



## UCP-COM001 Higher Education Student Complaints Policy

### 1. INTRODUCTION

1.1 UCP is committed to high standards of service and the quality of teaching and learning. UCP's focus at all times is to ensure students have a positive and rewarding experience. However, it is accepted that students may have complaints relating to their course or the services and facilities provided. UCP takes such complaints seriously and will deal with them without recrimination and in a confidential manner in accordance with the policy.

1.2 This policy, in consultation with the HE Academic Board has been designed to:

- Reflect the principles of justice.
- Be transparent and involve timely resolution of the complaints.
- Include procedures for independent review and decision making.
- Encourage the resolution of the complaint at a local level.
- Take action to improve the student experience.

### 2. PURPOSE

2.1 The purpose of the policy is to ensure that UCP adheres to the requirements and expectations outlined by best practice guidance from Supporting Professionalism in Admissions (SPA), the UK Quality Code for Higher Education (QAA), Office of the Independent Adjudicator (OIA) and Competition and Markets Authority (CMA) guidelines. It also recognises the demands of higher education and the importance of student experience and ongoing enhancement.

2.2 It is our policy to deal as quickly and as possible with any complaint a student may have about their treatment by a fellow-student; or one of our employees, services or departments. The purpose of this procedure is to give students an opportunity to sort out any such problem. We will resolve complaints at the earliest possible stage in the procedure and make every effort to do so informally. However, some complaints may be difficult to deal with informally and you a student may wish to make a formal complaint. This should only be done once they you have exhausted the informal route. Clear lines of communication are published to students on CANVAS and in the handbook.

2.3 The Complaint Process should be summarised as

- **Early Resolution – Informal procedures**, which follow our lines of communication process and this, means that the student address issues with your Course Leader in the first instance for example.
- **Stage 1 – Making a formal complaint**
- **Stage 2 – Requesting an internal review:** necessary if a student is unhappy with the resolution / findings from Stage 1.
- **Stage 3 – Requesting external review:** Involvement of the Awarding Body and/ or OIA - necessary if a student is unhappy with the internal resolution / findings from Stage 2 by the institution

### 3. SCOPE

- 3.1 University Centre Peterborough (UCP) is the higher education arm of the Inspire Education Group (IEG). This policy covers all higher education provision operating through UCP which includes Peterborough College, Stamford College, and franchise partners (ESPA and Addict). It is to be followed by students regardless of the awarding body.
- 3.2 Academic appeals are not complaints and should be managed through the UCP-ASS005 Higher Education Academic Appeal Policy published on the UCP website [www.ucp.ac.uk/policies](http://www.ucp.ac.uk/policies)
- 3.3 An academic appeal as defined by the Office of the Independent Adjudicator (OIA), is a "request for a review of a decision of an academic body charged with making decisions on student progress, assessment and awards." This relates to appeals against the decision of an Assessment Panel, Awards Board, or progression decisions. Matters, which may be dealt with by means of Academic Appeals or other regulations relating to courses of study or the assessment thereof, shall not be dealt with by means of this policy.
- 3.4 A complaint as defined by the Office of the Independent Adjudicator (OIA), is an expression of dissatisfaction by one or more students about a provider's action or lack of action, or about the standard of service provided by or on behalf of the provider."
- 3.5 If a student raises a complaint or academic appeal which does not fall neatly into the category of either a complaint or an academic appeal, or if their concern contains issues of complaint and an academic appeal, UCP will advise them which issues will be looked at under which procedure. This will be irrespective of which procedure has been used to formally raise a concern.
- 3.6 If a student submits a complaint and academic appeal, the process investigating one may be suspended pending the completion of another. UCP may decide to consider all matters together particularly if, for example, the findings of a complaint are likely to influence a decision regarding an appeal.
- 3.7 Examples of complaints include (but are not restricted to);
- Complaints in respect of a student's educational experience
  - Complaints concerning discrimination on grounds of gender, race, disability, creed or ethnic origin etc.
  - Complaints on grounds of maladministration.
- 3.8 Complaints about admission to study should be referred directly to the Deputy Director (Head of Admissions). See the separate UCP-REC001 Higher Education Recruitment and Admissions Policy on the UCP website [www.ucp.ac.uk/policies](http://www.ucp.ac.uk/policies)
- 3.9 Students have the right to escalate a complaint for external review to the Awarding Body (if it relates to the academic standards and/or quality of the learning opportunity), and/or the OIA, if, after exhausting the UCP internal procedures, they remain dissatisfied.

#### 4. RELATED DOCUMENTS

- 4.1 **UCP** [www.ucp.ac.uk/policies](http://www.ucp.ac.uk/policies)
- Accrediting / Awarding Body Academic Regulations (e.g. ARU, Pearson etc.)
  - Centre devised policies for:
    - UCP Rules, Regulations and Procedures (this policy aligns with the process included or ARU awarded provision)
    - Higher Education Student Charter

- UCP Terms and Conditions of Admissions and Enrolment
- UCP-FIN01 Higher Education Tuition Fee and Refund Policy
- UCP-ASS005 Higher Education Academic Appeal Policy
- UCP-COM001 Appendix 1 CS1 Form – Stage 1 Student Complaints Form
- UCP-COM001 Appendix 2 CS2 Form – Stage 2 Student Complaints Form
- UCP-COM002 Higher Education Visitors, Customers and Stakeholders Complaints Policy
- **UCP@Stamford**  
<https://www.stamford.ac.uk/about/policies-and-procedures>

## 5. RESPONSIBILITIES

- 5.1 Complaints will not be considered formal unless appropriate CS1 / CS2 forms are completed. These are available from the UCP website and need to be emailed to [uacademicoffice@ucp.ac.uk](mailto:uacademicoffice@ucp.ac.uk).
- 5.2 Complaints should be completed by the individual concerned. Correspondence or phone calls from others will not be considered unless UCP has received written/signed authorisation from the complainant that the third party intends to act on their behalf.
- 5.3 Where the issues raised affect a number of students, those students can submit a concern or complaint as a 'group concern/complaint'. In such circumstances, in order to manage the progression of the concern or complaint, the group must nominate one student to act as group representative. UCP will deal with the nominated representative only and will expect them to liaise with the other students.
- 5.4 UCP will not accept anonymous complaints. Anonymous complaints do not allow for an effective investigation to be conducted and a resolution reached. Normally therefore, no action will be taken where a complaint is submitted anonymously. However, UCP reserves the right to exceptionally investigate an anonymous complaint where this is deemed appropriate.
- 5.5 Responsibilities and time frames for response and action by the student and UCP.
- **Early Resolution** – HE Course Leader / HE Manager
  - **Stage 1 – Making a formal complaint:** Deputy Director of UCP (or nominee) - Investigate the informal complaint (allowance of 20 working days on receipt of CS1). The complaint must be made within 3 calendar months of the first incident or event.
  - **Stage 2 – Requesting an internal review:** Academic Director (or nominee) - will undertake the Formal Stage (20 working days on receipt of CS2). The CS2 should be submitted within 20 working days of the date that the CS1 was concluded. In considering the CS2 the complaint will not be reinvestigated but will review:
    - The procedures were followed at the previous stage
    - Whether the outcome was reasonable
    - New material that the student was unable, for valid reasons, to provide earlier in the process.
  - **Stage 3 – Requesting external review:** Once the internal procedures are completed the student has the right to refer the complaint to the Awarding Body and/ or Office of the Independent Adjudicator. Details of how to refer your complaint to the OIA are available here: <https://www.oiahe.org.uk/students/how-to-complain-to-us/>

5.6 It should be noted that the complaint must be heard and addressed within 90 calendar days

## 6. **RISK ANALYSIS**

6.1 This policy is required to ensure that correct procedures are in place and documented by all involved in the handling of complaints, both formal and informal, for higher education students.

### **Analyse risks of non-adherence to this policy**

6.2 Poor student satisfaction and impact on annual return from OIA. Poor external stakeholder perception and potential financial cost and compensation. Failure to demonstrate effective enhancement. Failure to achieve a positive outcome from a Higher Education Review and the likelihood of additional scrutiny.

### **Staff training needed**

6.3 Initial and refresher training to be made available to staff.

## 7. **DATA PROTECTION**

7.1 UCP complies with the provisions of the General Data Protection Regulation Data Protection Act, 2018. As such, applicants' and student data are treated as confidential by all staff involved in this process and are not divulged unnecessarily or inappropriately. However, the aforementioned Act requires UCP to release certain information to UK authorities upon request in order to assist those authorities with the prevention and detection of fraud or other crimes. We will release the requested information on receipt of an appropriate request from UK authorities such as (but not limited to) the police, Home Office (for immigration and related matters), local authorities, and the Department for Work and Pensions. We may use anonymised data collected as part of an individual's application and enrolment for fulfilling statistical and reporting requirements.

## 8. **PROCEDURE**

### **Early Resolution Stage**

8.1 Students are encouraged to follow the lines of communication (see the final page of this policy) published in handbooks. This is also found on the Virtual Learning Environment and explained to students during induction. Initial concerns must be discussed with the Module/Unit Tutor, Course Leader or HE Manager. These staff have an understanding of the student's circumstances, programme of study, and are often best placed to resolve issues quickly.

8.2 The HE Manager will ensure that a response is sent to the complainant within 10 working days of receipt. In some circumstances, the enquiry may extend to giving all parties an opportunity to be heard and if it is substantiated in whole or part, take action to correct the situation. From time to time, a complaint may require extensive investigation, which cannot be completed within 10 days. In such cases, a letter/email is to be sent by the HE Manager to the complainant keeping them informed of progress.

8.3 If the matter is not resolved to their satisfaction then they should move to Stage 1 (below). Any member of staff dealing with a dispute from a student should recommend the student

proceed to Stage 1 if a satisfactory resolution cannot be agreed or if the staff member in any way feels it would be unprofessional to continue informally.

### **Stage 1 - Making a formal complaint (CS1 form submitted by the student)**

- 8.4 A CS1 form should be completed by the student. This must be done within 3 months of the first incident. Complainants may be offered support in order to make their complaint. The Student Officer or member of the Student Support Team can provide this support.
- 8.5 The complainant will receive an acknowledgement of the complaint within 5 working days and an investigation will be conducted. The acknowledgement will explain the steps to be taken, how long the process is expected to take and any further information required.
- 8.6 This complaint will be investigated by Deputy Director UCP (or nominees) unless they are cited within the complaint, and findings presented with 20 working days. The individual concerned may be contacted for further information. A student can request to attend meetings or interviews with a representative from the student body, parent or guardian. Due to data protection, we do however communicate only with the student / complainant. The Academic Office securely holds all case paperwork.
- 8.7 The complaint will be judged upheld, partially upheld or not upheld based on the findings. The Deputy Director of UCP sends a Completion of Procedures Letter (see Appendix 4) to the student, and a copy to the Academic Office (for recording and monitoring purposes), if after 20 working days of the findings no further response is received.
- 8.8 If a resolution cannot be found, the student or a representative (who must have permission from the student to act on their behalf) must proceed to Stage 2 and submit a CS2 form within 20 working days of receipt of the CS1 outcome letter.

### **Stage 2 – Requesting an internal review (CS2 form submitted by the student)**

- 8.9 If, once the complaint receives the CS1 outcome letter, they do not consider that UCP has dealt with their complaint in a reasonable manner, they can invoke the internal review stage by submitting a CS2 form. This must be submitted within 20 working days of receipt of the CS1 outcome. Complainants may be offered support in order to make their complaint. The Student Officer or member of the Student Support Team can provide this support.
- 8.10 Within the CS2, the complaint must explain why they remain dissatisfied with the CS1 outcome of their complaint. They should identify one or more of the following grounds on which they are requesting the internal review:
- that relevant evidence has not been taken into account;
  - that regulations, policies or procedures have not been applied correctly;
  - that the reasons for the decision were not fully and clearly communicated;
  - that there was bias;
  - that the decision made was not fair or reasonable in all the circumstances.
- 8.11 The complainant will receive an acknowledgement of the complaint within 5 working days and an investigation will be conducted. The acknowledgement will explain the steps to be taken, how long the process is expected to take and any further information required.
- 8.12 This complaint will be investigated by the Academic Director (or nominee) unless they are cited within the complaint and findings will be presented with 20 working days. The individual

concerned may be contacted for further information. A student can request to attend meetings or interviews with a representative from the student body, parent or guardian. Due to data protection, we do however communicate only with the student / complainant

- 8.13 The complaint will be judged upheld, partially upheld or not upheld based on the findings. The Academic Director (or nominee) sends an outcome letter to the student and a copy to the Academic Office (for recording and monitoring purposes) if after 10 days of the findings no further response is received.

### **Stage 3 – Requesting an external review**

- 8.14 If an internal resolution cannot be found, the student has the right to refer the complaint to the Awarding Body (if the complaint relates to their study) and/or Office of the Independent Adjudicator (OIA).
- 8.15 The UCP Rules, Regulations and Procedures which govern those students studying on ARU accredited degrees clearly identifies areas that fall within the remit of ARU. Students can do so by emailing the ARU Office of the Secretary and Clerk at [complaints@anglia.ac.uk](mailto:complaints@anglia.ac.uk) Postal address: Office of the Secretary and Clerk, Anglia Ruskin University, Bishop Hall Lane, Chelmsford, Essex, CM1 1SQ
- 8.16 Open University students can approach the OU about any concerns through the Open University's Student Casework Office (SCO) at [studentcaseworkoffice@open.ac.uk](mailto:studentcaseworkoffice@open.ac.uk) Postal address: The Vice-Chancellor's Delegate, The Open University, Academic Services, Student Casework Office, Walton Hall, Milton Keynes, MK7 6AA, United Kingdom.
- 8.17 Bishop Grosseteste University students can address your request for review of UCP's internal complaints investigation to the Governance, Compliance and Operations Manager by email ([governance@bishopp.ac.uk](mailto:governance@bishopp.ac.uk)). Students must attached any evidence to be considered and use the template Appendix 1 found on <https://2019.bishopp.ac.uk/wp-content/uploads/2018/05/StudentComplaintsProcedure.pdf>
- 8.18 The Office of the Independent Adjudicator for Higher Education (OIA) runs an independent scheme to review student complaints. In order to refer their case to the OIA they will require a Completion of Procedures Letter. The must contact the OIA This must be done within 12 months of the date of the Completion of Procedures letter. Details of the rules of the scheme and information about how to make an application for review by the OIA are available at their website - [www.oiahe.org.uk](http://www.oiahe.org.uk) .

### **Completion of Procedures**

- 8.19 On completion of UPC's internal processes, or on completion of the awarding body's review, the student will be issued with a 'Completion of Procedures'. This will include a clear explanation of the determinations made on the key elements within the complaint under review. Where relevant, UCP will provide an explanation of how any outcomes are to be implemented. The 'Completion of Procedures' letter will advise the student of the right to submit a complaint to the Office of the Independent Adjudicator for Higher Education (OIA) and the time limit for submission.

### **Recording, Monitoring and Analysis of Complaints**

- 8.20 The Academic Office will oversee the tracking and monitoring of complaints processed through the procedure. All forms and outcome of investigations must be submitted to the Academic Office.
- 8.21 In order to continually review and enhance the student experience, complaints received are reviewed and monitored. These details are also summarised and presented at the Higher Education Academic Board, which meets on a semester basis to ensure any common themes can be addressed or changes to policy can be implemented. Complaint trends and the annual report are reviewed by the governing body.
- 8.22 Informal complaints are recorded by HE Managers on the informal complaints log found on the J drive. Anonymised and summarised details are presented at the Higher Education Academic Board, which meets on a semester basis to ensure any common themes can be addressed or changes to policy can be implemented.
- 8.23 The Academic Office will hold a record of all complaints for 3 years for audit purposes.



### Course Academic Enquiry

Module/unit content, Turnitin, assessment feedback, on course issues, module choices, timetables, lateness & absences

1. **Student Rep**
2. **Module Tutor**
3. **Course Leader**
4. **HE Manager**

**Claire Swales**  
Arts, Social Sciences & Business  
[Claire.Swales@peterborough.ac.uk](mailto:Claire.Swales@peterborough.ac.uk)

**Glen Mason**  
Science, Technology & Education  
[Glen.Mason@peterborough.ac.uk](mailto:Glen.Mason@peterborough.ac.uk)

5. **Deputy Director, Peterborough**  
[James.Larner@peterborough.ac.uk](mailto:James.Larner@peterborough.ac.uk)

**Head of Higher Education, Stamford**  
[Daniel.Lee@stamford.ac.uk](mailto:Daniel.Lee@stamford.ac.uk)

6. **Academic Director, Liz Knight**  
[Sherrill.Duberry@peterborough.ac.uk](mailto:Sherrill.Duberry@peterborough.ac.uk) (PA)

### Student Advice Enquiry

#### Student Support Team

Health & wellbeing, persistent absence or non-attendance, extensions, mitigations, suspending your study (intermission), withdrawing and financial hardship.

UCP013

[ucp.student.support@peterborough.ac.uk](mailto:ucp.student.support@peterborough.ac.uk)

#### Finance Team

Tuition fee queries  
[UCP.Finance@peterborough.ac.uk](mailto:UCP.Finance@peterborough.ac.uk)

#### Admissions Team

Application and registration queries  
UCP Reception

[Admissions@ucp.ac.uk](mailto:Admissions@ucp.ac.uk)

#### CANVAS & IT Support

12-2pm Mon -Fri (Student Support Centre)  
[ucp.it.support@peterborough.ac.uk](mailto:ucp.it.support@peterborough.ac.uk)

### Student Experience Enquiry

#### Student Experience

Social & extra-curricular activities

[StudentExperience@ucp.ac.uk](mailto:StudentExperience@ucp.ac.uk)

[StudentOfficer@ucp.ac.uk](mailto:StudentOfficer@ucp.ac.uk)

#### Employer Hub

Employability, mentoring, work experience, internships, volunteering, employment and career progression

[employerhub@ucp.ac.uk](mailto:employerhub@ucp.ac.uk)

#### Accommodation

[Accommodation@ucp.ac.uk](mailto:Accommodation@ucp.ac.uk)

#### UCP Reception

Facilities & printing

01733 214466

### Student Officer

[studentofficer@ucp.ac.uk](mailto:studentofficer@ucp.ac.uk)

The Student Officer is a graduate who, alongside their postgraduate studies, provides information, advice and support to the student body.





**CS1 Stage 1: UCP STUDENT COMPLAINTS PROCEDURE**

Before completing this form, you should read our student complaints policy.

This procedure is complementary to the Academic Appeals Procedure. Its scope is therefore restricted to:

- Complaints in respect of a student's educational experience at University Centre Peterborough and UCP@Stamford including relationships with any non-teaching department.
- Complaints concerning discrimination by UCP / UCP@Stamford on grounds of gender, race, disability, creed or ethnic origin etc.
- Complaints on grounds of maladministration.

Matters which may be dealt with by means of Academic Appeals or other regulations relating to courses of study or the assessment thereof shall not be dealt with by means of this procedure.

This procedure, in consultation with the Student Officer, has been designed to:

- Reflect the principles of natural justice
- Be transparent and involve timely resolution of the complaints
- Include procedures for independent review and decision making
- Encourage the resolution of the complaint at a local level.

Prior to making a formal complaint you must have made an attempt to resolve the issue informally and you will be required to enter the details of this attempt on this form.

**1. YOUR DETAILS**

Title ..... Forenames..... Surname.....

Correspondence Address.....

.....Postcode.....

Daytime Tel..... Mobile Tel.....

Email address.....

Student Identification Number..... Course/Year of Study.....

Course.....

Campus of study.....

Date of submission of this form.....

## 2. DETAILS OF THE COMPLAINT

Please provide clear and concise details of the complaint below.

**What would you like as an outcome?**

**3. DETAILS OF ATTEMPTS TO RESOLVE THE COMPLAINT INFORMALLY**

Please provide details of your attempt(s) to resolve your complaint informally. (If you have not done this please return to the Early Resolution stage as we are confident that many issues can normally be resolved this way)

Who did you discuss the complaint with?.....

.....  
.....

Post title (if appropriate).....

Department (if appropriate).....Date discussed.....

**What was the outcome and why are you still dissatisfied?**

#### 4. DECLARATION AND SIGNATURE

I confirm that the information provided on this form is true and correct and in submitting this form I consent for the information provided in this form to be used as detailed below and I understand that University Centre Peterborough and UCP@Stamford;

- will not accept complaints from third parties or anonymous sources;
- will deal with any complaint that it believes to be malicious and unfounded under the provisions of its Student Disciplinary Policy;
- will hold some elements of the information I have provided on an electronic database;
- may need to share the information I have provided with other persons or organisations as part of any investigation to resolve my complaint.

Signed.....

Date.....

We would welcome your feedback in relation to the Complaints procedure. If you would like to make any suggestions/comments once the procedure has been completed, please submit these to the Academic Office

**Once completed, please return this form by email to [UCP.AcademicOffice@peterborough.ac.uk](mailto:UCP.AcademicOffice@peterborough.ac.uk) or please send this form to the Academic Office, UCP007, University Centre Peterborough, Park Crescent Peterborough, PE1 4DZ**

**You should keep a copy of your submission.**

**If you have any additional documents which you are unable to send via email, please send these, together with a copy of this form to the Academic Office, as above.**

***For internal use only:***

Date complaint received.....

Office reference.....



### CS2 Stage 2: UCP STUDENT COMPLAINTS PROCEDURE

Before completing this form, you should read our student complaints policy.

This procedure runs alongside the academic appeals procedure. As a result, it only deals with:

- Complaints in respect of a student's educational experience at University Centre Peterborough and UCP@Stamford including relationships with any non-teaching department.
- Complaints concerning discrimination by UCP / UCP@Stamford on grounds of gender, race, disability, creed or ethnic origin etc.
- Complaints on grounds of maladministration.

We will not deal with matters which may be dealt with through Academic Appeals or other regulations relating to pathways of study or how they are assessed using this procedure.

This procedure, in consultation with the Student Officer, has been designed to:

- Reflect the principles of natural justice
- Be transparent and involve timely resolution of the complaints
- Include procedures for independent review and decision making
- Encourage the resolution of the complaint at a local level.

**HAVING BEEN UNABLE TO RESOLVE THE COMPLAINT AT STAGE 1, I REQUEST THAT THIS MATTER BE EFERRED TO STAGE 2 OF THE STUDENT COMPLAINTS PROCEDURE.**

#### 1. YOUR DETAILS

Title ..... Forenames..... Surname.....

Correspondence Address.....

.....Postcode.....

Daytime Tel..... Mobile Tel.....

Email address.....

Student Identification Number..... Course/Year of Study.....

Pathway.....

Faculty/Service.....

Date of submission of this form..... Date of CS1 submission.....

**2. DETAILS OF THE COMPLAINT** (including in particular why you feel the complaint had not been resolved at Stage 1 of the Complaints process)

[Empty box for details of the complaint]

### 3. DECLARATION AND SIGNATURE

I confirm that the information provided on this form is true and correct and in submitting this form I consent for the information provided in this form to be used as detailed below and I understand that University Centre Peterborough and UCP@Stamford;

- will not accept complaints from third parties or anonymous sources;
- will deal with any complaint that it believes to be malicious and unfounded under the provisions of its Student Disciplinary Policy;
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Date complaint received.....

Office reference.....