



Holy Trinity C of E Primary Academy

Complaints Policy and Procedure v022015

Vision Statement

At Holy Trinity CE Primary Academy, inspired by and rooted in Christian values and teaching, we nurture children to become aspirational, courageous, compassionate and joyful young people.

The values of our school: Courage, Joy, Aspiration and Compassion

POLICY DOCUMENT	Complaints Policy & Procedure
Status	Statutory
Legislation	The Education Act 2002: Section 29.
Lead Member of Staff	Headteacher
Lead Governor (Monitoring)	Chair of Governors
Publication/Revision Date	02/2016
Governor Committee	Full Governors
Approval Date and by	01/2016
Review Frequency	Biannual
Date of next review	21/01/2019
Publication Date: Academy Website/ Staff information folder	Website
Chair of Governing Body/Sub-Committee signature	
Supporting documents	

1.0 Introduction

1.1 All schools are required, by Section 29 of the 2002 Education Act, to establish a complaints procedure and to publicise that procedure.

2.0 Scope of the Procedure

2.1 This procedure covers all complaints against the school by external persons/parties which do not have an alternative statutory avenue of appeal or complaint, i.e. admissions, exclusions, delivery of National Curriculum, some safeguarding children issues, provision of collective worship and religious education and SEN assessments.

2.2 Where complaints make allegations of misconduct against members of staff this procedure may be superseded by use of the staff disciplinary procedure or other appropriate staffing procedure.

2.3 Employees of the academy cannot use this procedure but, where necessary, should raise concerns via the appropriate staffing procedure.

3.0 General Principles

3.1 All complaints are dealt with in a transparent way and as quickly as is reasonably practicable. Complainants are kept informed during the investigation of their complaint and of the outcome, except where this is confidential, e.g. in the case of a staff disciplinary process. Every effort is made to resolve complaints in a non-confrontational and informal way.

3.2 Where the timescales within this procedure cannot be adhered to, the complainant will be informed in writing as to why this is the case, and given a revised timescale for dealing with the complaint. This will be done within the specified timescale.

3.3 The Governing Body monitors the nature and level of complaints, so as to best ensure the effectiveness of the procedure, and consider any underlying issues the school may need to address, including whether specific actions identified by governors' appeal panels have been addressed.

3.4 There may be rare occasions when, despite all the stages of the procedure having been followed, a complainant remains dissatisfied. If s/he subsequently seeks to re-open the same issue, the Chair of Governors has the right to inform him/her that the procedure has been exhausted and the matter is closed.

3.5 Where a complaint relates to a service provided by the Local Authority the relevant LA officers will be involved.

4.0 Resolving Complaints

4.1 At each stage in the procedure the academy will consider the ways in which a complaint can be resolved. It might be sufficient to acknowledge that the complaint is valid in whole or in part. In addition, it may be appropriate to offer one or more of the following:

- an apology;
- an explanation;
- an admission that the situation could have been handled differently or better;
- an assurance that the event complained of will not recur;
- an explanation of the steps that have been taken to ensure that it will not happen again;

- an undertaking to review school policies in light of the complaint.

4.2 The complainant is encouraged to state what actions they feel might resolve the problem at any stage. An admission that the academy could have handled the situation better is not the same as an admission of negligence.

5.0 Vexatious Complaints

5.1 On very rare occasions complaints are made that are vexatious, in that an individual persists unreasonably with his/her complaints, or makes complaints in order to make difficulties for the school rather than genuinely to resolve a concern. This may involve making serial complaints about different matters, or continuing to raise the same or similar matters repeatedly. The frequency of contact with the school in such situations may hinder the consideration of the complaint and impede the ability of the headteacher and school to meet the needs of all pupils equitably.

5.2 Where a complainant seeks to reopen a matter the same as, or similar to, a matter previously considered under the procedure the Chair of Governors has the right to inform him/her that the procedure has been exhausted and the matter is closed.

6.0 Stages of the Procedure

6.1 Many concerns and minor complaints can be resolved quickly and informally. There are many occasions where issues are resolved immediately through the class teacher or another member of staff, depending upon the nature of the complaint. Unless there are exceptional circumstances every effort will be made by the school to have a full discussion with the complainant before moving into the stages of this procedure. Staff and members of the Governing Body should be contacted using the usual communications systems.

7.0 Informal Stage

7.1 If the concern/complaint is not resolved through such discussion, the complainant should contact the Headteacher. The complaint should be made in writing by the complainant, or by another person on their behalf, with their consent (by letter or email).

7.2 The Headteacher, or other member of staff nominated by him/her, will meet with the complainant to discuss his/her concerns within ten working days of receiving the complaint. Where necessary the Headteacher, or other nominated member of staff, should carry out a full investigation into the issues raised. The Headteacher will give a written response to the complainant as soon as possible but, in any case, within ten working days of this meeting. Where the complainant is dissatisfied with this response, the complaint should move to the first formal stage of the procedure.

7.3 Where the complaint is against the Headteacher the informal stage will be conducted by the Chair of Governors. If the complaint progresses to the formal stage, this stage will be conducted by the Vice Chair or other nominated governor.

7.4 Where the complaint is against the Chair of Governors the informal stage will be conducted by the Vice Chair of Governors, or another governor nominated by him/her. If the complaint progresses to the formal stage, this stage will be conducted by another nominated governor.

8.0 Formal Stage

8.1 If the complaint cannot satisfactorily be resolved informally, the complainant should put their complaint in writing to the Chair of Governors (or Vice Chair/ nominated governor where the complaint is against the Headteacher/Chair of Governors), which may be by letter or email, via the school. The Chair/Vice

Chair/nominated governor will meet with the complainant to discuss his/her concerns within ten working days of receiving the complaint, or as soon as is reasonably practicable after this.

8.2 The Chair/Vice Chair/nominated governor will review the investigation and Headteacher's decision and may confirm this decision or reach a different decision. The Chair/Vice Chair/nominated governor may take appropriate advice.

8.3 The Chair/Vice Chair will communicate his/her response in writing to the complainant as soon as possible but, in any case, within ten working days of receiving the written complaint.

8.4 Where the complainant is dissatisfied with this response the complaint should move to the appeal stage of the procedure.

9.0 Appeal Stage

9.1 The complainant should send a written appeal to the Chair of Governors, either by letter or email, or, where the complaint is against the Chair, to the Vice-Chair or other nominated governor. This should state the original complaint and the reasons for on-going dissatisfaction. The Chair of Governors, or nominated governor, may decline to accept a complaint into the Appeal Stage where s/he, acting reasonably, believes that the complaint has been wholly upheld at the Formal Stage and in all the circumstances there is no merit in the matter proceeding further.

9.2 A panel will be convened, consisting of a minimum of three members; at least one of these will be independent of the management and running of the academy, which have had no previous involvement in consideration of the complaint. Where the complainant is a parent, governors will consider the possible advantages of this panel including a parent governor. A complaints appeal meeting will be held in accordance with the procedure attached as Appendix A.

9.3 The meeting of the governors' panel will take place as soon as possible, but in any case a date should be set and communicated to the complainant within twenty working days of receipt of the appeal. The governors' decision will be communicated in writing to the complainant as soon as possible but, in any case, within five working days of the meeting. The complainant will have no further right to appeal this decision.

10.0 Opportunities to Request a Review

10.1 Complaining to the Education Funding Agency

- If a complainant believes that the Governing Body has acted unreasonably s/he can complain in writing to the Education Funding Agency (EFA) that handles all complaints about academies. Details of how to complain can be found on <https://www.education.gov.uk/form/school-complaints-form>

10.2 Complaining to Ofsted

- Ofsted has powers to investigate certain types of complaint from parents to help them to decide whether to inspect a school.

N.B Before complaining to the Education Funding Agency or Ofsted, it would be expected that all stages of this procedure had been exhausted.

APPENDIX A

- 1) Conduct of Complaints Appeal Meetings
- 2) Although this procedure is formal, the hearing should be conducted in as informal as way as possible, and the Chair of the panel should make every effort to make all parties feel comfortable.
- 3) The date of the meeting must be agreed with all parties and witnesses and all relevant documentation must be circulated to all parties at least five working days in advance of the meeting.
- 4) The meeting should be minuted.
- 5) The meeting will comprise:
 - At least a three members, (at least one of these will be independent of the management and running of the academy), who have had no previous involvement in consideration of the complaint.

In Attendance:-

- the complainant, with a companion if desired;
 - the Headteacher and/or Chair of Governors, as appropriate;
 - a minute taker, appointed by the governors;
- 6) Members of staff, who have been involved in the issue, or other witnesses, may be called upon by either side to attend part of the meeting to provide information to the panel.
 - 7) The panel members will select a Chair from amongst their number.
 - 8) The Chair of the panel will introduce all the parties present and explain the procedure to be followed, and that every effort will be made to keep the process as informal as possible.
 - 9) The complainant (or his/her companion) will outline his/her complaint and explain why s/he is dissatisfied with the academy's response to date. The complainant may call any witnesses in support of his/her complaint who will attend the meeting only for the time that they are providing information, and may be questioned by all parties.
 - 10) The Headteacher and the panel will have the opportunity to ask questions of the complainant.
 - 11) The Headteacher and/or the Chair of Governors will explain their involvement in the complaint and the reasons for their decisions at the informal and first formal stage. The Headteacher and/or Chair of Governors may call any witnesses in support of his/her statement who will attend the meeting only for the time that they are providing information, and may be questioned by all parties
 - 12) The complainant and the governors will have the opportunity to ask questions of the Headteacher and/or Chair of Governors.
 - 13) The governors may decide to adjourn the hearing pending further investigation at any stage, if this seems necessary.
 - 14) Both parties will leave the meeting and the panel will consider the information that has been put to them.

- 15) The panel must reach a unanimous or majority decision as to whether or not to uphold the complaint wholly or in part, and what action (if any) the academy needs to take to resolve the complaint. This may include referring the matter to another formal process, whether in relation to a complaint against a governor or a member of the school staff. Normally the panel will reach a decision at this point but they may feel the need to take further advice. Where this is the case they should endeavour to reach a decision as soon as possible.
- 16) The chair of the panel will communicate their response to both parties in writing as soon as possible but, in any case, within five working days of reaching their decision. The panel's response should detail whether the complaint is upheld wholly or in part and briefly summarise the basis on which governors arrived at this conclusion. The response should also include any lessons learnt and specify any action to be taken by the academy as a result of the complaint and within what timescales.