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External references	Data protection: The Data Protection Act - GOV.UK (www.gov.uk)
Links to other internal policies / procedures	University stakeholder complaints procedure stakeholdercomplaints-procedure.pdf (leedsbeckett.ac.uk) Disciplinary procedure https://www.leedsbeckett.ac.uk/-/media/files/policies/human-resources/uphr_disciplinary_procedure.pdf Research misconduct policy and procedures policy-for-investigating-allegations-of-research-misconduct.pdf (leedsbeckett.ac.uk) procedures-for-investigating-allegations-of-research-misconduct.pdf (leedsbeckett.ac.uk) Grievance procedure uphr_grievance_procedure.pdf (leedsbeckett.ac.uk) Whistleblowing Policy and Procedure UPwhistleblowing (leedsbeckett.ac.uk)
Version reference	V1.02
Version History - summary of changes	Addition of names to roles and titles Updating endorsement details to reflect change in senior structures from 'DVC Research and Enterprise' to 'Pro Vice Chancellor Research and Innovation'. Addition of Director of Research and Knowledge Exchange Services to replace Director of Research and Enterprise Services under 'developed in consultation with' Addition of an external link. Changes to reflect updated version and link to research misconduct policy. Changes in version reference Minor amendments to language.

University Research and Enterprise Services Complaints Policy and Procedures

Introduction

The University Research and Enterprise Services (RES) aims to provide high quality services and operate to high ethical standards in accordance with Leeds Beckett University's values. Our policy and procedure set out how concerns and complaints can be raised by the complainant, and how they will be investigated and addressed by the service. This procedure is for use by both internal and third parties whose complaints are not covered by other specific Leeds Beckett University complaints procedures.

We aim to ensure that:

- making a compliment or complaint is as easy as possible.
- we treat a complaint as a clear expression of dissatisfaction with our service which requires an immediate response.
- we learn from complaints to improve our service and procedures.
- resolve informal concerns as quickly as possible without the need to escalate to the formal complaints process.
- we welcome and appreciate compliments, feedback, and suggestions.

What our complaint policy covers

Our policy covers complaints about:

- Any issues or concerns relating to all research and enterprise matters or activities across the university not covered by other university policies or procedures.
- the standard of service we provide.
- the behaviour of our service staff.
- any action or lack of action by staff affecting an individual or group.

The policy does not cover:

- any matters that have already been fully investigated through this complaint procedure.
- anonymous complaints.
- complaints about access to information where procedures are already provided for complaints to be raised (e.g., in relation to Freedom of Information or Subject access requests).
- research misconduct policy and procedures.

Responsibilities

The responsibility of RES will be to:

- acknowledge the formal complaint in writing.
- respond within the stated period.
- deal reasonably and sensitively with the complaint; and
- act where appropriate and possible.

A complainant's responsibility is to:

- bring their complaint, in writing, to the attention of RES normally within 4 weeks of the matter arising.
- raise concerns promptly and directly.
- explain the problem as clearly and as fully as possible, including any action taken to date.
- allow URE a reasonable time to deal with the matter, and
- recognise that some circumstances may be beyond the control of RES.

Confidentiality

All complaints received will be dealt with confidentially and in accordance with the requirements of the Data Protection Act 2018.

Our standards for handing complaints

- You will be treated with courtesy and fairness - we trust that you also will be courteous and fair in your dealings with our staff.
- We will treat all complaints seriously, whether they are made by email or verbally. **Where someone complains verbally, we will make a written record and provide a copy of it within 3 working days.**
- We will deal with your complaint promptly and acknowledge it according to our policy protocol.

How to complain

You can make a complaint directly to a member of RES staff or Service team where this is appropriate, and they will take a written note of your concerns and seek to find a resolution with you in line with our procedures detailed in this document.

Or you can contact us by email. You can send an email (marked **complaint**) to: ResearchInfoandGovernance@leedsbeckett.ac.uk

In your correspondence/communications you should include:

- the reason for making the complaint.
- a clear description of your experience or problem.
- what outcome you would like to see.

Should your complaint relate to a specific project or application, please provide your project or application number. We can only discuss issues relating to an application with the lead applicant. Should your complaint relate to a person, please provide their name. To enable us to investigate your complaint in full please ensure that the nature of your issue is clear to us as we are unable to investigate non-specific complaints.

Complaints Procedure

The RES complaints procedures follow the university stakeholder complaints procedure in structure and stages. Written records must be made by RES at each stage of the procedure.

The stages of the URE complaints procedure

Stage 1 – Informal resolution:

This is the first opportunity for the RES service to resolve a complainant's dissatisfaction, and most complaints will be resolved at this stage. We will try to get your complaint resolved by a manager of the area or team against whom the complaint has been made. The person who dealt with your enquiry, application or project can usually resolve your complaint. We would encourage you to speak with them directly in the first instance to try and resolve the matter informally before raising a formal complaint.

Upon receipt of your complaint, we will contact the relevant team manager and ask them to deal with your complaint. Staff members must establish the severity of the complaint. An informal approach is appropriate when it can be achieved but if concerns cannot be satisfactorily resolved informally for the complainant, then the formal complaints procedure should be followed through to Stage 2.

Stage 2 – Formal resolution:

Should you not be satisfied with the outcome of informal resolution, you can submit a formal complaint [here](#). Formal complaints should be made within 15 working days of the outcome of an informal resolution. Responses will be acknowledged within 3 working days. The Head of the RES (usually the Director of Research and Knowledge Exchange Services) will be asked to investigate the complaint and will seek to offer a resolution to your complaint **within 15 working days**, but more complex matters may take longer. You will receive a response in writing. Should you not be satisfied with the outcome of stage 2, you may seek a review of that outcome (Stage 3). **Review requests must be received within 5 working days** of receiving the written response and will be conducted by someone independent of the area about which the complaint is being made.

Stage 3 – Review:

As indicated earlier in this document the RES complaints procedure is superseded by the University Stakeholder Complaints Procedure if (but not limited to):

- It has not been possible to manage the complaint to the complainant's satisfaction within the RES service and its procedures.
- the complainant has requested an investigation for example around suspected research misconduct or serious misconduct.
- the complaint involves a personal data issue but not freedom of Information requests which are dealt with separately through our university information governance team.
- there is a conflict of interest between the complainant and the RES service.
- the issues are complex and require a high-level investigation.
- the complaint represents a high or serious risk to the university.
- the facts are unclear, or the complaint will require additional time to resolve.
- the complainant is identified as being vulnerable.
- there has been any media contact or attention regarding the complaint.
- child protection issues are involved.
- the issues can or may affect many customers or stakeholders.
- a professional body or oversight authority requires it.
- persistent or vexatious complaints.

At which time the complainant will be directed to follow this process detailed at (<https://www.leedsbeckett.ac.uk/our-university/public-information/regulatory-compliance-andassurance/stakeholder-complaints/>)