

## Complaints Roles Checklists

### Name of Role: Complaints Investigating Officer

#### Checklist

1. Have you received all of the paperwork?
2. Have you reviewed the information provided by the complainant in the formal complaint submission?
3. Has this been through the informal process first? If so, review any paperwork.
4. Discuss the case with the relevant University staff (as necessary).
5. Arrange a meeting with the complainant (if necessary and possible) to discuss the case (contact the Campus Dean at the relevant centre to confirm a room and a notetaker before confirming details to the complainant).
6. Suggested meeting order:
  - a. Ensure you offer a face-to-face meeting
  - b. A witness (and notetaker) is required
  - c. The complainant can be accompanied
  - d. The meeting should be recorded
  - e. The complainant should state their case
  - f. Question and probe
  - g. Recap the process
7. Do you need to go back to any staff members or the complainant for further information?
8. **Ensure you discuss any proposed recommendations with the staff who will have to implement them, to check they are reasonable and practical.**
9. Now provide a concise and transparent Outcome Report with appropriate recommendations (adhering to Policy guidelines), which addresses all the points raised in the complainant's submission. Keep to the facts, be careful of tone, don't give opinions where you are not qualified to do so.
10. Discuss any issues or recommendations in the Outcome Report with the Head of Complaints and/or University Complaints Officer. If in doubt about anything you intend to put in the report, ask before committing it to paper.
11. Provide the draft Outcome Report to the University Complaints Officer by the agreed deadline.
12. Is an extension required to complete the investigation? If so, inform the University Complaints Officer.
13. Compile a bundle of the documentation; notes of any meetings, correspondence and evidence, and send to the University Complaints Officer.

## Complaints Roles Checklists

### **Name of Role: Complaints Appeal Officer**

#### Checklist

1. Have you received all of the paperwork?
2. Has the original investigation been conducted correctly?
3. Have you reviewed all the information provided by the complainant in the appeal request?
4. Discuss the case with the relevant University staff (as necessary), including the Investigating Officer.
5. A meeting with the complainant is not necessary, unless you feel you need to discuss any particular points in more detail (contact the Campus Dean at the relevant centre to confirm a room and a notetaker before confirming details to the complainant if holding a meeting).
6. Suggested meeting order (if applicable):
  - a. Ensure you offer a face-to-face meeting
  - b. A witness (and notetaker) is required
  - c. The complainant can be accompanied
  - d. The meeting should be recorded
  - e. The complainant should state their case for an appeal
  - f. Question and probe
  - g. Recap the process
7. Do you need to go back to any staff members or the complainant for further information to make your decision on the appeal?
8. Ensure you discuss any proposed recommendations with the staff who will have to implement them, to check they are reasonable and practical.
9. Now provide a concise and transparent Outcome Report with appropriate recommendations (adhering to Policy guidelines), which addresses all the points raised in the complainant's appeal request. Keep to the facts, be careful of tone, don't give opinions where you are not qualified to do so.
10. Discuss any issues or recommendations in the Outcome Report with the Head of Complaints or University Complaints Officer. If in doubt about anything you intend to put in the report, ask before committing it to paper.
11. Provide the draft Outcome Report to the University Complaints Officer by the agreed deadline.
12. Is an extension required to complete the investigation? If so, explain and inform the University Complaints Officer.
13. Compile a bundle of the documentation; notes of any meetings, correspondence and evidence, and send to the University Complaints Officer.

## Complaints Roles Checklists

### Name of Role: Complaints Appeal Panel Member

#### Checklist

1. Have you received all the paperwork? (Outcome report, full file for background information)
2. Prior to the panel meeting, read through the outcome report, and refer to the full file as necessary for clarification
3. At the panel meeting, discuss the outcome report with the other panel members to establish if the outcome is reasonable and if any amendments need to be made to the report
4. Agree any issues to be discussed with the Appeal Officer
5. Approve the final outcome and recommendations

### Version History

Version	Amended by	Revision summary	Date
1.0			October 2017
1.1	Senior Quality Officer	Change to the document coding convention	March 2020
1.1	Quality Assurance Team Leader	Extension to term of approval of 1 year	October 2021