rights.
- 4.16. Normally, in the case of a student making a complaint that relates to issues that are the subject of a disciplinary hearing against them, it will be at the discretion of the Chair of the Disciplinary Hearing as to whether to take into account the complaint and report to the HCUC ASM on the outcome of the disciplinary. Normally the complaint will be investigated following completion of the Disciplinary Hearing. The HCUC ASM will write to the student to advise them of the process.
- 4.17. In cases where HCUC receives a complaint from or relating to an employee of a contracted company or agency, the complaint will be directed to the company / agency for resolution through their own procedures. The College will notify the complainant of this procedure within the Complaints Policy. It is expected that the company / agency then deal with the complaint directly. Principalship or delegated member of the Senior Leadership Team will make contact (or meet) with the company / agency representative to discuss how the matter will be dealt with by the company and consider any implications for the College.
- 4.18. Where the ASM is absent for a week or longer the DP C&Q will allocate the complaint to an Investigating Officer. The Investigating Officer will assume the following ASM responsibilities with regards to the allocated complaint only - including to:
  - i. Ensure the complaint is progressed in line with the process flowchart below (mapping process for complaints received by the academic standards manager (ASM)), and in particular to the following timescales: that the complaint is acknowledged within five working days, and (normally) is completed within 10 working days during term time *following acknowledgement*.
  - ii. Ensure the complaint is tracked and actively progressed through to completion.

- iii. Ensure that where an Investigating Officer's investigations advise a complaint sits within another section then the complaint should be referred to a new/appropriate Investigating Officer. The complaint can only be considered as successfully referred and under new stewardship when the new Investigating Officer has accepted the investigation (noting the need to meet the above timescales).
- iv. Allocate the risk to the college the Investigating Officer - seek advice from EMT if unsure (section 5).
- v. Refer the outcome of your investigation to an EMT member to check the findings and recommendations of the investigation and, if necessary, instigate a dialogue with the Investigator to resolve any concerns, and then inform the relevant Curriculum Director of the result of the investigation, including any recommendations.

## **5. ALLOCATION OF RISK**

- 5.1. It is the responsibility of the HCUC ASM to determine the risk of the complaint. Risk will be categorised as low, medium or high.
- 5.2. Complaints likely to be judged as 'high risk' are those that pose a legal threat to HCUC as a result of potential breach of legislative responsibility. These would include alleged breaches of the Consumer Rights Act 2015, the Equality Act or College Policy, issues of Child Protection, Fraud, Health & Safety or those concerning matters that are likely to bring HCUC into serious disrepute.
- 5.3. In normal circumstances, the Director of the area concerned will be required to undertake an independent investigation of a complaint categorised as *high* risk. The HCUC ASM may recommend that a Senior Manager from outside the Curriculum / Service Area concerned is asked to investigate a high risk complaint. Such a recommendation must be agreed by the DP C&Q. Where the ASM is absent then the DP C&Q will allocate the complaint to an Investigating Officer.
- 5.4. Complaints categorised as 'medium risk' are those that are not considered likely to result in legal action.
- 5.5. Complaints likely to be considered 'low risk' are those that identify minor issues and are likely to be those that have not been raised informally within the relevant curriculum area.

## **6 RESPONSIBILITIES OF INVESTIGATING OFFICER**

- 6.1 The HCUC ASM or other Investigating Officer (where applicable) required to carry out an investigation into a complaint is required to examine the complaint with impartiality and with respect to best practice in customer care. They are required to carry out the investigation fairly and objectively seeking opportunities to resolve rather than escalate the complaint.
- 6.2 The HCUC ASM or other Investigating Officer (where applicable) must provide a written report in the format below – See Appendix 2 Part B. They must not report their findings to the complainant or write to them other than as part of the investigation.
- 6.3 They must keep in close contact with the Human Resources throughout the investigation and report any anticipated delays to the report in time for the HCUC ASM or other Investigating Officer (where applicable) to write to the Complainant within agreed deadlines.
- 6.4 During the investigation of a complaint, appropriate confidentiality will be maintained and HCUC will not share information relating to complaints unnecessarily. However, for students under 18 or vulnerable adults, where issues arise relating to the safeguarding agenda, HCUC reserves the right to contact students' parents or legal guardians. The identity of the Complainant must not be wilfully disclosed without their prior agreement. Any person implicated in the complaint must be informed of the nature of the complaint and have the right to state their views. Complaints made by parents / guardians on behalf of a student are not acceptable unless openly endorsed by the student concerned.
- 6.5 Group complaints – cannot be lodged by one person acting on behalf of the group. Each complainant's signature needs to be submitted.

- 6.6 Anonymous complaints - HCUC reserves the right to dismiss or examine anonymous complaints at its discretion.
- 6.7 Malicious complaints will be investigated and HCUC reserves the right to raise the matter with appropriate authorities and take appropriate actions as necessary.

## **7. FRAMEWORK FOR THE INVESTIGATION OF COMPLAINTS**

- 7.1 The nominated Investigator will receive notice to investigate from the HCUC ASM or other Investigating Officer (where applicable) with details of the complaint e.g. complaint form and/or letter of complaint.
- 7.2 The deadline for receiving the report will also be given and the Investigator should inform the Quality Department of any delay in carrying out the investigation so that notice of this can be sent to the complainant (see 6.3).
- 7.3 The Investigating Officer will make contact with the Complainant and keep them updated about progress of the investigation, within the timescales specified if this is an extended period (over 2 weeks). It is advisable for the Investigating Officer to speak to the Complainant (phone or interview) to clarify the exact nature of the complaint and what may resolve the matter, unless this is already clearly established. The Investigating Officer will identify people to be involved in the investigation e.g. for a complaint about a member of staff, it would be the person implicated in the complaint, the person's line manager, Human Resources Director / Manager and any witnesses to the event. The Investigating Officer, together with HR, where appropriate, will set up meetings with all concerned and obtain clarification about relevant events surrounding the complaint.
- 7.4 The Investigating Officer will identify any documentation that would help the investigation e.g. class timetables, course information, course selection criteria, letters to students, LO reports, disciplinary reports, witness statements etc. and carry out a review in relation to this evidence. Where a complainant or their representative is interviewed, minuted notes must be taken for the record.
- 7.5 The Investigator will identify any visits required to aid judgements e.g. checking a room for issues, visits to a class, observation of a teacher/class and carry out appropriate visits.

## **8 REPORTING**

The investigator will provide a written report in the format below – (See Appendix 2 - Part B).

- 8.1 This report should be sent to the Quality Department / ASM by the stated deadline, or where it involves a member of staff, Human Resources.
- 8.2 The report should identify the Investigator's judgement in terms of whether each part of complaint is upheld or not. For complaints that are upheld or upheld in part, the investigator should make recommendations for compensation/remedy where appropriate e.g. refund of fees or proportional refund, replacement of damaged goods, changes to procedure etc.
- 8.3 Upon receipt of the Investigator's report the HCUC ASM will check the findings and recommendations of the investigation and, if necessary, instigate a dialogue with the Investigator to resolve any concerns, and then inform the relevant Curriculum Director of the result of the investigation, including any recommendations. Any disagreements with regard to compensation/remedy should be discussed and agreed with the DP C&Q.
- 8.4 Once this has been signed off, the HCUC ASM will write to the Complainant giving details of the investigation together with the outcomes. The letter from the ASM will include information about the appeal procedure. Where the ASM is absent for a week or more then the letter will be written by the Investigating Officer and then passed to the Academic Support administration for sending.
- 8.5 The investigation will identify actions to be taken which could include disciplinary procedures. The decisions of this investigation may not concur with the decision of a resulting disciplinary board.

## 9 RECORDS

- 9.1 A record must be kept of all complaints.
- 9.2 For easily resolvable, support area or school internal complaints, the record will be kept by the Head of School or Support Area Head. These records will be available for scrutiny by the senior manager responsible for the area and be reported in *Team / Board of Study Minutes* and Performance Reviews.
- 9.3 All complaints that are serious should be reported to the ASM within five days together with details of what is being done. Serious complaints are those that relate to allegations of abuse by staff, academic malpractice, activity that may constitute a breach of the professional code of conduct, or deemed to be concerning potential breaches of legislative responsibility, and these must be reported to the HR Director. These would include alleged breaches of The Consumer Rights Act 2015, Equality of Opportunity & Diversity legislation or college Policy, issues of Child Protection, Fraud, Health & Safety or those concerning matters that are likely to bring HCUC into serious disrepute.
- 9.4 Details of all formal complaints reported to the HCUC ASM will be recorded in a Complaints Register and held by the *Quality Department / Academic Standards Office*.
- 9.5 All complaints reported to the HCUC Academic Standards Office will be allocated a risk category low, medium or high (see Section 5 above).

## 10 CLASSIFICATION OF COMPLAINTS

- 10.1 Complaints are classified according to the following categories:
- CTL – Curriculum: Quality of T&L
  - CLS – Curriculum Learning Support
  - CLE – Curriculum: Quality of Learning Environment
  - CA – Course Administration
  - ER – Employer Related
  - LBE – Learner Behaviour External
  - LBI – Learner Behaviour Internal
  - SBE – Staff Behaviour External
  - SBI – Staff Behaviour Internal
  - CQ – Catering Quality
  - ETR – Estates: Teaching rooms
  - EG – Estates: General
  - EE – Estates: External
  - II – Incorrect Information
- 10.2 If the nature of the complaint is concerned with an area covered by regulatory policy, this will be indicated by additional categorisation as follows:
- HS – Health & Safety issue
  - ED/D – Equality & Diversity issue related to Disability
  - ED/A – Equality & Diversity issue related to Age
  - ED/R – Equality & Diversity issue related to Race
  - ED/G – Equality & Diversity issue related to Gender
  - ED/GR – Equality & Diversity issue related to Gender Reassignment
  - ED/SO – Equality & Diversity issue related to Sexual Orientation
  - ED/RB – Equality & Diversity issue related to Religious Belief
  - ED/PM – Equality & Diversity issue related to Pregnancy/Maternity
  - ED/MCP – Equality & Diversity issue related to Married/Civil Partnership
  - CP – Safeguarding/Child Protection
  - FR – Financial Regulations
  - NA – Not Applicable
- 10.3 Diversity monitoring is carried out for internal complaints in terms of the originator of the complaint according to their race, disability, gender and age where this information is disclosed. Any complaints relating to Equality and Diversity will be reported to the Equality and Diversity Forum.

## **11 MANAGEMENT OF COMPLAINTS FOLLOWING AN INVESTIGATION**

- 11.1 The investigation report is submitted to the HCUC ASM who then composes a letter to the complainant outlining:
- The results of the investigation
  - An apology for whatever the College admits to being upheld/upheld in part from the complaint
  - An outline of actions being taken as a result of the complaint if it is upheld or upheld in part.
- Before posting, this letter will be checked for accuracy by the Investigating Officer within two working days of receipt in order to keep within the timeframe for the Investigation of Complaints.
- 11.2 Directors / Managers responsible for actions arising from a complaint will be sent a copy of the full investigation by the Investigating Director / Manager. This should be discussed with relevant staff and agreement reached as to the completion of actions. Monitoring of progress and completion of these actions is the responsibility of the Director.

## **12 QUALITY IMPROVEMENT**

- 12.1 All staff will be familiar with the complaints policy and procedure, and training and advice in dealing with complaints as appropriate will be included on whole college Training Days as part of the College's Training & Development programme and the College's intranet.
- 12.2 The person responsible for quality management is responsible for overseeing a complaints' register and providing regular reports to the Senior Leadership Team and a report to each meeting of the Governing Body and the Equality and Diversity Forum on the numbers and nature of complaints.
- 12.3 A feedback email box is made available on the college website to facilitate the collection of suggestions and complaints. Paper-based complaints forms will also be available at Reception on both campuses
- 12.4 Complaints are evaluated regularly and inform the College's quality improvement strategies.

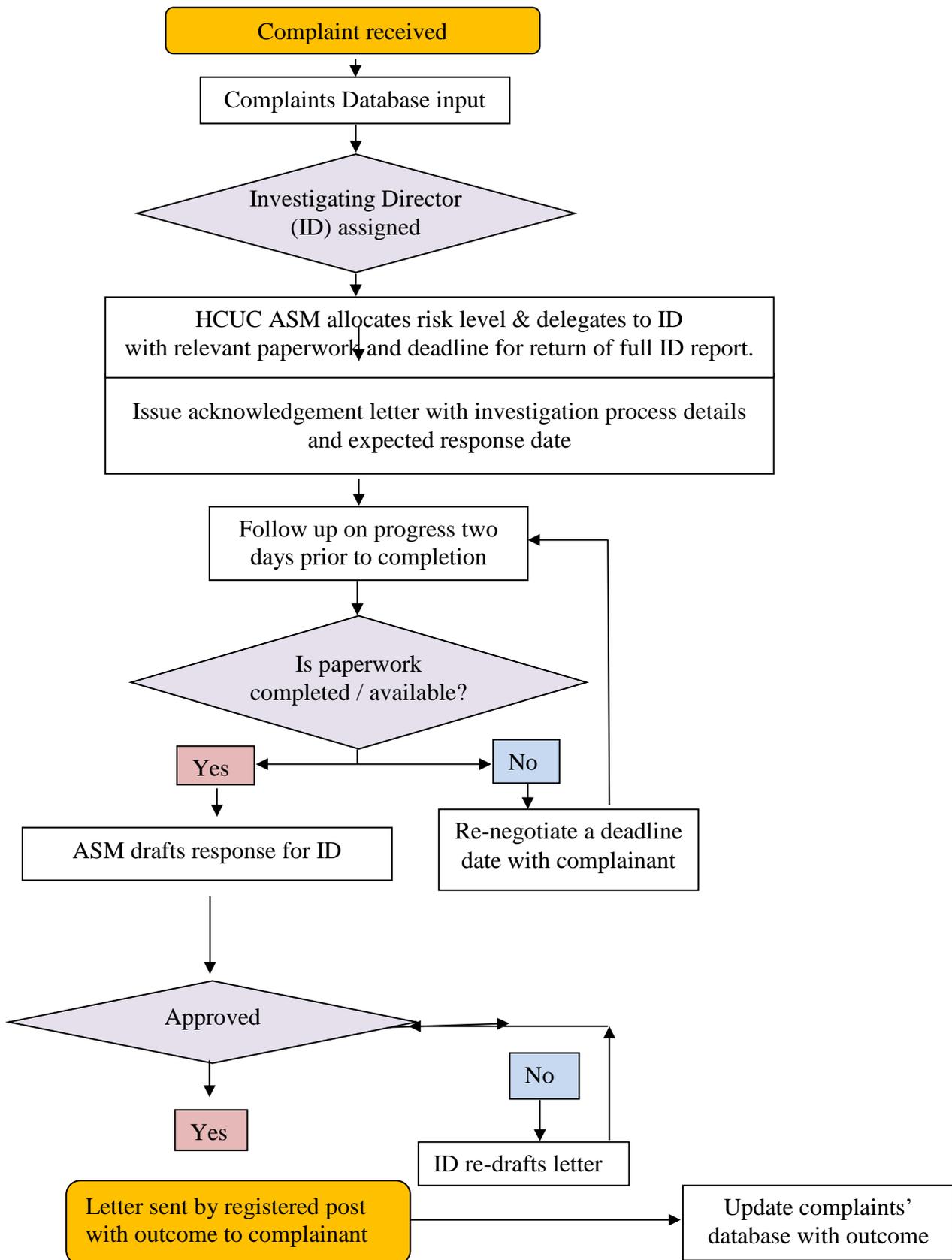
## **13 APPEALS**

- 13.1 Grounds for appeal: A complainant can lodge an appeal against the decision following a complaints investigation if there is evidence to show one or more of the following:
- The College has not followed the formal procedure as described in this policy document;
  - Incorrect evidence has been used during the investigation of the complaint or new evidence has arisen;
  - The Investigating Officer did not fully consider the complainant's personal circumstances;
  - The circumstances of the complaint were not fairly considered.
- 13.2 Any request for appeal which does not fall within these guidelines stating reasons for the Appeal is likely to be rejected.
- 13.3 The appeal must be requested in writing to the respective Principal / DP C&Q not more than 10 working days after notification of the outcome of the complaint investigation.
- 13.4 The appeal will be heard either by the respective Principal / DP C&Q or another nominated Senior Manager with the delegated authority of the Principal and who has had no previous involvement with the Complainant's history.
- 13.5 In the case of the college procedures, the decision of the respective Principal / DP C&Q or another nominated Senior Manager is final.

- 13.6 If the College's complaints procedures (including appeal) have been exhausted and the Complainant has sufficient grounds to pursue the matter further, for students on further education programmes, the case can be referred to the Education Skills Funding Agency for investigation - contact details available from the Principal's Office.
- 13.7 The Education Skills Funding Agency investigates complaints about: the quality or management of education and training; undue delay or non-compliance with published procedures, poor administration by the provider; Equality and Diversity issues (except where there is a more appropriate mechanism for dealing with the matter through the court, tribunals or other organisations). The Education Skills Funding Agency reserves the right not to investigate vexatious or malicious complaints.
- 13.8 For students on higher education programmes, complaints can be referred for investigation to the Office of the Independent Adjudicator for Higher Education – the independent Body that runs the student complaints scheme for all organisations in England and Wales delivering Higher Education.

**Instructions for the investigation of complaints**

**FLOW CHART MAPPING PROCESS FOR COMPLAINTS RECEIVED BY THE Academic Standards Manager (ASM)**



## Responsibilities of the Investigating Officer

A college manager appointed to carry out an investigation into a complaint is required to examine the complaint from the Complainant's perspective with an aspect of best practice in customer care. They are required to carry out the investigation fairly and objectively, observing the requirements of the College's Equality & Diversity Policy, seeking opportunities to resolve rather than escalate the complaint.

He/she must provide a written report in the format below, completing part B. They must not report their findings to the Complainant or write to them other than as part of the investigation.

He/she must keep in close contact with the HCUC ASM throughout the investigation and report any anticipated delays to the report in time for the HCUC ASM to write to the Complainant within agreed deadlines.

### Prior to the investigation:

Nominated investigator to receive notice to investigate and details of the complaint e.g. complaint form, letter from complainant. The deadline for receiving the report will also be given and the investigator should inform the HCUC ASM of any delay in carrying out the investigation so that notice of this can be sent to the complainant.

### The Investigating Officer will:

#### Investigation:

- Make contact with the Complainant to ascertain full details of the complaint. Any meetings with the complainant or their representative must be minuted.
- Identify appropriate staff to be involved in the investigation e.g. for a complaint about a member of staff, it would be the person implicated in the complaint, the person's line manager, Human Resources and any witnesses to the event set up meetings with these people and ask questions to clarify what happened.
- Identify any documentation that would help the investigation e.g. class timetables, course information, course selection criteria, letters to students, LO reports, disciplinary reports etc. Carry out a review in relation to this evidence identify any visits required to aid judgements e.g. checking a room for issues, visits to a class, observation of a teacher/class.
- Carry out appropriate visits.

#### Report:

- Provide a written report in the format attached. This report should be sent to the Academic Standards Office by the stated deadline. The report should identify the Investigator's judgement in terms of whether the complaint is upheld or not. For complaints that are upheld or upheld in part, the Investigator should make recommendations for compensation/reimbursement e.g. refund or proportional refund of fees, replacement of damaged goods etc.

The Academic Standards Office will inform the relevant Curriculum Director of the result of the investigation. The Director is required to sign that they agree to meet the compensation/remedy requirements. Any disagreements with regard to compensation/remedy should be discussed and agreed with the DP C&Q.

Once this has been signed off, the Academic Standards Office will write to the Complainant giving details of the investigation together with the outcomes. Where this involves a member of staff it must be checked by Human Resources. He/she will also send details of appeal procedures.

## Responsibilities of the Senior Manager conducting an appeal

The Senior Manager conducting an appeal will:

- check that there are grounds for appeal and inform the complainant accordingly within 5 working days
- if there are grounds for appeal, reconsider relevant aspects of the complaint
- inform the complainant of the outcome of the appeal within 10 working days
- provide appropriate remedy
- where an appeal is not upheld, refer the complainant to the appropriate external organisation, as follows.

For complaints relating to Further Education provision:

The Education Skills Funding Agency

<https://www.gov.uk/government/publications/complaints-about-post-16-education-and-training-provision-funded-by-esfa/complaints-about-post-16-education-and-training-provision-funded-by-esfa>

For Complaints relating to Special Educational Needs:

The relevant Local Authority Please see appendix 3

For complaints relating to Higher Education provision:

The Office of the Independent Adjudicator complaints form needs to be completed:

[http://www.oiahe.org.uk/media/34411/oia\\_digital\\_complaint\\_form\\_and\\_guidance\\_notes.pdf](http://www.oiahe.org.uk/media/34411/oia_digital_complaint_form_and_guidance_notes.pdf)

Please see appendix 2

## Appendix 1

### FRAMEWORK - COMPLAINT INVESTIGATION

The purpose of this investigation is to identify:

- whether a complaint is upheld, upheld in part, or not upheld
- whether there should be compensation/reimbursement made to the Complainant and what it should be
- any actions that need to be taken by HCUC to ensure that rigorous standards are maintained.

During the investigation of a complaint appropriate confidentiality should be maintained and you should not share any information relating to complaints unnecessarily. However, where involved students under 18 or vulnerable adults, where issues arise relating to the safeguarding agenda, HCUC reserves the right to contact students' parents or legal guardians. The Complainant should be contacted or interviewed, as appropriate, so that the Investigator can obtain detailed information about the complaint. Any person implicated in the complaint must be informed of the nature of the complaint and have the right to state their views. The investigation will identify actions to be taken which could include disciplinary procedures. The decisions of this investigation may not concur with the decision of a resulting disciplinary hearing.

<b>Part A to be completed by the <i>Quality Department / Academic Standards Office</i></b>	
Complaint number:	Risk Allocation:
Complainant name:	
Name of Investigator:	Position:
Date of Complaint:	Date investigation started:
Deadline for completion:	Actual Completion date:
Details of any delays with reasons (these must be sent in advance to the Academic Standards Office)	
<b>SUMMARY OF THE COMPLAINT</b>	
Brief summary of main points made in the complaint.	
<b>Part B To be completed by the Investigating Officer</b>	
Brief summary of any outcomes sought by complainant	
<b>INVESTIGATION EVIDENCE BASE</b>	
Names (codes if confidential) and job roles of people interviewed together with reasons for interviewing them:	
Notes from interviews and meetings	
Description of documentation reviewed together with reason for its inclusion:	
Details of Visits / Observations carried out with reasons for these	

**INVESTIGATION FINDINGS & RECOMMENDATIONS**

Please state the findings of the investigation in terms of the main points made by the complainant.

Please select decision and delete those that are not appropriate:  
**Complaint is upheld in full / Complaint is upheld in part / Complaint is not upheld**  
 Reason for this decision:

**Investigating Director's statement:** I confirm that the investigation has been carried out within the requirements of the College's Equality & Diversity Policy to ensure that no individual/group of individuals has been disadvantaged on the grounds of age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage and civil partnership and pregnancy and maternity

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Bearing in mind any outcomes sought by the complainant, confirm recommendations (including, if appropriate, any compensation/reimbursement).

Director: \_\_\_\_\_ Date for authorisation: \_\_\_\_\_

**ACTIONS ARISING FROM THE INVESTIGATION**

Identify any concerns not included in the complaint that have been identified as part of this investigation:

Identify actions that need to be addressed as a result of this investigation. (Add lines as appropriate). *The Quality Department / Academic Standards Office* will notify the relevant director to discuss with relevant staff. The Senior Leadership Team will monitor progress in addressing issues arising from complaints.

Action	Intended outcome	Director responsible for implementation

## Appendix 2

OIA complaints form:

[http://www.oiahe.org.uk/media/34411/oia\\_digital\\_complaint\\_form\\_and\\_guidance\\_notes.pdf](http://www.oiahe.org.uk/media/34411/oia_digital_complaint_form_and_guidance_notes.pdf)

### **Office of the Independent Adjudicator Completion of Procedures Letter Template**

**Please note - the format may be adjusted to meet the individual circumstances of a complaint provided that the key points below are included.**

Dear [*Name of complainant*],

#### **Completion of Procedures Letter**

This letter confirms that the internal procedures of [*name of higher education provider*] in relation to your *complaint* regarding [*please describe*] have been completed.

The issues that you raised in your *complaint* were [*details*]

The issue(s) that were considered in relation to your *complaint* was / were\*: [*brief summary of the appeal*].

The final decision of [*name of higher education provider*] is\* [*detail*] because [*reasons*].

The procedures / regulations applied were\*: [*details and date as supplied to the OIA's electronic Regulations Bank*].

[*Name of provider*] subscribes to the independent scheme for the review of student complaints. If you are dissatisfied with the outcome you may be able to apply for a review of *your complaint* to the Office of the Independent Adjudicator for Higher Education (OIA) provided that the appeal you take to the OIA is eligible under its Rules.

Should you decide to make a complaint to the OIA, your OIA Complaint Form **must be received by the OIA** within **12 months** of the date of this letter, that is, it must be received by the OIA **on or before** [*insert date - e.g. if the Completion of Procedures Letter is dated 9 July 2017, this date should be 9 July 2018*].

[*Include here any factors of which the provider is aware which mean that it is particularly important for the student to bring the complaint promptly.*]

You can fill in the OIA's complaint form online or download a copy from the OIA website.

<http://oiahe.org.uk/making-a-complaint-to-the-oia/oia-complaint-form.aspx>.

The OIA also publishes *An Introduction to the OIA Scheme for Students*, which can be downloaded from <https://www.oiahe.org.uk/media/2264/intrototheoia-students-jan-2019.pdf>. Alternatively, you can telephone or write to the OIA for a form. **You should send a copy of this letter to the OIA with your OIA Complaint Form.**

Guidance on submitting a complaint to the OIA and the OIA Complaint Form can also be found on the OIA's website <https://www.oiahe.org.uk/students/do-you-need-help-with-your-complaint/>

You may also wish to seek a Deputy from the Students' Union about taking your complaint to the OIA.

Please note that the OIA will normally only review issues that have been dealt with through the provider's internal procedures.

Yours sincerely,

[Authorised signatory]

## Appendix 3

### **Special educational needs (SEN) Complaints**

If you want to complain about [SEN support](#), you should do it while your child is still registered at the college.

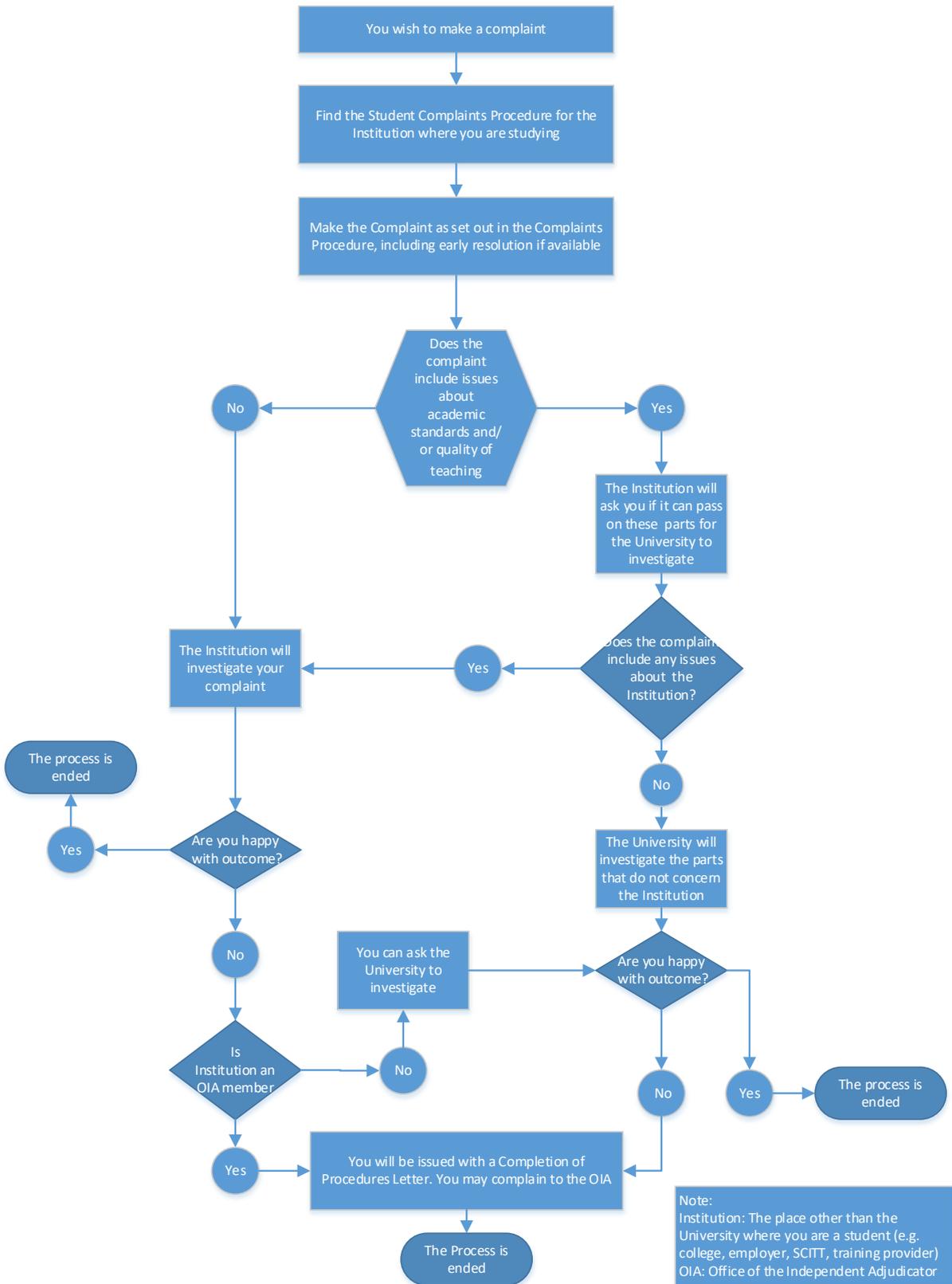
This includes complaints that the college has not provided the support required by your child's SEN statement or education, health and care (EHC) plan.

#### **Make a complaint**

Follow these steps in order. Move on to the next step if your complaint is not resolved.

1. Talk to the college's special educational needs coordinator (SENCO).
2. Follow the college's complaints procedure.
3. Complain to your [local authority](#).

## Student Complaints Procedure for Students Studying with University Partner Institutions







# HCUC COMPLAINTS



## PERSONAL DETAILS:

NAME: .....

STUDENT ID NUMBER  
(if applicable):.....

HOME ADDRESS: .....  
.....  
.....

CONTACT NUMBER: (Day).....  
(Evening) .....

E-MAIL ADDRESS: .....

COURSE (if applicable): .....

TUTOR (if applicable): .....

DATE: .....

SIGNATURE: .....



# HCUC COMPLAINTS



## NATURE OF THE COMPLAINT:

*Please provide details of your complaint*

*Have you already spoken to someone about your complaint? If so, who?*

Do you believe that you have been disadvantaged on the grounds of age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage and civil partnership and pregnancy and maternity?

**Y? N?**

If so, please state reasons: