



L.E.A.D. Academy Trust

Lead • Empower • Achieve • Drive

# Complaints Policy and Procedure

**Review frequency: Annual**

September 2018

## **Policy Statement**

### **Introduction**

This statement sets out the legal framework, the definitions and our policy expectations.

The L.E.A.D. Academy Trust requires this policy to be implemented by all its member academies.

As a Trust we are committed to working in partnership with all members of the academy community. We place great value on the role that parents and carers can play in supporting their child's learning. All our staff and governors actively encourage a positive relationship between the academy and the families of children and young people who attend the academy.

We recognise however that, on occasion, things can go wrong. We also accept that there may be times when parents or carers (or others involved in the life of our academies) have concerns about aspects of academy life. When this happens, it is important that these concerns (and, if appropriate, complaints) are raised with the academy as quickly as possible. It is for this reason that we have developed this policy and procedure.

Our Policy requires all L.E.A.D. academies to make every effort to resolve a concern/complaint at local (academy) level. For this reason, we have a Five-Stage Procedure which all our academies are required to follow.

All L.E.A.D. academies will deal with a concern/ complaint raised by a parent or carer, (or any other member of the academy community), objectively and as quickly, sympathetically and effectively as possible. Our aim is to address all concerns/complaints as soon as possible after they arise and to resolve matters amicably at an early stage. With that in mind, complainants will be asked at the outset what they think might resolve the issue.

The L.E.A.D. Academy Trust defines the policy expectation, but the responsibility for implementation of the policy rests with the Headteacher of each academy.

### **Legal Framework**

The Policy and Procedure is compliant with the requirements of [The Equality Act 2010](#)

The procedure follows the Department for Education's guidance:

<https://www.gov.uk/government/publications/setting-up-an-academies-complaints-procedure/putting-in-place-a-complaints-procedure>

## Complaints Procedure

### Concern or Complaint?

The Department of Education best practice guidance (January 2016) distinguishes between a **concern**:

*“an expression of worry or doubt over an issue considered to be important and for which reassurances are sought”*

and a **complaint**

*“an expression of dissatisfaction however made, about actions taken or a lack of action”.*

This procedure is designed having regard to this guidance.

### **Scope of this procedure**

This procedure covers all concerns and/or complaints about any provision or facilities provided by the academy but **DOES NOT** include those issues listed at Appendix 1. (These are covered by separate procedures).

### **What to do if you have a concern or a complaint**

The Academy Complaints procedure is a Five-Stage Process:

Stage 1: Concern/complaint heard by staff member

Stage 2: Concern/complaint heard by the Headteacher

Stage 3: Complaint heard by the Chair of the Academy Advisory Body

Stage 4: Complaint heard by Panel of Governors\*

Stage 5: Complaint referred to the Education Funding Agency (EFA)

*\*If a complainant is not satisfied at the completion of this Complaints Procedure (including on occasion when the Academy issues a Notice of closure of procedure letter OR at completion of Stage 4), the complainant may refer their complaint to the Education Funding Council (EFA) (Stage 5 - See p. 7).*

In line with the policy of the L.E.A.D. Academy Trust this academy endeavours to ensure that any concern or complaint is dealt with promptly and fairly. All our staff and our governors are aware of the importance of dealing with concerns/complaints immediately they are raised. It is therefore important that, if you wish to raise a concern/complaint, you should do so as soon as practicable. This should be in writing (by letter or e-mail), or in person if written notes are taken during any meeting relating to the complaint and which can be countersigned by the complainant. This will enable the issue to be investigated effectively and whilst information is fresh in the minds of all parties.

## Note

### 1. Complainants are asked to note that:

- *the academy will keep a record of all concerns and complaints;*
- *all complaints raised will be dealt with in confidence. Every effort will be made to ensure that confidentiality is maintained for all concerned. See “Confidentiality” p.10);*
- *anonymous complaints will not usually be investigated except in exceptional circumstances. This is due to the absence of a complainant to respond to;*
- *if the complaint concerns the conduct of the Headteacher, it will be dealt with initially in accordance with Stage 3 of this procedure;*
- *if the complaint concerns the Chair of the Academy Advisory Body or any individual Governor it must be made in writing to the Clerk to the Governors c/o of the academy;*
- *a concern/complaint will not be referred to the next stage unless and until the previous stage of this procedure has been completed;*
- *the Chair and/or the Complaints Panel may take the view that, after careful consideration of the issues raised by the complainant and the response of the academy thereto, the procedure should be brought to a close having regard to the criteria at Appendix 2. Where this is the case the Trust Complaints Officer will issue a “Notice of closure of procedure letter”. This letter will advise the complainant that the complaint will not be considered further and the reasons for this. Complainants who are not satisfied with this response may proceed to Stage 5 (see below).*
- *the local authority has no role in consideration of complaints relating to the academy – but see Appendix 1.*
- *if a complaint relates to a member of staff and includes any of the following it will (and must) be considered in accordance with the academy’s safeguarding procedures:*
  - *behaviour in a way that has harmed a child, or may have harmed a child;*
  - *possible commission of a criminal offence against or related to a child; or*
  - *behaviour towards a child or children in a way that indicates that he or she may pose a risk of harm if they work regularly or closely with children.*

### 2. There are some issues which fall outside the scope of this procedure . These are listed at Appendix 1.

3. *Complainants will be advised of the outcome of their complaints. However, complainants **will not** be advised of any disciplinary action that may be taken against staff.*

### **Stage 1: Concern/complaint heard by staff member**

The purpose of this stage is to seek to resolve any issue as quickly as possible. In the first instance, a complainant must discuss the issue with the member of staff concerned. The aim will be to resolve any issue at this stage. However, if a complainant feels unable to approach the member of staff involved, the concern/complaint must be made direct to the Headteacher, who will arrange for another member of staff to investigate the matter. Similarly, if the member of staff directly involved feels too compromised to deal with the complaint, the complaint will be referred to the Headteacher who will arrange for another member of staff to investigate the matter.

The member of staff who investigates the matter will:

- invite the complainant(s) to suggest what they think might resolve the issue;
- subject to discussion of any suggestions made, investigate the matter; and
- where the matter is investigated advise the complainant (orally) of their findings and conclusions.

The investigation will be objective, impartial and fair.

Timescale : Normally, we would expect this stage to be resolved within a maximum of five school days.

**Governors** - complainants must not make an initial complaint or raise a concern with a Governor. (If they do the Governor will refer the issue and the complainant to an appropriate member of staff). This is because governors are required to comply with this procedure : they cannot become involved at this early stage because they may be asked to take part in a Panel to consider the matter should it proceed to Stage 4.

### **Stage 2: Concern/complaint heard by the Headteacher**

This Stage applies when a complainant is not satisfied with the way the concern/complaint was dealt with at Stage 1. The purpose of this stage is to provide reassurance that concern/complaints will where necessary be dealt with by the Headteacher. The aim of the Headteacher will be to resolve Stage 2 matters as quickly as and as amicably as possible.

If the complainant wishes to pursue a formal complaint to Stage 2, they must make the complaint in writing, to the Headteacher. Ideally this should be within ten school days of Stage 1 being concluded.

Whilst the Headteacher may ask another member of staff to collate and/or verify information concerning the complaint, it is the Headteacher that will determine the complaint at this Stage.

The Headteacher will:

- meet the complainant, hear the complaint, investigate and make every effort to resolve the issue;
- write to the complainant summarising the findings and outcome from the investigation. This letter will advise the complainant(s) of the next steps should they wish to proceed to Stage 3.

Timescale: Normally we would expect this stage to be completed within ten school days of receipt of the letter from the complainant.

### **Stage 3: Complaint heard by the Chair of Governors**

The purpose of this Stage is to provide a further opportunity to seek to resolve the complaint including potentially through mediation. (This stage will also be used to deal with complaints relating to the Headteacher).

If the complainant is not satisfied by the outcome from Stage 2, they must write to the Chair of the Academy Advisory Body, (care of the academy), ideally within ten school days of the date of the letter notifying them of the outcome of Stage 2.

The letter must explain why the complainant is not satisfied with the outcome of Stages 1 and 2 and must provide the Chair with:

- a copy of the written complaint; and
- a copy of the Headteacher's letter concluding Stage 2.

If the complaint relates to the Headteacher, the complainant must write to the Chair of the Academy Advisory Body, setting out the issue in detail.

The Chair will:

- notify the Trust Complaints Officer (usually the Clerk to the Board who is independent of the process) of the complaint;
- meet the complainant and discuss the complaint with them. This will usually be with the Trust Complaints Officer present who will make summary notes of the meeting. The summary notes will be provided to the complainant;

- invite the complainant(s) to suggest what they think might resolve the issue;
- review the matter and make every effort to resolve the issue. Where appropriate the Chair will endeavour to mediate and/or explore a potential resolution to the issue.

### **Mediation Meeting**

If the Chair considers that a mediation meeting would be helpful in resolving the issue, he may convene a meeting between the complainant and appropriate staff of the academy.

The Chair will preside at the meeting, the aim of which will be to identify an agreed solution to the issues raised by the complainant.

The Trust Complaints Officer will normally attend the meeting and make a summary note of proceedings. (A copy of the note will be provided to the complainant).

The Chair will consider the outcome from the mediation meeting and will write to the complainant confirming the actions agreed at (or the outcome from) the meeting. At this stage the Chair may decide on one of the following options:

#### **Option 1 : Complaint upheld**

Where this is the case a solution will be agreed with and notified to the complainant in writing, by the Chair.\*

#### **Option 2 : Complaint Not Upheld**

Where this is the case the complainant will be notified of the reasons for this in writing, by the Chair\*

*\*Where the Chair elects for Option 1 or Option 2, and where the complainant is not satisfied with the decision or the solution proposed, the Complainant may proceed to Stage 4 of this Procedure.*

#### **Option 3: Complaint Not Reasonable OR continuation with the complaint would not be reasonable**

This may be the case where the Chair considers that, after careful consideration of:

- the outcome of the review of the complaint;
- the nature of the complaint;
- the actions taken by the school to resolve the matter; and
- the outcome from the mediation meeting and,

having regard to the criteria at Appendix 2, the complaint (or continuation of it) is not reasonable.

- *Where the Chair elects for Option 3 s/he will:*
  - a) *specify the reasons for this by reference to the criteria listed at Appendix 2;*
  - b) *make a recommendation to the Trust Complaints Officer who will advise the Director of the MAT;*
  - c) *If the recommendation is accepted a “Notice of closure of procedure letter” will be issued to the complainant. This letter will advise the complainant that the complaint will not be considered further and the reasons for this. Complainants who are not satisfied with this response may proceed to Stage 5 (see below);*
  - d) *The Director of the MAT may require the Chair and the Headteacher to consider the complaint further;*
  - e) *The Complaints Officer will notify the complainant of the decision, and the next steps in relation thereto, in writing.*

#### **Option 4 : Referral to a Complaints Panel**

- *Where the Chair elects for Option 4 s/he will:*
  - a) *specify the reasons for this;*
  - b) *make a recommendation to the Trust Complaints Officer who will advise the Director of the MAT.*
  - c) *The Director of the MAT may **either** require the Chair and the Headteacher to consider the complaint further **or** accept the recommendation.*
  - d) *If the Director of the MAT accepts the recommendation s/he will ask the Complaints Officer to proceed to Stage 4.*
  - e) *the Complaints Office will notify the complainant of the decision, and the next steps in relation thereto, in writing.*
- the matter cannot proceed to either Stage 4 or to Stage 5 unless and until Stage 3 (including the mediation meeting where this is arranged) has taken place.



Timescale: Normally we would expect this stage to be completed within fifteen school days of receipt of the letter from the complainant.

#### **Stage 4: Complaint heard by Panel of Governors**

Where a complainant proceeds to Stage 4, the Trust Complaints Officer will consult the Director of the MAT and the Chair on the reasons stated by the complainant in requesting a Panel meeting. The Trust reserves the right to issue a Notice of Closure of Procedure letter where it is considered by reference to the actions taken by the Headteacher and the Chair (including the outcome from the mediation meeting), that this is warranted having regard to the criteria set out in Appendix 2.

Subject to this, the Trust Complaints Officer, in consultation with the Chair and legal services, will convene a meeting of the Panel.

The Panel has delegated authority to determine the complaint. The Panel will comprise:

- a person independent of the school : this person will be selected by the Trust Complaints Officer and will normally (but not exclusively) be a Governor from another L.E.A.D. Academy\*
- two Governors from the Academy Advisory Body\*

*\*excluding any governor (including the Chair) who has any knowledge of the complaint or who may be acquainted with the complainant. Staff Governors will not normally be appointed to a Panel. If the complaint refers to a member of staff no Staff Governors will be appointed to the Panel.*

The Complaints Panel meeting is the final academy-based stage of the complaints process. The role of the Panel is to:

- consider and determine the complaint. The complaint may be upheld, in whole or in part OR it may be dismissed;
- decide on the appropriate action (if any) to be taken to resolve the complaint. This may include, for example, making recommendations to Governors regarding the need to review practice and procedures to ensure that problems of a similar nature do not recur.

#### **Procedure at a Complaints Panel Meeting**

The arrangements for the Panel meeting will be made by the Trust Complaints Officer who will also be present throughout the meeting and who will:

- agree the arrangements for the meeting with the complainant and the Panel members;

- invite the complainant to the meeting;
- provide the complainant and all members of the Panel with an agenda setting out the procedure for the meeting together with relevant documentation relating to the complaint. This will include a report from the Headteacher and, where produced, from the complainant. Papers relating to the meeting will be provided to the complainant(s) and to Panel members at least seven working days before the meeting;
- produce a summary record of proceedings at the meeting.

The Panel will

- consider all documentation relating to the complaint;
- invite the complainant to explain to the Panel why they remain dissatisfied;
- invite the complainant(s) to suggest what they think might resolve the issue;
- invite the Headteacher to attend the Panel Hearing and to respond on behalf of the academy.

Timescales for Stage 4

Every effort will be made to deal with complaints at every stage as expeditiously as possible. The arrangements for a Panel meeting (Stage 4) will necessarily require a reasonable period to identify Panel members, agree the arrangements for the meeting and to prepare papers for the meeting. The aim will be to hold the Panel Meeting within six school weeks or sooner if practically possible of the date of receipt of the letter from the complainant notifying the Trust Complaints Officer that they wish to proceed to Stage 4.

The complainant will be notified by the Trust Complaints Officer, in writing, of the decision of the Panel, usually within five school days of the date of the Panel meeting. The letter will confirm that the findings and conclusion of the Panel brings to an end the involvement of the academy with the complaint and confirm the right of the complainant to proceed to Stage 5 of the process. A copy of the summary notes from the Panel meeting will be provided to the complainant.

### **The Education Funding Agency (EFA)**

A complaint that has been through the full Academy Complaints Procedure (Stages 1 – 4 above) (or which has been the subject of a Notice of closure letter at an earlier stage) may be referred by the complainant to the EFA.

## Unreasonable Complaints

Whilst the academy will always respond positively to concerns and/or complaints, there may be occasions when it would not be appropriate for the academy to follow this procedure or when the Academy takes the view that the procedure should be brought to a close. For example:

- where the complainant is considered unreasonable : this Academy Trust defines an unreasonable complainant as *“a complainant who, because of the frequency or the nature of their contact with the academy, hinders our consideration of their or other people’s complaints”*; (see Appendix 2)
- where this complaints procedure (including referral to the EFA) has been exhausted, the issue closed and the complainant seeks to raise the same or similar issues again;
- where the academy believes it has made every reasonable step to address the reasonable concerns of the complainant. In this regard, the ability of the academy to respond positively may be limited by the resources available (including staff time);
- where the academy is satisfied that the complainant is intent on causing disruption or inconvenience; or
- where the complainant demonstrates abusive or aggressive behaviour towards the academy or any member of staff at the academy.

Ultimately, if a complainant persists in pursuing a complaint to the point where the academy considers that the behaviour of the complainant constitutes harassment, discrimination and/or is threatening or intimidating to the staff of the academy, and/or a threat to the welfare or well-being of any child at the academy, it may be necessary for the academy to take further and proportionate action, including (by way of example) the imposition of a ban on the complainant from contacting the academy and/or attending academy premises and/or taking legal action (which may include seeking an injunction or court order).

Individuals will have the right to make representations to the Headteacher in circumstances where a decision to ban them has been made (and, in certain circumstances and where considered appropriate by the Academy, where a decision to ban is being considered).

## Confidentiality

Every effort will be made to ensure that confidentiality is maintained for all concerned. Information should be handled and disseminated on a “need to know” basis only

The academy/Trust is committed to data protection at all times for all parties. All confidential information will be stored securely on academy/Trust premises.



## APPENDIX 1: Complaints Not Covered by the Procedure

Issues not covered by this Procedure	Whom to Contact
<p>School Admissions</p> <p>SEN – statutory assessment of need</p> <p>School re-organisation proposals</p> <p>Matters likely to require a Child Protection Investigation</p>	<p>Local Authority</p>
<p>Exclusions</p>	<p>See <a href="http://www.gov.uk/school-discipline-exclusions/exclusions">www.gov.uk/school-discipline-exclusions/exclusions</a></p>
<p>Whistleblowing</p>	<p>All L.E.A.D. Academies have an internal Whistleblowing procedure for employees and voluntary staff. Other concerns can be raised directly with Ofsted (0300 123 3155 (<a href="mailto:whistleblowing@ofsted.gov.uk">whistleblowing@ofsted.gov.uk</a>) or in writing to: WBHL, Ofsted. Piccadilly Gate, Store Street, Manchester M1 2WD</p>
<p>Staff Grievances and Disciplinary Procedures</p>	<p>These matters will be dealt with by the disciplinary procedures of the academy. The outcome of these procedures will remain confidential to the academy.</p>
<p>Complaints relating to the services provided at academy premises by third party providers.</p>	<p>Third party providers are required, as a condition of providing services/facilities at the academy, to have their own complaints procedure.</p> <p>Third party providers must be contacted directly unless the matter involves a Safeguarding issue in which case the matter should also be raised with the Headteacher directly.</p>

## **APPENDIX 2 : Complaints likely to be considered unreasonable by the academy**

One or more of the criteria listed below may result in the Academy taking the view that a complaint, or continuation with the Complaints Procedure is not reasonable and therefore that the procedure should be brought to a close:

- where (at Stage 3) the Chair considers, after careful consideration of the outcome of the investigation, the nature of the complaint, the actions taken by the academy to resolve the matter and the outcome from the mediation meeting and, having regard to the criteria set out below the complaint is not reasonable and/or that to continue with the Complaint Procedure would not be reasonable.
- a complainant refusing to articulate the complaint or to specify the grounds of complaint;
- a complainant refusing to specify the outcome sought by raising the complaint and/or seeking an unrealistic outcome;
- a complainant refusing to co-operate with the complaints investigation including a meeting with the Chair, a mediation meeting or attendance at a Panel meeting;
- a complainant insisting that the complaint be dealt with outside of this procedure;
- a complainant raising trivial or irrelevant information or raising large numbers of detailed but unimportant questions and / or insisting on answers within their own timescales;
- a complainant making unjustified complaints or allegations about staff who are trying to deal with the issues raised and / or seeking to have those staff replaced;
- a complainant changing the basis of the complaint as the investigation proceeds;
- a complainant repeatedly making the same complaint notwithstanding that investigations have resulted in the matter being concluded or declared groundless;
- a complainant refusing to accept the findings and/or conclusions of the investigation where this procedure has been fully and correctly implemented including referral to the EFA;
- a complainant making unreasonable and excessive demands on academy time by frequent, lengthy, complicated and/or stressful contact with staff, either in person, in writing, via e-mail, text or by telephone whilst the complaint is being dealt with;
- a complainant publishing or verbalising unacceptable or false information or comments about the academy or any member of school staff in any social media or newspaper;

- a complainant using threatening, abusive or intimidatory language or behaviour to any member of staff or member of the academy community.

### **Complaints about a decision to ban persons from school premises**

Members of the public (including parents) do not have an automatic right of access or entry to academy premises. The priority of the academy will always be to ensure that academy premises are a safe place for pupils, staff and other members of the academy community.

The Headteacher has the absolute right to request any person whose behaviour is a cause for concern to leave the academy premises. The Headteacher may also advise any person that they are temporarily barred from academy premises. In very serious cases, a ban from academy premises can be legally applied and enforced.

Individuals will have the right to make representations to the Headteacher in circumstances where a decision to ban them has been made \*and, in certain circumstances and where considered appropriate by the Academy, where a decision to ban is being considered).

*Samcd.6.09.17*