



Complaints Policy and Procedure

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Policy statement

Aspiring Foundations Federated Nursery Schools believe that children and parents are entitled to expect courtesy and prompt, careful attention to their needs and wishes. We welcome suggestions on how to improve our setting and will give prompt and serious attention to any concerns about the running of the setting. We anticipate that most concerns will be resolved quickly by an informal approach to the appropriate member of staff.

Obviously, the more information the school gives to the complainants the less scope there is for misunderstanding. As part of this information, complainants should be told that feedback is always welcome and that, therefore, they are warmly encouraged to voice any concerns straightaway, preferably to the person concerned. In most cases, discussion, explanation, further information – or an apology if appropriate – will resolve the issue. Taking informal concerns seriously at the earliest stage will reduce the numbers that develop into formal complaints. Every effort should be made to allay concerns at this level and with the least possible formality. The ideal is that no concern should ever become a formal complaint.

The underlying principle is that concerns ought to be handled, if at all possible, without the need for formal procedures. Occasionally, however, a concern will be too serious to be handled in this way, perhaps needing greater investigation; or the person concerned may not feel that the answers given so far have been acceptable or adequate. In such circumstances, the concern will become a complaint and the formal procedure should be rigorously followed. Even in these cases, every effort should be made to resolve the issue at the lowest possible level of the procedure.

Scope of this Procedure

This complaints procedure is not limited to parents or carers of children that are registered at the school. Any person, including members of the public, may make a complaint about any facilities or services that the school provides. Unless complaints are dealt with under separate statutory procedures, the school will use this complaints procedure. Any complaints which subsequently lead to staff conduct actions will be considered under staff disciplinary procedures, if appropriate, but outcomes of this will be confidential and will not be shared with the complainant. The scope of this complaint's procedure is covered in more detail in Appendix A.

Timescales

- Complaints must be raised within three months of the incident or where a series of associated incidents have occurred, within three months of the last of these incidents. The school will consider complaints made outside of this timeframe only if the chair of governors and headteacher, having taken advice, are of the view that exceptional circumstances apply.
- All timescales in this procedure refer to school working days, for this school, excluding school holidays, in-service training (Inset) days and bank holidays.
- Any complaints made outside of term time will be considered to have been received on the first school day after the holiday period.

Anonymous complaints

Anonymous complaints will not normally be investigated. However, the headteacher or chair of governors, if appropriate, will determine whether the complaint warrants an investigation.

Serial or Unreasonable Complaints

Where the school judges a complaint to be unreasonable or where a complainant is making serial complaints or raising issues again that have previously been addressed under the final formal stage of the school's complaints procedure, the procedure outlined at Appendix D may be invoked.

How to Raise a Complaint

1. A concern / informal complaint can be made initially in person, in writing or by telephone. It may also be made by a third party acting on someone else's behalf, as long as they have appropriate consent to do so.
2. In the first instance parental concerns should normally be raised with the class teacher / key person or, if the concern is about the class teacher/ key person, with a member of the senior leadership team or the headteacher. If the issue remains unresolved, the next step is to make a formal complaint under Formal Stage 1 of this procedure.
3. Complainants should not approach individual governors to raise concerns or complaints. Governors have no power to act on an individual basis and this may also prevent them from considering a complaint if it reaches Stage 2 of this procedure.
4. A formal complaint against a member of school staff (except the headteacher) should be made in the first instance to the headteacher via the school office and should be marked as private and confidential.

5. A formal complaint that involves or is about the headteacher should be addressed to the chair of governors, via the school office, and should be marked as private and confidential.
6. A formal complaint about the chair of governors, any individual governor or the whole governing board should be addressed to the clerk to the governing board via the school office and should be marked as private and confidential.
7. For ease of use, a template complaint form is included at the end of this procedure (Appendix B). Help in completing the form can be accessed via the school office.
8. In accordance with equalities law, the school will consider making reasonable adjustments if required, to enable complainants to access and complete this complaints procedure. This may include providing information in alternative formats, assisting individuals in raising a formal complaint or holding meetings.

Resolving complaints

At each stage in the procedure, the school will hope to be able to resolve the complaint. If appropriate, it will be acknowledged that the complaint is upheld in whole or in part. In addition, one or more of the following may be offered:

- an explanation
- an admission that the situation could have been handled differently or better
- an assurance that the school will try to ensure the event complained of will not recur
- an explanation of the steps that have been or will be taken to help ensure that it will not happen again and an indication of the timescales within which any changes will be made
- an undertaking to review school policies in light of the complaint
- an apology

Withdrawal of a Complaint

If a complainant wishes to withdraw their complaint, they will be asked to confirm this in writing. Once a complaint has been withdrawn the same issue cannot be raised again.

Informal Complaints

It is in everyone's interest that concerns and complaints are resolved at the earliest possible stage. Many issues can be resolved without the need to use the formal stages of the complaints procedure. The school aims to take all concerns seriously and will make every effort to resolve issues raised as quickly as possible.

If an individual has difficulty discussing a concern with a particular member of staff, the school

will respect this. In this case the complainant will be referred to another staff member.

Similarly, if the member of staff directly involved feels unable to deal with a concern, the complainant will be referred to another staff member. The member of staff will usually be more senior but does not have to be. The ability to consider the concern objectively and impartially is more important.

The school would hope and expect to be able to deal with most concerns raised on an informal basis, and a complainant should not raise a formal complaint before discussing their concerns informally with an appropriate member of staff. It is understood, however, that there are occasions when people remain dissatisfied and would like to raise their concerns formally. In this case every attempt will be made to resolve the issue through the formal stages outlined within this complaints procedure.

Formal Stage 1

1. Formal complaints must be in writing, preferably on the complaints form provided at Appendix B, to the headteacher, other than in the circumstances referred to in paragraphs 11 and 12.
2. The headteacher will record the date the complaint is received and will acknowledge receipt of the complaint in writing (either by letter or email) within five school days.
3. Within this response, the headteacher will seek to clarify the nature of the complaint, ask what remains unresolved and what outcome the complainant would like to see. The headteacher can consider whether a face to face meeting is the most appropriate way of doing this.
4. The headteacher may delegate any investigation to another member of the school's senior leadership team but will not delegate the decision about the merits of the complaint.
5. During an investigation, the headteacher (or designated member of staff) will, if necessary, interview those involved in the matter and/or those complained of, allowing them to be accompanied if they wish, and will keep a written record of any meetings/interviews in relation to the investigation. Staff members may be accompanied at these meetings by a colleague or trade union representative if they wish.
6. At the conclusion of the investigation, the headteacher will provide a formal written response, within twenty school days of the date of receipt of the complaint.
7. If the headteacher is unable to meet this deadline, they will provide the complainant with an update and revised response date.

8. The response will detail any actions taken to investigate the complaint and provide a full explanation of the decision made and the reason(s) for it. Where appropriate, it will include details of actions the school will take to resolve the complaint.
9. The headteacher will advise the complainant of how to escalate their complaint should they remain dissatisfied with the outcome of Formal Stage 1.
10. If the complaint is about the headteacher, or a member or members of the governing board (including the chair and/or vice-chair), a suitably skilled governor/trustee will be appointed to complete all the actions at Formal Stage 1.
11. Complaints about the headteacher or member(s) of the governing board must be made to the clerk to the governing board, via the school office.
12. If the complaint is about significant members, proportions or indeed the entire governing board Formal Stage 1 will be considered by an independent investigator appointed by the governing board/LA. At the conclusion of their investigation, the independent investigator will provide a formal written response.

Formal Stage 2

1. If the complainant is dissatisfied with the outcome at Formal Stage 1 and wishes to take the matter further, they can escalate the complaint to Formal Stage 2 – a meeting with a panel of three members of the governing board convened for this purpose. This is the final stage of the complaints procedure.
2. A request to escalate to Stage 2 must be made to the clerk to the governing board, via the school office, within twenty school days of receipt of the Formal Stage 1 response. Requests received outside of this timeframe will only be considered if the clerk to the governing board, having taken appropriate advice, considers that exceptional circumstances apply.
3. The clerk to the governing board will record the date the request to escalate the complaint is received and acknowledge receipt in writing (either by letter or email) within five school days.
4. The clerk to the governing board will aim to convene a meeting of the governors' complaints panel which is within twenty school days of receipt of the Stage 2 request. If this is not possible, the clerk will provide an anticipated date and keep the complainant informed.
5. The complaints panel will comprise at least three impartial governors with no prior involvement with the complaint. The complainant will be informed in advance of the meeting of the membership of the panel and asked whether they wish to raise any objections to

individual members. If objections are raised the panel will give them reasonable consideration. If the ability of a panel member to give the case a fair hearing is called into question the reasons given will be considered and that panel member may be replaced.

6. If there are fewer than three governors from this school available, the clerk to the governing board, or the minute clerk for the hearing, will seek to source additional, independent governors through another local school, in order to make up the panel. Alternatively, an entirely independent panel may be convened to hear the complaint at Formal Stage 2.
7. If the complainant rejects the offer of three proposed dates, without good reason, the clerk to the governing board, or the minute clerk for the hearing, will decide when to hold the meeting, in consultation with the governors' panel. It will then proceed in the complainant's absence on the basis of written submissions from both parties.
8. A suitable venue must be provided for the meeting which includes separate waiting areas for the two parties and refreshments for all involved.
9. At least ten school days before the meeting, the clerk to the governing board, or the minute clerk for the hearing, will:
 - a. confirm and notify the complainant of the date, time and venue of the meeting, ensuring that the dates are convenient to all parties and that the venue and proceedings are accessible;
 - b. request copies from both parties of any further written material to be submitted to the panel at least five school days before the meeting;
 - c. request that both parties provide names of any witnesses to be called and the nature of the evidence which they will be providing, at least five days in advance of the meeting. The panel has the discretion not to admit a witness if they do not consider their evidence to be relevant to the complaint.
10. The complainant may bring someone with them to the panel meeting to provide support. This can be a relative or friend. Other than in exceptional circumstances (as agreed in advance with the governors' panel) this should not be a legal representative. This companion will not have the right to speak on the complainant's behalf.
11. If a school employee is called as a witness in a complaints meeting, they may wish to be supported by a representative of their trade union. Any such representative will be present in a supportive capacity only and will not be allowed to speak on the member of staff's behalf.

12. Minutes of the meeting will be taken by the clerk to the governing board, or a minute clerk appointed specifically for the hearing by the governors' panel.
13. There will be no audio or visual recording of the proceedings by any party unless a complainant's own disability or individual needs require it. Prior knowledge and consent of all parties attending must be sought before recordings of meetings or conversations take place. Consent will be recorded in any minutes taken. A copy of the minutes of the meeting, once approved by the governors' panel, will be shared with all parties.
14. The panel will not normally accept, as evidence, recordings of conversations that were obtained covertly and without the informed consent of all parties being recorded.
15. The panel will not review any new complaints at this stage or consider evidence unrelated to the initial complaint to be included. New complaints must be dealt with from Formal Stage 1 of the procedure.
16. The meeting will be held in private and proceedings will be treated as confidential.
17. The meeting will follow the process outlined in Appendix C.
18. The governors' panel will consider the complaint and all the evidence presented. The panel can:
 - a. uphold the complaint in whole or in part
 - b. dismiss the complaint in whole or in part.
19. If the complaint is upheld in whole or in part, the panel will:
 - a. decide on the appropriate action to be taken to resolve the complaint
 - b. where appropriate, recommend changes to the school's systems or procedures to prevent similar issues in the future.
20. The chair of the panel will provide the complainant and the headteacher/chair of governors (depending on who conducted Formal Stage 1) with a full explanation of the panel's decision and the reason(s) for it, in writing, within five school days. The response will also detail any actions taken to investigate the complaint and, where appropriate, will include details of actions the school will take to resolve the complaint.
21. The letter to the complainant will include details of how to contact the DfE if they are dissatisfied with the way their complaint has been handled by the school.

Next Steps

1. If the complainant believes the school did not handle their complaint in accordance with this complaints procedure or it acted unlawfully or unreasonably in the exercise of its duties under education law, they can contact the DfE after they have completed Formal Stage 2.
2. The DfE will not reinvestigate the substance of complaints generally, or overturn any decisions made by the school. They will consider whether the school has adhered to education legislation and any statutory policies connected with the complaint.
3. The complainant can refer their complaint to the DfE online at:
www.education.gov.uk/contactus, by telephone on: 0370 000 2288 or by writing to:

Department for Education,

Piccadilly Gate,

Store Street,

Manchester,

M1 2WD.

Appendix A: Scope of this Complaints Procedure

This procedure covers all complaints other than those that are dealt with under other statutory procedures, including those listed below. As noted below, school employees may not use this procedure to raise concerns relating to their employment.

Exceptions	Who to contact
<ul style="list-style-type: none"> Statutory assessments of Special Educational Needs School re-organisation proposals 	Concerns about Statutory assessments of Special Educational Needs, or school re-organisation proposals should be raised with Halton Borough Council
<ul style="list-style-type: none"> Matters likely to require a Child Protection Investigation 	Complaints about child protection matters are handled under our child protection and safeguarding policy and in accordance with relevant statutory guidance.
<ul style="list-style-type: none"> Whistleblowing 	We have an internal whistleblowing procedure for all our employees, including temporary staff and contractors. Volunteer staff who have concerns about our school should complain through the school's complaints procedure.
<ul style="list-style-type: none"> Staff grievances 	Complaints from staff will be dealt with under the school's internal grievance procedures.
<ul style="list-style-type: none"> Staff conduct 	Complaints about staff will be dealt with under the school's internal disciplinary procedures, if appropriate. Complainants will not be informed of any disciplinary action taken against a staff member as a result of a complaint, however, the complainant will be notified that the matter is being addressed.
<ul style="list-style-type: none"> Complaints about services provided by other providers who may use school premises or facilities 	Providers should have their own complaints procedure to deal with complaints about service. Please contact them direct.

If other bodies are investigating aspects of the complaint, for example the police, 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, the complaints procedure may be suspended until those legal proceedings have concluded.

Please give details of your complaint, including whether you have spoken to anybody at the school about it.

What actions do you feel might resolve the problem at this stage?

Are you attaching any paperwork? If so, please give details.

Signature:

Date:

Official use

Date acknowledgement sent:

By who:

Complaint referred to:

Date:

Appendix C: Arrangements and Procedure for Governors' Panel Hearing

1. The governors' panel will agree a chair from amongst their number.
1. Although this procedure may appear formal, the hearing should be conducted in as informal a way as possible, and the chair of the panel should make every effort to make all parties feel comfortable.
2. The chair of the panel will introduce all the parties present and explain the procedure to be followed, and that every effort will be made to keep the process as informal as possible.
3. The complainant will outline their complaint and explain why they are dissatisfied with the school's response at Formal Stage 1. The complainant may call any witnesses in support of their complaint who will attend the meeting only for the time that they are providing information, and may be questioned by all parties.
4. The headteacher and/or chair of governors and the governors on the panel will have the opportunity to ask questions of the complainant.
5. The headteacher and/or chair of governors will explain their involvement in the complaint and the reasons for their decisions at the informal and first formal stage. The headteacher and/or chair of governors may call any witnesses in support of his/her statement who will attend the meeting only for the time that they are providing information, and may be questioned by all parties.
6. The complainant and the governors on the panel will have the opportunity to ask questions of the headteacher and/or chair of governors.
7. Both parties will be given the opportunity to sum up their statements, ending with the complainant. No new material may be introduced at this stage.
8. The governors may decide to adjourn the hearing pending further investigation at any stage, if this seems necessary.
9. Both parties will leave the meeting and the governors will consider the information that has been put to them. The clerk will remain for this part of the meeting in order to clarify anything if necessary, but the governors' deliberations will not be minuted.
10. The governors' panel must reach a unanimous or majority decision as to whether or not to uphold the complaint wholly or in part, and what action (if any) the school needs to take to resolve the complaint. This may include referring the matter to another formal process, whether in relation to a complaint against a governor or a member of the school staff. Normally the governors will reach a decision at this point but they may feel the need to take further advice. Where this is the case they should endeavour to reach a decision as soon as possible.
11. The governors will communicate their response to both parties in writing as soon as possible but, in any case, within five working days of reaching their decision.

Appendix D: Policy for Managing Serial or Unreasonable Complaints

1. This school is committed to dealing with all complaints fairly and impartially, and to providing a high quality service to those who complain. We will not normally limit the contact complainants have with our school. However, we do not expect our staff to tolerate unacceptable behaviour and will take action to protect staff from that behaviour, including that which is abusive, offensive or threatening.

2. This school defines unreasonable behaviour as that which hinders our consideration of complaints because of the frequency or nature of the complainant's contact with the school. For example if 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
- refuses to accept that certain issues are not within the scope of the complaints procedure
- insists on the complaint being dealt with in ways which are incompatible with the complaints procedure or with good practice
- introduces trivial or irrelevant information which they expect to be taken into account and commented on
- 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 school's complaint procedure has been fully and properly implemented and completed including referral to the DfE
- seeks an unrealistic outcome
- makes excessive demands on school time by frequent, lengthy and complicated contact with staff regarding the complaint in person, in writing, by email and by telephone while the complaint is being dealt with
- uses threats to intimidate
- uses abusive, offensive or discriminatory language or violence
- knowingly provides falsified information
- publishes unacceptable information on social media or other public forums.

3. Complainants should try to limit their communication with the school that relates to their complaint, while the complaint is being progressed. It is not helpful if repeated correspondence is sent (either by letter, phone, email or text), as it could delay the outcome being reached.

4. Whenever possible, the headteacher or chair of governors will discuss any concerns with the complainant informally before applying an 'unreasonable' marking.

5. If the behaviour continues, the headteacher will write to the complainant explaining that their behaviour is unreasonable and ask them to change it. For complainants who excessively contact the school causing a significant level of disruption, we may specify methods of communication and limit the number of contacts in a communication plan. This will be reviewed after six months.

6. In response to any incident of aggression or violence, we will immediately inform the police, where appropriate, and communicate our actions in writing. This may include barring an individual from the school premises.

Appendix E

Additional Information outside of the model policy.

Appendix E 1

School Complaints Procedure

Guidance for Governors – on formal Stage 2

Our school has a complaints procedure to ensure we respond to complaints as quickly and as effectively as possible.

If the headteacher/chair of governors is unable to resolve the matter informally, the complaint can be referred to a Complaints Committee appointed by the governing board. The aim of the hearing is to establish any areas of agreement and identify actions that can be taken to resolve the complaint. The governing board may nominate a number of members with delegated powers to hear complaints at that stage, and set out its terms of reference. These can include:

- drawing up its procedures; hearing individual appeals
- making recommendations on policy as a result of complaints.

The procedure adopted by the committee for hearing appeals is part of the school's complaints procedure. The committee can be drawn from the nominated members and or other governing boards. The usual complement is three governors. The committee may choose its own chair.

The Remit of the Complaints Committee

The committee has delegated powers to:

- Uphold the complaint in whole or in part
- Dismiss the complaint in whole or in part
- Decide on the appropriate action to be taken to resolve the complaint
- Recommend changes to the school's systems or procedures to ensure that problems of a similar nature do not recur.

There are several points which any governor sitting on a complaints committee needs to remember:

- It is important that the hearing is independent and impartial and that it is seen to be so. No governor may sit on the committee if they have had a prior involvement in the complaint or in the circumstances surrounding it. In deciding the make-up of the committee, governors need to try and ensure that it is a cross-section of the categories of governor and sensitive to the issues of race, gender and religious affiliation.

The aim of the hearing, which needs to be held in private, will always be to resolve the complaint and achieve reconciliation between the school and the complainant. However, it has to be recognised that the complainant might not be satisfied with the outcome if the hearing does not find in their favour. It may not be possible for the panel to establish the facts e.g. if there is insufficient corroborative evidence to enable it to form a view; its only alternative in this case is to make recommendations which will satisfy the complainant that their complaint has been taken seriously.

- An effective committee will acknowledge that many complainants feel nervous and inhibited in a formal setting. Parents often feel emotional when discussing an issue that affects their child. The committee chair will ensure that the proceedings are as welcoming as possible.

- The layout of the room will set the tone and care is needed to ensure the setting is informal and not adversarial.

Role of the Chair of the Complaints Committee

The Chair of the Committee has a key role, ensuring that:

- The remit of the committee is explained to the parties and each party has the opportunity of putting their case forward without undue interruption
- the issues are addressed
- key findings of fact are made
- parents and others who may not be used to speaking at such a hearing are put at ease
- the hearing is conducted in an informal manner with each party treating the other with respect and courtesy
- the committee is open minded and acting independently
- no member of the committee has a vested interest in the outcome of the proceedings or any involvement in an earlier stage of the procedure
- each side is given the opportunity to state their case and ask questions
- written material is seen by all parties. If a new issue arises it would be useful to give all parties the opportunity to consider and comment on it.

Checklist for a Complaints Committee Hearing

The committee needs to take the following points into account:

- The hearing is as informal as possible
- Witnesses are only required to attend for the part of the hearing in which they give their evidence
- After introductions, the complainant is invited to explain their complaint, and be followed by their witnesses
- The headteacher may question both the complainant and the witnesses after each has spoken
- The headteacher is then invited to explain the school's actions and be followed by the school's witnesses
- The complainant may question both the headteacher and the witnesses after each has spoken
- The committee may ask questions at any point
- The complainant is then invited to sum up their complaint
- The headteacher is then invited to sum up the school's actions and response to the complaint
- Both parties leave together while the committee decides on the issues
- The chair explains that both parties will hear from the committee within a set timescale.

Notification of the Committee's Decision

- The chair of the committee needs to ensure that the complainant is notified of the committee's decision, in writing, with the committee's response; this usually will be within 5 days of the date of the hearing. The letter needs to explain how to contact the DfE if they remain unsatisfied.

Version Control and Change History

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