**NOTIFICATION OF A FORMAL COMPLAINT UNDER THE PROVISIONS OF THE**

**STUDENT AND APPLICANT COMPLAINTS PROCEDURE (UPR SA16)**

**NOTES FOR GUIDANCE AND COMPLAINT FORM – STUDENTS**

* The University of Hertfordshire aims to ensure that its students have a good educational and social experience but, as with any large and complex organisation, it is always possible that unsatisfactory circumstances occur. If that should happen the University has a two-stage process, Informal (Preliminary) and Formal, to deal with complaints that may arise. Complainants must complete each stage before they can progress to the next. The complete policy is detailed in version 02.0, UPR SA16, ‘Student and Applicant Complaints’, but these notes provide a summary. This document is published on-line at the following location and you are advised to read in full:

[UPR SA16 Student and Applicant Complaints](https://www.herts.ac.uk/__data/assets/pdf_file/0010/233101/SA16-Student-and-Applicant-Complaints.pdf)

* It is always preferable if a complaint can be resolved **informally** and as near to the source as possible. A complaint raised at the Informal (Preliminary) Stage must be made, either orally or in writing, within three (**3**) calendar months of the date on which the incident occurred. **Academic complaints** should be lodged, as appropriate, with the Year Tutor, Programme Leader, Research Student Tutor, or Head of Department (where appointed). **Non-academic complaints** should be lodged with the manager of the area in which the incident occurred.
* If you have already made an informal approach and are dissatisfied with the outcome, or you have good reason not to make such an approach, then you may raise a Formal Complaint by completing this form, ‘Notification of a Formal Complaint under the provisions of the Student and Applicant Complaints Procedure (UPR SA16)’, and submitting it to the relevant **Dean of School (Academic Complaints)** or **Head of Strategic Business Unit** **(Non-Academic Complaints)**. If you are unsure to whom this form should be submitted the Student Procedures Co-ordinator can advise, e-mail: [studentprocedures@herts.ac.uk](mailto:studentprocedures@herts.ac.uk)
* **Formal Complaints not submitted using the required form will not be considered**.With regard to the requirement to submit requests using the appropriate form, the University will make reasonable adjustments for disabled students.
* Once submitted, the recipient of the complaint will act as Presiding Officer and will appoint a person with no previous involvement in the matter as the independent Case Officer. The Case Officer will investigate the complaint fully and appropriately and prepare a report for the Presiding Officer. The process of investigation may involve speaking with you and any other relevant individual.
* The Presiding Officer, having considered the Case Officer’s report, may decide that the case can be resolved on the basis of the report and/or other documentation provided, or may decide that a formal meeting/hearing is necessary before a decision can be made. If there is to be a meeting/hearing, you will be sent full details at this point and will be expected to attend.
* The Presiding Officer will, either with or without having convened a meeting/hearing, decide whether to uphold or dismiss the complaint. If the complaint is upheld, the Presiding Officer will decide what actions will be taken in respect of rectifying the subject matter of the complaint. The decision of the Presiding Officer will be communicated in writing.
* If you remain dissatisfied with the outcome at the conclusion of the formal stage, in the exceptional circumstances outlined in version 02.0, section 6.2.6, UPR SA16, ‘Complaints Procedure – review by the Vice-Chancellor’. You will be informed of this right at the appropriate time.

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* The University expects that at the time of making a formal complaint, a student will bring forward all relevant evidence that is available at the time at which the Formal Complaint is lodged.
* It is expected that during the course of any complaints all parties will act courteously, fairly and reasonably towards each other and to comply with the requirements of the procedures by completing complaints’ documentation, adhering to any deadlines, responding appropriately to any requests for information or attendance at meetings/hearings and undertaking any reasonable action require to reach a satisfactory remedy. Remember that mediation is available by agreement between both/all parties.
* All complainants will be treated equally, regardless of their status or seniority, and will not be treated adversely as a result of their having made a complaint.

Jan 2020

**NOTIFICATION OF A FORMAL COMPLAINT UNDER THE PROVISIONS OF THE STUDENT AND APPLICANT COMPLAINTS PROCEDURE (UPR SA16)**

**COMPLAINT FORM – STUDENTS**

* Students are STRONGLY ADVISED to read the attached Notes for Guidance before raising a formal complaint.
* Students are also ADVISED to read the full regulation (UPR SA16) before submitting this form.

[SA16-Student and Applicant Complaints](https://www.herts.ac.uk/__data/assets/pdf_file/0010/233101/SA16-Student-and-Applicant-Complaints.pdf)

* Support and guidance can be sought from Hertfordshire Students’ Union.

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| **Personal Details (please print):**  Student Name:  Student Number:  Correspondence Address:  Contact Number:  E-mail Address:  Programme of Study:  Date of initial contact regarding Informal Complaint and who this contact was with:  Outcome of Informal Complaint: |
| **Please give details of your Formal Complaint and the desired outcome. Where you refer to supporting evidence, please number those documents**. **You may continue on a separate sheet if necessary.** |
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| **Please list and number any documents that you are providing as supporting evidence:** |

Signature: …………………………………

Date: ……………………………………….

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| For Office use only  Date Formal Complaint received:  Dean of School/Head of SBU (or nominee) decision:  Date of decision: |