Internal regulation
University of Ss. Cyril and Methodius in Trnava
14/2021

Complaints Handling Directive at the UCM

§ 1)
General provisions

1) Rector of Ss. Cyril and Methodius University in Trnava (hereinafter referred to as UCM) in accordance with § 15 par. 1 letter m) of Act no. 131/2002 Coll. on universities and on the amendment of certain laws as amended (hereinafter referred to as the "Law on Universities") and § 48 par. 2 of the UCM Statute, § 3 par. 3 letters g) of Act no. 269/2018 Coll. on ensuring the quality of higher education and on amending and supplementing certain laws as amended (hereinafter referred to as the "Quality Act"), Act No. 9/2010 Z. z. on complaints as amended (hereinafter referred to as the "Complaints Act"), STN ISO 10002:2021 standards, issues this Complaints Handling Directive at the UCM (hereinafter referred to as "the Directive").
2) Under those rules, UCM adopts a complaints-handling policy, aimed primarily at students but also at employees and third parties, which is based on the principles, procedures, and objectives of the complaint-handling process.
3) This Directive lays down the procedures for filing, receiving, registering, investigating, and reporting complaints lodged with UCM by natural and legal persons.
4) The target group for the complaint-handling process, are university students, university staff, and third parties with no direct relationship with the university, with a special group being media staff.
5) Procedures not provided for in this Directive for the handling of complaints are governed by the relevant provisions of the Complaints Act.
6) This Directive applies to all UCM employees.

§2
Basic provisions and definitions of certain terms

1) The basic principles for handling complaints are: transparency, availability, objectivity, sensitivity, the integrity of information, accuracy, timeliness, ability, and competence.
2) UCM is within the meaning of §20 par. 1 letter g) the Law on Universities obliged to handle complaints under the Law on Complaints unless the complaint is covered by another law[1]
3) The complaint handling agent is primarily a member of the staff of the Department of Control, Complaints and Anti-Social Activities — the University Controller; secondly: the Bursar of the UCM, the deans of the faculties, the directors of the institutes or any other person authorized by the Rector of the UCM to deal with complaints. These persons may ask the inspector of the university to deal with complaints.
4) § 3 and § 4 of the Complaints Act define the division of submissions into those which are deemed to be a complaint under the Act and those which are not deemed to be a complaint. The submission or complaint shall be considered on its merits.
5) Complaints that do not qualify as a complaint but fulfill the criteria of § 4, paragraph 1 and 2 of the Complaints Act are treated separately as submissions having the character of questions, statements, opinions, requests, suggestions, and proposals. The processing of such submissions is registered separately, within the meaning of §10 par. 3 of the Complaints Act. The handling of such submissions shall be subject to the provisions of Special Regulation[2].

[1] For example § 13 par. 6 of Act no. 311/2001 Coll. Labour Code as amended
[2] Directive on the processing of initiatives at the UCM

§3
Department of control, complaints, and anti-social activity

1) The UCM Department of control, complaints, and anti-social activity (hereinafter 'UCM DCCA') carries out the inspection, complaint handling, and referral of antisocial activities as set out in the instructions and decisions of the UCM Rector.
2) The UCM DCCA carries out the following activities:
   a) Cooperates in investigating and handling complaints assigned to the UCM Rector's equipment,
   b) keeps a central record of UCM's complaints separate from that of other documents; registered complaints shall be numbered in each calendar year, starting from number one in a time series, and identified by the appropriate registration number: AS and AS1; the term of the deposit is 10 years;
   c) ensures the provision of assistance to other authorized persons in the handling of complaints at the university, ensures the provision of UCM assistance to other public authorities competent to deal with complaints within ten working days of receipt of the request for assistance and, if necessary, request the assistance of other public authorities or other persons within the meaning of Paragraph 17(2). 3 Complaints Act,
   d) once a year informs in writing the UCM Rector and the Rector´s Board of the UCM Rector of the reasons for complaints, presents a work plan for the year in question and a tendency to handle complaints and submissions for at least the last 5 years,
   e) ensures the methodological work of dealing with complaints to other persons authorized to deal with complaints against UCM and the follow-up of actions taken to address deficiencies identified in handling complaints and the reasons for them;
   f) draws up an annual report on the handling of complaints within a deadline and structure set by the central government authority for the control of the handling of complaints, which it shall transmit to the central government authority within a set deadline.

§ 4
Submission of complaints

1) The complaint may be submitted in writing, orally in a record, or by electronic mail.
2) The complaint must contain the complainant's name, surname, permanent address, or temporary residence. Where a legal person lodges a complaint, it shall contain the name and address of the legal person and the name and surname of the person authorized to act for it.
3) The complaint must be legible and understandable, must be unambiguous against whom it is directed, the shortcomings alleged by the complainant, and signed by the complainant.
4) An oral complaint, which cannot be dealt with immediately upon its submission, is recorded by the authorized member of staff of the UCM (example Annex 1), and is sent to the complainant for reading and signature. At the complainant's request, a copy of the le er is issued. The detailed rules for lodging an oral complaint are laid down in §5 par. 7 of the Complaints Act.
5) A complaint submitted by e-mail shall be deemed to be in writing only if the complainant confirms it by signing it in writing within 5 working days of the

submission of the complaint, otherwise, the complaint shall be adjourned. A complaint submitted by email with an advanced electronic signature shall be treated as a written complaint.

6) In case the complainant is a student or an employee of UCM and the latter has submitted a complaint by means of his e-mail from UCM (e.g., name.surname@ucm.sk), such filing is not considered authorized or authenticated.
7) If the complaint does not comply with §4 par. 2 and 3 of the Directive, or in the absence of information necessary for its investigation, the authorized member of staff shall invite the complainant in writing to supplement the complaint within 10 working days of service of the letter of formal notice to the complainant, informing him at the same time that UCM shall otherwise take no further action on the complaint. The invitation shall be sent by registered post with a form for acknowledgment of receipt. Paragraph 6 of the Complaints Act lays down the conditions for the closure of the file on a complaint.
8) An anonymous complaint received by UCM shall be deferred by the RCN of UCM according to §6 par. 1 letter a) the Complaints Act. In exceptional cases, where an anonymous complaint may raise additional facts (e.g. whistleblowing) is treated as non-anonymous. The classification of the complainant is dealt with in Article 8 of the Complaints Act.

§5
Receipt and registration of complaints, time limits for handling

1) As a public and municipal body, UCM must accept any complaint. That obligation is incumbent on the UCM's departments, which send the complaint received to the UCM Rector or to the authorized staff to deal with it. The Rector of the UCM decides which authorized employee will handle the complaint.
2) The UCM DCCA is required to keep a central register of complaints separate from the register of other documents. The authorized personnel dealing with a complaint shall also keep records in their organizational unit separately from the filing of other documents.
3) The register of complaints must contain all the information referred to in Paragraph 10 section 1 of the Directive on complaints.
4) The authorized member of staff responsible for handling a complaint shall be required to act on it within 60 working days. If the complaint is difficult to investigate, the authorized member of staff designated to deal with the complaint may, with the agreement of the Rector of UCM, extend the period before it expires by 30 working days, which he shall immediately inform the complainant in writing, stating the reason.
5) At the time of sending the invitation to provide cooperation with the complainant until it is provided according to §16 par. 4 of the Complaints Act, the time limit for dealing with a complaint is not running.

§ **6**
Complaint handling

1) If the complaint is directed against a representative of the UCM, the superior staff member concerned is responsible for investigating and processing the complaint. i.e. Rector of UCM.
2) If the complaint is directed against the UCM Rector, the competent authority for investigating and equipping it is the UCM Academic Senate.

3) A complaint or a complaint shall not be investigated and dealt with by the person against whom it is directed, nor by a member of staff under their managerial authority.
4) The authorized member of staff responsible for dealing with a complaint shall immediately inform the person against whom the complaint is directed of its contents, to the extent and at the time that his investigation cannot be frustrated. It shall also give him the opportunity to respond to the complaint, and to produce documents, documents, information, and data necessary for the handling of the complaint.
5) As soon as the complaint has been handled, the authorized member of staff of the second council shall send the UCM DCCA a completed form - notification of the complaint handling by the competent organizing authority of the university unit, a specimen of which is shown in Annex 2 of this Directive. Together with the completed form, the UCM DCCA will send UCM a copy of the notification of the outcome of the investigation of the complaint to the complainant. A notice of complaint handling by the relevant business unit becomes part of the central complaint register and is one of the background documents to the annual complaint handling report.

§ 7
Investigation of a complaint, Minutes of the investigation of a complaint

1) The complaint is examined by discussing the Minutes of the investigation of the complaint. If it cannot be dealt with, the complaint shall be investigated by the delivery of a copy of the minutes of the investigation of the complaint to the organizational unit where the complaint was investigated.
2) The complaint shall be deemed to have been dealt with by sending a written notification of the outcome of its investigation to the complainant, stating whether the complaint is justified or unfounded within the meaning of Paragraph 20 of the Complaints Act. The notification shall contain a justification of the outcome of the investigation of the complaint, based on the minutes. If the complaint is justified, the notification shall state that the organizational unit in which the complaint was investigated has been placed under the obligations of § 19 par. 1 letter () the Complaints Act. The notification shall be sent by registered post.
3) The terms of the minutes are laid down in Article 19 of the Complaints Act.
4) The minutes of the investigation of the complaint is drawn up in three copies, one copy for the Rector of the UCM, one copy for the department where the complaint was investigated, and one copy for the archives of the RCP of the UCM.
5) If the complainant is dissatisfied or feels that his complaint was not processed in accordance with the provisions of the Law on Complaints, he shall have the opportunity to a repeated complaint or a complaint against the handling of the complaint. The relevant provisions of Paragraphs 21 and 22 of the Complaints Act shall apply to such complaints.

§ 8
Special provisions for checking compliance

1) The Rector of the UCM shall be entitled to check that the measures taken to remedy the deficiencies and the causes of their occurrence are being properly implemented.
2) The authorized member of staff dealing with a complaint shall be entitled to check that the measures taken to remedy the deficiencies and the causes thereof have been properly implemented.

3) Under the authority of the Rector, this member of staff is entitled to check whether the measures taken to eliminate deficiencies and the causes of their occurrence are properly implemented.
4) The annual report on the handling of complaints and submissions also includes an analysis and evaluation of the handling of complaints and submissions, satisfaction with the process of handling complaints, and proposals for continuous improvement of the process of handling complaints and submissions.
5) This Directive on the handling of complaints against UCM, issued in accordance with the provisions of the Act on Complaints, as amended, also applies appropriately to the handling of petitions in accordance with Act no. 85/1990 Coll. on the right of petition as amended.
6) For the procedure of handling complaints and filing, Act No 71/1967 Coll. administrative procedure, as amended, is not applicable. The exception is the procedure for the imposition of a fine under Paragraph 24 of the Complaints Act.
7) All UCM employees are required to provide the investigating employee with assistance, without undue delay, in the complete establishment of all facts necessary to investigate the complaint, file, or petition.

§ 9
Final provisions

1) Relations not covered by this Directive shall be governed by the relevant provisions of the Complaints Act.
2) This Directive shall enter into force on 13 April 2021 and takes effect on 1 May 2021.
3) This Directive also repeals the Internal Rules on the handling of complaints against UCM in Trnava, which entered into force on 23 April 2010 and took effect on 10 May 2010.
4) Annexes 1 to 8 form an integral part of this Directive:
   a) Annex 1: Minutes of the investigation of the complaint, of the confirmatory complaint, of the observations of the third party,
   b) Annex 2: Paper copy of the complaint for the complainant on account of his state of health,
   c) Annex 3: Communication to the complainant of the outcome of the complaint investigation,
   d) Annex 4: A record of the closure of the complaint,
   e) Annex 5: Notification of the complainant concerning the closure of the file on the complaint;
   f) Annex 6: Transfer of the complaint to the competent public authority
   g) Annex 7: Call for cooperation,
   h) Annex 8: Submission handling scheme.

In the university town of Trnava, 13 April 2021.

Prof. Ing Roman Boča, DrSc.
Rector of UCM

Complaints Handling Directive at the University of Ss. Cyril and Methodius in Trnava, including amendments and supplements, is published in the Slovak language and in other languages in which the UCM conducts its programmes, with the Slovak language text being considered the authentic text.

Annex 1 to the UCM Complaints Handling Directive

University of Ss. Cyril and Methodius in Trnava, Jozef Herda Square No 2, 917 01 Trnava

MINUTES of investigation of complaint/repeated complaint

Number of complaint: ..... / 20.

First name, surname and address of the complainant

.....
(if his identity is not concealed)

Subject of Complaint:
.....

Name of the UCM organization unit where the complaint was investigated:
.....

Complaint investigation period:
.....

Verified findings and/or observations on the part(s) of the complaint:

.....

on part
.....

result of the investigation: justified (J) not justified (NJ)

The overall outcome of the investigation of a complaint, where the complaint has several parts, the outcome of each of them:
.....

Complaint as a whole assessed as justified (J) not justified (NJ
.....
The minutes shall include the following pronouncements:
.....

Attachments:

Date of minutes: .....

Name, surname and signature of the authorized employee of the organizational unit of UCM, authorized by processing of the complaint:

.....

Where deficiencies are found, the authorized official of the UCM organizational unit at which the complaint was investigated or his authorized representative shall, within specified time limits:

1 take action to remedy any identified deficiencies and the reasons for them within a period of:

.....

2. designate a person responsible for the deficiencies noted within a period of:

.....

3. present the adopted measures to the UCM Rector and a copy of the UCM RCP within a period of:

.....

4. submit a report on the fulfillment of the measures and the exercise of legal responsibility to the UCM Rector and a copy of the UCM DCCA within a period of

.....

5. notify the complainant of the measures taken (if the complainant's identity is confidential, this shall be communicated to the UCM DCCA within a period up to: .

.....

Borrowed originals of documents related to the subject of the investigation of the complaint were returned.

In ..... on .....

Statement of a third person, an employee of UCM

Complaint No ..... from.....

With regard to that complaint, I note that:

(On part .....of the given complaint I state:)

In Trnava, on.....

First name, surname:
.....

Office:
.....

Position:
.....

Signature**:**

Annex 2 to the UCM Complaints Handling Directive

Paper copy of the complaint for the complainant on grounds of his state of health

First name and surname of the complainant .....

Address of the complainant .....

Subject: Complaint.....

Complaint subject.....

- against whom the complaint is directed

.....

- what shortcomings the complainant alleges

.....

- what the complainant claims

.....

Place, date and time of the complaint.....

Attachments: .....

.....

signature of complainant

the UCM organizational unit and the office where the complaint was made:

.....

the name, position and signature of the member of staff of the UCM who made the complaint in paper form:

.....

Annex 3 to the UCM Complaints Handling Directive

Notification of the result of the investigation of the complaint to the complainant

The complainant's first and last name .....

Residence Address .....

Place and date .....

Subject: Notification of the result of the investigation of the complaint

The notification shall specify:

- Complaint of.....
- Findings, if the complaint has several parts, of the different parts of the complaint:
- The outcome of the investigation of the complaint and, if applicable, each part of the complaint:
  justified / not justified
- Overall assessment of the complaint as well-founded — unfounded.
- Justification of the outcome of the investigation of the complaint or, as appropriate, parts thereof (based on the minutes).
- If the complaint is justified: the head of the public administration (the relevant organizational unit of UCM) in which the complaint was investigated was placed under the obligations of Paragraph 19(1). 1 point (i) Law No 9/2010 Coll. on complaints, as amended, i.e.
- take measures to remedy the shortcomings identified and the reasons for them;
- designate a person responsible for the deficiencies identified;
- present the adopted measures to the UCM Rector and a copy of the RKSPĆ of the UCM,
- provide a report on the fulfillment of the measures and the exercise of legal responsibility by the UCM Rector and a copy of the RCP of the UCM,

- notify the complainant of the measures taken.

.....

name, surname, title and signature*

*the appropriate authorized representative to whom the UCM Rector has been assigned to deal with the complaint

Annex 4 to the UCM Complaints Handling Directive

RECORD of postponement of complaint

University of Ss. Cyril and Methodius in Trnava, UCM organizational unit ..... (indicate the service receiving the complaint for processing), authorized agent ..... (person authorized by the Rector to process complaints), in accordance with Act No. 9/2010 Coll. on complaints, as amended (hereinafter referred to as 'the Act') Complaint by the complainant ..... (give name and surname, address) delivered at UCM on....., registration number....., the object of which is ..... (give a brief description of the subject of the complaint)

postpones*

a) according to § 6 par. 1 letter a) of the Act *(if the complaint does not contain the requirements according to § 5, paragraph 2 and, in the case of an electronically filed complaint, also the requirements according to § 5, paragraph 4 or paragraph 5 of the Act);*

b) according to § 6 par. 1 letter b) of the Act *(if the UCM finds that a court, prosecutor's office, other law enforcement agency or another public administration body acted or is acting in the matter that is the subject of the complaint);*

c) according to § 6 par. 1 letter c) of the Act *(if the UCM finds that the complaint concerns a person other than the one who filed it and the power of attorney according to Section 5, Paragraph 9 of the Act is not attached – the signature on the power of attorney must be verified);*

d) according to § 6 par. 1 letter d) of the Act *(if more than five years have passed since the event to which the subject of the complaint relates on the day of its delivery);*

e) according to § 6 par. 1 letter e) of the Act *(if it is another repeated complaint according to Section 21, Paragraph 6 of the Act);*

f) according to § 6 par. 1 letter f) the Act *(if it is a complaint against the handling of a complaint pursuant to Section 22, Paragraph 3 of the Act);*

g) according to § 6 par. 1 letter g) of the Act *(if this is another complaint against the handling of a complaint according to Section 22, Paragraph 5 of the Act);*

h) according to §6(1)(h) of the Act *(if the complaint was sent for sb's information);*

i) according to § 6 par. 1 letter i) of the Act *(if the complainant did not provide cooperation according to § 16, paragraph 1 of the Act or if he did not provide cooperation within the deadline according to § 16, paragraph 2);*

j) according to § 6 par. 1 letter j) of the Act *(if the complainant has not given consent pursuant to Section 8, Paragraph 2 of the Act);*

k) according to § 6 par. 2 of the Act *(if the complainant does not complete the complaint within the time limit according to § 16, paragraph 2, with the missing information necessary for the investigation of the complaint or the requirements according to § 5, paragraph 3 of the Act);*

l) according to § 6 par. 3 of the Act *(if the complainant withdraws the complaint in writing before processing it or announces in writing that he does not insist on processing it)*

* the relevant choice is made by circling

Registered by:.....

Name, surname, position and signature of the employee authorized to process the complaint

Senior employee of the unit where the complaint was investigated:

name, surname, position and signature.....

Annex 5 to the UCM Complaints Handling Directive

Notification of the complainant about the postponement of the complaint

– Header paper–

Subject: **Notification of postponement of the complaint**

Your complaint regarding (briefly describe the subject of the complaint) was delivered to the UCM in Trnava on..... ....

During the processing of the complaint, it was found that ..... (state the reason for the postponement of the complaint).

For the stated reason, the UCM in Trnava postponed your complaint in accordance with:
- §5 paragraph 4 or paragraph 5 and paragraph 6
- § 6 paragraph 1 letter a), b), c), d), f), g), h), i) or j)* of Act no. 9/2010 Coll. on complaints as amended.

* only the relevant § and, in the case of § 6, the relevant letter is selected, the others are not specified.

Annex 6 to the UCM Complaints Handling Directive

Forwarding the complaint to the relevant public administration body

\- Header Paper -

Subject: **Forwarding the complaint to the relevant public administration body**

On…… UCM in Trnava received a complaint from ..... (*specify name, surname and residence of the complainant*).

We forward the complaint in question to the relevant authority in accordance with § 9 of Act no. 9/2010 Coll. on complaints as amended.

Attachment: Complaint original

Note: the complainant

Annex 7 to Directive No xx/2021 of the UCM Rector

Call for cooperation

- Header Paper -

Subject: **Complaint — Call for cooperation**

On....., the UCM in Trnava received your complaint regarding .....(briefly state the subject of the complaint).

Given that your complaint does not meet the requirements of § 5 par. 3 of Act No. 9/2010 Coll. on complaints as amended (hereinafter referred to as "the Act"), we invite you in accordance with § 6 par. 2 of the Act to supplement your complaint with .....

Complete the complaint within 10 working days from the delivery of this call. At the same time, we inform you that if your complaint is not completed within the stated period, the UCM in Trnava complaint in accordance with § 6 par. 1 letter i) of the Act shall be postponed.

Annex 8 to the UCM Complaints Handling Directive

Submission handling scheme

