

BI-HR-005 Disciplinary Policy
BI-HR-004 Grievance Policy
BI-RES-004 Research Misconduct Policy

Parliamentary and Health Service Ombudsman, Principles of Good Complaint Handling

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@ @ Disciplinary Policy
(BI-HR-005) applies and there is a conflict between the disciplinary procedures of the University and those of the Institute, the disciplinary procedures of the Institute shall prevail. For externally funded students (such as UKRI), the terms of the award shall prevail over University policies and procedures. This is relevant in areas such as maternity / parental leave.

5.1. Complaints will generally include the following:

- Failure to follow the Institute / or procedures.
- Failure to follow the Institute
- The unhelpfulness or insensitive attitude of a

- 8.2. Should a formal investigation be required, the Institute will identify a senior independent employee to conduct the investigation. The independent person must not have any prior knowledge of the complaint nor have any likely bias when conducting the review. The investigation will be conducted in as timely a manner as possible

Ensure complete confidentiality when handling sensitive, confidential information and maintaining anonymity where necessary. Ensure individuals are respected by taking their feelings into account and supporting individuals through this process.

Evaluate the basis of any complaint brought to their attention and referring upwards to the Institute Director, Audit Committee or Board of Trustees where appropriate. If an individual is not happy with the way in which their complaint has been handled, they can appeal as outlined in section 9.

Seek assurance that individuals involved have received appropriate feedback on how issues that they speak up about are investigated.

Assess the effectiveness of the process and liaise with HR in relation to any amendments. Fairly review the handling of complaint cases and any actions taken as a result.

Work with HR to ensure that associated lessons learnt are recorded, disseminated and implemented.

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Work with the Communications Manager to respond to any press requests.

The HR team is responsible for:

- Communicating the Complaints Policy to the Institute.
- Ensuring that individuals and managers understand their responsibilities.
- Maintaining and updating the Complaints Policy.
- Providing complaint and / or investigator training if required.
- Appointing Investigating Officers, and supporting the investigation and any appeal.
- Maintaining a complaint

higher than the respondent.

All those involved (e.g., complainant, respondent etc.) have the right to appeal against the outcome of the original investigation. The purpose of the appeal is to review the outcome of the original investigation and the basis upon which the original decision was made.

The appeal should indicate the full grounds upon which it is made and must be sent in writing within seven working days of receipt of the decision letter. Details of the person to whom the appeal should be sent will be included in the decision letter.

The respondent or the complainant can submit new evidence or information that they consider relevant to the appeal, raise procedural issues, or comment on those matters they believe have received insufficient consideration. They should enclose copies of any new documentation to support their case.

The appeal will be heard by a person who has had no previous involvement in the case. In exceptional cases the appeal may be heard by an independent person outside of the Institute. The person hearing the appeal will be accompanied by an HR professional. Individuals have the right to be



