



# **COMPLAINTS HANDLING PROCEDURE**

## **ANNUAL REPORT**

**2015/2016**

## INTRODUCTION

The University's Complaints Handling Procedure (CHP) 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 of receiving a complaint. Any person who remains dissatisfied following Stage 2 (Investigation) can take their complaint to the Scottish Public Services Ombudsman (SPSO) for consideration. Our CHP can be found at: <http://www.dundee.ac.uk/governance/dca/complaints/>

The University also provides quarterly statistical information on their website at: <http://www.dundee.ac.uk/governance/dca/monitoringstatistics/>

This annual report has been approved by the University's Monitoring and Advisory Group on Appeals, Complaints and Discipline Procedures and also the Senatus Academicus. It contains key performance indicators for the period 1 August 2015 – 31 July 2016.

If you have any questions regarding this report, or any other complaint matter, please email the following address:

[complaintsresolution@dundee.ac.uk](mailto:complaintsresolution@dundee.ac.uk)

Alternatively, please contact Karen Stulka, Academic and Corporate Governance (Legal) on (01382) 384011.

November 2016

## COMPLAINTS RECEIVED

During 2015/16, the University received 42 complaints. Of these, 31 complaints were dealt with at stage 1 (frontline) and 11 complaints were dealt with at stage 2 (investigation). From the 11 complaints dealt with at stage 2, 10 complaints had been dealt with initially at stage 1. Charts 1 and 2 show the number and percentage of complaints handled each quarter at both frontline and investigation stages.

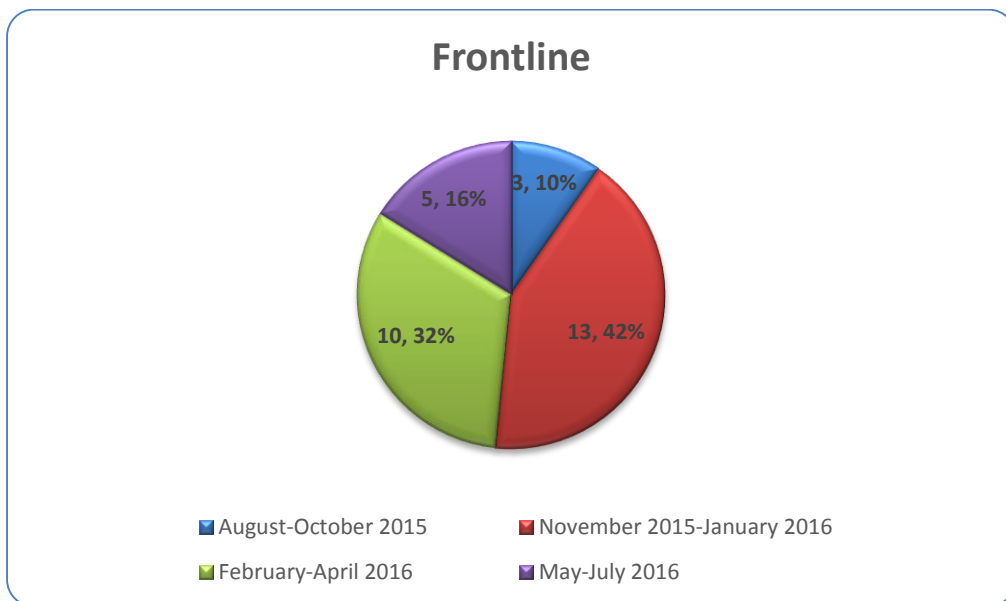


Chart 1 – Total number of stage 1 complaints received

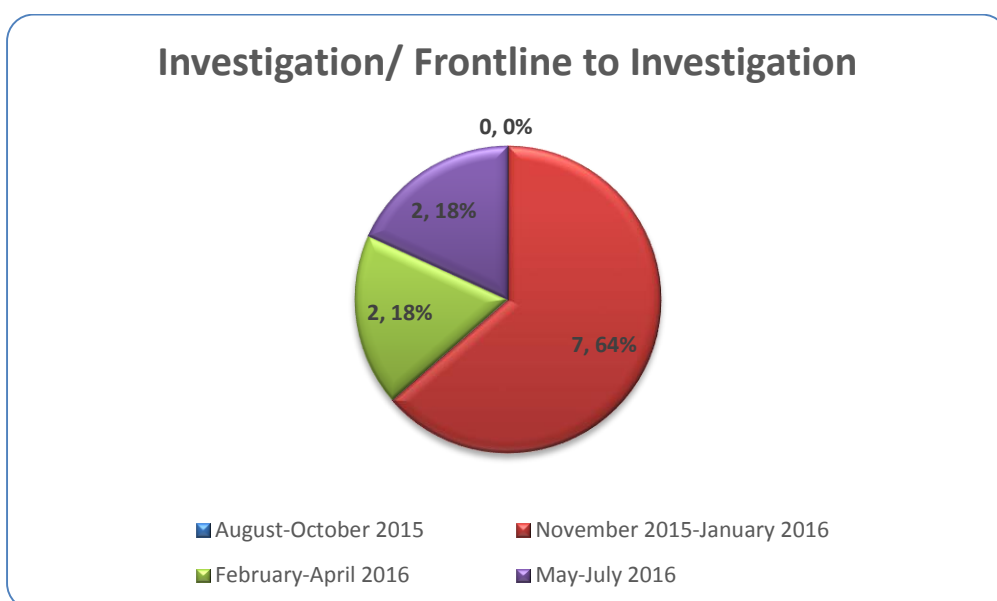


Chart 2 – Total number of stage 2 complaints received

The following table shows the number and percentage of complaints closed at frontline (within the 5 day timescale) and investigation (within the 20 day timescale).

Stage	Total complaints	Number closed within SPSO time limits	Percentage
Frontline (stage 1)	31	17	54.83%
Investigation (stage 2)	11	6	54.54%

### AVERAGE TIME TAKEN TO RESOLVE A COMPLAINT

Chart 3 shows the average time taken to resolve complaints at both stage 1 and stage 2 each quarter. As can be seen, stage 2 complaints in February-April were taking much longer to complete on average. This was often due to waiting on information from the complainant, waiting on information from other areas of the University or annual staff leave.

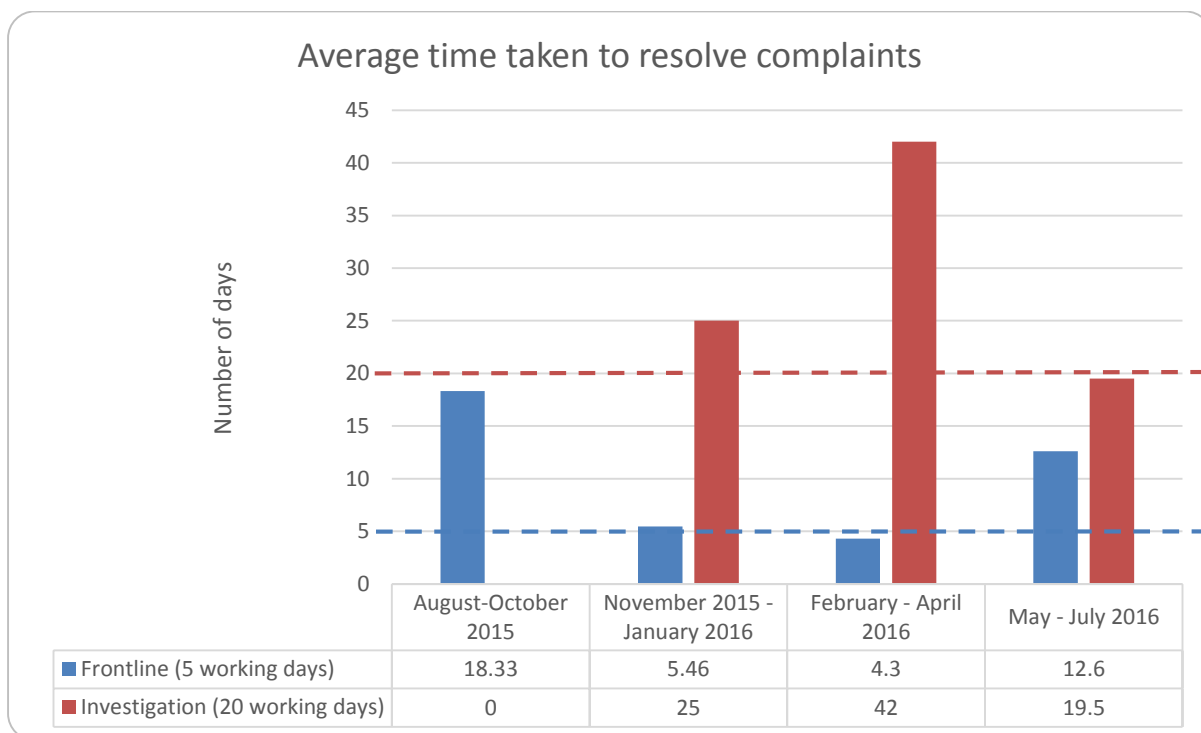


Chart 3 – Average time taken to resolve complaints

The following table shows the number and percentage of complaints where an extension to the frontline/investigation working day time limit had been authorised. In these cases, the complaints officer/investigator remained in contact with the complainant or arranged meetings with the complainant.

Stage	Number of complaints dealt with where an extension was authorised	Percentage
Frontline (stage 1)	7	22.58% of all stage 1 complaints
Investigation (stage 2)	2	18.18% of all stage 2 complaints

## NATURE OF COMPLAINTS RECEIVED

Charts 4 and 5 show the nature of complaints received at each stage (including number and percentage). As can be seen, the largest number of complaints received are regarding admissions or service provision/student support.

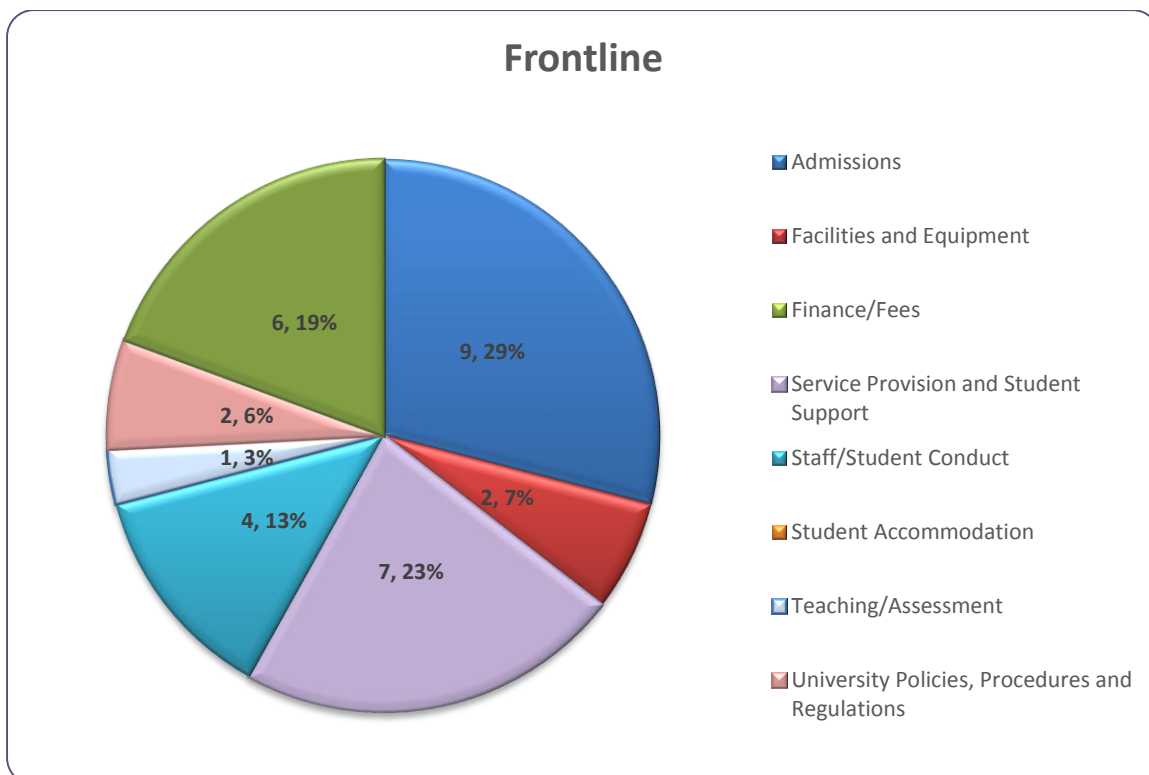


Chart 4 – Nature of complaints dealt with at stage 1

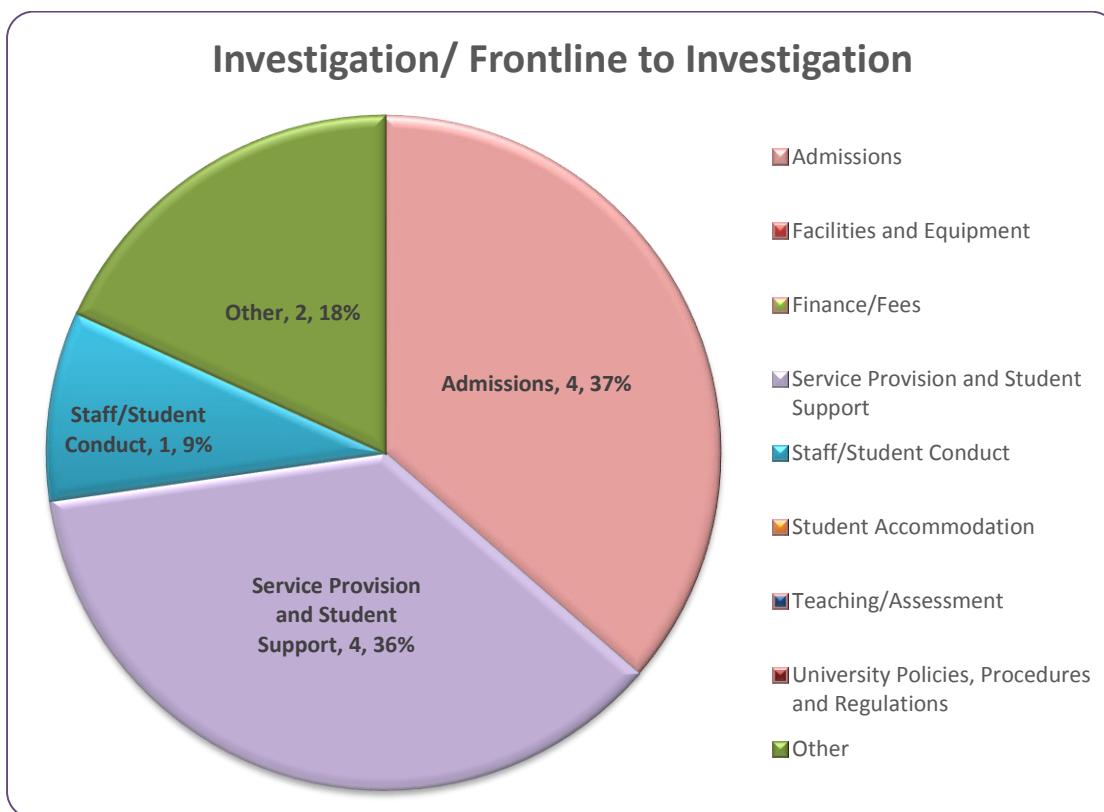


Chart 5 – Nature of complaints dealt with at stage 2

## OUTCOME OF COMPLAINTS

Chart 6 shows the outcome of complaints at each stage. Only a small number of complaints were not upheld. Where the outcome of a stage 1 complaint was not accepted, the complaint was assigned to a complaint investigator to consider under stage 2.

As in previous years, a number of complainants did not report back to confirm that they accepted the outcome of their complaint.

The complainants who remained dissatisfied after stage 2 took their complaints to the SPSO and in both cases these were not taken further by the SPSO.

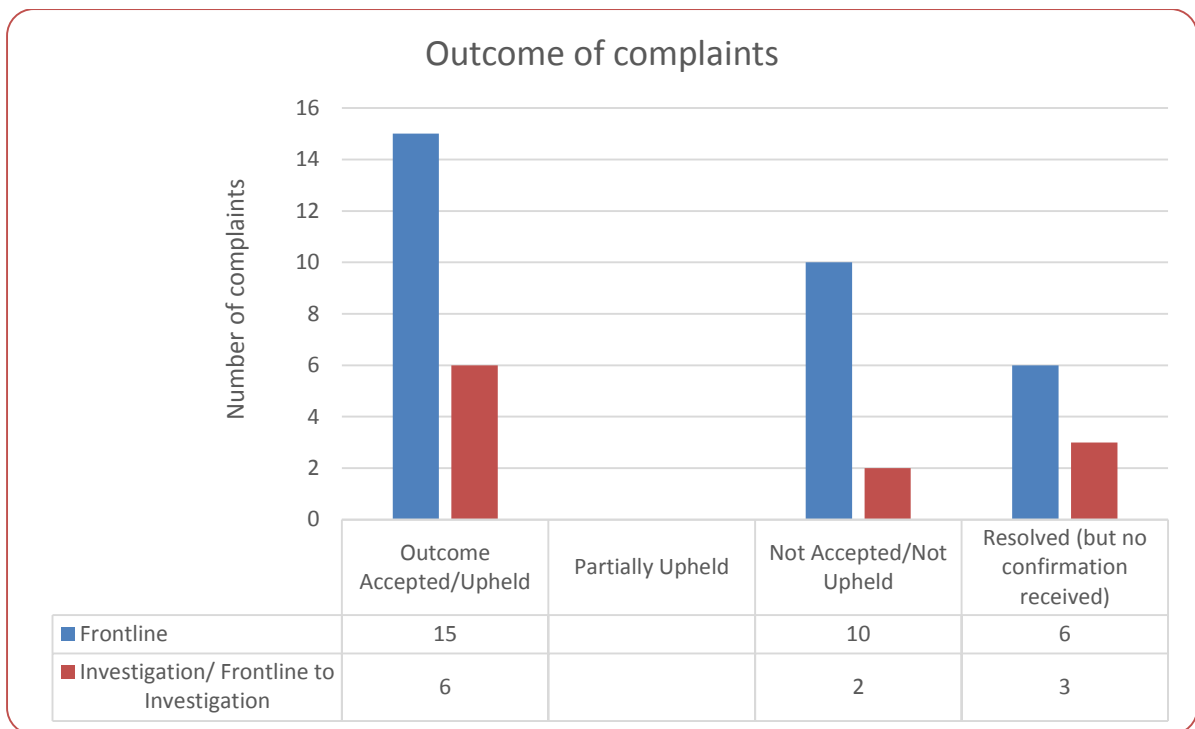


Chart 6 – Outcome of complaints

The following table shows the above data as percentages of the total complaints closed at each stage.

Stage	Outcome Accepted/ Upheld	Not Accepted/ Not Upheld	Resolved (no confirmation)
Frontline	48.39%	32.26%	19.35%
Investigation	54.54%	18.18%	27.28%

Currently, the University has no ongoing complaints being dealt with by the SPSO.

## LESSONS LEARNED

In terms of the University's Vision we are committed to shaping our actions and decisions around a set of core values. These values are critical to our complaints handling process. They are to value people, to work together, to have integrity in what we do, to endeavour to make a difference and to have excellence at the heart of our interactions with others.

### You Said

- Wrong fees communicated after applying to University.
- Flaws in our admissions process.
- Problems in contacting the IT helpdesk (through Help4U email) when no subject heading was included in email.
- Not being able to use all electric car charging points on campus.
- Identifying students from information posted.

### We Did

- Apology given and applicant's fee changed.
- University is currently investing in improving its systems.
- Apology given and acknowledged flaw in the system. Looking to implement an alternative helpdesk system.
- Ensure clear signage is displayed indicating points specifically for use by campus security vehicles only.
- Personal notification method is being developed and in the meantime information showing only matriculation numbers.
- In most cases, an apology was given and the complainant was satisfied.



## TRENDS

The charts below show the number of complaints dealt with at stage 1, stage 2 and overall since the CHP was introduced in 2013. As can be seen, numbers are falling each year which is a positive sign. CHP training continues each year with representatives from each School and Directorate. Training is also available to teams within Schools and Directorates.

