

Student Complaints & Appeals Policy

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Related policies	<ul style="list-style-type: none"> • Academic & Non-Academic Misconduct Policy • Academic Appeals Policy • Student Handbooks • Anti-Bullying & Anti-Harassment Policy 		
External reference points	<p>Office for the Independent Adjudicator Good Practice Framework Sep 2015</p> <p>QAA Quality Code Core Practice Q6: The provider has fair and transparent procedures for handling complaints and appeals which are accessible to all students</p> <p>Data Protection Act 1998, 2018. Article 51 GDPR</p>		

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1. Background and Scope

The Academy provides access for students, prospective students (i.e., those at the application stage) and staff to a system for making and handling student or prospective student complaints efficiently and effectively. Implementation of this policy and procedures by the Academy, should ensure that students and those applying to become students feel able to make a complaint or appeal a decision about a complaint, knowing that it will be fairly investigated.

2. Aims and Objectives

The policy aims to ensure that students and prospective student complaints at the Academy are dealt with appropriately. The Academy has the following objectives in relation to student complaints:

- To provide clear information on complaint procedures
- To ensure complaints are dealt with fairly and honestly
- To ensure that the complaint handling process helps to improve the student and prospective student experience

The Academy aims and objectives are further informed by the Good Practice principles set out by the Office of the Independent Adjudicator (OIA):

- Accessible and clear
- Fair, independent and confidential
- Inclusive
- Flexible, proportionate and timely
- Improve the student experience

[Good Practice Framework - Principles \(oiahe.org.uk\)](https://www.oiahe.org.uk/good-practice-framework-principles)

3. Application

3.1. What is a complaint

At LCK Academy we understand that occasionally, a student or prospective student may find the service they have received or experience they have had to be unsatisfactory, prompting them to make a complaint. LCKA is committed to addressing such matters fairly and promptly. Throughout the investigation, the complainant will be informed of progress and the Academy will strive to provide a satisfactory outcome. No complainant will be disadvantaged for making a complaint.

Complainants have the right to raise concerns about various aspects of the student experience, including but not limited to:

- Failure of the Academy to fulfil obligations outlined in student handbooks
- Misleading or inaccurate information in course publicity, promotional materials, or other information provided by the Academy.
- Issues regarding programme delivery, teaching methods, or administrative processes.
- Substandard facilities, learning resources, or services offered by the Academy
- Instances of alleged bullying, harassment, or discrimination.

3.2. Exclusions from Complaints

While the Academy strives to address all concerns raised by students or prospective students, there are certain matters that cannot be handled through these procedures. These include:

- Disputes related to the assessment process or outcomes of academic work, which fall under the purview of the Academic Appeals Policy.
- Dissatisfaction with decisions made under separate regulations, such as Academic Malpractice, and Fitness to Study Policy.
- Allegations of non-academic misconduct against another student, which are addressed through the Fitness to Study Policy.

4. Complaints Protocols

These guidelines aim to assist students and prospective students in understanding the complaints process at LCKA. All complaints will be treated confidentially and handled with sensitivity by LCKA staff involved at every stage of the process.

4.1. Who may complain

All applicants and enrolled students at LCKA have the right to make a complaint, and their complaints will be taken seriously. If other procedures at LCKA are in progress during an ongoing complaint, the investigation will continue unless there are compelling reasons for one of the procedures to be put on hold pending the outcome of the other matter.

A student who has recently interrupted their studies, withdrawn, or completed their studies, may still submit a complaint within three months of their last date of engagement. Evidence submitted as part of one complaint will be available for use in other complaints if appropriate.

Prospective students (i.e., those at the application stage) can follow these procedures but should also refer to the Admissions Policy for details regarding complaints about admissions. Students considering making a complaint may seek advice and guidance from student representatives and student support staff. A group of students can make a collective complaint under certain criteria, with one member identified as the main contact for communication purposes.

4.2. Ineligible Complaints

Vexatious or frivolous complaints will be rejected, and students found to have submitted such a complaint may face disciplinary action if a complaint is deemed malicious in nature. While students are encouraged to make their own complaints themselves, complaints can be made by a third party.

4.3. Investigation

Raising a complaint gives LCKA permission to investigate the matter and discuss it with relevant parties. Information submitted will remain confidential to the extent where it is possible, considering the right of others to know the details of any allegations made against them. Named staff members in a complaint will be entitled to see the written complaint.

Anonymous complaints will not be investigated. Written records of all meetings, emails, texts and telephone calls will be kept confidential. Efforts will be made to work within published timescales, with regular updates provided to all parties. The Academy will strive to be transparent in responding to complaints, considering requests for access to documents within legal limitation of GDPR legislations.

New evidence relevant to the original complaint may be submitted as it becomes available, but this may prolong the investigation process. Investigations into complaints will be conducted in a timely, objective, and thorough manner, by an independent staff member referred to as the **Investigating Officer (IO)**. If legal action is pending, internal investigations may be suspended until legal matters are resolved.

Students may seek initial independent advice from any staff member before proceeding with their complaint. Complaints will not be rejected due to minor procedural errors on the part of the complainant.

5. Advice and Guidance

For independent, non-judgemental guidance students may find it helpful to ask their class student representative, student president or student support staff on how to proceed with their intended complaint. If students have any questions about how the complaints process works, they can contact a member of the student support team. Prospective students may contact the admissions team for support in making a complaint.

6. Procedures for Submitting a Complaint

6.1. Stage 1: Informal Immediate Local Resolution

At the point a concern arises, complainants should first raise concerns informally with staff, such as their Admissions Officer, Personal Tutor, the Course or Module/Unit Leader, or members of the Academy Student Support team.

This approach is generally more effective as it offers a quick solution and avoids delays incurred in submitting and processing a formal complaint. The student should raise any concerns as soon as possible, and in any case within three months of the issue arising.

It is expected that at this stage the matter would be resolved quickly in in-person discussion, or perhaps through an online or email conversation.

6.2. Stage 2: Formal Complaint Resolution

If there is no early resolution, or the student remains dissatisfied with the outcome of the early resolution stage, or if the matters raised are particularly complex, the student should submit their formal complaint in writing using the complaints link on the Academy [website](#) or by sending a notification of formal complaint form (Appendix 1) to: complaints@lckacademy.org.uk.

Complaints must be submitted within three months of the issue arising, regardless of whether or not it is first considered under the Early Resolution stage.

6.2.1. Direct Submission

If a complaint is sent directly to the Chief Executive Officer (CEO) or another member of the Senior Leadership Team, they will refer it to the Head of Quality or Registry Officer in the first instance.

6.2.2. Required Information

When submitting a formal complaint, it is crucial to provide as much relevant information as possible to ensure a thorough investigation may be conducted. This includes detailing the nature of the complaint, relevant dates, names of individuals involved, and any specific incidents or actions. Additionally, attaching supporting documentary evidence, such as emails, correspondence, or records of events, can significantly strengthen the case and assist in understanding the context of the complaint.

Please see the following guidance:

- Ensure all relevant information pertaining to the complaint is included in the submission.
- Attach supporting documentary evidence to substantiate the claims made in the complaint.
- Clearly articulate the details of the complaint, including specific incidents, dates, and individuals involved.
- Organise the information logically to facilitate understanding and assessment by the Academy.
- Present the complaint in a clear, concise, and objective manner, avoiding any unnecessary or irrelevant details.
- Provide accurate contact information for follow-up communication regarding the complaint.
- Seek guidance from Student Council or student support staff if assistance is needed in preparing the complaint or gathering supporting evidence.

6.2.3. Initial Response

The Head of Quality or Registry Officer will respond to the complaint within **two working days** informing the complainant that they will assess the complaint to confirm whether it will be recommended for further investigation. If the complaint is dismissed at this stage, the student will be informed, with full reasons given, and advice on further action the complainant may take.

6.2.4. Key Questions

The key questions considered in the initial review will be:

- Is this an eligible complaint?
- Was early resolution attempted? If not, can it be referred back to that stage?
- Is it clear what the complaint is about, and which functions of the Academy are involved?
- Has appropriate evidence been provided?
- What outcome is the student hoping for? Can that outcome be achieved?
- Is the complaint suitable for mediation?
- Should any additional assistance or support be provided to the student in taking this forward?

6.2.5. Appointment of an Investigating Officer (IO)

If the complaint is accepted, the Head of Quality will refer the complaint to the Senior Leadership Team (SLT) within **five working days** of receiving the complaint and the complainant will be informed that their complaint has been escalated. The SLT will appoint one of its members as an Investigating Officer (IO). The appointed IO must be someone who has had no previous involvement in the matter.

6.2.6. Investigation Process

Upon appointment, the Investigating Officer will contact the complainant within **two working days** to confirm the main issues raised and provide an expected outcome date.

A comprehensive investigation into the matters raised in the complaint will be conducted by the Investigating Officer, who subsequently will compile a report outlining findings and recommendations.

The investigation aims to conclude within **five working days** of receiving the complaint, subject to factors such as the complexity of the complaint, resource availability, and the need to interview relevant individuals.

Regular progress updates are provided to the complainant by the Investigating Officer, especially in cases of any delays.

In specific circumstances, the Investigating Officer may convene a meeting with relevant parties, including the complainant and any involved employees or students.

6.2.7. Investigation Meeting (Accompanied)

The investigation meeting provides an opportunity for all parties to express their views and clarify key points of the complaint. The complainant may be accompanied by another person to support them.

Prepared questions may be posed by the Investigating Officer during the meeting, allowing the complainant to provide additional relevant information or evidence.

Brief notes are taken during the meeting and shared with the complainant to ensure accuracy. These notes are retained for inclusion in the investigation report.

Recordings may be made during meetings with prior permission from all attendees.

6.2.8. Outcome of the Investigation

Upon completion, a report detailing the investigation findings, including whether the complaint is upheld, partially upheld, or not upheld, is generated, along with supporting reasons and any proposed redress or recommendations.

The report may suggest redress and/or remedial action and offer recommendations.

Each complaint is addressed individually within the report, along with an overview of the investigation process and evidence considered.

The report will be passed to at least one other member of the Senior Leadership Team for their approval. If the other member sees any irregularity or reason for concern, they may refer the matter back to the IO for further investigation. Once the report has been approved by a second member of the Senior Leadership Team, it is passed to all relevant parties.

All parties involved have the right to access evidence, with any necessary redactions made to comply with GDPR regulations.

Cases involving proven evidence of staff misconduct will be dealt with under the Staff Disciplinary Procedure.

A formal response, including recommendations for resolution, is provided to the complainant by the Investigating Officer at the end of the investigation (within **five working days**)

The outcome letter outlines the next steps in the complaints process and requests confirmation of acceptance or rejection of the proposed resolution within **ten days**.

If no response to the outcomes letter is received from the complainant within the specified time, acceptance of the outcome is assumed, and the matter is considered closed.

If the complainant fails to respond, the Registry Officer will issue a Completion of Procedures letter, indicating that the matter is closed.

Complaints deemed frivolous, or vexatious may result in disciplinary action under the Fitness to Study Policy.

6.2.9. Redress

Redress if the complaint is upheld is offered to the complainant if the investigation determines that action is necessary to address the raised concerns. Redress options are tailored to the specific circumstances of the case and may include:

- An official apology from the Academy.
- An opportunity to repeat the experience under improved conditions (excluding academic assessment processes or results, which are subject to academic judgment).
- Implementation of changes to the Academy's services, facilities, or policies if deemed responsible.
- Any other suitable action deemed appropriate.

The Decision Letter detailing the redress offered is stored in the student's personal file, treated in compliance with GDPR regulations and the Academy's Data Retention Policy. If the complainant fails to request a review within **ten days** of the decision letter, the matter will be considered closed and no further action may be taken.

6.2.10. Other Outcomes

Complaints involving a specific staff member prompt a thorough investigation, including interviews with all parties involved. If the investigation uncovers evidence of misconduct, the matter is handled through the Staff Discipline Policy as detailed in the Staff Handbook. It is essential to note that any investigation of a complaint does not assume or imply there is any fault on the part of an employee unless and until the evidence leads to that conclusion.

6.3. Completion of Procedures Letter

If a student decides not to proceed to Stage 3: Appeal and Review explained below, they will be issued with a completion of procedures letter by the Registry Officer.

6.4. Stage 3: Appeal and Review

Students dissatisfied with the outcome of the second formal complaint stage may request a review.

Requests for review may be submitted on the following grounds:

- Improper adherence to procedures during the formal stage.
- Unreasonableness of the outcome given the circumstances.
- Submission of new evidence, previously unattainable for valid reasons, which would have significantly influenced the decision (considered "material" evidence).

Note: Students should utilise the Request for Review form (appendix 2) to identify their grounds for review and receive guidance on the process. Completed forms must be sent to complaints@lckacademy.org.uk within 10 working days of receiving the formal complaint outcome notification.

The review will be handled by a **Reviewer**. The Reviewer must be a member of the Senior Leadership Team (SLT) who has had no previous involvement in the matter. The Reviewer cannot be the same person as the Investigating Officer or the person who approved the Stage Two report provided by the IO. The Reviewer assesses:

- Adherence to procedure during the formal stage.
- Reasonableness of the outcome.
- Presentation of new "material" evidence.
- Valid reasons for not submitting such evidence during the formal stage.

Reviews are typically concluded within **ten working days** of receipt of the Request for Review.

6.4.1. Stage 3 Outcomes

If a review identifies issues with the formal stage outcome, the review is **upheld**, and the matter is **referred back** to the formal stage for reconsideration. The student receives a written communication detailing the decision, explanation, and next steps.

Where a request for review is **not upheld** it is communicated to the student via a Completion of Procedures letter (appendix 3), outlining the reasons for the decision.

Note: The Completion of Procedures letter informs the student about:

- Their right to further action through the Office of the Independent Adjudicator (OIA)
- Associated timescales
- Access to support avenues

7. Complaining to our Partners and Awarding Organisations

Students have the right to complain to our partner organisations as well as the awarding organisations for the programme of study. However, student may find that our partner organisations and awarding organisations will expect that our complaints policy and procedure has been fully exhausted (up to Stage 3) before they will consider a complaint.

If a complainant is still dissatisfied with the outcome after exhausting all internal procedures at the Academy, they retain the right to escalate the complaint to:

- Our [academic partner](#) (Strode College)
- The awarding organisation (Pearson)
https://qualifications.pearson.com/content/dam/pdf/Support/policies-for-centres-learners-and-employees/Enquiries_and_Appeals_on_Pearson_Vocational_Qualifications.pdf
- The Office for Students (OfS) for all students on Higher Education courses
<https://www.officeforstudents.org.uk/contact/notifications-and-complaints/>
- [The Office of the Independent Adjudicator for Higher Education \(OIA\).](#)

8. Office of the Independent Adjudicator (OIA)

Any complaint to the Office or the Independent Adjudicator OIA must be lodged within 12 months of receiving the Completion of Procedures letter from the Academy. Typically, the OIA will not consider complaints that have not first been addressed internally by the Academy.

The Office of the Independent Adjudicator for Higher Education can be contacted at:

Office of the Independent Adjudicator
Second Floor
Abbey Gate
57-75 Kings Road
Reading
RG1 3AB
Tel: 0118 959 9813
Email: enquiries@oiahe.org
Website: www.oiahe.org.uk

9. Additional Information

9.1. Rights of Complainant and Respondent

Both the student and respondent reserve the right to be accompanied at any meetings by a representative.

Throughout all stages of the procedure, disabled students are entitled to reasonable adjustments under the Equality Act 2010. Other students may receive appropriate support based on available resources.

The respondent in a complaint has the right to representation, the opportunity to present their perspective to Investigating Officer, and access to all evidence associated with the case.

Similar to the student lodging the complaint, the respondent also holds the right to request a review.

The Academy will provide training to relevant staff on the appropriate handling of complaints according to these procedures.

9.2. Mental Health or Disturbed Behaviour

Cases involving mental health difficulties or disturbed behaviour are typically not addressed under these procedures but rather under the Academy's Fitness to Study Process.

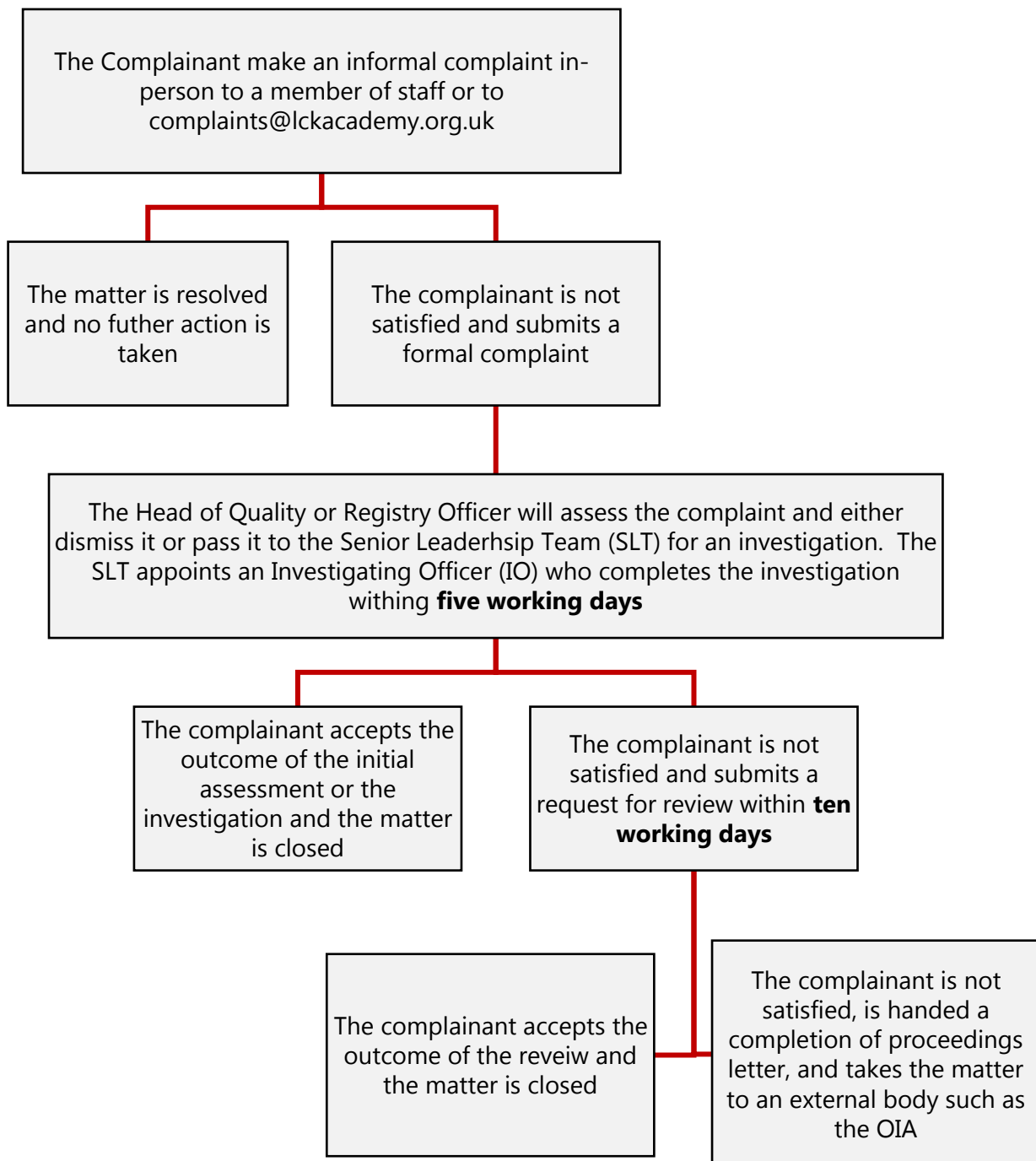
9.3. Monitoring and Reporting

The Head of Quality monitors these procedures, to ensure consistency and compliance with relevant legislation.

An annual summary report of complaints received is presented to the Academy's Academic and Quality Board, omitting personal complainant details.

The Academy offers mediation services for students, available at any stage of the complaint's procedure upon request to the Registry Officer.

10. Complaints Process



Desired Outcome

What resolution are you hoping for?

Confidentiality Declaration

I declare that all information provided is true, accurate, and complete to the best of my knowledge.

Student Signature (email address can be used):

Date:

Print Name:

Appendix 2 Student Review Form

Request for Review Form
Personal Details
Name:
Student ID (if relevant):
Email:
Phone Number:
Course (if relevant):
Date of Formal (Stage Two) Complaint Outcome:
Grounds for Review
Please tick the appropriate box(es) and provide a brief explanation if necessary.
<input type="checkbox"/> The procedures during the formal stage were not followed properly.
<input type="checkbox"/> The outcome was not reasonable given the circumstances presented.
<input type="checkbox"/> New evidence, unable to be provided earlier, has significant material effect on the decision.
Explanation (if applicable):
Supporting Documentation
Please attach any additional documentation or evidence relevant to your request for review.
Declaration

Request for Review Form

I hereby request a review of the formal (stage two) complaint outcome based on the grounds stated above. I confirm that the information provided is accurate and complete to the best of my knowledge.

Student Signature (email address can be used):

Date:

Submission Instructions:

Submit this form along with any supporting documentation to complaints@lckacademy.org.uk within **10 working days** of receiving notification of the formal stage two complaint outcome.

Appendix 3: Completion of Procedures (COP) Letter Template

Dear [*Name of complainant*],

Completion of Procedures Letter

This letter confirms that the internal procedures of LCKA in relation to your *complaint / appeal etc** regarding [*please describe*] have been completed.

The issues that you raised in your *complaint / appeal etc** were [*details*]

The issue(s) that were considered in relation to your *complaint / appeal etc was / were**: [*brief summary of the complaint etc*].

The final decision of LCKA is* [*detail*] because [*reasons*].

The procedures / regulations applied were*: [*details and date as supplied to the OIA's electronic Regulations Bank*].

LCKA subscribes to the independent scheme for the review of student complaints. If you are dissatisfied with the outcome you may be able to apply for a review of *your complaint / appeal etc** to the Office of the Independent Adjudicator for Higher Education (OIA) provided that the complaint you take to the OIA is eligible under its rules.

Should you decide to make a complaint to the OIA, your OIA Complaint Form **must be received by the OIA within 12 months** of the date of this letter, that is, it must be received by the OIA **on or before** [*insert date - e.g. if the Completion of Procedures Letter is dated 9 July 2021, this date should be 9 July 2022*].

[*Include here any factors of which the Academy is aware which mean that it is particularly important for the student to bring the complaint promptly.*]

You can fill in the OIA's complaint form online or download a copy from the OIA website. <http://oiahe.org.uk/making-a-complaint-to-the-oia/oia-complaint-form.aspx>. The OIA also publishes *An Introduction to the OIA Scheme for Students*, which can be downloaded from http://oiahe.org.uk/media/42715/oia_intro_leaflet_16pp.pdf. Alternatively, you can telephone or write to the OIA for a form. **You should send a copy of this letter to the OIA with your OIA Complaint Form.**

Guidance on submitting a complaint to the OIA and the OIA Complaint Form can also be found on the OIA's website <http://www.oiahe.org.uk/making-a-complaint-to-the-oia.aspx>.

Please note that the OIA will normally only review issues that have been dealt with through the provider's internal procedures.

Yours sincerely,

CEO

Appendix 4: Complaint Investigation Form

Allegation/Issue	
Type of Investigation e.g. Disciplinary/Grievance etc	
Name(s) of persons subject to investigation	
Name of complainant (if appropriate)	
Investigator(s)	
Background	
This may cover: <ul style="list-style-type: none">• How did the issue come to light?• Have any other actions been taken prior to the investigation?	
Remit of The Investigation	
This may cover: <ul style="list-style-type: none">• What specific allegations/concerns (by bullet points) were investigated?	
Investigation Process	
This may cover: <ul style="list-style-type: none">• A brief description of method(s) used to gather information• A record of what interviews/statements were undertaken, and documents reviewed	
Witnesses	
<ul style="list-style-type: none">• List of witnesses interviewed	

Findings	
This should cover:	
<ul style="list-style-type: none"> • A summary of findings and observations for each specific allegation/issue of concern investigated, cross-referencing any documentation where needed 	
Conclusions	
This may cover:	
<ul style="list-style-type: none"> • For each concern/allegation investigated an overall opinion based 'on the balance of probabilities' on whether there is evidence to support allegations made • Recommendations on whether further actions under the relevant complaint's procedure should be taken 	
Appendices	
<ul style="list-style-type: none"> • These should be attached and may include witness statements, investigatory interview notes, chronology of events etc. 	
Signed by the Investigating Officer	
Date	