



**Thorns Community**



**Infant School**

**Park Hill Thorns Federation**

## **Complaints Policy**

This policy is based on the Warwickshire Complaints Policy

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	<b>Name</b>	<b>Contact Details</b>
<b>School Office at Thorns</b>	Cathy Haime and Natalie Samuel	Email: admin2307@welearn365.com  Telephone: 01926 853875
<b>School Office at Park Hill</b>	Fiona Rowntree	Email: admin2309@welearn365.com  Telephone: 01926 855974
<b>Headteacher</b>	Liz Bradbury	Email: head2307@welearn365.com  Telephone: 01926 853875
<b>Co-Chairs of Governors</b>	Sue Casey and Ben Shaw	Email: Chairphtf@welearn365.com  Telephone: 01926 853875
<b>Governance Professional</b>	Zahida Hussain	Email: hussain.z@warwickshire.gov.uk

## Introduction

Our school recognises that at times things can and do go wrong and there will be occasions when parents / carers / stakeholders are worried or concerned about issues arising from their child's experiences at Park Hill Thorns Federation.

The Headteacher, Staff and Governors are committed to taking concerns and complaints seriously at the earliest stage and resolving them to the satisfaction of all parties as quickly as possible. All concerns will be dealt with in a sensitive, impartial, and confidential manner and on the rare occasions when a concern cannot be resolved, we will follow our formal complaints procedure.

This policy meets the requirements of Section 29 of the Education Act 2002 which states that schools must have and make available a procedure to deal with all complaints relating to their school and to any community facilities or services that the school provides.

It is also based on guidance for schools on complaints procedures from the Department of Education (DfE).

## Purpose and Scope

The scope of this policy covers most complaints that the school is likely to receive from parents, students, or stakeholders. However, it is not intended to cover aspects for which there are specific statutory requirements such as SEND, curriculum and admissions. This policy will be applied to all complaints apart from the exceptions listed later in this document.

Complaints are expected to be made as soon as possible (within 3 months) after an incident arises, or where a series of associated incidents have occurred, within 3 months of the last of these incidents. If a complaint is received after this time, the school will take no further action, unless there are exceptional circumstances.

Complainants should not approach individual governors to raise concerns or complaints. They have no power to act on an individual basis and it may also prevent them from considering complaints at a later stage of the procedure.

Our School Complaints Policy will:

- Encourage resolution of problems by informal means wherever possible.
- Be easily accessible and publicised.
- Be simple to understand and use.
- Involve management that will be impartial and non-adversarial.
- Allow swift handling with established time limits for action and keeping people informed of the progress.
- Ensure a full and fair investigation by an independent person where necessary.
- Respect people's desire for confidentiality.
- Address all the points at issue and provide an effective response and appropriate redress where necessary.
- Provide information to the leadership teams so that services can be improved.
- Not allow for anonymous concerns or complaints to be investigated unless there are exceptional circumstances. The Headteacher will determine whether an anonymous complaint warrants an investigation

## Roles, Responsibilities and Expectations of All Parties

- Complainant (or person who makes the complaint)

The complainant will receive a more effective response to the complaint if they:

- explain the complaint in full as early as possible
- co-operate with the school in seeking a solution to the complaint
- respond promptly to requests for information or meetings or in agreeing the details of the complaint

- ask for assistance as needed
- treat all those involved in the complaint with respect
- refrain from publicising the details of their complaint on social media and respect confidentiality
- Governance Professional / Clerk to the Trust Board

The Governance Professional is the contact point for the Complainant, School Representative, and the Governing Board Review Committee Members, and should:

- ensure that all people involved in the complaint procedure are aware of their legal rights and duties, including any under legislation relating to school complaints, education law, the Equality Act 2010, the Freedom of Information Act 2000, the Data Protection Act (DPA) 2018 and the General Data Protection Regulations (GDPR)
- set the date, time, and venue of the meeting, ensuring that the dates are convenient to all parties (if they are invited to attend) and that the venue and proceedings are accessible
- collate any written material relevant to the complaint (for example: stage 1 paperwork, school, and complainant submissions) and send it to the parties in advance of the meeting within an agreed timescale
- record the proceedings
- circulate the minutes of the meeting
- notify all parties of the committee's decision.
- Provide procedural advice and guidance and acting in accordance with the policies and procedures
- Governing Board Review Committee Chair

The Governing Board Review Committee Chair, who is nominated in advance of the Governing Board Review Committee Meeting will:

- chair the meeting, ensuring that everyone is treated with respect throughout
- make sure all parties see the relevant information, understand the purpose of the committee, and are allowed to present their case
- ensure the meeting is conducted in an informal manner, is not adversarial, and that, if all parties are invited to attend, everyone is treated with respect and courtesy
- seek to put the complainant(s), who may not be used to speaking at such a meeting, at ease. This is particularly important if the complainant is a child / young person
- ensure the remit of the committee is explained to all parties
- ensure written material is seen by everyone in attendance, provided it does not breach confidentiality or any individual's rights to privacy under the DPA 2018 or UK GDPR legislation

If new issues arise it would be useful to give everyone the opportunity to consider and comment upon it; this may require a short adjournment of the meeting

- ensure both the complainant and the school representatives are given the opportunity to make their case and seek clarity, either through written material ahead of the meeting or verbally during the meeting
  - enable the issues to be addressed and key findings of fact are made, if appropriate
  - ensure the Governing Board Review Committee Members are open-minded and act independently
  - ensure no member of the Governing Board Review Committee has an external interest in the outcome of the proceedings or any involvement in an earlier stage of the procedure
  - ensure notes are taken during the meeting and the outcome of the meeting is recorded
  - consult with the Governance Professional
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- [Governing Board Review Committee Members](#)

Governing Board Review Committee Members should be aware that:

- the meeting must be independent and impartial and should be seen to be so. No Governing Board Review Committee Member may sit on the panel if they have had prior involvement in the complaint or in the circumstances surrounding it
- the aim of the meeting should be to resolve the complaint and achieve reconciliation between the school and the complainant
- the complainant might not be satisfied with the outcome if the meeting does not find in their favour. It may only be possible to establish the facts and make recommendations
- many complainants will feel nervous and inhibited in a formal setting and parents / carers often feel emotional when discussing an issue that affects their child
- extra care needs to be taken when the complainant is a child / young person and present during all or part of the meeting

Careful consideration of the atmosphere and proceedings should ensure that a child / young person does not feel intimidated

The views of the child / young person are given equal consideration to those of adults

If the child / young person is the complainant, the committee members should ask in advance if any support is needed to help them present their complaint. Where the child's / young person's parent is the complainant, the panel should give the parent the opportunity to say which part of the meeting, if any the child / young person needs to attend

However, the parent should be advised that agreement might not always be possible if the parent wishes the child / young person to attend a part of the meeting that the committee considers is not in the child / young person's best interests

The welfare of the child / young person is paramount.

- they are to notify the complainant in writing of the outcome of the Governing Board Review Committee Meeting and the next stage of the process, should they wish to pursue the matter further
- they are to advise the School Representatives of the outcome and of any further action to be taken
- they should arrange for the Governing Board to be notified in general terms of the complaint and of any further action to be taken

## Definitions / Explanations of Terms Used

The DfE guidance explains the difference between 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.” The school will resolve concerns through day-to-day communication as far as possible.
- A **complaint** is defined as “an expression of dissatisfaction however made, about actions taken or a lack of action.”

Any concern or complaint will be taken seriously, whether formally, or informally, and the appropriate procedure shall be taken.

- A **‘grievance’** is an issue raised by a member of staff where they feel the school has not implemented a policy, process, or procedure fairly or properly. Grievances will be dealt with in line with our school’s Grievance Policy.
- The definition of **“unreasonable complaints”** is outlined in the ‘Managing Serial & Unreasonable Complaints section of this policy.
- For the purpose of this policy, **“duplicate complaints”** are identical complaints received from a complainant’s spouse, partner, grandparent, or child. These complaints will not be addressed again, the individual making the second complaint will be informed that the complaint has been dealt with on a local level and if they are dissatisfied with the result, they can appeal to the DfE.  
Any new details provided by a complainant’s spouse, partner, grandparent, or child, will be investigated and dealt with in line with the complaint’s procedure.
- The term **‘parent’** has been used throughout this document to include parents, legal guardians, and full-time carers.
- A **‘school day’** is defined as a weekday during term time. It does not include weekends, school holidays and bank holidays.

## Who Can Make a Complaint?

Our Complaints Policy is not limited to stakeholders, parents or carers of children that are registered at our school. Any person can make a complaint, this includes:

- parents or carers of children currently at the school
- parents or carers of children no longer at the school
- members of the public
- a third party acting on behalf of the complainant. In these cases, written consent will be required from the complainant before any information is disclosed.

In accordance with [administrative law principles](#), complainants should be given the opportunity to complete the complaints procedure in full.

**Third Parties:** You should make sure that any third-party supplier has its own complaints procedures in place if they are using your premises or facilities to offer:

- community facilities
- services

## Our Complaints Procedure

The school's complaints procedure consists of four stages:

- Informal Stage (School Resolution) - Concerns and complaints raised with the member of staff
- Stage 1 – Concerns and complaints investigated by Headteacher / Investigating Officer
- Stage 2 – Complaints investigated Chair of Governors or Suitably Skilled Governor
- Stage 3 – Governing Board Review Committee

## Time Limits

Time limits for each stage of the procedure are set out under each individual stage. Although every effort will be made to comply with the time limits specified it may not always be possible to do so, for example, due to the complexity of the matter raised or due to the unavailability of the complainant to attend a meeting if one is offered.

However, where a time limit cannot be complied with, the school will write to the complainant within the specified time limit setting out the reasons why the time limit cannot be complied with and confirm the new time limit which will apply.

## Retention of Records

The school will record the progress of all complaints, including information about actions taken at all stages, the stage at which the complaint was resolved, the final outcome and any action taken by the school. This material will be treated as confidential and held centrally and will be viewed only by those involved in investigating the complaint or on the Governing Board Review Committee members.

This is except where the Secretary of State (or someone acting on their behalf) or the complainant requests access to records of a complaint through a Freedom of Information (FOI) Request or through a Subject Access Request under the terms of the Data Protection Act, or where the material must be made available during a school inspection.

## Interviewing Witnesses

- When interviewing pupils to gather information regarding a complaint, the interview should be conducted in the presence of another independent member of staff. In the case of serious complaints, e.g., where the possibility of criminal investigation exists, in the presence of their parents / carers
- The school will ensure that the conduct of interviews does not prejudice an LA designated officer's (LADO), or police investigation
- The school understands the importance of ensuring the availability of a friendly and relaxed area which is free from intimidation
- All pupils interviewed will be made fully aware of what the interview concerns and their right to have someone with them
- Staff are allowed a colleague to support them at their interview. The colleague must not be anyone likely to be interviewed themselves, including their line manager
- The interviewer will not express opinions in words or attitude, so as to not influence the interviewee
- The interviewee will sign a copy of the transcription of the interview



## How to Raise a Concern or Make a Complaint

Most concerns or complaints received will be from parents regarding issues relating to an individual child or children. However, there may be occasions where concerns or complaints are received about the school's management of wider issues.

In nearly all cases, communicating face to face, between the appropriate member of staff and the parent / carer is the most effective way to address concerns or complaints. A good discussion, when all parties are listening to each other and seeking resolutions, will often be the most effective and quickest way of resolving an issue.

A concern or complaint can be made in person, in writing or by telephone. They may also be made by a third party acting on behalf of a complainant if they have appropriate consent to do so. This consent to act on behalf of another must be evidenced to the school before any progress is made towards a resolution.

- Complaints concerning school staff (except the Headteacher) should be marked as "Private and Confidential" and addressed to the Headteacher via the School Office
- Complaints that involve or are about the Headteacher should be marked as "Private and Confidential" and addressed to the Chair of Governors, via the school Office
- Complaints concerning the Chair of Governors, any individual Governor or the whole Governing Board should be marked as "Private and Confidential" and addressed to the Governance Professional via the School Office.
- Complainants should not approach individual governors to raise concerns or complaints. Governors will not act on an individual complaint outside the formal procedure or be involved at the early stages as it may prevent them from considering complaints at stage 3 of the procedure

Some complaints fall outside the school's complaints procedure, for example, staff grievances or staff conduct and / or competency. In these cases, if such an issue is brought to the Headteacher's or Chair of Governor's attention, the school will follow its own internal personnel processes. The complainant will be informed that an issue is to be considered as part of the school's personnel processes but will not be informed of the outcome of any such considerations.

## Retaining Documents At The End of the Process

Records of complaints will be kept securely, only for as long as necessary and in line with data protection law and school privacy notices. However, this would usually be Date of Birth + 25 years for matters relating to a complaint.

After the retention period has ended, the appropriate person in school will review the records and decide whether to keep them (for example, in the case of any contentious disputes) and file them. This is stated in the Information and Records Management Society's [information management toolkit for schools](#).

Governing boards should consider the physical location of where the papers regarding the complaint will be held (e.g., with other Governing Board documents or on a secure platform) due to the sensitive nature of some complaints.

### Recording a Complaint

A written record shall be kept of any complaint made, whether via phone, in person or in writing detailing:

- the main issues raised, the findings and any recommendations.
- whether the complaint was resolved following an informal route, formal route, or panel hearing.
- actions taken by the school as a result of the complaint (regardless of whether the complaint was upheld).

Where there are communication difficulties or disabilities, the school may provide recording devices to ensure the Complainant is able to access and review the discussions at a later point.

Recording devices will not be used without the prior consent of all parties.

We will not accept, as evidence, any recordings that were obtained covertly and without the informed consent of all parties being recorded.

### Complaint Campaigns

Occasionally, a school may become the focus of a complaint campaign and receive large volumes of complaints which are all based on the same subject and / or from complainants unconnected with the school.

Depending on the subject in question, the school may deviate from the procedure set out in this policy and would follow DfE recommendations.

Where the school becomes the subject of a complaint campaign from complainants who are **not** connected with the school, a standard, single response will be published on the school's website.

If the school receives a large number of complaints about the same subject from complainants who **are** connected to the school, e.g., parents, each complainant will receive an individual response.

If complainants remain dissatisfied with the school's response, they will be directed to the DfE.

## Duplicate Complaints

If the school has resolved a complaint under this procedure and receives a duplicate complaint on the same subject from a partner, family member or other individual, we will assess whether there are aspects that we had not previously considered, or any new information we need to consider.

If we are satisfied that there are no new aspects, we will:

- tell the new Complainant that we have already investigated and responded to this issue, and the process is complete
- direct them to the DfE if they are dissatisfied with our original handling of the complaint

If there are new aspects the Complaints Procedure will be followed again.

## Parental Responsibility

Conflict between estranged parents over the application of parental responsibility is a common cause of complaints made to schools.

The DfE guidance: [Understanding and dealing with issues relating to parental responsibility](#) contains specific advice about how to approach issues concerning parental responsibility. The school will adhere to this advice as well as following this policy.

## Anonymous Complaints

The school will not normally investigate anonymous complaints. However, the Headteacher or Chair of Governors, if appropriate, will determine whether the complaint warrants an investigation.

## Recordings of Conversations

Recordings of conversations that were obtained covertly and without the informed consent of all parties being recorded will not be accepted as evidence in the complaints process.

## Use of Social Media

In order for concerns or complaints to be resolved as quickly and fairly as possible, the school strongly discourages parents, carers, and other members of the school community to use social media platforms to publicly discuss concerns or complaints which should more appropriately be dealt with within the school processes for concerns and complaints.

Concerns or complaints will be dealt with confidentially for those involved, and the school expects parents, carers, and members of the school community to also observe confidentiality.

## Complaint Form

A Complaint Form is included at the end of this procedure which may be used. If help is required in completing the form, please contact the school office. Alternatively help can be sought from third party organisations such as the [Citizens Advice](#).

## Equal Opportunities

In accordance with equality law, we will consider making reasonable adjustments, if required, to enable complainants to access and complete this complaints procedure, such as providing information in alternative formats, assisting them in raising a formal complaint or holding meetings in accessible locations.

## Resolving Complaints

At each stage in the procedure the school wants to resolve the complaint. If appropriate, we will acknowledge that the complaint is upheld in whole or in part. In addition, we may offer one or more of the following:

- An apology
- An explanation
- An assurance that the event complained of will not recur
- An explanation of the steps that have been taken, or will be taken, to ensure that it will not happen again and an indication of the timescales within which any changes will be made
- A finding that the complaint requires no further action
- An admission that the situation could have been handled differently or better (this is not the same as an admission of negligence)
- An undertaking to review school policies, practices, and procedures in light of the complaint
- A finding that there is insufficient evidence to reach a conclusion such that the complaint cannot be upheld

Where further investigations are necessary, new time limits will be set, and the complainant will be sent details of the new deadline with an explanation for the delay.

## Withdrawal of a Complaint

If a complainant wishes to withdraw their complaint at any point, they will be asked to do so in writing. If the complaint is not withdrawn in writing, the Headteacher will email the complainant stating that it is understood that the complaint has been withdrawn and that the matter is closed.

## Timescales

Complaints should be raised promptly, within 3 months of the incident, or where a series of associated incidents have occurred, within 3 months of the last of these incidents. If a complaint is received after this time, the school will take no further action, unless there are exceptional circumstances.

*Exceptional circumstances* are where new evidence has come to light, where the complaint is of an especially serious matter or where there is reasonable justification for why the complainant has been unable to raise the complaint before this time. The Headteacher will review the situation and decide whether to enact the complaints procedure, informing the Chair of Governors of the decision.

## Complaints Received Outside of Term Time

We will consider complaints made outside of term time to have been received on the first school day after the holiday period.

If at any point we cannot meet the timescales we have set out in this policy, we will:

- set new time limits with the complainant
- send the complainant details of the new deadline and explain the delay

## Complaints about our Fulfilment of the Early Years Requirements

We will investigate all written complaints relating to the school's fulfilment of the Early Years Foundation Stage requirements and notify the complainants of the outcome within 28 days of receiving the complaint. The school will keep a record of the complaint and make this available to Ofsted on request.

Parents / carers can notify Ofsted if they believe that the school is not meeting the Early Years Foundation Stage requirements, by calling 0300 123 4234 or 0300 123 4666, or by emailing: [enquiries@ofsted.gov.uk](mailto:enquiries@ofsted.gov.uk). An online contact form is also available at:

<https://www.gov.uk/government/organisations/ofsted#org-contacts>.

## Complaints Exceptions – Complaints Not Covered by this Policy

Some complaints will be outside the scope of these procedures as there are separate statutory procedures to deal with such issues. These include:

Exceptions	Who to contact
<p>Admissions to schools</p> <p>Education, Health &amp; Care Needs Assessment</p> <p>School re-organisation proposals</p>	<p>Concerns about Admissions, Education Health &amp; Care Needs Assessment, or School re-organisation proposals should be raised with Warwickshire County Council 01926 410410</p>
<p>Matters likely to require a Child Protection Investigation</p>	<p>Complaints about child protection matters are handled in line with our Child Protection and Safeguarding Policy and in accordance with relevant statutory guidance.</p> <p>If you have serious concerns, you may wish to contact the LA Designated Officer (LADO) who has local responsibility for safeguarding or the Multi-Agency Safeguarding Hub (MASH) on 01926 418608.</p>
<p>Exclusion of children from school*</p>	<p>Further information about raising concerns about exclusions can be found at: <a href="http://www.gov.uk/school-discipline-exclusions/exclusions">www.gov.uk/school-discipline-exclusions/exclusions</a></p> <p>*Complaints about the application of the behaviour policy can be made through the school’s complaints procedure. The behaviour policy can be found on the school website.</p>
<p>Staff grievances</p>	<p>Staff grievances and disciplinary procedures will be dealt with using the school’s internal grievance procedures</p> <p>In these cases, complainants will not be informed of the outcome of any investigations, however, they will be notified that the matter is being addressed.</p>
<p>Staff Conduct and / or Competency Complaints</p>	<p>Complaints about staff will be dealt with under the school’s internal personnel procedures, if appropriate.</p> <p>Complainants will not be informed of any outcomes of the complaint or action taken in relation to a staff member as a result of a complaint. However, the complainant will be notified that the matter is being addressed.</p>
<p>Whistleblowing</p>	<p>The school has an internal whistleblowing procedure for all our employees, including temporary staff and contractors.</p> <p>Volunteer staff who have concerns about our school should complain through the school’s complaints procedure. They may also be able to complain direct to the LA or the Department for</p>

	<p>Education (see link below), depending on the substance of their complaint.</p> <p>The Secretary of State for Education is the prescribed person for matters relating to education for whistle-blowers in education who do not want to raise matters direct with their employer.</p> <p>Referrals can be made at: <a href="http://www.education.gov.uk/contactus">www.education.gov.uk/contactus</a></p>
Complaints about the curriculum	<p>Please contact the Department for Education at: <a href="http://www.education.gov.uk/contactus">www.education.gov.uk/contactus</a></p>
Complaints about collective worship	<p>Complaints about how the school delivers RE and RSE <b>will</b> be dealt with using this complaints procedure</p> <p>Any complaints about the content of collective worship should be made to:</p> <ul style="list-style-type: none"> <li>• the Local Authority</li> <li>• the local Standard Advisory Council on Religious Education</li> </ul>
Withdrawal from the curriculum	<p>Parents and carers can withdraw their child from any aspect of Religious Education including the DACW (Daily Act of Collective Worship). They do not have to explain why.</p> <p>The right of withdrawal does not apply to other areas of the curriculum where religious matters may be spontaneously raised by pupils or arise in other subjects such as history or citizenship.</p> <p>Complaints from parents who are dissatisfied with the handling of a request to withdraw their child from RE or collective workshop will be handled in line with this complaints procedure.</p>
Complaints about services provided by other providers who may use school premises or facilities.	<p>Providers should have their own complaints procedure to deal with complaints about service. Please contact them direct</p>

Arrangements for handling complaints from parents of children with Special Educational Needs (SEN) about the school's support are within the scope of this policy. Such complaints should first be made to the Special Educational Needs Co-ordinator (SENCO); they will then be referred to the complaints policy. Our SEN policy and information report includes information about the rights of parents of pupils with disabilities who believe that our school has discriminated against their child.

## Exceptional Circumstances

The DfE expects complainants to have completed the school's complaints procedure before directing a complaint to them. The exceptions to this include when:

- Students are at risk of harm
- Students are missing education
- A complainant is being prevented from having their complaint progressed through the school's complaints procedure
- The DfE has evidence that the school is proposing to act or is acting unlawfully or unreasonably

If other bodies are investigating aspects of the complaint, for example the Police, Local Authority (LA) Safeguarding teams or Tribunals, this may impact on our ability to adhere to the timescales within this procedure or result in the procedure being suspended until those public bodies have completed their investigations.

If a complainant commences legal action against the school in relation to their complaint, we will consider whether to suspend the complaints procedure until those legal proceedings have concluded.

## Reviewing and Monitoring Arrangements

The Governing Board will monitor the effectiveness of the complaints procedure in ensuring that complaints are handled properly. The Headteacher will record the number and nature of complaints, and review underlying issues as stated above.

The Governing Board will review any underlying issues raised by complaints with the Headteacher, where appropriate and respecting confidentiality, to determine whether there are any improvements that the school can make to its procedures or practices to help prevent similar events in the future.

The complaints procedure will be reviewed every 2 years, considering the latest guidance issued by the DfE.

Responsibility for reviewing the procedure remains with the Governing Board.

Information gathered through reviewing the complaints procedure will be used to continuously improve and develop process and the monitoring and reviewing of complaints will be used to help evaluate the school's performance.



## The Role of the Local Authority (LA)

There is no further right of appeal to the Local Authority.

In responding to complaints about schools the LA will explain to the complainant:

- that schools are self-managing and are responsible for administering procedures that deal with complaints made against them
- the appropriate procedures for their complaint and refer them to the Head Teacher, Chair of Governors, or Governance Professional as appropriate.

## Availability and Publishing our Policy

A copy of this policy will be made available on request. It will also be published on the school website, as recommended by the DFE and ESFA.