#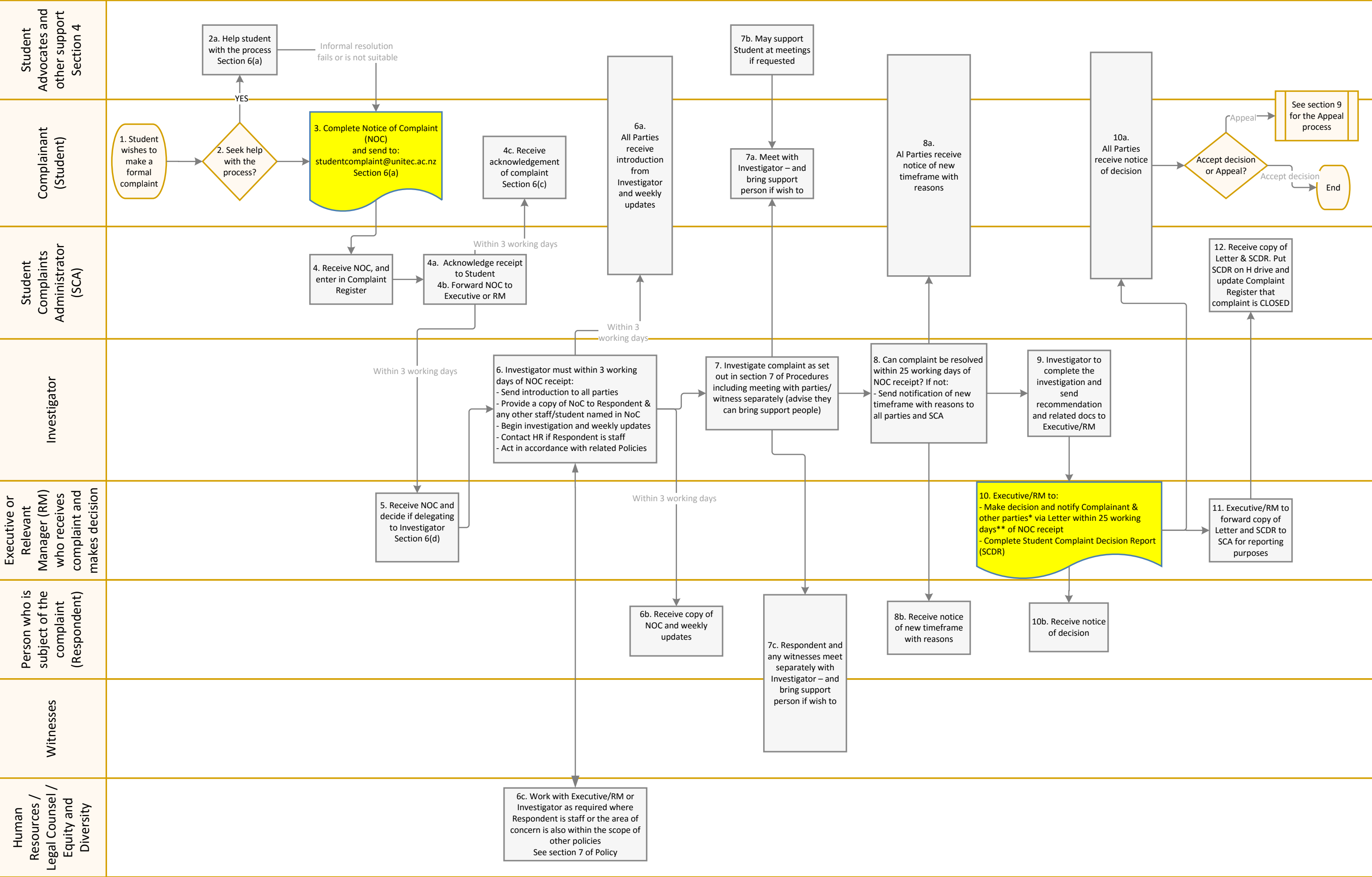 Formal Complaints Process Flowchart – in accordance with Unitec's Student Complaints Resolution Procedures – 22 June 2018

Student Advocates and other support Section 4

- 2a. Help student with the process Section 6(a)
- 7b. May support Student at meetings if requested

Complainant (Student)

- 1. Student wishes to make a formal complaint
- 2. Seek help with the process? — YES
- *Informal resolution fails or is not suitable*
- 3. Complete Notice of Complaint (NOC) and send to: studentcomplaint@unitec.ac.nz Section 6(a)
- 4c. Receive acknowledgement of complaint Section 6(c)
- 6a. All Parties receive introduction from Investigator and weekly updates
- 7a. Meet with Investigator – and bring support person if wish to
- 8a. Al Parties receive notice of new timeframe with reasons
- 10a. All Parties receive notice of decision
- Accept decision or Appeal? — Appeal → See section 9 for the Appeal process
- Accept decision → End

Student Complaints Administrator (SCA)

- 4. Receive NOC, and enter in Complaint Register
- 4a. Acknowledge receipt to Student
- 4b. Forward NOC to Executive or RM
- *Within 3 working days*
- 12. Receive copy of Letter & SCDR. Put SCDR on H drive and update Complaint Register that complaint is CLOSED

Investigator

- *Within 3 working days*
- 6. Investigator must within 3 working days of NOC receipt:
  - Send introduction to all parties
  - Provide a copy of NoC to Respondent & any other staff/student named in NoC
  - Begin investigation and weekly updates
  - Contact HR if Respondent is staff
  - Act in accordance with related Policies
- 7. Investigate complaint as set out in section 7 of Procedures including meeting with parties/ witness separately (advise they can bring support people)
- 8. Can complaint be resolved within 25 working days of NOC receipt? If not:
  - Send notification of new timeframe with reasons to all parties and SCA
- 9. Investigator to complete the investigation and send recommendation and related docs to Executive/RM

Executive or Relevant Manager (RM) who receives complaint and makes decision

- 5. Receive NOC and decide if delegating to Investigator Section 6(d)
- *Within 3 working days*
- 10. Executive/RM to:
  - Make decision and notify Complainant & other parties* via Letter within 25 working days** of NOC receipt
  - Complete Student Complaint Decision Report (SCDR)
- 11. Executive/RM to forward copy of Letter and SCDR to SCA for reporting purposes

Person who is subject of the complaint (Respondent)

- 6b. Receive copy of NOC and weekly updates
- 7c. Respondent and any witnesses meet separately with Investigator – and bring support person if wish to
- 8b. Receive notice of new timeframe with reasons
- 10b. Receive notice of decision

Witnesses

Human Resources / Legal Counsel / Equity and Diversity

- 6c. Work with Executive/RM or Investigator as required where Respondent is staff or the area of concern is also within the scope of other policies See section 7 of Policy

* NOTE:
- This process is only for complaints within the scope of the Student Complaints Resolution Policy and Procedures. It is not for complaints related to academic decisions – for those follow the process in the Academic and Programme Mgmt Policy section 14
- This flowchart outlines main steps for key roles within the FORMAL complaints process, for the INFORMAL complaints process see separate flowchart
- Keep Advocate, International or other support groups/people informed if they helped initiate process

** or new timeframe previously notified to all parties including the SCA