

Uttoxeter Learning Trust

Complaints Policy



Approved by the Governing Body of:

Hutchinson Memorial CE First School on 05.12.17

Author's Name:	
Date Reviewed	
Date Ratified by Trust	
Signature of CEO	
Signature of Chair of Trust	

Contents

1.0	Definition of a 'concern' and a 'complaint'	2
2.0	Who can raise a concern or a complaint?	2
3.0	Informal Procedure	2
3.1	Stage 1.....	2
3.11	Primary Academy	3
3.12	Secondary Academy	3
3.2	Stage 2	3
3.21	Role of the Complaints Coordinator.....	Error! Bookmark not defined.
3.3	Outcome	3
4.1	Stage 1.....	4
4.2	Stage 2	4
4.3	Stage 3	5

5.1 Safeguarding Referrals	5
5.2 Admissions Appeals.....	6
5.3 Exclusions.....	6
5.4 Whistleblowing.....	6
5.5 Staff Grievances and Disciplinary Misconduct.....	Error! Bookmark not defined.
6.0 Serial and Persistent Complainants	6
7.0 Unreasonable Complainants	7
8.0 Barring from the Academy Premises	8
Appendix 1 - Complaint Form.....	10

1.0 Definition of a 'concern' and a 'complaint'

A 'concern' is defined as 'an expression of worry or doubt over an issue considered to be important for which reassurances are sought'. A 'complaint' is defined as 'dissatisfaction about any aspect of a school's work'.

2.0 Who can raise a concern or a complaint?

Any person, including members of the general public, may raise a concern or complaint about any provision of *facilities* or *services* that the Trust provides, unless separate statutory procedures apply.

Although concerns or complaints are not limited to parents of pupils at a constituent academy in the Trust, complainants must be aware that unless they have parental responsibility, other than acknowledging receipt of the information, the Trust will not be in a position to discuss the pupil(s) in question. For clarification regarding parental responsibility, complainants should consult the following DfE guidance: [Dealing with issues relating to Parental Responsibility](#). Concerns or complaints should be lodged within 3 months of the incident arising. After this cut-off point, the Trust will not consider the concern or complaint, unless in exceptional circumstances. Complainants are required to follow the procedure outlined in section 3.0.

3.0 Informal Procedure

3.1 Stage 1

If the complainant is a parent, they should address their concern or complaint by contacting the following staff at the constituent school:

3.11 Primary School

- Class Teacher or Senior Leader: Mrs Owen / Mrs Manlove

3.12 Secondary School

- Class teacher or Head of subject Department
- Form tutor/Head of House/Year or Senior Leader

3.2 Stage 2

If the complainant remains dissatisfied, or if the complainant is not a parent, they should address their concern or complaint to the Headteacher of the constituent school, who will request that complainants complete **Appendix 1** to aid them in managing and processing the concern or complaint. However, if the complainant has communication preferences due to a disability or learning difficulty, the Trust will allow alternative methods of contact to comply with its obligations under the Equality Act 2010.

Following the completion and receipt of Appendix 1, the Headteacher, Mrs Paula Snee, will:

- Establish what has happened to date and who has been involved.
- Clarify the nature of the concern or complaint and what remains unresolved.
- If required, meet with the complainant.
- Interview all parties relevant to the complaint.
- Inform the complainant of the outcome (refer to 3.3).

3.3 Outcome

The Informal Procedure should be completed within **15** school days.

If the school acknowledges that the complaint is valid, in whole or in part, it may offer one or more of the following:

- An apology.
- An admission that the situation could have been handled differently or better (this is not the same as an admission of negligence).
- A review of relevant policies and procedures.

In terms of the outcome, where complainants raise a complaint about of an employee, the data protection principles associated with the Data Protection Act, and the Trust's legal duty of confidentiality, will limit what can be discussed or disclosed.

4 Formal Procedure

If the complainant remains dissatisfied with the outcome of the Informal Procedure, they are able to invoke the Formal Procedure.

There are three stages:

- Referral to the Headteacher of the constituent school.
In the case of a complaint concerning the Headteacher, the referral should be made to the CEO. In the case of a complaint against the CEO, the referral should be made to the Chair of the Trust.
- Referral to a Complaints Appeal Panel.
- Referral to the Secretary of State.

4.1 Stage 1

- The complainant should complete Appendix 1 (refer to 3.21).
- The Headteacher/CEO/Chair of the Trust will acknowledge the letter within **5** school days and provide an opportunity to meet the complainant to discuss the complaint.
- The Headteacher/CEO/Chair of the Trust will investigate the complaint* (or have it investigated by a senior colleague) and provide a written response within **15** school days of receipt of the complaint. If this is not possible, a letter will be sent explaining the reason for the delay and providing a revised target date.
- The written response will include what action (if any) the school proposes to take to resolve the complaint or, if the complaint is dismissed, an explanation as to why. The complainant will also be advised that if he/she remains dissatisfied, the next stage is to appeal to the Board of Trustees.

*If the Chair or CEO is unable to investigate the complaint, an Investigating Officer will be appointed.

4.2 Stage 2

- The clerk to the trustees will convene a Complaints Appeal Panel to hear the complainant's case. The Complaints Appeal Panel will consist of between 3-5 people who are not directly involved in the complaint. These people will be derived from the Local Governing Body (LGB) of the consistent academy (since a LGB is committee of the Board) and/or Trustees.
One member of the Complaints Appeal Panel will be independent of the management and running of the Academy.
- A written acknowledgement of the complaint will be sent within **5** school days.
- The Complaints Appeal Panel, within **20** school days of receiving the complaint, should hear the complainant's case.

- The Chair of the Complaints Appeal Panel will invite the Headteacher, CEO or Chair of the Trust, to prepare a written report in response to the complaint.
- All relevant correspondence, including additional material from the complainant and the written report from the Principal, CEO or Chair of the Trust, should be given to each member of the Complaints Appeal Panel at least **5** school days prior to the appeal.
The Chair of the Complaints Appeal Panel will inform the complainant, Principal, CEO or Chair of the Trust and members of the Complaints Panel, at least **5** school days in advance, of the date, time and venue of the hearing.
- Either party, subject to the approval of the Chair, may call witnesses to the appeal.
- The Complaints Appeal Panel may decide to uphold the complaint in full, uphold it in part, or dismiss it. The complainant will be notified of the decision, in writing, within **10** school days, and informed of the opportunity to take the matter up with the Secretary of State.

4.3 Stage 3

If the complainant remains dissatisfied, they have the right to refer their complaint to the Secretary of State by contacting the EFA.

EFA Academies Central Unit
 Cheylesmore House
 Quinton Road
 Coventry
 CV1 2WT
 Telephone: 0845 337 2000 (ask for the EFA Academies Central Unit)
 E-mail: efa@education.gsi.gov.uk
 Web: [DfE Online Complaints Form](#)

NB: The EFA will not overturn the decision of the Trust - this is not their role. The EFA will look at whether the complaint was dealt with properly and in accordance with this policy. If this was not the case, the EFA will ask that the Trust look at the complaint again, and request that correct procedures are followed.

5.0 Exclusions to the Policy

5.1 Safeguarding Referrals

Schools have a duty to safeguard and promote the welfare of their pupils under section 175 of the Education Act 2002. This includes making referrals to the appropriate organisation, usually local authority children's social care services, if they have a concern about the welfare of a child. It is not for the school to investigate or make a judgment about possible abuse or neglect but it must refer any concerns it may have.

As such, complaints about safeguarding referrals made in accordance with a statutory duty will not be considered under this policy.

5.2 Admissions Appeals

These are not complaints as such and are dealt with under a separate policy. If you have not been successful in securing a place for your child, you will receive a letter from the Local Authority refusing you a place and offering you the right of appeal.

5.3 Exclusions

These are dealt with under a separate policy. Further information about raising concerns about exclusion can be found at:

www.gov.uk/school-discipline-exclusions/exclusions

5.4 Whistleblowing

This is dealt with by a separate policy. Other concerns can be raised direct with Ofsted:

WBHL, Ofsted
Piccadilly Gate
Store Street
Manchester
M1 2WD

Telephone 0300 123 3155

Email: whistleblowing@ofsted.gov.uk 6.0 Serial and Persistent Complainants

There will be occasions when, despite all stages of the policy having been followed, the complainant remains dissatisfied.

If a complainant tries to re-open the same issue, the Chair of the Local Governing Body or Trust will inform them that the procedure has been completed and that the matter is now closed. If the complainant contacts the Trust again on the *same* issue, then the correspondence may be viewed as 'serial' or 'persistent' and the Trust may choose not to respond. Ultimately, if a complainant persists to the point that the Trust considers it to constitute harassment, legal advice will be sought.

7.0 Unreasonable Complainants

The Trust defines 'unreasonable complainants' as 'those who, because of the frequency or nature of their contacts with the school, hinder our consideration of their or other people's complaints'.

A complaint may be regarded as unreasonable when the complainant:

- Refuses to articulate their complaint or specify the grounds of a complaint or the outcomes sought by raising the complaint, despite offers of assistance.
- Refuses to co-operate with the complaints investigation process while still wishing their complaint to be resolved.
- Refuses to accept that certain issues are not within the scope of a complaints policy.
- Insists on the complaint being dealt with in ways which are incompatible with the adopted complaints procedure or with good practice.
- Introduces trivial or irrelevant information which the complainant expects to be taken into account and commented on, or raises large numbers of detailed but unimportant questions, and insists they are fully answered, often immediately and to their own timescales.
- Makes unjustified complaints about staff who are trying to deal with the issues, and seeks to have them replaced.
- Changes the basis of the complaint as the investigation proceeds.
- Repeatedly makes the same complaint (despite previous investigations or responses concluding that the complaint is groundless or has been addressed).
- Refuses to accept the findings of the investigation into that complaint where the Trust's policy has been fully and properly implemented and completed, including referral to the Secretary of State.
- Seeks an unrealistic outcome.
- Makes excessive demands on school time by frequent, lengthy, complicated and stressful contact with staff regarding the complaint in person, in writing, by email and by telephone while the complaint is being dealt with.

A complaint may also be considered unreasonable if the person making the complaint does so either face-to-face, by telephone or in writing or electronically: maliciously or aggressively; using threats, intimidation or violence; using abusive, offensive or discriminatory language; knowing it to be false; using falsified information; publishing unacceptable information in a variety of media such as in social media websites and newspapers.

8.0 Barring from the School Premises

Although fulfilling a public function, schools are private places. The public has no automatic right of entry. The school will therefore act to ensure it remains a safe place for pupils, staff and other members of their community. If a parent's behaviour is a cause for concern, the constituent academy will ask him/her to leave the premises. In serious cases, the Principal will notify them, in writing, that their implied licence to be on the premises has been temporarily revoked. Should this be breached, the Trust may pursue the matter under section 547 of the Education Act. Unless stated, the length of the bar is usually until the end of the term in which the incident occurred. Before lifting the bar, the case will be reviewed, taking into account any representations made by the parent, and a decision will be confirmed in writing. Complaints about barring cannot be escalated to the Secretary of State. The only remaining avenue of appeal is through the courts - independent legal advice must therefore be sought.

Appendix 1 - Complaint Form

Please complete and return to the Complaints Co-ordinator or Principal who will acknowledge receipt and explain what action will be taken.

Complaint Form	
Pupil's name	
Complainant's name	
Your relationship to the pupil	
Address	
Telephone number	
E-mail address	
Nature of your complaint, including any actions you have taken to date	
Actions you feel may resolve the complaint	
Signature	
Date	

