UNIVERSITY OF DUNDEE

COMPLAINTS HANDLING PROCEDURE (CHP) REPORT

FEBRUARY – APRIL 2014

The University's Complaints Handling Procedure (CHP) was implemented on 1 August 2013. This procedure involves up to two stages for resolution of a complaint – Stage 1 (frontline resolution) to be handled within 5 working days and Stage 2 (Investigation) to be handled within 20 working days. Any person who remains dissatisfied after Stage 2 are entitled to take their complaint to the Scottish Public Services Ombudsman (SPSO). Our Complaints Handling Procedure can be found at: http://www.dundee.ac.uk/academic/complaints.htm.

This is our third report under the new CHP.

Monthly Statistics

Table 1 indicates the number of complaints dealt with each month during this quarter and also whether each complaint was dealt with at Stage 1(frontline) or Stage 2 (investigation). As was the case with data for the first two quarters, most complaints were dealt with at Stage 1 with only 6, more complex complaints, being dealt with at Stage 2. In the period 1 February-30 April 2014 the University received a total of 17 complaints.

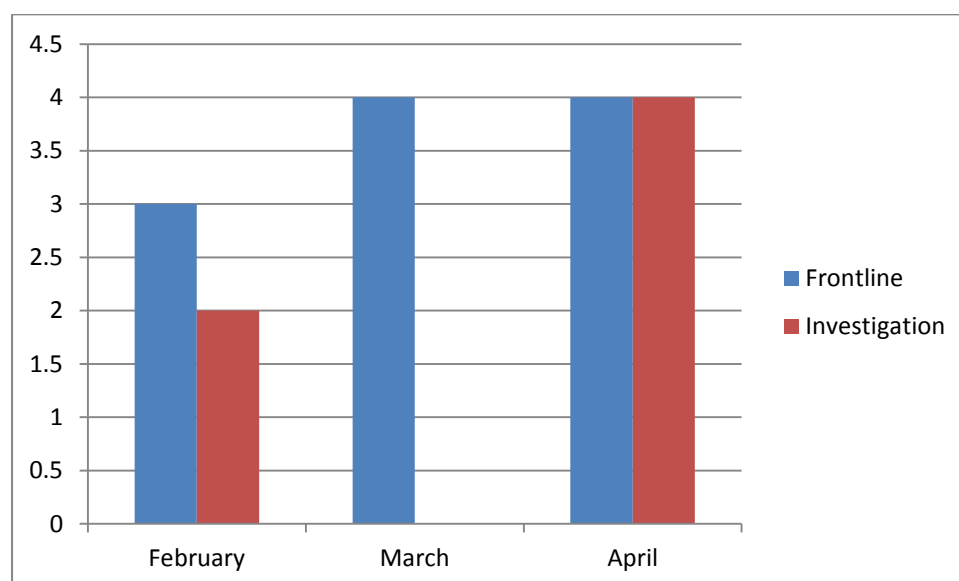|	
Complaints dealt with at Stage 1 (Frontline)	11 (64.71%)
Complaints dealt with at Stage 2 (Investigation)	6 (35.29%)
Total complaints received	17

Table 1 showing monthly data for third quarter

Nature of Complaint

Table 2 indicates the nature of the complaints received and at which stage they were dealt with. Complaints fall under 5 category headings:

Person – Communication/Performance
Process – Procedures
Equipment – Faulty/Not available
Policy – Rules/Regulations
Other – Tuition Fees etc

Stage/Nature	Number of complaints received
Person	5 (29.41%)
Process	7 (41.18%)
Equipment	1 (5.88%)
Other	4 (23.53%)
Person Stage 1	4 (80% of Person complaints)
Person Stage 2	1 (20% of Person complaints)
Process Stage 1	3 (42.86% of Process complaints)
Process Stage 2	4 (57.14% of Process complaints)
Equipment Stage 2	1 (100% of Equipment complaints)
Other Stage 1	4 (100% of Other complaints)

As can be seen, the largest number of complaints received this quarter were with regards to process and the majority of these complaints were more complex in nature and were dealt with at stage 2 (investigation).
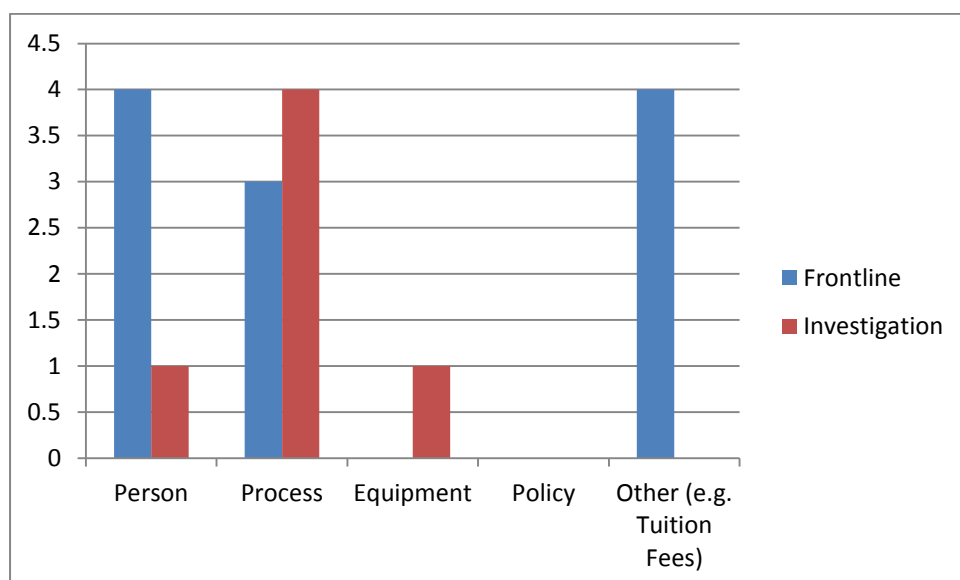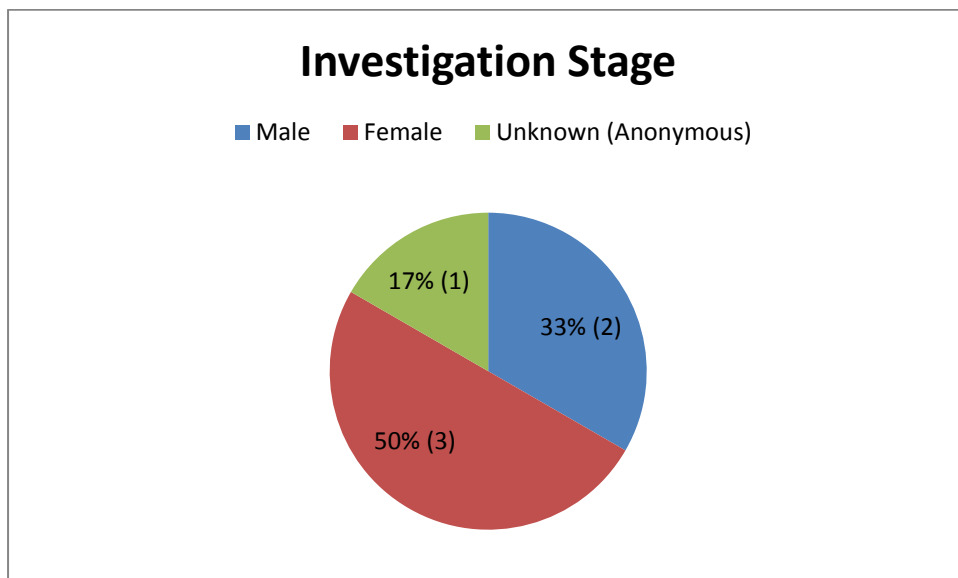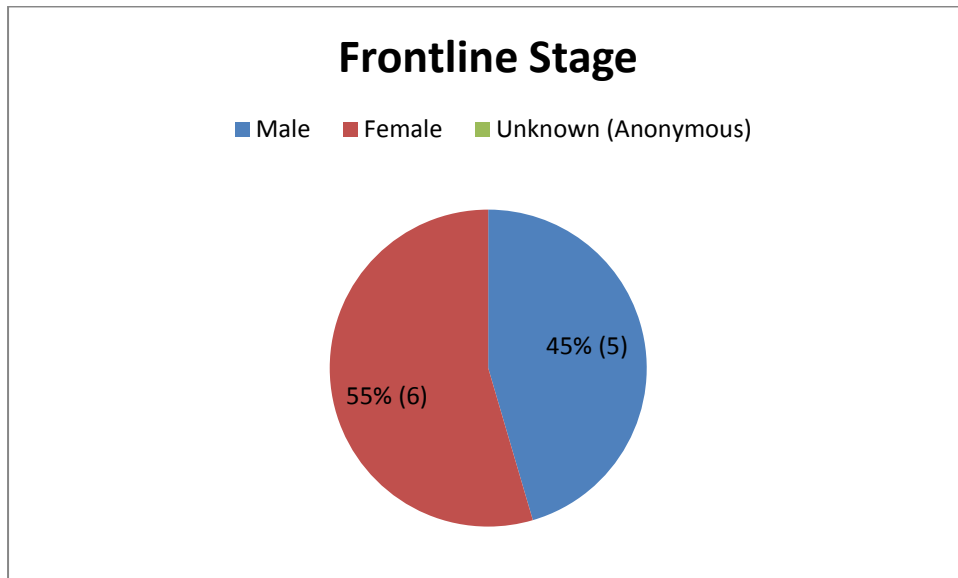

Table 2 showing nature of complaint

Gender

Table 3 shows the difference between the number of males and females complaining. Looking at the figures for this quarter, there is no significantly higher number of one gender complaining. Overall this quarter there were 7 complaints from males, 9 complaints from females and 1 anonymous complaint. The numbers complaining at each stage are 11 at frontline and 6 at investigation.

Frontline Stage

■ Male ■ Female ■ Unknown (Anonymous)

45% (5)

55% (6)

Investigation Stage

■ Male ■ Female ■ Unknown (Anonymous)

17% (1)

33% (2)

50% (3)

Table 3 showing complaints by gender

Outcome of Complaints

As can be seen in table 4, all but 3 of the complaints received were resolved and outcomes accepted. As in previous quarters, Schools/Directorates are finding that complainants are not confirming they are happy with the outcome.

| Outcome/Stage	Number & Percentage
Upheld	14
Withdrawn	1
Ongoing	1
Resolved (but no acceptance received)	1
Upheld at Stage 1	10 (90.91% of complaints closed at stage 1)
Upheld at Stage 2	4 (66.66% of complaints closed at stage 2
Withdrawn at Stage 2	1 (16.67% of complaints closed at stage 2)
Ongoing at Stage 2	1 (16.67% of complaints closed at stage 2)
Resolved (but no acceptance received) at Stage 1	1 (9.09% of complaints closed at stage 1)
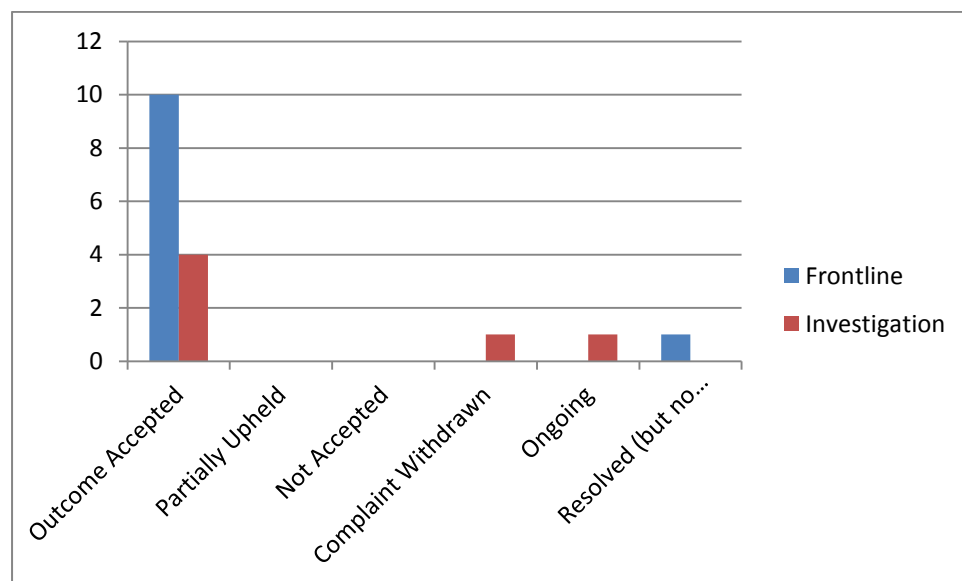
Table 4 showing outcome of complaints

Trends and Observations

Comparing this report with the previous reports (see table 5), it can be observed that similar numbers of complaints were received. At this early stage in reporting, there are no major trends to be observed.
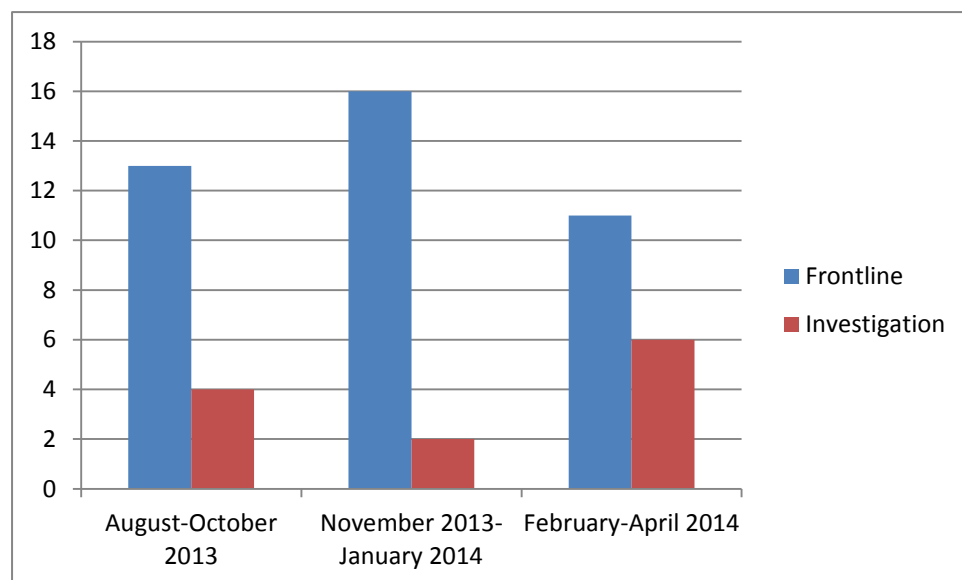
Table 5 shows difference in numbers complaining each quarter

One significant difference from the previous two quarterly reports is that, during February-April 2014, there were fewer stage 1 complaints dealt with (11 this quarter compared to 13 in the first quarter and 16 in the second quarter) but more complaints were dealt with at stage 2 (6 this quarter compared to 4 in the first quarter and 2 in the second quarter).

Again there were a significant number of complaints in the category "Other". At the meeting of the Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures in May, it was decided to revise the reporting form to include additional categories. The next quarterly report will therefore cover the following categories:

Admissions	Including applications in the admissions process (University Admissions Policy)
Facilities and Equipment	Including standard and suitability of facilities/faulty equipment/facilities or equipment not available (this category does not include student accommodation issues)
Finance/Fees	Any issue regarding fees/funding/other finance issues

Service Provision and Student Support	Including quality/level of service provided/failure to provide a service e.g IT, Library, HR, Student Services, Special Needs, Welfare etc (not Admissions or Finance)
Staff/Student Conduct	Inappropriate conduct/behaviour/attitude of staff and matriculated students
Student Accommodation	Any complaint relating to student accommodation or the Residences Office
Teaching/Assessment	Including standard of course, content, examinations, course materials, lecturers/tutors, supervision etc
University Policies, Procedures and Regulations	Any complaint relating to a University policy, procedure or regulation
Other	Anything else not included in categories listed (please specify)

As in previous quarters, Schools/Directorates reported that complainants were not confirming they were happy with the resolved outcome. It was therefore decided to include a sentence in our template outcome letters stating if we do not hear within 5 working days, then the complaint will be closed and the outcome accepted.

K Stulka
Policy, Governance and Legal Affairs

May 2014