

## Complaints Handling Procedure

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	How do customers make a complaint?	Page 7 - Additional section added detailing how customers can make a complaint.	Aug 17
	Complaints involving more than one department....	Page 7 – Section amended detailing that a complaint can be assigned to more than one department	Aug 17
	Managing unacceptable behaviour	Page 18 – Removed reference to unacceptable actions policy	Aug 17
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## Part 1: Overview and Structure

### Foreword

*At Fife College, we are committed to providing a first-class quality service. However, we recognise that things may go wrong from time to time and, when they do, we welcome and value your feedback.*

*“Fife College Complaints Handling Procedure – A Guide for Complainants” informs customers of the complaints process and of their right of appeal to the Scottish Public Services Ombudsman. This leaflet comes in alternative formats on request and is available on the College website [www.fife.ac.uk](http://www.fife.ac.uk) or at any of our campus receptions.*

*Our Complaints Handling Procedure aims to address student/customer dissatisfaction quickly, efficiently, and as close as possible to the point of service delivery by capable, well-trained staff. It sets out our commitment to conduct thorough, impartial and fair investigations of customer complaints so that, where appropriate, we can make evidence-based decisions on the facts of the case.*

*All staff across Fife College familiarise themselves with this Procedure as part of their induction and are given refresher training as required. That training seeks to ensure that our staff are confident in identifying complaints, empowered to resolve simple complaints on the spot, and are familiar with how to apply this Procedure.*

*Complaints provide valuable information that we can use to develop our services and improve customer satisfaction. For our staff, complaints provide a first-hand account of students'/customers' views and experience and can highlight problems we may otherwise miss.*

*Students and customers are at the heart of everything that we do at Fife College and this Procedure and our approach to handling complaints reflect that ethos.*



*Dr Hugh Hall  
Principal*

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## Part 1: Overview and Structure

### 1.0 Structure of the Complaints Handling Procedure

- 1.1 This Complaints Handling Procedure (CHP) explains to staff how to handle complaints. The CHP consists of:
- **Part 1 – Overview and Structure** (this section)
  - **Part 2 – When to use this Procedure** (guidance on identifying what is and what is not a complaint, handling complex or unusual complaint circumstances, the interaction of complaints and other processes, and what to do if the CHP does not apply)
  - **Part 3 – The Complaints Handling Process** (guidance on handling a complaint through Stages 1 and 2, and dealing with post-closure contact)
  - **Part 4 – Governance** of the procedure (staff roles and responsibilities and guidance on recording, reporting, publicising and learning from complaints)
  - **Part 5 – Complaints – A Guide for Complainants** (information for customers on how we handle complaints)
- 1.2 When using the CHP, please also refer to the 'SPSO Statement of Complaints Handling Principles' and 'Good practice guidance on complaints handling' from the SPSO [www.spsso.org.uk](http://www.spsso.org.uk).

### 2.0 Overview of the CHP

- 2.1 Anyone can make a complaint, either verbally or in writing, including face-to-face, by phone, letter, email or online form.
- 2.2 We will try to resolve complaints to the satisfaction of the customer wherever this is possible. Where this isn't possible, we will give the customer a clear response to each of their points of complaint. We will always try to respond as quickly as we can (and on the spot where possible).
- 2.3 Our complaints procedure has two stages. We expect the majority of complaints will be handled at Stage 1. If the customer remains dissatisfied after Stage 1, they can request that we look at it again, at Stage 2. If the complaint is complex enough to require an investigation, we will put the complaint into Stage 2 straight away and skip Stage 1.

<b>Stage 1: Frontline Response</b>	<b>Stage 2: Investigation</b>	<b>Independent external review (SPSO or other)</b>
<p>For issues that are straightforward and simple, requiring little or no investigation</p> <p>'On-the-spot' apology, explanation, or other action to put the matter right</p> <p>Complaint resolved or a response provided in <b>five working days</b> or less (unless there are exceptional circumstances)</p> <p>Complaints addressed by any member of staff, or alternatively referred to the appropriate point for frontline response</p> <p>Response normally face-to-face or by telephone (though sometimes we will need to put the decision in writing)</p> <p>We will tell the customer how to escalate their complaint to Stage 2</p>	<p>Where the customer is not satisfied with the frontline response, or refuses to engage at the frontline, or where the complaint is complex, serious or 'high-risk'</p> <p>Complaint acknowledged within <b>three working days</b></p> <p>We will contact the customer to clarify the points of complaint and outcome sought (where these are already clear, we will confirm them in the acknowledgement)</p> <p>Complaint resolved or a definitive response provided within <b>20 working days</b> following a thorough investigation of the points raised</p>	<p>Where the customer is not satisfied with the Stage 2 response from the service provider</p> <p>The SPSO will assess whether there is evidence of service failure or maladministration not identified by the service provider</p> <p>Some complaints may also have an alternative route for independent external review</p>

### 3.0 Expected Behaviours

- 3.1 We expect all staff to behave in a professional manner and treat customers with courtesy, respect and dignity in accordance with our Vision, Mission and Values.
- 3.2 We also ask customers bringing a complaint to treat our staff with respect. We ask customers to engage actively with the complaint handling process by:
- telling us their key issues of concern and organising any supporting information they want to give us (we understand that some people will require support to do this);

- working with us to agree the key points of complaint when an investigation is required; and
  - responding to reasonable requests for information.
- 3.3 We have a process in place for when these standards are not met, which is detailed within our Unacceptable Actions Statement (Appendix 1).
- 3.4 We recognise that people may act out of character in times of trouble or distress. Sometimes a health condition or a disability can affect how a person expresses themselves. The circumstances leading to a complaint may also result in the customer acting in an unacceptable way.
- 3.5 Customers who have a history of challenging or inappropriate actions, or have difficulty expressing themselves, may still have a legitimate grievance, and we will treat all complaints seriously. However, we also recognise that the actions of some customers may result in unreasonable demands on time and resources or unacceptable behaviour towards our staff. We will, therefore, apply our policies and procedures to protect staff from unacceptable actions such as unreasonable persistence, threats or offensive behaviour from customers. Where we decide to restrict access to a customer under the terms of our Unacceptable Actions Statement (Appendix 1), we have a process in place to communicate that decision, notify the customer of their right of appeal, and review any decision to restrict contact with us.
- 3.6 If we decide to restrict a customer's contact, we will be careful to follow the process set out in our Unacceptable Actions Statement (Appendix 1) and to minimise any restrictions on the customer's access to the complaints process. We will normally continue investigating a complaint even where contact restrictions are in place (for example, limiting communication to letter or to a named staff member). In some cases, it may be possible to continue investigating the complaint without contact from the customer. Our Unacceptable Actions Statement (Appendix 1) allows us in limited circumstances to restrict access to the complaint process entirely. This would be as a last resort, should be as limited as possible (for a limited time, or about a limited set of subjects) and requires manager approval. Where access to the complaint process is restricted, we must signpost the customer to the SPSO.
- 3.7 The SPSO has guidance on [Dealing with Problem Behaviour](#).

#### **4.0 Maintaining confidentiality and data protection**

- 4.1 Confidentiality is important in complaints handling. This includes maintaining the customer's confidentiality and confidentiality in relation to information about staff members, contractors or any third parties involved in the complaint.
- 4.2 This should not prevent us from being open and transparent, as far as possible, in how we handle complaints. This includes sharing as much

information with the complainant (and, where appropriate, any affected staff members) as we can. When sharing information, we should be clear about why the information is being shared and our expectations on how the recipient will use the information.

4.3 We must always bear in mind legal requirements, for example data protection legislation, as well as internal policies on confidentiality and the use of customer information.

4.4 Some examples of situations where a response to a complaint may be limited by confidentiality, include:

- *where a complaint has been raised against a staff member and has been upheld – we will advise the customer that their complaint is upheld, but would not share specific details affecting staff members, particularly where disciplinary action is taken*
- *where someone has raised a concern about a child or an adult's safety and is unhappy about how that has been dealt with – we would look into this to check whether the safety concern had been properly dealt with, but we would not share any details of our findings in relation to the safety concern.*

## Part 2: When to use this Procedure

### 1.0 What is a complaint?

- 1.1 Fife College's definition of a complaint is 'an expression of dissatisfaction by one or more members of the public about Fife College's action or lack of action, or about the standard of service provided by or on behalf of Fife College'.
- 1.2 For clarity, where an employee also receives a service from Fife College as a member of the public, they may complain about that service.
- 1.3 A complaint may relate to the following, but is not restricted to this list:
- the admissions process;
  - the disciplinary process;
  - a request for a service or for information which has not been actioned or answered;
  - wrong information about academic programmes or College services;
  - the quality and availability of facilities and learning resources;
  - accessibility of our buildings or services;
  - failure or refusal to provide a service;
  - inadequate quality or standard of service, or an unreasonable delay in providing a service;
  - dissatisfaction with one of our policies/procedures or its impact on the individual;
  - failure to properly apply law, procedure or guidance when delivering services;
  - failure to follow the appropriate administrative process;
  - conduct, treatment by or attitude of a member of staff or contractor (except where there are arrangements in place for the contractor to handle the complaint themselves - Section 7.6 of this document provides further information); or
  - disagreement with a decision, (except where there is a statutory procedure for challenging that decision, or an established appeals process followed throughout the sector).
- 1.4 The following table provides some examples of complaints we may receive, and how these may be handled at the Frontline Resolution Stage.

Complaint	Possible actions
Two related lectures have been cancelled due to bad weather. A student complains to the course leader that this will disadvantage her and her classmates in the forthcoming exam.	The course leader contacts all affected students and apologises for the cancellation. The course leader tells the students that two extra lectures have been scheduled and gives details of times and locations. This action and the complaint's outcome are logged on the College complaints database.

Complaint	Possible actions
<p>A woman complains to college reception that students in the hall of residence threw food out of a window as she was passing. She said this had been very unpleasant and it had damaged her clothes.</p>	<p>The receptionist apologises on the College's behalf and takes a note of her contact details. The receptionist passes them to the hall of residence manager, who writes the following day offering an apology and saying that the College expects its students to be positive members of the community. The residence manager explains that the College will seek to identify the students to ensure that their behaviour does not recur. This action and the complaint's outcome are logged on the College complaints database.</p>
<p>A student complains that his profile, which he had provided for use in the College prospectus, had been incorrectly reproduced, attributing information to him that belonged to someone else.</p>	<p>The College writes to the student with an apology, an explanation of how the mistake happened, and details of how it will resolve the issue. This would include replacing the version on the College website and making sure the correct text was included in future printed versions. These actions and the complaint's outcome are logged on the College complaints database.</p>
<p>A student complains that she has received a fine for the late return of library books when she had, in fact, returned the books on time.</p>	<p>A member of the library staff checks and confirms that the books had been returned on time, but the librarian had failed to update the computer system to reflect this. The student receives an explanation and an apology from the member of staff. This action and the complaint's outcome are logged on the College complaints database.</p>

## 2.0 What is not a complaint?

### 2.1 A complaint is not:

- a request for information or an explanation of policy or practice;
- a disagreement with academic judgment;
- a concern from a student about another student's conduct;
- a routine first-time request for a service;
- a request for compensation only;
- issues that are in court or have already been heard by a court or a tribunal;
- disagreement with a decision where there is a statutory procedure for challenging that decision - such as for freedom of information and subject

access requests, or an established appeals process followed throughout the sector;

- a request for information under the Data Protection or Freedom of Information (Scotland) Acts;
- a grievance by a staff member or a grievance relating to employment or staff recruitment;
- a concern raised internally by a member of staff (which was not about a service they received, such as a whistleblowing concern);
- a concern about a child or an adult's safety;
- an attempt to reopen a previously concluded complaint or to have a complaint reconsidered where we have already given our final decision;
- abuse or unsubstantiated allegations about our organisation or staff where such actions would be covered by our Unacceptable Actions Statement (Appendix 1 ); or
- a concern about the actions or service of a different organisation, where we have no involvement in the issue (except where the other organisation is delivering services on our behalf).

2.2 We will not treat these issues as complaints, and will instead direct customers to use the appropriate procedures. Section 7.8 of this document provides more information about complaints which can sometimes be confused (or overlap) with some of the other processes detailed above.

2.3 Some situations can involve a combination of issues, where some are complaints and others are not, and each situation should be assessed on a case-by-case basis.

2.4 Remember that although the customer may have another form of redress as detailed above, you must consider carefully whether or not you should manage a customer's comments within the CHP. Dissatisfaction with certain College decisions may simply require an explanation and direction to the correct route. If, however, a customer says they are dissatisfied with the administrative process we have followed in reaching a decision, you may consider that dissatisfaction through the CHP. An example may be a complaint from a customer who is dissatisfied with a decision and alleges that we failed to follow or apply the appropriate guidance in making it.

2.5 If a matter is not a complaint, or not suitable to be handled under the CHP, we will explain this to the customer, and tell them what (if any) action we will take, and why. Section 8.0 of this document provides further information.

### **3.0 Who can make a complaint?**

3.1 Anyone who receives, requests, or is affected by our services can make a complaint. In this procedure these people are termed 'customers', regardless of whether they are or were using a service.

3.2 We also accept complaints from the representative of a person who is dissatisfied with our service. Section 7.1 of this document provides further information.

#### **4.0 Supporting the customer**

4.1 All members of the community have the right to equal access to our complaints procedure. It is important to recognise the barriers that some customers may face complaining. These may be physical, sensory, communication or language barriers, but can also include their anxieties and concerns. Customers may need support to overcome these barriers.

4.2 We have legal duties to make our complaints service accessible under equalities and mental health legislation. For example:

- the Equality Act (Scotland) 2010 – this gives people with a protected characteristic the right to reasonable adjustments to access our services (such as large print or BSL translations of information); and
- the Mental Health (Care and Treatment) (Scotland) Act 2003 – this gives anyone with a ‘mental disorder’ (including mental health issues, learning difficulties, dementia and autism) a right to access independent advocacy. This must be delivered by independent organisations that only provide advocacy. They help people to know and understand their rights, make informed decisions and have a voice.

4.3 Examples of how we will meet our legal duties are:

- proactively checking whether members of the public who contact us require additional support to access our services;
- providing interpretation and/or translation services for British Sign Language users; and
- helping customers access independent advocacy (the Scottish Independent Advocacy Alliance website has information about local advocacy organisations throughout Scotland).

4.4 In addition to our legal duties, we will seek to ensure that we support vulnerable groups in accessing our complaints procedure. Actions that we may take include:

- helping vulnerable customers identify when they might wish to make a complaint (for example, by training frontline staff who provide services to vulnerable groups);
- helping customers access independent support or advocacy to help them understand their rights and communicate their complaints (for example, through the Scottish Independent Advocacy Alliance or Citizen’s Advice Scotland); and
- providing a neutral point of contact for complaints (where the relationship between customers and frontline staff is significant and ongoing).

4.5 These lists are not exhaustive, and we must always take into account our commitment and responsibilities to equality and accessibility.

## **5.0 How complaints may be made**

5.1 Complaints may be made verbally or in writing, including face-to-face, by phone, letter or email.

5.2 Where a complaint is made verbally, we will make a record of the key points of complaint raised. Where it is clear that a complex complaint will be immediately considered at Stage 2 (Investigation), it may be helpful to complete a complaint form with the customer's input to ensure full details of the complaint are documented. However, there is no requirement for the person to complete a complaint form, and it is important that the completion of a complaint form does not present a barrier to people complaining.

5.3 Complaint issues may also be raised on digital platforms (including social media).

5.3.1 Where a complaint issue is raised via a digital channel managed and controlled by Fife College (for example an official Twitter address or Facebook page), we will explain that we do not take complaints on social media, but we will tell the person how they can complain. In exceptional circumstances, we may respond to very simple complaints on social media. This will normally only be appropriate where an issue is likely to affect a large number of people, and we can provide a very simple response (for example, an apology for late cancellation of a class).

5.3.2 We may also become aware that an issue has been raised via a digital channel not controlled or managed by us (for example a YouTube video or post on a private Facebook group). In such cases we may respond, where we consider it appropriate, by telling the person how they can complain.

5.3.3 We must always be mindful of our data protection obligations when responding to issues online or in a public forum.

## **6.0 Time limit for making complaints**

6.1 The customer must raise their complaint within six months of when they first knew of the problem, unless there are special circumstances for considering complaints beyond this time (for example, where a person was not able to complain due to serious illness or recent bereavement).

6.2 Where a customer has received a Stage 1 response, and wishes to escalate to Stage 2, unless there are special circumstances they must request this either:

- within six months of when they first knew of the problem; or
- within two months of receiving their Stage 1 response (if this is later).

6.3 We will apply these time limits with discretion, taking into account the seriousness of the issue, the availability of relevant records and staff involved, how long ago the events occurred, and the likelihood that an investigation will lead to a practical benefit for the customer or useful learning for the organisation.

6.4 We will also take account of the time limit within which a member of the public can ask the SPSO to consider complaints (normally one year). The SPSO have discretion to waive this time limit in special circumstances (and may consider doing so in cases where we have waived our own time limit).

## 7.0 Particular circumstances

### 7.1 Complaints by (or about) a third party

7.1.1 Sometimes a customer may be unable or reluctant to make a complaint on their own. We will accept complaints from third parties, which may include relatives, friends, advocates and advisers. Where a complaint is made on behalf of a customer, we must ensure that the customer has authorised the person to act on their behalf. It is good practice to ensure the customer understands their personal information will be shared as part of the complaints handling process (particularly where this includes sensitive personal information). This can include complaints brought by parents on behalf of their child, if the child is considered to have capacity to make decisions for themselves.

7.1.2 The provision of a signed mandate from the customer will normally be sufficient for us to investigate a complaint. If we consider it is appropriate we can take verbal consent direct from the customer to deal with a third party and would normally follow up in writing to confirm this.

7.1.3 In certain circumstances, a person may raise a complaint involving another person's personal data, without receiving consent. The complaint should still be investigated where possible, but the investigation and response may be limited by considerations of confidentiality. The person who submitted the complaint should be made aware of these limitations and the effect this will have on the scope of the response.

### 7.2 Serious, high-risk or high-profile complaints

7.2.1 We will take particular care to identify complaints that might be considered serious, high-risk or high-profile, as these may require particular action or raise critical issues that need senior management's direct input. Serious, high-risk or high-profile complaints should normally be handled immediately at Stage 2.

7.2.2 We define potential high-risk or high-profile complaints as those that may involve:

- an allegation of corruption against a College employee;
- a claim of dereliction of duty by a College employee;
- a claim of personal injury that has incapacitated the customer;
- a potentially significant risk to the College's operations;
- a claim of discrimination, with due regard to protected characteristics as set out in section 149(7) of the Equality Act 2010;
- an allegation of significant harm or abuse or where there is a suspicion that someone may suffer significant harm;
- serious service failure, for example major delays in providing, or repeated failures to provide a service; or
- significant and ongoing press interest.

### 7.3 Anonymous complaints

7.3.1 We value all complaints, including anonymous complaints, and will take action to consider them further wherever this is appropriate. Generally, we will consider anonymous complaints if there is enough information in the complaint to enable us to make further enquiries. Any decision not to pursue an anonymous complaint must be authorised by an appropriate manager.

7.3.2 If we pursue an anonymous complaint further, we will record it as an anonymous complaint together with any learning from the complaint and action taken.

7.7.3 If an anonymous complainant makes serious allegations, these should be dealt with in a timely manner under relevant procedures. This may not be the complaints procedure and could instead be relevant child protection, adult protection or disciplinary procedures.

### 7.4 What if the customer does not want to complain?

7.4.1 If a customer has expressed dissatisfaction in line with our definition of a complaint but does not want to complain, we will explain that complaints offer us the opportunity to improve services where things have gone wrong. We will encourage the customer to submit their complaint and allow us to handle it through the CHP. This will ensure that the customer is updated on the action taken and gets a response to their complaint.

7.4.2 If the customer insists they do not wish to complain, we are not required to progress the complaint under this procedure. However, we should record the complaint as an anonymous complaint (including minimal information about the complaint, without any identifying information) to enable us to track trends and themes in complaints. Where the complaint is serious, or there is evidence of a problem with

our services, we should also look into the matter to remedy this (and record any outcome).

## 7.5 Complaints involving more than one area or organisation

7.5.1 If a complaint relates to the actions of two or more areas within our organisation, we will tell the customer who will take the lead in dealing with the complaint, and explain that they will get only one response covering all issues raised.

7.5.2 If a complaint relates to our service and the service of another organisation or public service provider, and we have a direct interest in the issue, we will handle the complaint about Fife College through the CHP. If we need to contact an outside body about the complaint, we will be mindful of data protection.

7.5.3 If a customer complains to us about the service of another organisation or public service provider, but we have no involvement in the issue, the customer should be advised to contact the appropriate organisation directly.

7.5.4 These 'joint-service' complaints may be about such things as:

- property maintenance, where the customer's dissatisfaction relates to our service and that of an external facilities body;
- accommodation not directly under our ownership;
- third-party services, for example IT systems; or
- a student loan, where the customer is dissatisfied with our service and that of the Student Awards Agency for Scotland.

## 7.6 Complaints about contracted services

7.6.1 Where we use a contractor to deliver a service on our behalf we recognise that we remain responsible and accountable for ensuring that the services provided meet Fife College's standard (including in relation to complaints). We will either do so by:

- ensuring the contractor complies with this procedure; or
- ensuring the contractor has their own procedure in place, which fully meets the standards in this procedure. At the end of the Investigation Stage of any such complaints the contractor must ensure that the customer is signposted to the SPSO.

7.6.2 We will confirm that service users are clearly informed of the process and understand how to complain. We will also ensure that there is appropriate provision for information sharing and governance oversight where required.

7.6.3 Fife College has discretion to investigate complaints about organisations contracted to deliver services on its behalf even where the procedure has normally been delegated.

## 7.7 Complaints about academic staff

7.7.1 Complaints about academic staff can be difficult to handle, as there may be a conflict of interest for the staff investigating the complaint. When serious complaints are raised against staff, it is particularly important that the investigation is conducted by an individual who is independent of the situation, this would normally be the Line Manager. We must ensure we have strong governance arrangements in place that set out clear procedures for handling such complaints.

## 7.8 Complaints and other processes

7.8.1 Complaints can sometimes be confused (or overlap) with other processes. Specific examples and guidance on how to handle these are detailed below:

### **Complaints and appeals**

- In some cases, an issue may be raised as a complaint which should be considered under alternative arrangements (for example, an academic appeal), or vice versa. Complaints and appeals are handled under separate processes. It is not appropriate for the same issue to be considered under both procedures.
- Where the complaint and appeal issues can be clearly distinguished, we will identify the points to be investigated as a complaint and progress those in line with this procedure. This will include confirming the points of complaint and outcomes sought. We will also identify and set out the issues of appeal.
- In determining which process applies, we may need to clarify our approach with the customer (for example, where the customer is focussed solely on the appeal outcome they may not wish to also pursue a complaint). However, we will not normally ask the customer to resubmit issues they have already raised (for example, to reframe part of their appeal as a complaint).
- We may also decide to complete consideration under one procedure before considering residual issues under another procedure (for example, we may delay consideration of any complaint until the academic appeal has been concluded, or vice versa). This would normally only be appropriate where it is difficult to distinguish which issues should be dealt with under which procedure.

- In all cases, we will explain to the student which issues have been considered under which process, and signpost them to the appropriate independent review.

### **Complaints and student conduct procedures**

- A concern from a student about the conduct of another student is **not** a complaint, and should be handled under the relevant procedure for student conduct (Positive Behaviour Procedure). However, the customer may wish to complain about how Fife College handled the situation (for example, where a teacher allowed a student's behaviour to disrupt a class or exam). Where the complaint is about our service, we will consider it under the CHP.

### **Complaints and service requests**

- If a customer asks Fife College to do something (for example, provide a service or deal with a problem), and this is the first time the customer has contacted us, this would normally be a routine service request and not a complaint.
- Service requests can lead to complaints, if the request is not handled promptly or the customer is then dissatisfied with how we provide the service.

### **Complaints and disciplinary or whistleblowing processes**

- If the issues raised in a complaint overlap with issues raised under a disciplinary or whistleblowing process, we still need to respond to the complaint.
- Our response must be careful not to share confidential information (such as anything about the whistleblowing or disciplinary procedures, or outcomes for individuals). It should focus on whether Fife College failed to meet expected standards and what we have done to improve things, in general terms.

Staff investigating such complaints will need to take extra care to ensure that:

- we comply with all requirements of the CHP in relation to the complaint (as well as meeting the requirements of the other processes)
- all complaint issues are addressed (sometimes issues can get missed if they are not also relevant to the overlapping process); and
- we keep records of the investigation that can be made available to the SPSO if required. This can be problematic when the other process is confidential, because SPSO will normally require documentation of any correspondence and interviews to show how conclusions were

reached. We will need to bear this in mind when planning any elements of the investigation that might overlap (for example, if staff are interviewed for the purposes of both the complaint and a disciplinary procedure, they should not be assured that any evidence given will be confidential, as it may be made available to the SPSO).

### **Complaints and compensation claims**

- Where a customer is seeking financial compensation only, this is not a complaint. However, in some cases the customer may want to complain about the matter leading to their financial claim, and they may seek additional outcomes, such as an apology or an explanation. Where appropriate, we may consider that matter as a complaint, but deal with the financial claim separately. It may be appropriate to extend the timeframes for responding to the complaint, to consider the financial claim first.

### **Complaints and legal action**

- Where a customer says that legal action is being actively pursued, this is not a complaint.
- Where a customer indicates that they are thinking about legal action, but have not yet commenced this, they should be informed that if they take such action, they should notify the complaints handler and that the complaints process, in relation to the matters that will be considered through the legal process, will be closed. Any outstanding complaints must still be addressed through the CHP.
- If an issue has been, or is being, considered by a court, we must not consider the same issue under the CHP.

## **8.0 What to do if the CHP does not apply**

- 8.1 If the issue does not meet the definition of a complaint or if it is not appropriate to handle it under this procedure (for example, due to time limits), we will explain to the customer why we have made this decision. We will also tell them what action (if any) we will take (for example, if another procedure applies), and advise them of their right to contact the SPSO if they disagree with our decision not to respond to the issue as a complaint.
- 8.2 Where a customer continues to contact us about the same issue, we will explain that we have already given them our final response on the matter and signpost them to the SPSO. We may also consider whether we need to take action under our Unacceptable Actions Statement (Appendix 1).
- 8.3 The SPSO has issued a [template letter for explaining when the CHP does not apply](#).

## Part 3: The Complaints Handling Process

### 1.0 The complaints handling process

- 1.1 Our Complaints Handling Procedure (CHP) aims to provide a quick, simple and streamlined process for responding to complaints early and locally by capable, well-trained staff. Where possible, we will resolve the complaint to the customer's satisfaction. Where this is not possible, we will give the customer a clear and reasoned response to their complaint.

### 2.0 Resolving the complaint

- 2.1 A complaint is resolved when both Fife College and the customer agree what action (if any) will be taken to provide full and final resolution for the customer, without making a decision about whether the complaint is upheld or not upheld.
- 2.2 We will try to resolve complaints wherever possible, although we accept this will not be possible in all cases.
- 2.3 A complaint may be resolved at any point in the complaint handling process, including during the Investigation Stage. It is particularly important to try to resolve complaints where there is an ongoing relationship with the customer or where the complaint relates to an ongoing issue that may give rise to future complaints if the matter is not fully resolved.
- 2.4 It may be helpful to use alternative complaint resolution approaches when trying to resolve a complaint. For further information on alternative complaint resolution approaches please refer to Section 12.5 of this procedure or [SPSO's Good Practice Guidance: Alternative Complaint Resolution Approaches](#).
- 2.5 Where a complaint is resolved, we do not normally need to continue looking into it or provide a response on all points of complaint. There must be a clear record of how the complaint was resolved, what action was agreed, and the customer's agreement to this as a final outcome. In some cases it may still be appropriate to continue looking into the issue, for example where there is evidence of a wider problem or potential for useful learning. We will use our professional judgment in deciding whether it is appropriate to continue looking into a complaint that is resolved.
- 2.6 In all cases, we must record the complaint outcome (resolved) and any action taken, and signpost the customer to Stage 2 (for Stage 1 complaints) or to Independent External Review as usual. For further information on Independent External Review please refer to Section 16.0 of this procedure.
- 2.7 If the customer and Fife College are not able to agree a resolution, we must follow this CHP to provide a clear and reasoned response to each of the issues raised.

### **3.0 What to do when you receive a complaint**

3.1 Members of staff receiving a complaint should consider four key questions. This will help them to either respond to the complaint quickly at Stage 1 or determine whether the complaint is more suitable for Stage 2.

3.2 Key Question 1 - What exactly is the customer's complaint (or complaints)?

3.2.1 It is important to be clear about exactly what the customer is complaining about. We may need to ask the customer for more information and probe further to get a full understanding.

3.2.2 We will need to decide whether the issue can be defined as a complaint and whether there are circumstances that may limit our ability to respond to the complaint; such as the time limit for making complaints, confidentiality, anonymity or the need for consent. We should also consider whether the complaint is serious, high-risk or high-profile.

3.2.3 If the matter is not suitable for handling as a complaint, we will explain this to the customer and signpost them to SPSO.

3.2.4 In most cases, this step will be straightforward. If it is not, the complaint may need to be handled immediately at Stage 2. For further information on Stage 2 Investigation please refer to Section 8.0 of this procedure.

3.3 Key Question 2 - What does the customer want to achieve by complaining?

3.3.1 At the outset, we will clarify the outcome the customer wants. Of course, the customer may not be clear about this, and we may need to probe further to find out what they expect, and whether they can be satisfied.

3.4 Key Question 3 - Can I achieve this, or explain why not?

3.4.1 If a staff member handling a complaint can achieve the expected outcome, for example by providing an on-the-spot apology or explain why they cannot achieve it, they should do so.

3.4.2 The customer may expect more than we can provide. If so, we will tell them as soon as possible.

3.4.3 Complaints which can be resolved or responded to quickly should be managed at Stage 1. For further information on Stage 1 Frontline Response please refer to Section 4.0 of this procedure.

3.5 Key Question 4 - If I cannot respond, who can help?

3.5.1 If the complaint is simple and straightforward, but the staff member receiving the complaint cannot deal with it because, for example, they

are unfamiliar with the issues or area of service involved, they should pass the complaint to someone who can respond quickly.

- 3.5.2 If it is not a simple and straightforward complaint that can realistically be closed within five working days (or ten, if an extension is appropriate), it should be handled immediately at Stage 2. If the customer refuses to engage at Stage 1, insisting that they want their complaint investigated, it should be handled immediately at Stage 2.

#### **4.0 Stage 1 - Frontline Response**

- 4.1 Frontline Response aims to respond quickly (within five working days) to straightforward complaints that require little or no investigation.
- 4.2 Any member of staff may deal with complaints at this Stage (including the staff member complained about, for example with an explanation or apology). The main principle is to respond to complaints at the earliest opportunity and as close to the point of service delivery as possible.
- 4.3 We may respond to the complaint by providing an on-the-spot apology where appropriate, or explaining why the issue occurred and, where possible, what will be done to stop this happening again. We may also explain that, as an organisation that values complaints, we may use the information given when we review service standards in the future. If we consider an apology is appropriate, we may wish to follow [SPSO's Apology Guide](#).
- 4.4 Complaints which are not suitable for Stage 1: Frontline Response should be identified early, and handled immediately at Stage 2: Investigation.
- 4.5 Part 2 of our Complaint Handling Procedure 'When to use this procedure' gives examples of the types of complaint we may consider at this Stage, with suggestions on how to handle them.

#### **5.0 Stage 1- Notifying staff members involved**

- 5.1 If the complaint is about the actions of a staff member, the complaint should be shared with them, where possible, before responding (although this should not prevent us responding to the complaint quickly, for example where it is clear that an apology is warranted).

#### **6.0 Stage 1 - Timelines**

- 6.1 Frontline Response must be completed within five working days, although in practice we would often expect to respond to the complaint much sooner. 'Day one' is always the date of receipt of the complaint where it is received before midday or the next working day if the complaint is received after midday, on a

weekend or on a public holiday. Academic holidays will be counted as normal working days (except for weekends or public holidays).

- 6.2 In exceptional circumstances, a short extension of time may be necessary due to unforeseen circumstances (such as the availability of a key staff member). Extensions must be agreed with an appropriate manager.
- 6.3 We will tell the customer about the reasons for the extension, and when they can expect a response. The maximum extension that can be granted is five working days (that is, no more than ten working days in total from the date of receipt).
- 6.4 If a complaint will take more than five working days to look into, it should be handled at Stage 2 immediately. The only exception to this is where the complaint is simple and could normally be handled within five working days, but it is not possible to begin immediately (for example, due to the absence of a key staff member). In such cases, the complaint may still be handled at Stage 1 if it is clear that it can be handled within the extended timeframe of up to ten working days.
- 6.5 If a complaint has not been closed within ten working days, it should be escalated to Stage 2 for a final response.

## **7.0 Stage 1 - Closing the complaint at the Frontline Response Stage**

- 7.1 If we convey the decision face-to-face or on the telephone, we are not required to write to the customer as well (although we may choose to). We must:
  - tell the customer the outcome of the complaint (whether it is resolved, upheld, partially upheld or not upheld);
  - explain the reasons for our decision (or the agreed action taken to resolve the complaint; see Section 2.0 Resolving the complaint); and
  - explain that the customer can escalate the complaint to Stage 2 if they remain dissatisfied and how to do so (we should not signpost to the SPSO until the customer has completed Stage 2).
- 7.2 We will keep a full and accurate record of the decision given to the customer. If we are not able to contact the customer by phone, or speak to them in person, we will provide a written response to the complaint where an email or postal address is provided, covering the points above.
- 7.3 If the complaint is about the actions of a particular staff member(s), we will share with them any part of the complaint response which relates to them, (unless there are compelling reasons not to).
- 7.4 The complaint should then be closed and the complaints system updated accordingly.

7.5 At the earliest opportunity after the closure of the complaint, the staff member handling the complaint should consider whether any learning has been identified.

## **8.0 Stage 2 - Investigation**

8.1 Not all complaints are suitable for Frontline Response and not all complaints will be satisfactorily addressed at that Stage. Stage 2 is appropriate where:

- the customer is dissatisfied with the Frontline Response or refuses to engage at the Frontline Stage, insisting they wish their complaint to be investigated. Unless exceptional circumstances apply, the customer must escalate the complaint within six months of when they first knew of the problem or within two months of the Stage 1 response, whichever is later.
- the complaint is not simple and straightforward, for example where the customer has raised a number of issues, or where information from several sources is needed before we can establish what happened and/or what should have happened; or
- the complaint relates to serious, high-risk or high-profile issues.

8.2 Investigation aims to explore the complaint in more depth and establish all the relevant facts. The aim is to resolve the complaint where possible, or to give the customer a full, objective and proportionate response that represents our final position. Wherever possible, complaints should be investigated by someone not involved in the complaint (this would normally be the Manager of the area being complained about).

8.3 Details of the complaint must be recorded on the complaints system. Where appropriate, this will be done as a continuation of Frontline Response. If the Investigation Stage follows a Frontline Response, the individual responsible for the investigation should have access to all case notes and associated information.

8.4 The beginning of Stage 2 is a good time to consider whether complaint resolution approaches other than Investigation may be helpful.

## **9.0 Stage 2 - Acknowledging the complaint**

9.1 Complaints must be acknowledged within three working days of receipt at Stage 2.

9.2 We must issue the acknowledgement in a format which is accessible to the customer, taking into account their preferred method of contact.

9.3 Where the points of complaint and expected outcomes are clear from the complaint, we must set these out in the acknowledgement and ask the customer to get in touch with us immediately if they disagree.

9.4 Where the points of complaint and expected outcomes are not clear, we must tell the customer we will contact them to discuss this.

## **10.0 Stage 2 - Agreeing the points of complaint and outcome sought**

10.1 It is important to be clear from the start of Stage 2 about the points of complaint to be investigated and what outcome the customer is seeking. We may also need to manage the customer's expectations about the scope of our investigation.

10.2 Where the points of complaint and outcome sought are clear, we can confirm our understanding of these with the customer when acknowledging the complaint.

10.3 Where the points of complaint and outcome sought are not clear, we (the investigator) must contact the customer to confirm these. We will normally need to speak to the customer (by phone or face-to-face) to do this effectively. In some cases it may be possible to clarify complaints in writing. The key point is that we need to be sure we and the customer have a shared understanding of the complaint. When contacting the customer we will be respectful of their stated preferred method of contact. We should keep a clear record of any discussion with the customer.

10.4 In all cases, we must have a clear shared understanding of:

10.4.1 What are the points of complaint to be investigated?

- While the complaint may appear to be clear, agreeing the points of complaint at the outset ensures there is a shared understanding and avoids the complaint changing or confusion arising at a later stage. The points of complaint should be specific enough to direct the investigation, but broad enough to include any multiple and specific points of concern about the same issue.
- We will make every effort to agree the points of complaint with the customer (alternative complaint resolution approaches may be helpful at this stage). In very rare cases, it may not be possible to agree the points of complaint (for example, if the customer insists on an unreasonably large number of complaints being separately investigated, or on framing their complaint in an abusive way). We will manage any such cases in accordance with our Unacceptable Actions Statement (Appendix 1) bearing in mind that we should continue to investigate the complaint (as we understand it) wherever possible.

10.4.2 Is there anything we can't consider under the CHP?

- We must explain if there are any points that are not suitable for handling under the CHP.

10.4.3 What outcome does the customer want to achieve by complaining?

- Asking what outcome the customer is seeking helps direct the investigation and enables us to focus on resolving the complaint where possible.

#### 10.4.4 Are the customer's expectations realistic and achievable?

- It may be that the customer expects more than we can provide, or has unrealistic expectations about the scope of the investigation. If so, we should make this clear to the customer as soon as possible.

### 11.0 Stage 2 - Notifying staff members involved

11.1 If the complaint is about the actions of a particular staff member(s), we will notify the staff member(s) involved, including where the staff member is not named, but can be identified from the complaint. We will:

- share the complaint information with the staff member(s), unless there are compelling reasons not to;
- advise them how the complaint will be handled, how they will be kept updated and how we will share the complaint response with them;
- discuss their willingness to engage with alternative complaint resolution approaches (where applicable); and
- signpost the staff member(s) to a contact person who can provide support and information on what to expect from the complaint process (this must not be the person investigating or signing off the complaint response).

11.2 If it is likely that internal disciplinary processes may be involved, the requirements of that process should also be met.

### 12.0 Stage 2 - Investigating the complaint

12.1 It is important to plan the investigation before beginning. The staff member investigating the complaint should consider what information they have and what they need about:

- what happened? (this could include, for example, records of phone calls or meetings, work requests, recollections of staff members or internal emails);
- what should have happened? (this should include any relevant policies or procedures that apply); and
- is there a difference between what happened and what should have happened, and is Fife College responsible?

12.2 In some cases, information may not be readily available. We will balance the need for the information against the resources required to obtain it, taking into account the seriousness of the issue (for example, it may be appropriate to

contact a former employee, if possible, where they hold key information about a serious complaint).

12.3 If we need to share information within or outwith the organisation, we will be mindful of our obligations under data protection legislation.

12.4 The SPSO has resources for conducting investigations, including:

- [Investigation plan template](#)
- [Decision-making tool for complaint investigators](#)

12.5 Alternative complaint resolution approaches

12.5.1 Some complex complaints, or complaints where customers and other interested parties have become entrenched in their position, may require a different approach to resolving the matter. Where we think it is appropriate, we may use alternative complaint resolution approaches such as complaint resolution discussions, mediation or conciliation to try to resolve the matter and to reduce the risk of the complaint escalating further. If mediation is attempted, a suitably trained and qualified mediator should be used. Alternative complaint resolution approaches may help both parties to understand what has caused the complaint, and so are more likely to lead to mutually satisfactory solutions.

12.5.2 Alternative complaint resolution approaches may be used to resolve the complaint entirely, or to support one part of the process, such as understanding the complaint, or exploring the customer's desired outcome.

12.5.3 The SPSO has guidance on [Alternative complaint resolution approaches](#).

12.5.4 If Fife College and the customer (and any staff members involved) agree to use alternative complaint resolution approaches, it is likely that an extension to the timeline will need to be agreed. This should not discourage the use of these approaches.

## **13.0 Stage 2 - Meeting with the customer during the Investigation Stage**

13.1 To effectively investigate the complaint, it may be necessary to arrange a meeting with the customer. Where a meeting takes place, we will always be mindful of the requirement to investigate complaints (including holding any meetings) within 20 working days wherever possible. Where there are difficulties arranging a meeting, this may provide grounds for extending the timeframe.

13.2 As a matter of good practice, a written record of the meeting should be completed and provided to the customer. Alternatively, and by agreement with

the person making the complaint, we may provide a record of the meeting in another format. We will notify the person making the complaint of the timescale within which we expect to provide the record of the meeting.

## 14.0 Stage 2 -Timelines

14.1 The following deadlines are appropriate to cases at the Investigation Stage (counting day one as the day of receipt as long as it is before midday, or the next working day if the complaint was received on a weekend or public holiday). Academic holidays should be counted as normal working days (except for weekends or public holidays)

- Complaints must be acknowledged within three working days
- A full response to the complaint should be provided as soon as possible, but not later than 20 working days from the time the complaint was received for investigation.

14.2 Extension to the timeline

14.2.1 Not all investigations will be able to meet this deadline. For example, some complaints are so complex that they require careful consideration and detailed investigation beyond the 20 working day timeline. It is important to be realistic and clear with the customer about timeframes, and to advise them early if we think it will not be possible to meet the 20 day timeframe, and why. We should bear in mind that extended delays may have a detrimental effect on the customer.

14.2.2 Any extension must be approved by an appropriate manager. We will keep the customer and any member(s) of staff complained about updated on the reason for the delay and give them a revised timescale for completion. We will contact the customer and any member(s) of staff complained about at least once every 20 working days to update them on the progress of the investigation.

14.2.3 Some reasons for an extension might include the following:

- essential accounts or statements crucial to establishing the circumstances of the case are needed from staff, customers or others, but the person is not available because of long-term sickness or leave
- we cannot obtain further essential information within normal timescales; or
- the customer has agreed to alternative complaint resolution approaches as a potential route for resolution.

These are only a few examples, and we will judge the matter in relation to each complaint. However, an extension would be the exception.

## 15.0 Stage 2 - Closing the complaint at the Investigation Stage

- 15.1 The response to the complaint should be in writing (or by the customer's preferred method of contact) and must be signed off by a manager who is empowered to provide the final response on behalf of Fife College.
- 15.2 We will tell the customer the outcome of the complaint (whether it is resolved, upheld, partially upheld or not upheld). The quality of the complaint response is very important and in terms of good practice should:
- be clear and easy to understand, written in a way that is person-centred and non-confrontational;
  - avoid technical terms, but where these must be used, an explanation of the term should be provided;
  - address all the issues raised and demonstrate that each element has been fully and fairly investigated;
  - include an apology where things have gone wrong;
  - highlight any area of disagreement and explain why no further action can be taken;
  - indicate that a named member of staff is available to clarify any aspect of the letter; and
  - indicate that if they are not satisfied with the outcome of the local process, they may seek Independent External Review.
- 15.3 Where a complaint has been resolved, the response does not need to provide a decision on all points of complaint, but should instead confirm the resolution agreed.
- 15.4 If the complaint is about the actions of a particular staff member(s), we will share with them any part of the complaint response which relates to them, unless there are compelling reasons not to.
- 15.5 We will record the decision, and details of how it was communicated to the customer, on the complaints system.
- 15.6 The SPSO has guidance on responding to a complaint:
- [Template decision letter](#)
  - [Apology Guidance](#)
- 15.7 At the earliest opportunity after the closure of the complaint, the staff member investigating the complaint should consider whether any learning has been identified.

## 16.0 Independent External Review

- 16.1 Once the Investigation Stage has been completed, if the customer is still dissatisfied with the decision or the way we dealt with the complaint, they can

ask the SPSO and/or, the Scottish Qualifications Authority (SQA) or other awarding body to look at it. For qualifications that are regulated, if the customer remains dissatisfied with the way the awarding body has handled a complaint they may complain to the qualifications regulator, SQA Accreditation.

16.2 It is important for complainants to be given full and clear information about the types of Independent External Review available, to ensure that they can progress their complaint to the organisation best-placed to achieve the outcome they are seeking as follows:

- The SPSO considers complaints about the quality of service and maladministration, which may include issues surrounding course delivery (for example, poor quality of photocopying on course materials, or failure to properly communicate changes to class times and locations). The SPSO may also look at the way we have handled complaints raised by a student (for example, concerns about plagiarism or abusive communication from other students), or the way we have handled a complaint. There are some subject areas that are out with the SPSO's jurisdiction. Importantly, the SPSO are not able to look at academic judgment, and they do not have the power to revise course awards. It is the SPSO's role to determine whether an individual complaint is one that they can consider (and to what extent), and all Investigation Stage responses must signpost to the SPSO, as well as to the SQA or other awarding body where relevant.
- The SQA or other awarding body is responsible for safeguarding quality in assessment and certification of the qualifications that it awards through Colleges and other approved centres. The SQA or other awarding body stipulates how further education centres must operate and fulfil their functions in terms of qualifications assessment and certification, via a set of standard terms. Examples of complaints that the SQA or other awarding body may consider include situations where a candidate believes that there has been perceived unfairness in assessment arrangements, assessment feedback or reassessment opportunities.

Students seeking a change to academic judgement can only do this through an academic appeals process. If a student is dissatisfied with the response from the awarding body, they may ask SQA Accreditation to consider their complaint further.

- SQA Accreditation accredits a wide range of qualifications other than degrees and regulates those awarding bodies that submit qualifications for accreditation. SQA Accreditation may investigate complaints about the accredited qualification or the awarding body. SQA Accreditation may also investigate complaints of malpractice and/or maladministration in relation to the qualification delivery, assessment and certification (once these have been considered by the awarding body).

16.3 In all cases, the complaint must first have been considered by Fife College.

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## 17.0 Signposting to the SPSO

- 17.1 Once the Investigation Stage has been completed, the customer has the right to approach the SPSO if they remain dissatisfied. We must make clear to the customer:
- their right to ask the SPSO to consider the complaint
  - the time limit for doing so; and
  - how to contact the SPSO.
- 17.2 The SPSO considers complaints from people who remain dissatisfied at the conclusion of our complaints procedure. The SPSO looks at issues such as service failure and maladministration (administrative fault), and the way we have handled the complaint. There are some subject areas that are out with the SPSO's jurisdiction, but it is the SPSO's role to determine whether an individual complaint is one that they can consider (and to what extent). All Investigation Stage responses must signpost to the SPSO.
- 17.3 The SPSO recommends that we use the wording below to inform customers of their right to ask the SPSO to consider the complaint. This information should only be included on Fife College's final response to the complaint.

### Information about the SPSO

The Scottish Public Services Ombudsman (SPSO) is the final Stage for complaints about public services in Scotland. This includes complaints about the College sector. The SPSO is an independent organisation that investigates complaints. It is not an advocacy or support service (but there are other organisations who can help you with advocacy or support).

If you remain dissatisfied when you have had a final response from Fife College you can ask the SPSO to look at your complaint. You can ask the SPSO to look at your complaint if:

- you have gone all the way through Fife College's Complaints Handling Procedure
- it is less than 12 months after you became aware of the matter you want to complain about, and
- the matter has not been (and is not being) considered in court.

The SPSO will ask you to complete a complaint form and provide a copy of this letter (our final response to your complaint). You can do this online at [www.spsso.org.uk/complain](http://www.spsso.org.uk/complain) or call them on Freephone 0800 377 7330.

You may wish to get independent support or advocacy to help you progress your complaint. Organisations who may be able to assist you are:

- Citizens Advice Bureau
- Scottish Independent Advocacy Alliance

The SPSO's contact details are:

SPSO

Bridgeside House  
99 McDonald Road  
Edinburgh  
EH7 4NS

(if you would like to visit in person, you must make an appointment first)

Their freepost address is:

FREEPOST SPSO

Freephone: 0800 377 7330

Online contact [www.spsso.org.uk/contact-us](http://www.spsso.org.uk/contact-us)

Website: [www.spsso.org.uk](http://www.spsso.org.uk)

## 18.0 Post-closure contact

- 18.1 If a customer contacts us for clarification when they have received our final response, we may have further discussion with the customer to clarify our response and answer their questions. However, if the customer is dissatisfied with our response or does not accept our findings, we will explain that we have already given them our final response on the matter and signpost them to the SPSO.

## Part 4 – Governance

### 1.0 Roles and responsibilities

#### 1.1 All staff will be aware of:

- the Complaints Handling Procedure (CHP)
- how to handle and record complaints at the Frontline Response Stage
- who they can refer a complaint to, in case they are not able to handle the matter
- the need to try and resolve complaints early and as close to the point of service delivery as possible; and
- their clear authority to attempt to resolve any complaints they may be called upon to deal with.

#### 1.2 Training on this procedure will be part of the induction process for all new staff. Refresher training will be provided for current staff on a regular basis.

#### 1.3 Senior Management will ensure that:

- Fife College's final position on a complaint investigation is signed off by an appropriate manager in order to provide assurance that this is the definitive response of Fife College and that the complainant's concerns have been taken seriously;
- it maintains overall responsibility and accountability for the management and governance of complaints handling (including complaints about contracted services);
- it has an active role in, and understanding of the CHP (although not necessarily involved in the decision-making process of complaint handling);
- mechanisms are in place to ensure a consistent approach to the way complaints handling information is managed, monitored, reviewed and reported at all levels in Fife College; and
- complaints information is used to improve services, and that this is evident from regular publications.

#### 1.4. Principal/Chief Executive:

- 1.4.1 The Principal/Chief Executive provides leadership and direction in ways that guide and enable us to perform effectively across all services. This includes ensuring that there is an effective Complaints Handling Procedure, with a robust investigation process that demonstrates how we learn from the complaints we receive. Regular management reports assure the Principal/Chief Executive of the quality of complaints performance.

1.4.2 The Principal/Chief Executive is also responsible for ensuring that there are governance and accountability arrangements in place in relation to complaints about contractors. This includes:

- ensuring performance monitoring for complaints is a feature of the service/management agreements between Fife College and contractors; and
- setting clear objectives in relation to this Complaints Handling Procedure and putting appropriate monitoring systems in place to provide Fife College with an overview of how the contractor is meeting its objectives.

#### 1.5 Assistant Principal: Quality and Academic Partnerships

1.5.1 The Assistant Principal: Quality and Academic Partnerships deputises for the Principal/Chief Executive in relation to complaints handling, by overseeing the management of the CHP and the way we learn from complaints.

1.5.2 The Assistant Principal: Quality and Academic Partnerships is also responsible for ensuring the investigation of complaints at Stage 2, including signing off decisions for customers, so should be satisfied that the investigation response addresses all aspects of the complaint. The Assistant Principal: Quality and Academic Partnerships will carry out this role alongside the Quality and Evaluation Manager, however will retain ownership and accountability for the management and reporting of complaints.

#### 1.6 Academic and Quality Managers

1.6.1 Will be responsible for ensuring the investigation of complaints at Stage 2. This will include ensuring the retention of comprehensive records of investigations and identifying details of any procedural changes in service delivery and/or wider opportunities for learning across the organisation.

1.6.2 As senior staff they will be responsible for signing decision letters to customers, so they should be satisfied that the response addresses all aspects of the complaint.

1.6.3 They will also signpost staff member(s) who have been complained about to a contact person who can provide support and information on what to expect from the complaint process (this must not be the person investigating or signing off the complaint response).

#### 1.7 Human Resources

1.7.1 Human Resources are responsible for ensuring all new staff receive training on the Complaints Handling Procedure as part of the induction

process, and that refresher training is provided for current staff on a regular basis.

1.7.2 They will also signpost staff member(s) who have been complained about to a contact person who can provide support and information on what to expect from the complaint process (this must not be the person investigating or signing off the complaint response).

## 1.8 Quality Coordinators

1.8.1 Quality Coordinators will act as Complaint Handlers in ensuring that complaints are designated, investigated and responded to in accordance with this CHP.

1.8.2 The Quality Coordinator role will also include acting as the SPSO Liaison in providing complaints information in an orderly, structured way within requested timescales, providing comments on factual accuracy on Fife College's behalf, in response to SPSO reports, and confirming and verifying that recommendations have been implemented.

## 2.0 Recording, reporting, learning from and publicising complaints

2.1 Complaints provide valuable customer feedback. One of the aims of the Complaints Handling Procedure is to identify opportunities to improve services across Fife College. By recording and analysing complaints data, we can identify and address the causes of complaints and, where appropriate, identify training opportunities and introduce service improvements.

2.2. We also have arrangements in place to ensure complaints about contractors are recorded, reported on and publicised in line with this Complaints Handling Procedure.

### 2.3 Recording complaints

2.3.1 It is important to record suitable data to enable us to fully investigate and respond to the complaint, as well as using our complaint information to track themes and trends. As a minimum, we should record the:

- customer's name and contact details;
- date the complaint was received;
- nature of the complaint;
- service the complaint refers to;
- staff member responsible for responding to the complaint;
- action taken and outcome at Frontline Response Stage;
- date the complaint was closed at the Frontline Response Stage;
- date the Investigation Stage was initiated (if applicable);
- action taken and outcome at Investigation Stage (if applicable);
- date the complaint was closed at Investigation Stage (if applicable);

- underlying cause of the complaint and any remedial action taken; and
- outcome of the SPSO's investigation, (if applicable).

2.3.2 It is good practice to record the full journey of a complaint, as this allows organisations to use the information to identify good practice or areas for improvement. For example, where there are a high number of complaints 'not upheld' by the organisation but then 'upheld' by the SPSO, this could suggest that there are opportunities to improve complaints handling at a local level.

2.3.3 If the customer does not want to provide any of this information, we will reassure them that it will be managed appropriately, and record what we can.

2.3.4 Individual complaint files will be stored in line with our document retention policy. In deciding how long to keep complaint files, consideration should be given to the timescales involved in an SPSO investigation (in the event of SPSO review, we need to be able to produce records of how we investigated the complaint).

## 2.4 Learning from complaints

2.4.1 We must have clear systems in place to act on issues identified in complaints. As a minimum, we must:

- seek to identify the root cause of complaints;
- take action to reduce the risk of recurrence; and
- systematically review complaints performance reports to improve service delivery.

2.4.2 Learning may be identified from individual complaints (regardless of whether the complaint is upheld or not) and from analysis of complaints data.

2.4.3 Where we have identified the need for service improvement in response to an individual complaint, we will take appropriate action.

2.4.4 The process for learning from complaints, should meet the following minimum standard:

- the action needed to improve services must be authorised by an appropriate manager;
- a designated individual (or team) should be designated the 'owner' of the issue, with responsibility for ensuring the action is taken;
- a target date must be set for the action to be taken;
- the designated individual must follow up to ensure that the action is taken within the agreed timescale;
- where appropriate, performance in the service area should be monitored to ensure that the issue has been resolved; and

- any learning points should be shared with relevant staff.

2.4.5 SPSO has guidance on [Learning from Complaints](#).

2.4.6 Senior Management will review the information reported on complaints regularly to ensure that any trends or wider issues, which may not be obvious from individual complaints, are quickly identified and addressed. Where we identify the need for service improvement, we will take appropriate action (as set out above). Where appropriate, performance in the service area should be monitored to ensure that the issue has been resolved.

## 2.5 Reporting of complaints

2.5.1 We have a process for the internal reporting of complaints information, including analysis of complaints trends. Regularly reporting the analysis of complaints information helps to inform management of where services need to improve.

2.5.2 We will report at least quarterly to Senior Management on:

- performance statistics, in line with the complaints performance indicators published by SPSO; and
- analysis of the trends and outcomes of complaints (this should include highlighting where there are areas where few or no complaints are received, which may indicate either good practice or that there are barriers to complaining in that area).

## 2.6 Publicising complaints information

2.6.1 We publish on a quarterly basis information on complaints outcomes and actions taken to improve services.

2.6.2 This demonstrates the improvements resulting from complaints and shows that complaints can help to improve our services. It also helps ensure transparency in our complaints handling service and will help to show our customers that we value their complaints.

2.6.3 We will publish an annual complaints performance report on our website in line with SPSO requirements, and provide this to the SPSO on request. This summarises and builds on the quarterly reports we have produced about our services. It includes:

- performance statistics, in line with the complaints performance indicators published by the SPSO; and
- complaint trends and the actions that have been or will be taken to improve services as a result.

2.6.4 These reports must be easily accessible to members of the public and available in alternative formats as requested.

## Part 5 - Guide for Complainants

Fife College is committed to providing an excellent education and high quality services to our students from enrolment to graduation.

We value complaints and use information from them to help us improve our services.

A shortened version of the CHP is available for complainants which explains our complaints procedure, how to make a complaint, how we will handle their complaint and what they can expect from us.

This is available on the college website and via the [Learner Policies and Procedures](#) section of the gateway.

### Unacceptable Actions Statement

#### 1.0 Communicating positively

Fife College are committed to providing a fair and accessible service. We believe that everyone who complains to us has the right to be treated with respect and dignity. We also believe that our staff have the same rights, and we must provide a safe working environment for them. We must also ensure the efficient and effective operation of our service to all of our customers.

Our Unacceptable Actions Statement explains how Fife College addresses unacceptable actions towards our staff. This document sets out the kinds of actions and behaviour that may have a negative effect and what we will do if this occurs.

Fife College recognises that some people may have difficulties in expressing themselves or communicating clearly, especially when anxious or upset. We also understand that some people may find it difficult to identify what impact their behaviour might have on other people. We will always consider making reasonable adjustments if we are asked to do so - but we may still use this document if actions or behaviours are having a negative effect on our staff or our work.

Fife College believes that complainants have a right to be heard, understood and respected and we work hard to be open and accessible to everyone. Occasionally, the behaviour or actions of complainants makes it very difficult for us to deal with their complaint and in a small number of cases, the actions of individuals become unacceptable because they involve abuse of our staff or our process.

When this happens Fife College has to take action to protect our staff. We also consider the impact of the behaviour on our ability to do our work and provide a service to others.

This Statement explains how we will approach these situations.

#### 2.0 What actions do Fife College consider to be unacceptable?

People may act out of character in times of trouble or distress. There may have been upsetting circumstances leading up to a complaint. Fife College does not view behaviour as unacceptable just because a complainant is forceful or determined. In fact, we accept that being persistent may sometimes be a positive advantage when pursuing a complaint.

However, we do consider actions that result in unreasonable demands or unreasonable behaviour towards staff to be unacceptable. It is these actions that we aim to manage under this Statement. The following behaviours are covered:

- **Aggressive or abusive behaviour**

We understand that many complainants are angry about the issues they have raised in their complaint. If that anger escalates into aggression towards Fife College staff, we consider that unacceptable. Any violence or abuse towards staff will not be accepted.

Violence is not restricted to acts of aggression that may result in physical harm. It also includes behaviour or language (whether verbal or written) that may cause staff to feel offended, afraid, threatened or abused.

We will judge each situation individually and appreciate individuals who come to us may be upset.

Language which is designed to insult or degrade, is racist, sexist or homophobic or which makes serious allegations that individuals have committed criminal, corrupt or perverse conduct without any evidence is unacceptable.

We may also decide that comments aimed not at us, but at third parties are unacceptable because of the effect that listening or reading them may have on our staff.

- **Unreasonable demands**

A demand becomes unacceptable when it starts to (or when complying with the demand would) impact substantially on the work of the College or individuals.

Examples of actions grouped under this heading include:

- repeatedly demanding responses within an unreasonable timescale;
- insisting on seeing or speaking to a particular member of staff when that is not possible; or
- repeatedly changing the substance of a complaint or raising unrelated concerns.

An example of such impact would be that the demand takes up an excessive amount of staff time and in so doing disadvantages others, but also prevents their own complaint from being dealt with quickly.

- **Unreasonable levels of contact**

Sometimes the volume and duration of contact made by an individual causes problems. This can occur over a short period, for example, a number of calls in one day or one hour. It may occur over the life-span of a complaint when a complainant repeatedly makes long telephone calls to us, or inundates us with copies of information that has been sent already or that is irrelevant to the complaint.

Fife College considers that the level of contact has become unacceptable when the amount of time spent talking to a complainant on the telephone, or responding to, reviewing and filing emails or written correspondence impacts on our ability to deal with that complaint, or with other people.

- **Unreasonable refusal to co-operate**

When Fife College are investigating a complaint, we will need to ask the individual who has complained to work with us. This can include agreeing with us the complaint we will look at; providing us with further information, evidence or comments on request; or helping us by summarising their concerns or completing a form for us.

Sometimes, an individual repeatedly refuses to cooperate and this makes it difficult for us to proceed. We will always seek to assist someone if they have a specific, genuine difficulty complying with a request. However, we consider it is unreasonable to bring a complaint to us and then not respond to reasonable requests.

- **Unreasonable use of the complaints process**

Individuals with complaints about Fife College have the right to pursue their concerns through a range of means. They also have the right to complain more than once about our organisation, if subsequent incidents occur.

This contact becomes unreasonable when the effect of the repeated complaints is to harass, or to prevent us from pursuing a legitimate aim or implementing a legitimate decision. We consider access to a complaints system to be important and it will only be in exceptional circumstances that we would consider such repeated use is unacceptable – but we reserve the right to do so in such cases.

### **3.0 Examples of how we manage aggressive or abusive behaviour**

The threat or use of physical violence, verbal abuse or harassment towards Fife College staff is likely to result in a termination of all direct contact with the complainant. We may report incidents to the police. This will always be the case if physical violence is used or threatened.

Fife College staff will end telephone calls if they consider the caller aggressive, abusive or offensive. Our staff have the right to make this decision, to tell the caller that their behaviour is unacceptable and end the call if the behaviour persists.

Fife College will not respond to correspondence (in any format) that contains statements that are abusive to staff or contains allegations that lack substantive evidence. Where we can, we will return the correspondence. We will explain why and say that we consider the language used to be offensive, unnecessary and unhelpful and ask the sender to stop using such language. We will state that we will not respond to their correspondence if the action or behaviour continues.

In extreme situations, Fife College will tell the complainant in writing that their name is on a 'no personal contact' list. This means that we will limit contact with them to through a third party.

#### **4.0 Examples of how Fife College deal with other categories of unreasonable behaviour**

We have to take action when unreasonable behaviour impairs the functioning of the College or individuals. We aim to do this in a way that allows a complaint to progress through our process. We will try to ensure that any action we take is the minimum required to solve the problem, taking into account relevant personal circumstances including the seriousness of the complaint and the needs of the individual. Actions we may take include:

Where a complainant repeatedly phones, visits the College, raises repeated issues, or sends large numbers of documents where their relevance isn't clear, we may decide to:

- limit contact to telephone calls from the complainant at set times on set days;
- restrict contact to a nominated member of staff who will deal with future calls or correspondence from the complainant;
- see the complainant by appointment only;
- restrict contact from the complainant to writing only;
- return any documents to the complainant or, in extreme cases, advise the complainant that further irrelevant documents will be destroyed; or
- take any other action that we consider appropriate.

Where we consider continued correspondence on a wide range of issues to be excessive, we may tell the complainant that only a certain number of issues will be considered in a given period and we ask them to limit or focus their requests accordingly.

In exceptional cases, we reserve the right to refuse to consider a complaint or future complaints from an individual. We will take into account the impact on the individual and also whether there would be a broader public interest in considering the complaint further.

#### **5.0 The process we follow to make decisions about unreasonable behaviour**

Fife College will always tell the complainant what action we are taking and why.

Any member of staff who directly experiences aggressive or abusive behaviour from a complainant has the authority to deal immediately with that behaviour in a manner they consider appropriate to the situation and in line with this Statement.

With the exception of such immediate decisions taken at the time of an incident, decisions to restrict contact with the College are only taken after careful consideration of the situation by a more senior member of staff.

Wherever possible, we will give a complainant the opportunity to change their behaviour or action before a decision is taken.

## **6.0 How we let people know we have made this decision**

When a Fife College employee makes an immediate decision in response to offensive, aggressive or abusive behaviour, the complainant is advised at the time of the incident.

When a decision has been made by senior management, a complainant will always be given the reason in writing as to why a decision has been made to restrict future contact, the restricted contact arrangements and, if relevant, the length of time that these restrictions will be in place. This ensures that the complainant has a record of the decision.

## **7.0 The process for appealing a decision to restrict contact**

It is important that a decision can be reconsidered. A complainant can appeal a decision to restrict contact. If they do this, Fife College will only consider arguments that relate to the restriction and not to either the complaint made to us or to our decision to close a complaint.

An appeal could include, for example, a complainant saying that:

- their actions were wrongly identified as unacceptable;
- the restrictions were disproportionate; or
- that they will adversely impact on the individual because of personal circumstances.

A senior member of staff who was not involved in the original decision will consider the appeal.

They have discretion to quash or vary the restriction as they think best. They will make their decision based on the evidence available to them. They must advise the complainant in writing (this can be supplemented if written communication is not the most appropriate form for the individual) that either the restricted contact arrangements still apply or a different course of action has been agreed.

Fife College may review the restriction periodically or on further request after a period of time has passed. Each case is different. We will explain in the letter setting out the restriction what review process will be in place for that restriction and in what circumstances they could request this be reconsidered.

## **8.0 How we record and review a decision to restrict contact**

Fife College record all incidents of unacceptable actions by complainants. Where it is decided to restrict complainant contact, an entry noting this is made in the relevant file and on appropriate computer records. Each quarter a report on all restrictions will be presented to the Executive Team so that they can ensure the process is being applied appropriately. A decision to restrict complainant contact as described above may be reconsidered either on request or on review.

## Related Documents

Document Title	Location
Complaints – Guidance for Investigators	<a href="#">College Gateway - Curriculum Toolkit (Complaints Section)</a>
Complaints Handling Procedure – A Guide for Staff	<a href="#">College Gateway - Curriculum Toolkit (Complaints Section)</a>
Complaints Handling Procedure – A Guide for Complainants	<a href="#">College Gateway - Learner Policies and Procedures</a>
Complaints System User Guide	<a href="#">College Gateway - Curriculum Toolkit (Complaints Section)</a>
<a href="#">SPSO Statement of Complaints Handling Principles</a>	SPSO Website
<a href="#">SPSO Decision Making Tool for Complaint Investigators</a>	SPSO Website
<a href="#">SPSO Letter template for explaining when the CHP does not apply</a>	SPSO Website
<a href="#">SPSO How to make a good apology</a>	SPSO Website
<a href="#">SPSO Template Decision Letter</a>	SPSO Website
<a href="#">SPSO Good practice guidance: Alternative complaint resolution approaches</a>	SPSO Website
<a href="#">SPSO Handling complaints: A quick guide to communication</a>	SPSO Website
<a href="#">SPSO Advice Phrase cards for telephone conversations with complainants</a>	SPSO Website
<a href="#">SPSO Complaints Handling Practice Guide – Dealing with problem behaviour</a>	SPSO Website
<a href="#">SPSO Learning note template</a>	SPSO Website
<a href="#">SPSO Assess the need for change</a>	SPSO Website
<a href="#">SPSO Determine the fix required</a>	SPSO Website