**NOTIFICATION OF A FORMAL COMPLAINT UNDER THE PROVISIONS OF THE COMPLAINTS POLICY (NON-STAFF AND NON-STUDENT) (UPR GV15)**

**NOTES FOR GUIDANCE AND COMPLAINT FORM**

* 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 GV15, ‘Complaints Policy (non-staff, non-student)’, but these notes provide a summary. This document is published on-line at the following location and you are advised to read in full:

[GV15-Complaints Policy (non-staff, non-student)](https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs/uprs/governance)

It is always preferable if a complaint can be resolved informally. Complaints must be made in writing, within three (3) calendar months of the date on which the incident occurred. All complaints may be submitted via ‘e’-mail to: ask@herts.ac.uk

If you remain dissatisfied with the outcome at the conclusion of the formal stage then, on limited grounds, you may request a review by the Secretary and Registrar. You will be informed of this right at the appropriate time.

**Request for a review by the Secretary and Registrar**

The Presiding Officer will, either with or without having convened a Hearing, decide whether to uphold or dismiss the complaint. If the complaint is upheld, the Presiding Officer will decide what actions will be taken to rectify the subject matter of the complaint. The Presiding Officer’s decision will be communicated in writing to you.

The Presiding Officer may decide that the case can be resolved based on the Case Officer’s report and/or other documentation provided or may decide that a formal Hearing is necessary before a decision can be made. If a Hearing is to be held then you will be advised of the details/procedure and will be expected to attend.

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 case fully and appropriately and prepare a report for the Presiding Officer. The investigation process may involve speaking with you and any other relevant individual.

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 and submitting it to the relevant Dean of School/Head of Strategic Business Unit within three (3) calendar months of the date on which the incident occurred.

**Formal Stage**

**Informal (Preliminary) Stage**

* To ensure that when submitting a Formal Complaint, all necessary information is provided so that the University is able to deal with the matter efficiently, **complainants are expected to use this form.** With regard to the requirement to submit requests using the appropriate form, the University will make reasonable adjustments for disabled complainants.
* The University expects that at the time of making a Formal Complaint, a complainant 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 and will not be treated adversely as a result of their having made a complaint.

March 2021

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**COMPLAINT FORM**

* You are STRONGLY ADVISED to read the attached Notes for Guidance before raising a formal complaint.
* You are also ADVISED to read the full regulation ([UPR GV15](https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs/uprs/governance)) before submitting this form.

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| **Personal Details (please print):**  Name:  Correspondence Address:  Contact Number:  E-mail Address:  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.**  **Please list and number any documents that you are providing as supporting evidence:** | |
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| Signature ………………………………………………………  Date ………………………………………………………  **Please submit the completed form to:**  **Relevant Dean of School/Head of the Strategic Business Unit**  **University of Hertfordshire**  **College Lane**  **Hatfield**  **Hertfordshire**  **AL10 9AB**  **E-mail:** [**ask@herts.ac.uk**](mailto:ask@herts.ac.uk) | |
| For Office use only  Date Formal Complaint received:  Dean of School/Head of Strategic Business Unit decision:  Date of decision: |