



# ST PHILIP'S CE PRIMARY SCHOOL

Reviewed: September 2017  
Next review: September 2018

Complaints  
procedure



## Introduction

This policy is not intended to cover those aspects of school life for which there are specific statutory requirements: in particular, arrangements under s409 of the Education Act 1996 for complaints about the delivery of the National Curriculum and the provision of collective worship and religious education. Parents who are not satisfied with an LA's decision about special needs assessments may appeal to the SEN Tribunal. Those with concerns about schools' admissions and exclusions also have specific appeal rights.

In addition allegations of child abuse, financial improprieties or other criminal activities will need to be dealt with through different procedures, as will complaints about contracted staff.

Some complaints about general matters of policy, such as the overall resourcing of a school, would also need to be dealt with differently.

## General Principles: The Right Approach

Parents and pupils should be encouraged to express their views on what goes on within school, so that staff receive an early warning of potential difficulties, and many problems can be prevented from arising.

### Stage 1: The First Contact: Guidelines for Dealing with Concerns and Complaints Informally

- 1.1 The vast majority of concerns and complaints can be resolved informally. There are many occasions where concerns are resolved straight away through the class teacher, school business manager or Headteacher, depending on whom the parent first approached.
- 1.2 Parents must feel able to raise concerns with members of staff without any formality, either in person, by telephone or in writing. On occasion it may be appropriate for someone to act on behalf of a parent.
- 1.3 At first it may be unclear whether a parent is asking a question or expressing an opinion rather than making a complaint. A parent may want a preliminary discussion about an issue to help decide whether he or she wishes to take it further.
- 1.4 **Special Educational Needs**
  - If the complaint relates to an issue regarding the school's SEN support for a child, please initially talk to the school's SENCO and then please follow this complaints procedure. If you feel then that an unsatisfactory outcome is reached please then contact the Local Authority SEN department.

### Stage 1

- 1.5 Parents have an opportunity for discussion of their concern with the appropriate member of staff who clarifies with the parent the nature of the concern, and reassures them that the school wants to hear about it. The member of staff may

explain to the parent how the situation happened. It can be helpful to identify at this point what sort of outcome the parent is looking for.

- 1.6 If the member of staff first contacted cannot immediately deal with the matter, s/he makes a clear note of the date, name, and contact address or phone number.
- 1.7 Any member of staff will know how to refer, if necessary, to the person with responsibility for the particular issue raised by the parent. S/he will check later to make sure the referral has been successful.
- 1.8 In smaller schools or on certain major issues, the Headteacher may decide to deal with concerns directly at this stage.
- 1.9 If the concern relates to the Headteacher, the parent is advised to contact the Chair of the Governing Body.
- 1.10 The staff member dealing with the concern makes sure that the parent is clear what action (if any) or monitoring of the situation has been agreed, putting this in writing only if this seems the best way of making things clear.
- 1.11 Where no satisfactory solution has been found within 10 school days, parents are asked if they wish their concern to be considered further. If so they are given clear information, both orally and in writing, about how to proceed and about any independent advice available to them. (See Annex A).

## **Stage 2: Referral to the Headteacher for Investigation**

- 2.1 At this stage it has become clear that the concern is a definite complaint. In some cases the Headteacher has already been involved in looking at the matter, in others it is his/her first involvement. In either case, it is helpful for the Headteacher (or the person delegated to investigate) to use guidelines to ensure consistency among cases, and to make sure that nothing happens at this stage, which could make it difficult for later stages to proceed smoothly.
- 2.2 As Headteachers have responsibility for the day-to-day running of their schools, they have responsibility for the implementation of a complaints system, including the decisions about their own involvement at various stages. One of the reasons for having various "stages" in a complaints procedure is to reassure complainants that more than one person is hearing their grievance. Headteachers should make arrangements to ensure that their involvement will not predominate at every stage of a particular complaint. For example arrangements may be made for other staff to deal with parents' concerns at Stage 1, while the Headteacher deals with contacts with parents at Stage 2. Even at that stage the Headteacher may designate another member of staff to collect some of the information from the various parties involved. In some cases, Headteachers may be so involved at Stage 1 that Stage 2 has to be carried out by the Chair of the Governing body.
- 2.3 The Headteacher (or designate) acknowledges the complaint orally or in writing within 3 working days of receiving the written complaint. The acknowledgement gives a brief explanation of the school's complaint procedure and a target date for providing a response to the complaint. This should normally be within 10 school days; if this proves impossible, a letter is sent explaining the reason for the delay and giving a revised target date.

- 2.4 The Headteacher (or designate) provides an opportunity for the complainant to meet him/her to supplement any information provided previously. It is made clear to the complainant that if s/he wishes. S/he may be accompanied to any meeting by a friend, relative, representative, or advocate who can speak on his or her behalf; and that interpreting facilities are available if needed.
- 2.5 If necessary, the Headteacher (or designate) should interview witnesses and take statements from those involved. If the complaint centres around a pupil, the pupil should also be interviewed. Pupils would normally be interviewed with parents/guardians present. In some situations, circumstances may prevent this e.g. where this would seriously delay the investigation of a serious/urgent complaint or where particular circumstances mean that a pupil has specifically said s/he would prefer that parents or guardians were not involved. In such circumstances another member of staff with whom the pupil feels comfortable should be asked to attend. If a member of staff is complained against, the needs of that person should be borne in mind. (See Para 14 under General Principles).
- 2.6 The Headteacher (or designate) keeps written records of meetings, telephone conversations, and other documentation.
- 2.7 Once all the relevant facts have been established, the Headteacher (or designate) should then produce a written response to the complaint, or may wish to meet the complainant to discuss/resolve the matter directly.
- 2.8 A written response includes a full explanation of the decision and the reasons for it. Where appropriate, this includes what action the school will take to resolve the complaint. The complainant is advised that should s/he wish to take the complaint further he/she should notify the Chair of the Governing Body within five weeks of receiving the outcome letter.
- 2.9 If a complaint is against the action of a Headteacher, or if the Headteacher has been very closely involved at Stage 1, the Chair of the Governing Body should carry out all the Stage 2 procedures.
- 2.10 If the complainant is for any reason unhappy with the Chair's finding and response, the complainant must write to the clerk to the governing body, within the 20 day period, setting out the complaint(s) they still wish to pursue. They should also clearly say whether they wish to proceed to Stage 3 of the complaints procedure. A pro forma for this purpose should be supplied with the Chair's response. Unless there are exceptional circumstances, if after 25 days from the date of the Chair's response no indication has been received that the complainant wishes to proceed to Stage 3, the complaint will be seen as resolved and closed, and no further action will be taken by the school.

### **Stage 3: Review by the Governing Body**

- 3.1 **Complaints only rarely reach this formal level, but it is important that governing bodies are prepared to deal with them when necessary.** At this stage, schools should seek advice from any relevant authority e.g. LEA, Board of Education (C of E) or Diocesan Schools' Commission (RC). This can provide a useful "outside view" on these issues.
- 3.2 **It is important that this review not only be independent and impartial but that it be seen as so.** Therefore, individual complaints should not be considered by the full

governing body as serious conflicts of interest can arise; for example, in exceptional circumstances a complaint may result in disciplinary action against a member of staff, and governors might be required to give an unprejudiced hearing to an appeal by the member of staff concerned. Similarly some governors might have previous knowledge of the problem, which led to the complaint and would be unable to give fair unbiased consideration to the issue.

- 3.3** Many complaints are inevitably seen by parents as being “against” a particular member of staff and their actions. However, all complaints which reach this stage will have done so because the complainant has not been satisfied by the Headteacher’s response at the earlier stage of the procedure, and it may be appropriate for the Governing Body to consider that the complaint is against the school rather than against the member of staff whose actions led to the original complaint.

### **Procedure for review by the Governing Body**

- 3.4 Upon receipt of a written request by the complainant for the complaint to proceed to Stage 3, the procedures outlined below should be followed.
- 3.5 The Clerk to the Governing Body should write to the complainant to acknowledge receipt of the written request. The acknowledgement should inform the complainant that the complaint is to be heard by three members of the school's Governing Body within 20 school days of receiving the complaint. The letter should also explain that the complainant has the right to submit any further documents relevant to the complaint. These must be received in time for the documents to be sent to the three members.
- 3.6 The Clerk to the Governors should arrange to convene a Governors' Complaints Panel elected from members of the Governing Body. It may be necessary for the Governing Body to appoint reserves to this Panel to ensure that three governors are available to carry out their task within the set time.
- 3.7 The Panel members should be governors who have had no prior involvement with the complaint. If s/he has not previously been involved, the Chair of the Governing Body should chair the Panel; otherwise the Vice Chair should do it. Generally it is not appropriate for the Headteacher to have a place on the Panel. Governors will want to bear in mind the advantages of having a parent (who is also a governor) on the Panel. Governors will also want to be sensitive to issues of race, gender and religious affiliation.
- 3.8 The Chair/Vice Chair will ensure that the Panel hears the complaint within 20 school days of receiving the letter in 3.5. All relevant correspondence regarding the complaints should be given to each Panel member as soon as the composition of the Panel is confirmed. If the correspondence is extensive, the Chair of the Panel should prepare a thorough summary for sending to Panel members.
- 3.9 The Chair/Vice Chair will write and inform the complainant, Headteacher, any relevant witnesses, and members of the Panel at least 5 school days in advance, of the date, time and place of the meeting. The notification to the complainant should also inform him/her of the right to be accompanied to the meeting by a friend/advocate/interpreter. The letter will also explain how the meeting will be conducted and the complainant's right to submit further written evidence to the Panel.
- 3.10 The Chair/Vice Chair of the Governing Body should invite the Headteacher to attend the Panel meeting and prepare a written report for the Panel in response to

the complaint. The Headteacher may also invite members of staff directly involved in matters raised by the complainant to respond in writing or in person to the complaint. Any relevant documents including the Headteacher's report should be received by all concerned - including the complainant - at least 5 working days prior to the meeting.

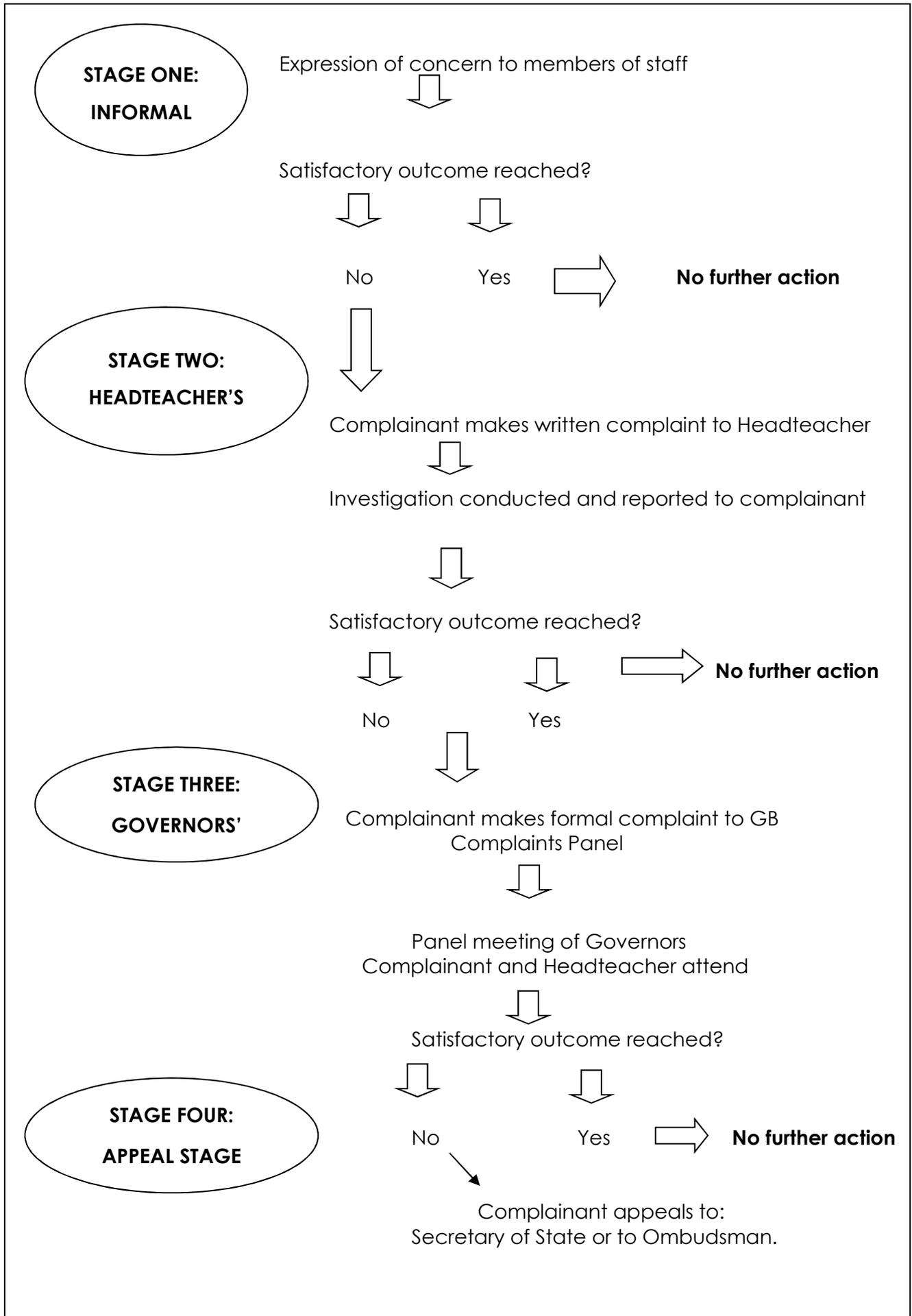
- 3.11 The involvement of staff other than the Headteacher is subject to the discretion of the Chair of the Panel.
- 3.12 It is the responsibility of the Chair of the Panel to ensure that the meeting is properly minuted.
- 3.13 The aim of the meeting should be to resolve the complaint and achieve reconciliation between the school and the complainant. However, it has to be recognised that sometimes it may only be possible to establish facts and make recommendations, which will satisfy the complainant that his or her complaint has at least been taken seriously.
- 3.14 The Panel should remember that many parents are unused to dealing with groups of people in formal situations and may feel inhibited when speaking to the Panel. It is therefore recommended that the Chair of the Panel ensures that the proceedings are as informal as possible.
- 3.15 If either party wishes to introduce previously undisclosed evidence or witnesses, it is in the interests or natural justice to adjourn the meeting so that the other side has time to consider and respond to the new evidence.
- 3.16 The meeting should allow for:
  - The complainant to explain their complaint and the Headteacher to explain the school's response.
  - The Headteacher to question the complainant about the complaint and the complainant to question the Headteacher and/or other members of staff about the school's response.
  - Panel members to have an opportunity to question both the complainant and the Headteacher.
  - Any party to have the right to call witnesses (subject to the approval of the Chair) and all parties having the right to question all the witnesses.
  - Final statements by both the complainant and the Headteacher.
- 3.17 The Chair of the Panel will explain to the complainant and the Headteacher that the Panel will now consider its decision, and a written decision will be sent to both parties within 15 school days. The complainant, Headteacher, other members of staff and witnesses will then leave.
- 3.18 The Panel will then consider the complaint and all the evidence presented and (a) reach a unanimous, or at least a majority, decision on the complaint and (b) decide upon the appropriate action to be taken to resolve the complaint and (c) where appropriate, suggest recommended changes to the school's systems or procedures to ensure that problems of a similar nature do not happen again.
- 3.19 A written statement outlining the decision of the Panel must be sent to the complainant and Headteacher. The letter to the complainant should explain whether a further appeal can be made, and if so, to whom.
- 3.20 The school should ensure that a copy of all correspondence and notes are kept on file in the school's records. These records should be kept separately from the pupil's personal records.

- 3.21 For most complaints, parents cannot take their appeal further than the governing body. The LEA does provide a consultancy/mediation service to help schools and the complainant to resolve complaints. Schools are encouraged to use this service if they are unable to satisfy complainants internally.
- 3.22 If the complainant feels that the school has acted unreasonably or not followed the correct procedure, they can move to stage 4 of the procedures and contact the Secretary of State or the Local Ombudsman.

#### **Stage 4: Appeal Stage**

- 4.1 **The Secretary of State:** Complaints can be taken to the Secretary of State for Education and Employment under Section 496 of the Education Act 1996, on the grounds that a Governing Body or LEA is acting or proposing to act unreasonably, or under Section 497 of the same Act, on the grounds that either the Governing Body or the LEA has failed to discharge its duties under the Act. The Secretary of State may contact the Governing Body or the LEA for more information in order to consider the complaint. These powers relate to County Schools and Voluntary Schools and Grant-Maintained Schools and City Technology Colleges.
- 4.2 **The Local Government Ombudsman:** Complaints about the maladministration of Local Authority Services including the way it operates any general school complaints procedure could be made to the Ombudsman. However the Ombudsman does not look at internal school management matters and usually expects that thorough attention has been given to a complaint locally before investigation by the Ombudsman.

# Chart: Stages for Handling Complaints



**Concerns and Complaints about Schools Guidance Notes for Parents****If you have a concern or complaint**

We would like you to tell us about it. We welcome suggestions for improving our work in the school. Be assured that no matter what you want to tell us, our support and respect for you and your child in the school will not be affected in any way. Please tell us of your concern as soon as possible. It is difficult for us to investigate properly an incident or problem, which has happened some time ago.

**What to do first**

Most concerns and complaints can be sorted out quickly by speaking with your child's class teacher. Any teacher or the school secretary can help you find the right member of staff. If you have a complaint, which you feel should be, looked at by the Headteacher in the first instance you can contact her straightaway if you prefer. It is usually best to discuss the problem face to face. You may need an appointment to do this, and can make one by ringing or calling in to the school office. You can take a friend or relation to the appointment with you if you would like to.

All staff will make every effort to resolve your problem informally. They will make sure that they understand what you feel went wrong, and they will explain their own actions to you. They will ask what you would like the school to do to put things right. Of course, this does not mean that in every case they will come round to your point of view but it will help both you and the school to understand both sides of the question. It may also help to prevent a similar problem arising again.

**What to do next**

If you are dissatisfied with the teacher's response (or with the Headteacher's initial reaction if he/she has already been involved) you can make a complaint to the Headteacher. This should be made in writing. Help with this is available from the school office.

If your complaint is about an action of the Headteacher personally, then you should refer it to the Chair of Governors now. You can contact him/her by e-mail. Please ask at the office for details.

You may also find it helpful at this stage to have a copy of the full statement of the General Complaints Procedure as this explains in detail what procedures are followed. This is available from the school office.

The Headteacher will ask to meet you for a discussion of the problem. Again you may take a friend or someone else with you if you wish. The Headteacher will conduct a full investigation of the complaint and may interview any members of staff or pupils involved. You will receive a written response to your complaint.

**If you are still unhappy**

The problem will normally be solved by this stage. However, if you are still not satisfied you may wish to contact the Chair of the governing body to ask for referral or your complaint to a Governors' Complaints Panel. It will then be heard by a group of three governors who have no previous knowledge of the problem and so will be able to give it a fresh assessment. You will be invited to attend and speak to the panel at a meeting, which the Headteacher will also attend. The General Complaints Procedure statement explains how these meetings operate.

**Further action**

Complaints about school problems are almost always settled within schools but in exceptional cases it may be possible to refer the problem to an outside body such as the Local Education Authority or the Secretary of State for Education and Employment. Again there is more information on this in the General Complaints Procedure.

**To be reviewed Spring Term 2018**

## How to Listen to Complaints

As soon as you realise that you are listening to a complaint, remember these points:

<b>Don't pass the buck</b>	Try not to keep transferring an angry person from one place to another. Make sure you know the contact person for anything you cannot deal with yourself.
<b>Don't be flippant</b>	First impressions count. You and the school may be judged on your immediate reaction.
<b>Treat all complaints seriously</b>	However small or trivial it may seem to you, the complaint will be an important problem for anyone who takes the trouble to complain.
<b>Treat every complaint individually</b>	Even if you have already received several similar complaints the same day, it is probably the person's first chance to have their say.
<b>Be courteous and patient</b>	Be sympathetic and helpful, but do not blame other colleagues.
<b>Say who you are</b>	If you are unknown to the person, introduce yourself.
<b>Ask for their name and use it</b>	Anonymous complaints are acceptable only where there are special circumstances.
<b>Take time to find out exactly what the problem is</b>	It is easy for someone to forget to tell you an important detail, particularly if they are upset or annoyed.
<b>Don't take the complaint personally</b>	To an angry or upset person, YOU are the school, and the only one they can put their feelings to right now.
<b>Stay cool and calm</b>	Do not argue with the person - be polite and try to find out exactly what the person thinks is going wrong, or has gone wrong.
<b>Check you are being understood</b>	Make sure that the person understands what you are saying. Don't use jargon - it can cause confusion and annoyance to someone "not in the know".
<b>Don't rush</b>	Take your time. Let people have their say, and let off steam if they need to. Listen carefully and sympathetically to their problems before replying and attempting to find a solution or offer a next step.