



### Policy/Procedure/Guideline Review

<b>Policy/Procedure/Guideline:</b>	Higher Education Student Complaints Policy and Procedure
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<b>Approved By:</b>	SLT Board of Corporation
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<b>Changes Made:</b>	Updating, highlighted in the text. 1.2 reflects the General College's Complaints policy 2 reflects the General complaints Policy 3.12 to avoid ambiguity regarding complaints referencing a staff member, complaints should not try to be resolved locally – in future, they must follow the complaints procedure 6.1 Changes from Programme Leaders to Curriculum Leaders being responsible for Stages 1 & 2 investigation 7.5 Reporting complaints must be reported centrally to SLT support 7.2 additional section – HE complaints to be reported annually to Governors as part of the Assistant Principal for Finance and Human Resources 7.22 Removed

# Higher Education Student Complaints Policy and Procedure

## 1. Introduction

- 1.1 Expectations for complaints handling in Higher Education differ from those that apply to the College's other provision. The general principles are similar in both sectors, but the detailed requirements for process and record keeping differ.
- 1.2 Nelson and Colne College Group, which incorporates Nelson and Colne College, Lancashire Adult Learning and Accrington and Rossendale College ('the College') is committed to continuous improvement and providing a high standard of service ensuring that any complaints received are addressed in an open, transparent manner to the satisfaction of all parties involved. The outcomes from complaints support continuous improvement.

## 2. Our Commitment

- 2.1 The College will ensure that all legitimate complaints received are dealt with promptly, fairly, professionally and in a non-discriminatory manner, and that appropriate action is taken. Complaints will be taken seriously and viewed positively as an opportunity to receive constructive feedback so that improvements may be made.
- 2.2 All complaints will be treated as confidential to safeguard interests and information limited to those involved in the complaints process.
- 2.3 The outcomes of any complaint will be shared with the complainant and any College staff involved. Complaints made which, on investigation, turn out to be malicious, may result in disciplinary or other further action.

## 3. Purpose

- 3.1 This policy and procedure are designed to provide Higher Education students with a complaints process that provides for fair consideration of issues raised and meets sector expectations.

## 4. Legislative/Quality Framework

- 4.1 This policy and procedure are designed to meet the requirements and expectations of the Office for Students and of the UK Quality Code for Higher Education, and the expectations of the Office of the Independent Adjudicator.

## 5. Scope

- 5.1 This policy and procedure apply to all students who are registered with the College and whose studies include any one or more of the following qualifications:
  - 5.1.1 an award at level 4 or above (e.g. certificate, diploma, or degree) made by any

UK university

- 5.1.2 a Higher National Certificate or Higher National Diploma awarded by Pearson Education Ltd
- 5.1.3 a higher education short course approved under the College's Higher Education Academic Regulations, whether or not this leads to an award.
- 5.2 Complaints from applicants or other complaints regarding the admissions process are not covered by this procedure. The process for consideration of complaints about admissions processes and/or decisions is contained within the College's Higher Education Academic Regulations.
- 5.3 Where a student is registered for more than one award and the studies listed above form only part of the students' studies, this policy and procedure, as far as the context permits, apply only to those parts of the students' studies listed above. Complaints about matters connected solely to other studies should be taken through the College's general Complaints Policy and Procedure.
- 5.4 For the purposes of this document, a complaint is defined as the expression of a specific concern about matters that affect the quality of a student's learning opportunities. This includes:
  - 5.4.1 Failure by the College to meet its obligations, including those outlined in the Higher Education Student Agreement and any relevant course handbook
  - 5.4.2 Misleading or incorrect information in public information provided by the College
  - 5.4.3 Concerns about the delivery of a programme, teaching or administration
  - 5.4.4 Concerns about the quality of facilities, learning resources or services provided by the College
  - 5.4.5 The behaviour of a member of staff (inside or outside College)
  - 5.4.6 The behaviour of another student (inside or outside College)
- 5.5 Anonymous or third party complaints will not normally be accepted.
- 5.6 The College expects that students will not engage in frivolous or vexatious complaints. Students who do submit such complaints may be subject to disciplinary proceedings. The College reserves the right to end consideration of a complaint if it is deemed to be frivolous or vexatious. Examples of such complaints include:
  - 5.6.1 Complaints that contain false allegations or falsified evidence.
  - 5.6.2 Complaints that are obsessive, harassing, or repetitive
  - 5.6.3 Insistence on pursuing non-meritorious complaints and/or unrealistic, unreasonable outcomes.
  - 5.6.4 Insistence on pursuing complaints in an unreasonable manner.
  - 5.6.5 Complaints that are designed to cause disruption or annoyance.
  - 5.6.6 Demands for redress which lack any serious purpose or value.

- 5.7 A group of students can use this procedure to make a collective complaint. However, the following criteria must be met before the complaint will be accepted:
- 5.7.1 One member of the group must be identified as the main contact for purposes of communication
  - 5.7.2 Each member of the group must submit their consent in writing and agree to abide by the procedure
  - 5.7.3 The College will assume that any discussion or agreement with the main contact will be with the consent of the rest of the group
  - 5.7.4 If this option is taken the whole group must accept or reject the outcome. A student that has entered into a group complaint may not then decide to make the same complaint as an individual
- 5.8 Some issues are not eligible to be considered under this procedure. These are:
- 5.8.1 Dissatisfaction with a decision made by an academic body (e.g. a Board of Examiners) regarding student progression, academic assessment and awards. These issues are considered under the relevant academic appeals procedure.
  - 5.8.2 Dissatisfaction about the outcome of an academic misconduct process.
  - 5.8.3 Dissatisfaction with the outcome of other College processes that have an appropriate avenue of appeal. These include decisions relating to matters such as student discipline, fitness to practise, fitness to study, criminal convictions, attendance, etc.
  - 5.8.4 Complaints about private accommodation.
  - 5.8.5 Complaints about the Higher Education Student Council
  - 5.8.6 Matters relating to external companies, such as the Student Loans Company that have their own complaints procedures.
- 5.9 Where a student pursues an academic appeal and submits a complaint at the same time, and where the substance of the academic appeal and the complaint refer to the same issues, the College (or external awarding body where appropriate) will normally suspend consideration of the Academic Appeal until the complaint has been investigated. This is because the outcome of the complaint investigation may inform consideration of the appeal.
- 5.10 If a matter arises as part of a complaint that might call into question the validity of an academic decision that has already been made, the College may appeal that decision on the student's behalf. Where such an issue arises but the relevant decision has not yet been taken, the College will advise the appropriate decision making body (e.g. Board of Examiners) of its findings in relation to the complaint. In any such case, any disclosure of the details of the complaint will be limited to the minimum necessary for a valid academic decision to be made.
- 5.11 College recognises that student complaints made about staff may refer to various issues, including complaints relating to assessment, feedback and academic related matters. Complaints may also refer to allegations about staff behaviour including bullying, harassment or discrimination.

5.12 Where the complaint relates to a member of staff, the student can submit a formal complaint under Stage 1 to the Assistant Academic Registrar or submit a Stage 2 of the procedure without completing Stage 1.

5.13 For the avoidance of doubt, complaints about the behaviour of staff or other students are not limited to their conduct while in College. However, any consideration of behaviour outside College will have regard to reasonable expectations of conduct in all the circumstances.

## **6. Statement of Principles**

6.1 The complaints procedure operates on the principles of natural justice:

6.1.1 There are two sides to every dispute

6.1.2 All parties are to be given the opportunity to provide evidence to substantiate their version of the issue / incident

6.1.3 Full disclosure of any allegations or evidence will be made to those parties involved in the complaint

6.1.4 All parties involved in a complaint have the right to be accompanied by a representative at each stage of the procedure. Neither party can be accompanied by legal representation.

6.2 Students are expected to have met their obligations and responsibilities as members of the College with regard to:

6.2.1 Meeting their academic commitments

6.2.2 Acting in accordance with College rules

6.2.3 Behaving with consideration for other students and staff.

6.3 All complaints are taken seriously and students will not be penalised for making a genuine complaint.

6.4 All information provided regarding a complaint will remain confidential for use within this complaints process and is subject to the requirements of the Data Protection Act. Only those staff directly involved with the complaint will be given access to confidential information. In exceptional circumstances it may be necessary for the College to provide information to a third party with or without a student's consent.

6.5 Where more than one individual is named in a complaint, normally those individuals will be party only to the matter(s) of complaint and outcome(s) that are directly specific to them.

6.6 At all stages of the procedure disabled students have a right to reasonable adjustments under the Equality Act 2010. Other students may be provided appropriate support depending upon availability.

6.7 The effective resolution of complaints depends upon all those involved (staff & students) engaging in a way which recognises each other's interests and concerns, and all approaching the matter with objectivity and respect. The College therefore encourages complainants to recognise that an outcome which is not the one they might have been seeking is nevertheless valid, provided the investigation has been fair and based on the consideration of relevant available evidence.

- 6.8 All of the College's partner institutions require students to make use of College complaints procedures. Any student who makes a complaint directly to a partner institution, or other external body, will be referred back to the College's processes.
- 6.9 Where a complainant is not satisfied with the outcome this process they may have the opportunity to appeal the College decision to the appropriate partner university or other external awarding body. Some partner institutions may allow complainants to escalate their concerns before the completion of the College's procedures. The Higher Education Academic Registry will provide advice on partner's processes on request.
- 6.10 Once all College processes, and those of partner institutions where appropriate, have been completed the complainant(s) will be issued with a Completion of Procedures letter.
- 6.11 If the complainant(s) is/are still not satisfied after this letter has been issued they will have the opportunity to seek adjudication from the Office of the Independent Adjudicator (OIA - [www.oiahe.org.uk](http://www.oiahe.org.uk)) if the studies in question fall within the OIA remit. The OIA will require a Completion of Procedures letter before entry to the independent adjudication process.
- 6.12 Student complaints provide an important source of information to the College; the Higher Education Academic Registry will collate statistical information and produce annual reports to ensure that relevant quality issues are identified and addressed appropriately. No confidential information will be included in these reports.

## **7. Time limits**

- 7.1 There are strict time limits for submitting Higher Education Student Complaints and progressing to each stage of the process. This is to ensure that matters can be investigated when the circumstances are still fresh in people's minds and evidence is available to support a timely and appropriate resolution. The submission deadlines for each stage of the process are identified in the sections below.
- 7.2 Late submissions will be accepted only where there are exceptional reasons supported by relevant evidence.
- 7.3 The College will endeavour to complete the processing of a formal complaint and any associated review (Stage 2 and Stage 3) within 90 calendar days.
- 7.4 This timeframe requires complainants to meet any College deadlines for the submission of material. The College reserves the right not to progress complaints that are submitted outside of the specified time limits and to terminate consideration of complaints should complainant(s) responses not be received within the stated time limits.
- 7.5 If, for good reason, such as the availability of essential witnesses, the College needs to extend the timeframe, the complainant(s) will be notified and kept regularly informed of the progress of the complaint.

## **8. Organisational Responsibilities**

- 8.1 All HE staff should attempt to resolve any issues that arise to the satisfaction of the student / complainant. HE Curriculum Leaders are responsible for receiving and

investigating Stage 1 and Stage 2 complaints and responding to the complainant within prescribed timescales.

8.2 The responsibility for dealing with Stage 3 complaints rests with the Dean of Higher Education. The monitoring of compliance, including timescales, rests with the Higher Education Academic Registry, which is responsible for offering students advice and guidance about complaints processes.

## 9. Process

### Stage 1 – Local Resolution

- 9.1 In order to resolve concerns as quickly as possible, complainants are expected to try to resolve complaints locally with the relevant staff member. The first point of contact may include any of the following people, the module lecturer, the programme leader, a member of Higher Education Academic Registry staff, the Dean of Higher Education or the Director of Academic Standards.
- 9.2 If complainants are unsure of who to contact regarding their complaint, then the Higher Education Academic Registry will advise them.
- 9.3 All Stage 1 complaints should be made within 30 calendar days of the event or issue complained about. College staff can be contacted in writing or by email and should respond in writing or by email to the complainant within 30 calendar days of receipt. Where this is not possible for valid reasons, the staff member should advise the complainant of the anticipated timescale.
- 9.4 Complainants should keep a record of any action they take to resolve the complaint and keep copies of all relevant correspondence.
- 9.5 The Higher Education Academic Registry must be informed of, and keep a record of, all Stage 1 complaints. A record of University Student complaints (all stages) must also be shared with SLT Support who is responsible for compilation of all college complaints.
- 9.6 The Assistant Principal for Finance and Human Resources will include within the annual report to Governors, any complaints received from Higher Education Students within the college.
- 9.7 The Higher Education Academic Registry must ensure that a *Stage 1 Record of informal higher education complaint form* is completed for all complaints and that this is provided to complainants.
- 9.8 Stage 1 Student Complaint responses may include the following:
- Providing information, advice and explanations
  - Suggesting solutions
  - Apologies and resolution
  - Referral for mediation and/or conciliation
  - Referral to other appropriate support services
  - Referral to the Formal Higher Education Student Complaints procedure (Stage 2) or other College procedures.

9.9 If it is not possible to resolve the complaint locally at Stage 1 or if the complainant(s) is/are dissatisfied with the outcome of their Stage 1 complaint and believe(s) that the matter has not been properly addressed, then the complainant(s) can submit a formal complaint under Stage 2 of this procedure.

9.10 The College recognises that there can be exceptional circumstances where it may not be appropriate to raise the matters locally (for example if the complaint involves complex, multiple issues or where the complaint relates to the conduct of staff or other students). In such cases, and such cases only, complainants should submit a formal complaint under Stage 2 of these procedures within 3 calendar months of the date of the event or when the issue of complaint occurred.

### **Stage 2 – Formal Complaint**

9.11 Where the complaint has not been resolved or satisfactorily dealt with at Stage 1 then the complaint should progress to Stage 2.

9.12 All formal complaints should be made to the Higher Education Academic Registry using the *Stage 2 – Notification of formal higher education complaint form*. Formal complaints should be made within 3 calendar months of the date of the event or when the issue of complaint occurred.

9.13 If a complaint is submitted outside the advertised deadlines then the complaint will be deemed out of time and the College reserves the right not to progress the complaint any further.

9.14 Complainants should complete all sections of the complaint form, clearly and concisely describing their concerns and summarising the key events with relevant dates. Failure to complete all sections of the form clearly and legibly may lead to a delay in responding to the complaint, or the complaint not being progressed.

9.15 Complainants need to provide appropriate and relevant evidence to support any allegations they make (evidence may include signed witness statements, letters, emails and any other relevant information). The College cannot guarantee the return of original documents. Complainants should retain copies of the complaints form and any documentary evidence they submit.

9.16 Complaints will be considered strictly on the basis of the evidence supplied at Stage 2. Complainants should not assume that those considering their complaint are aware of their circumstances and must include all evidence they wish to be considered.

9.17 Where a complainant fails to provide reasonable evidence to substantiate their allegations, the College reserves the right not to progress the complaint further.

9.18 Complainants are also required to specify the remedy they seek and/or the desired outcome to their complaint.

9.19 Completed *Stage 2 – Notification of formal complaint form* and relevant evidence should be submitted to the Higher Education Academic Registry either in writing or by email. Complainants using the postal service are advised to obtain proof of posting.

9.20 Complainants will receive a formal acknowledgement within 5 working days of



submitting a complaint form to the Higher Education Academic Registry.

9.21 On receipt of a formal complaint, the Higher Education Academic Registry will undertake an initial assessment and consider whether:

- the complainant has submitted the form within the specified deadline
- the complainant has set out clearly what the complaint is about, providing information relating to the key events and key dates
- the issues of concern may be more appropriately considered under alternative processes rather than this procedure
- the complainant has provided reasonable evidence to substantiate their complaint
- further information is required (in relation to the eligibility of the complaint) from the complainant or relevant department.

9.22 If the complaint is rejected, for example if the complaint was submitted late or was submitted without reasonable evidence, the complainant will be notified in writing of the reasons for the decision. Complainants will be provided with a Completion of Procedures letter should they wish to pursue the matter further.

9.23 If the complaint is accepted, there are a number of ways in which it may be progressed at this stage, depending on the nature and complexity of the complaint. Complainants will be notified in writing of how their complaint will be progressed. Such action may include:

- A request for further information or clarification.
- A meeting with a Higher Education Academic Registry adviser to clarify matters of procedure and issues of complaint.
- Investigation by a Higher Education Academic Registry adviser who will provide a written response to the complaint.
- Referral of the complaint to a named person who will investigate the matter and provide a written response to the complaint
- Mediation facilitated by the Higher Education Academic Registry.
- Nominating an Investigating Officer to investigate the circumstances of the complaint.
- Arranging a Formal Hearing of the complaint.

9.24 Complaints against College staff will normally be investigated by a nominated Investigating Officer (IO). The IO will have no direct association with the staff member's line management.

9.25 Wherever possible the College will seek to facilitate an early resolution of the complaint. The College aims to provide a response within 30 calendar days of submission of the complaint. Should this not be the case, then complainants will be kept informed of any likely delay, and the reasons for the delay, at the earliest opportunity.

9.26 Complainants will receive written notification of the outcome of their complaint from the Higher Education Academic Registry. This will include whether the

complaint is upheld or not, the rationale for the decision and any further action to be taken. The Higher Education Academic Registry will ensure that a Higher Education complaint investigation report is completed and made available to the complainant(s).

### **Stage 3 – Final Internal Review**

- 9.27 Complainants have the right to request a review of their formal complaint by the Deputy Principal Curriculum and Quality (or his/her nominee) where they believe and can substantiate that:
- 9.27.1 the Stage 2 procedure has not been followed correctly and/or
  - 9.27.2 the formal complaint has not been appropriately addressed and/or
  - 9.27.3 the decision regarding the outcome of their formal complaint is unreasonable in all the circumstances.
- 9.28 The grounds for the review should be clearly stated in writing and sent with full supporting evidence, within 15 calendar days of the date of the Stage 2 outcome letter to the Higher Education Academic Registry by post or email using the *Stage 3 – Request for review of Higher Education complaint form* below. Evidence provided for Stage 2 of this process should not be re-sent. Complainants using the postal service should use the Recorded Delivery Service.
- 9.29 An acknowledgement of the Stage 3 complaint will be sent to the complainant within 5 working days.
- 9.30 The Stage 3 of the Procedure is not a re-opening of the complaint and will not consider issues afresh or involve a further investigation. A complaint must have been considered at Stage 2 before it can be escalated to Stage 3.
- 9.31 New evidence will not be considered, unless the complainant can demonstrate valid reasons why they were unable to provide this evidence earlier in the process.
- 9.32 If necessary, the Reviewer may contact the complainant and/or relevant staff to clarify any issues and/or matters of procedure.
- 9.33 The Complainants will be formally notified in writing of the decision of the Reviewer, normally within 45 calendar days. The Reviewer will determine whether the Stage 3 Complaint should be Upheld, Upheld in Part or Not Upheld and provide the reasons for this decision and specify if any appropriate action or remedy is required.
- 9.34 The decision of the Reviewer is final and this represents the completion of internal College procedures. The College will provide the complainant with a Completion of Procedures letter following review.
- 9.35 Complainants who have completed the College's internal procedures and remain unsatisfied with the outcome may have the right to pursue their complaint with an external awarding body. The Higher Education Academic Registry will provide advice on complainants' rights on request.
- 9.36 Complainants who are dissatisfied with the outcome of the review and believe that the College has failed to follow this procedure correctly may take their case to the Office of the Independent Adjudicator.

## 10. Record Keeping

- 10.1 Detailed record keeping is essential to ensure the fair treatment of complaints. The Higher Education Academic Registry must ensure that the following records are kept for all complaints:
- 10.1.1 SLT Support are notified of all complaints, Stage 1, Stage 2 or Stage 3.
  - 10.1.2 Copies of all written and email correspondence with complainants relating to complaints
  - 10.1.3 Copies of completed Stage 1 Records of informal higher education complaint
  - 10.1.4 Copies of all Stage 2 Notifications of formal higher education complaint.
  - 10.1.5 All evidence provided by complainants
  - 10.1.6 Copies of all Stage 3 review requests and Higher education complaint investigation reports
- 10.2 These records may be kept either on paper or by any durable electronic means
- 10.3 Any confidential information included in complaints records must be stored either in sealed envelopes or by means of password-protected electronic storage.
- 10.4 Complainants must, on request, be provided with copies of any information relating to their complaint(s). Any confidential information about individuals other than the requesting complainant must be redacted.
- 10.5 Records of complaints will be disclosed, on request, to any other body, typically a partner institution or the Office of the Independent Adjudicator, with a legitimate need to see them.
- 10.6 Records will not be disclosed to any other person or body and will not be used for any purpose other than consideration of the complaint(s) raised.

## 11. Dissemination

11.1 A copy of this policy can be found on:

- 11.1.1 Nelson and Colne College website
- 11.1.2 Accrington and Rossendale College website
- 11.1.3 Nelson and Colne College Staff Hub
- HE Moodle

## 11.2 Monitoring and Review

11.3 The policy will be reviewed on a three-yearly cycle by Nelson and Colne College's Deputy Principal Curriculum and Quality

## **12. Related Policies/Procedures**

12.1 Documents related to the policy are:

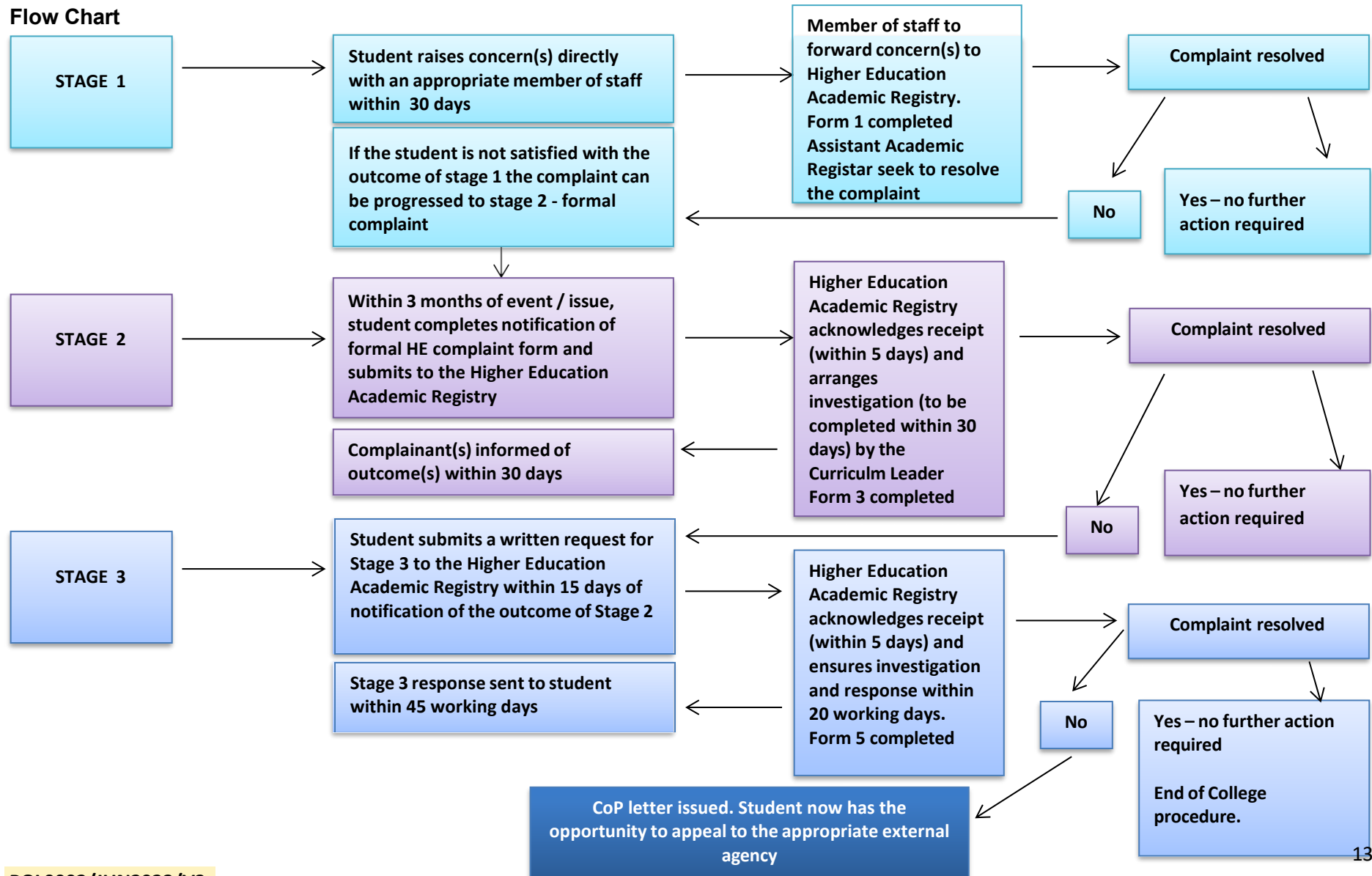
12.1.1 Higher Education Academic Regulations

12.1.2 Complaints Policy and Procedure

## **13. Management Responsibility**

13.1 The Deputy Principal Curriculum and Quality has management responsibility for this policy across the Nelson and Colne College Group.

Flow Chart



**Stage 1 – Record of informal higher education complaint form**

**Form1**

<b>Campus</b>		<b>Programme</b>	
<p><b>Nature of complaint (summarise the main points, attach a copy of the original complaint to this form):</b></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> </ol>			
<b>Date issue raised:</b>		<b>Course/Year:</b>	
<b>Student/Students concerned:</b>		<b>Student ID number/s:</b>	
<p><b>Summary of investigation and any recommendations:</b></p> <p><b>In the course of my investigation I</b></p> <p><i>(add in details, including any meetings and witness statements. Attach as appendices and list them)</i></p> <p><b>Following investigation, my findings regarding the above points are as follows:</b></p> <p><i>(response to each point raised in the complaint)</i></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> </ol> <p>etc.</p> <p><b>I therefore find that the complaint is upheld / not upheld / partially upheld <i>(delete as appropriate)</i>.</b></p> <p><b>As a result of the above finding, I make the following recommendations:</b></p> <p><i>(Add details of any recommendations and/ or redress to the student, and include who is responsible for carrying out the actions)</i></p>			

**Additional comments**

**The complainant should sign below (or email) to confirm that the proposed actions and/or review of the issues has resolved the complaint:**

<b>Employee's name</b>		<b>Signature</b>		<b>Date</b>	
<b>Student/s Name/s:</b>		<b>Signature/s</b>		<b>Date</b>	

**N.B. Should the student remain dissatisfied then they may submit a formal complaint. The informal complaint investigator must ensure the student is directed to the Student Complaints Procedure, and given the contact details of the Academic Support Officer. The formal complaint must be submitted within 10 working days of having received this decision in accordance with the Student Complaints procedure.**

**Office use only:** One copy of this form is to be given to the student/s; one copy to be given to the programme leader; one copy to the Academic Support Officer.

## Stage 2 –Notification of formal higher education complaint form Form 2

This formal complaint form should normally only be used when you have tried to resolve the problem directly with the person or persons concerned and are dissatisfied with the outcome. **You MUST attach a copy of the Record of informal higher education complaint form and any other relevant documents, if you have not had a form, attach copies of email correspondence etc.** Anonymous complaints will not be considered. The completed form and supporting evidence should be submitted either by hard copy, in which case it should be signed and dated below, or via email, in which case the signature is not essential.

<b>Your Name:</b>
<b>Signature</b>
<b>Date:</b>
<b>Student ID number:</b>
<b>Your contact address including postcode:</b> <i>(we will usually contact you by email, but please provide a postal address in case we need to send you some documents)</i>
<b>Your current contact details</b> <b>Phone number/s:</b>  <b>Email address:</b>

<b>Have you completed Stage 1 – informal stage?</b>	<b>Yes</b>  <b>No</b>
<p><b>If yes, You MUST attach a copy of the Record of informal complaint form and any other relevant documents, if you have not had a form, attach copies of email correspondence etc.</b></p> <p><b>If you answered ‘no’, please contact the Higher Education Academic Registry before proceeding.</b></p>	



**Notification of formal complaint form – cont.**

**Please summarise the main points of your complaint below:**

- 1.
  - 2.
  - 3.
- Etc.*

*Please note that you cannot complain about academic judgement. If you wish feel there may have been a procedural irregularity in the marking of academic work you should submit an academic appeal, and not a complaint.*

**Details of your complaint:** (continue on a separate sheet if necessary, please try to use clear language, use bullet points and use only factual information)

**What outcome/s do you hope to achieve through this complaint?**

**Please list any supporting evidence:**

(eg witness statements, emails, etc. please number and attach)

- 1.
- 2.
- 3.
- 4.

**Completed forms should be sent to the Higher Education Academic Regsitry**

**For office use only**

**Date complaint received:**

**Stage 2 – Higher Education complaint investigation report**

**Form 3**

<b>Investigation report prepared by (print name)</b>		<b>Date</b>	
<b>Complaint Manager (print name)</b>		<b>Name of student/s and student ID number/s</b>	
<b>Investigation report</b>			
<p><b>A formal complaint was submitted on <i>(date)</i>. In summary the points raised in the complaint were:</b></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>etc.</li> </ol> <p><b>In the course of my investigation I</b> <i>(add in details, including any meetings and witness statements. Attach as appendices and list them)</i></p> <p><b>Following investigation, my findings regarding the above points are as follows:</b> <i>(response to each point raised in the complaint)</i></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>etc.</li> </ol> <p>I therefore find that the complaint is <b>upheld / not upheld / partially upheld</b> <i>(delete as appropriate)</i>.</p> <p><b>As a result of the above finding, I make the following recommendations:</b> <i>(Add details of any recommendations and/ or redress to the student)</i></p> <p><b>Additional comments</b></p>			
<b>Signature:</b>		<b>Date:</b>	

**Stage 3 – Request for review of Higher Education complaint**

**Form 4**

This form is a request to review a decision taken at Stage 2 of the Higher Education Complaints Policy and Procedure. It cannot be used until a decision has been taken at Stage 2.

The grounds for review are limited to cases where you believe, and can substantiate, that:

- the Stage 2 procedure has not been followed correctly
- the formal complaint has not been appropriately addressed

and/or

- the decision regarding the outcome of their formal complaint is unreasonable in all the circumstances.

**You must enclose the decision letter from Stage 2 of your complaint with this form.**

<b>Your Name:</b>
<b>Signature</b>
<b>Date:</b>
<b>Student ID number:</b>
<p><b>Your contact address including postcode:</b></p> <p><i>(we will usually contact you by email, but please provide a postal address in case we need to send you some documents)</i></p>
<p><b>Your current contact details</b></p> <p><b>Phone number/s:</b></p> <p><b>Email address:</b></p>
<p><b>Please state the grounds for reviewing the Stage 2 decision:</b></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> </ol>
<p><b>Please list any evidence supporting this request:</b></p> <ol style="list-style-type: none"> <li>4.</li> <li>5.</li> <li>6.</li> </ol>
<b>Completed forms should be sent to the Higher Education Academic Regsitry</b>

**For office use only**

**Date request received:**

**Stage 3 – Higher Education complaint review report**

**Form 5**

<b>Review report prepared by (print name)</b>		<b>Date</b>	
<b>Stage 2 Complaint Manager (print name)</b>		<b>Name of student/s and student ID number/s</b>	
<b>Review report</b>			
<p><b>A review request was submitted on (<i>date</i>). In summary the grounds raised for the review were:</b></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>etc.</li> </ol> <p><b>In the course of my investigation I</b> <i>(add in details, including any meetings and witness statements. Attach as appendices and list them)</i></p> <p><b>Following investigation, my findings regarding the above points are as follows:</b> <i>(response to each point raised in the complaint)</i></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>etc.</li> </ol> <p>I therefore find that the original decision is <b>upheld / not upheld / partially upheld</b> <i>(delete as appropriate)</i>.</p> <p><b>As a result of the above finding, I make the following recommendations:</b> <i>(Add details of any recommendations and/ or redress to the student)</i></p> <p><b>Additional comments</b></p>			
<b>Signature:</b>		<b>Date:</b>	