



# **Honiton Primary School**

## **Complaints Procedure**

**Approved & Adopted by the Governing Body  
on  
13<sup>th</sup> December 2010**

This procedure is based on the NAHT model procedure

## **General Principles:**

- This procedure for is intended to allow you to raise a concern or complaint relating to the school, or the services that it provides.
- An anonymous concern or complaint will not be investigated under this procedure, unless there are exceptional circumstances.
- To allow for a proper investigation, concerns or complaints should be brought to the attention of the school as soon as possible. In general, any matter raised more than 3 months after the event, being complained of, will not be considered.

## **Raising a concern or complaint**

### **1) Informal Stage**

It is normally appropriate to communicate directly with the member of staff concerned. This may be by letter, by telephone or in person by appointment. Many concerns can be resolved by simple clarification or the provision of information and it is anticipated that most complaints will be resolved by this informal stage.

In the case of serious concerns it may be appropriate to address them directly to the Head Teacher [or to the Chair of the governing body, if the complaint is about the Head Teacher].

If you are uncertain about who to contact, please seek advice from the school office or the Clerk to the governing body.

### **2) Formal Stage**

If your concern or complaint is not resolved at the informal stage you must put the complaint in writing and pass it to the Head Teacher, [or to the Clerk to the governing body, for the attention of the Chair, if the complaint is about the Head Teacher] who will be responsible for ensuring that it is investigated appropriately.

A Complaint Form is provided to assist you.

You should include details which might assist the investigation, such as names of potential witnesses, dates and times of events, and copies of relevant documents.

It is very important that you include a clear statement of the actions that you would like the school to take to resolve your concern. Without this, it is much more difficult to proceed.

Please pass the completed form, in a sealed envelope to the Head Teacher or to the Clerk to the governing body, as appropriate.

The Head Teacher [or Chair] may invite you to a meeting to clarify your concerns and to seek an informal resolution. If you accept that invitation, you may be accompanied by a friend, if you wish, to assist you in explaining the nature of your concerns.

It is possible that your complaint will be resolved through a meeting with the Head Teacher [or Chair]. If not arrangements will be made for the matter to be fully investigated, using the appropriate procedure. In any case you should learn in writing, usually within 5 days of the school receiving your formal complaint, of how the school intends to proceed. This notification should include an indication of the anticipated timescale.

Any investigation will begin as soon as possible and when it has been concluded, you will be informed in writing of its conclusion.

If you are not satisfied with the manner in which the process has been followed, you may request that the governing body reviews the process followed by the school in handling the complaint. Any such request must be made in writing to the clerk to the governing body, within 10 school days of receiving notice of the outcome, and include a statement specifying any perceived failures to follow the procedure. The procedure described below will be followed. A Review Request form is provided for your convenience.

## **Review Process**

Any review of the process followed by the school will be conducted by a panel of 3 members of the governing body. This will usually take place within 10 school days of receipt of your request.

The review will normally be conducted through a consideration of written submissions, but reasonable requests to make oral representations should be considered sympathetically.

The panel will first receive written evidence from the complainant.

The panel will then invite representatives of the school [Usually the Head Teacher or the Chair of the governing body panel that has considered the matter], as appropriate, to make a response to the complaint.

The panel may also have access to the records kept of the process followed.

You, and the school representative[s], will be informed in writing of the outcome, usually within 5 school days of the panel meeting.

The matter will then be closed as far as the school is concerned.

If you believe that the Governing Body has acted illegally or arbitrarily in handling the complaint, then you may make representations to the Secretary of State for Children, Schools and Families.

## Honiton Primary School Complaint Form

Please complete this form and return it to Head Teacher [or Clerk to the governing body], who will acknowledge its receipt and inform you of the next stage in the procedure.

Your name: .....

Relationship with school [e.g. parent of a pupil on the schools roll ]:

.....

Pupil's name [ if relevant to your complaint ]:

.....

Your Address:

Daytime telephone number: .....

Evening telephone number: .....

Please give concise details of your complaint, [including dates, names of witnesses etc...], to allow the matter to be fully investigated.:

You may continue on separate paper, or attach additional documents, if you wish.

Number of Additional pages attached =

What action, if any, have you already taken to try to resolve your complaint? [i.e. who have you spoken with or written to and what was the outcome?]

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

Signature:

Date:

School use:  
Date Form received:  
Received by:  
Date acknowledgement sent:  
Acknowledgement sent by:

|                        |  |  |  |
|------------------------|--|--|--|
| Complaint referred to: |  |  |  |
| Date:                  |  |  |  |

## Honiton Primary School Complaint Review Request Form

Please complete this form and return it to Head Teacher [or Clerk to the governing body], who will acknowledge its receipt and inform you of the next stage in the procedure.

Your name: .....

Your address:

Daytime telephone number: .....

Evening telephone number: .....

Dear Sir

I submitted a formal complaint to the school on ..... and am dissatisfied by the procedure that has been followed.

My complaint was submitted to ..... and I received a response from ..... on .....

I have attached copies of my formal complaint and of the response[s] from the school.

I am dissatisfied with the way in which the procedure was carried out, because:

You may continue on separate paper, or attach additional documents, if you wish.

Number of Additional pages attached =

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

Signature:

Date:

School use

Date Form received:

Received by:

Date acknowledgement sent:

Acknowledgement sent by:

|                      |  |  |  |
|----------------------|--|--|--|
| Request referred to: |  |  |  |
| Date:                |  |  |  |

## **Annex 2: Investigation Procedure**

The investigation of an allegation or a complaint should always be carried out thoroughly and responsibly, irrespective of whether the complaint appears to be trivial or serious. The outcome of such an investigation will have significance not only for the complainant but also for any member of staff against whom a complaint has been made.

Any anonymous complaint will not be investigated, unless there are exceptional circumstances. These would include serious concerns such as Child Protection issues or bullying allegations, where the school should either involve appropriate external agencies or else conduct its own internal review to test whether there is any corroborative evidence which might trigger a formal investigation.

### **Preparing for an Investigation**

Where the school receives a formal complaint, it should be acknowledged and a commitment made that the complaint will be investigated and the outcome of the investigation notified to the complainant in due course.

It is essential that there is a clear understanding of the complaint. Where necessary the nature of the complaint should be confirmed with the complainant. e.g. through an initial meeting. [If an investigator is appointed there may need to be more detailed follow-up.]

Any member of staff against whom a complaint has been made, should be notified that a complaint has been received and that the appropriate school procedure will be followed. It is usually not appropriate to provide the member of staff with details of the evidence on which the complaint is based until any investigation has been completed. However the member of staff does need to be able to understand the nature of any allegations against them.

Once any complaint has been confirmed the school needs to determine which procedure [school or LA] is most appropriate and to select an appropriate person to conduct any investigation.

### **Conducting the investigation**

The investigation must be carried out in accordance with the provisions of the relevant procedure.

Arrangements should be agreed so that accurate notes can be taken of all interviews and the outcome of the investigation be accurately recorded.

The complainant should be given the opportunity to offer documentation and to identify potential witnesses or sources of evidence.

The member of staff subject to the complaint should be advised that they may be accompanied by a friend or trade union representative when invited to be interviewed.

Where children are potential witnesses, discretion should be exercised over their involvement. Pupils should only be interviewed when the nature of the complaint is sufficiently serious to

warrant it and adult witnesses are not available. Only in extreme circumstances will younger pupils be interviewed.

Any interviews should be conducted as soon as possible to ensure that recollections are as fresh as possible and to minimise the possibility that evidence will become tainted through witnesses discussing alleged incidents with other persons.

In conducting interviews, the investigator should prepare the questions to be asked prior to the interview. These can always be supplemented during the interview. The investigator should allow the interviewee to answer in their own way. Their responses should be listened to attentively. Any temptation to cut an interviewee short or to seek to "lead" them must be resisted. The interviewee should be given the opportunity of providing other relevant information at the end of the interview.

Interviewees should, however, be advised that their responses must be confined to the substance of the complaint. Any attempt by the interviewee to introduce information relating to other members of staff or to issues unrelated to the complaint should be resisted.

The investigator should avoid reaching conclusions or passing judgement until the investigation has been completed and their report is being written.

#### Concluding the investigation

The report may contain:

- a brief outline of the process that has been followed
- a statement of the complaint/concern
- a summary of the findings, linked to the relevant evidence
- any recommendations for future action
- annexes containing copies of witness statements and other evidence collected during the investigation

The report of the investigation will usually be confidential to the school, as it is likely to contain sensitive personal information. If a request is received to release the report, under either the Data Protection Act or Freedom of Information, the school should seek legal advice from the LA.

A summary of the process undertaken and the outcome of the investigation may be provided to the complainant. Caution must be exercised in reporting back to the complainant as revealing certain details may prejudice the ability of an employee to continue in post.

Following consideration of the report by the relevant body, any final recommendations may also be shared with the parties, unless there is good reason not so to do. Wherever possible, recommendations should be constructive and not punitive.

The complainant should be advised that he/she may, if they are not satisfied that the appropriate procedure has been followed, request a review of that process by the governing body.

## **Annex 3: Governing Body Complaints Panel Meeting**

If the school receives a formal complaint about one of the limited number of matters, that is not dealt with by another statutory process and which relates to school or the services that it provides, it may be necessary to convene a governing body panel to consider the matter and formulate a response.

The complaint is likely to relate to matters such as:

- the content or the application of a governing body policy
- Unreasonable exercise of discretion by headteacher  
e.g. declining to accept a volunteer or to sign a passport application or to authorise a pupil's absence
- Selection of pupils for a school team or play

If a governing body committee already has delegated power with respect to a policy that is being complained of, a panel of members from that committee should be convened. Otherwise the clerk should convene a panel of 3 governors, who have not previously been involved with the complaint.

The complainant should submit the details of their concerns, in writing, to the clerk. The clerk will seek similar written responses from the school, where this is necessary.

A meeting of the panel will take place, usually within 10 school days, to consider the matter. The complainant [who may be accompanied by a friend if they wish] and representative[s] from the school may be invited to attend this meeting in order to clarify the matter. As the panel meeting is intended to be investigatory, rather than adversarial, the persons giving evidence or making representations to the panel will normally attend separately.

When the panel has collected sufficient information, it will deliberate and then inform the complainant, the Head Teacher and the governing body of the outcome, in writing.

Consideration of the complaint by the governing body and the school, save for any actions that are agreed, will terminate at this point.

If the complainant is not satisfied that the appropriate procedure has been followed, they may request a review of that process by another panel of the governing body.

## **Annex 4: Model Letters**

### **a) Response to spurious complainant**

Dear

Following receipt of your communications and careful consideration of the same, I regret that I am unable to deal with this matter under the Governing Body's Complaints Procedure as:

*It will be appropriate to include SOME of the following statements:*

- You have not identified any specific actions of which you might complain
- Your concerns are presented as conclusions rather than specific actions of which you complain.
- The concerns that you identify relate to historical actions and any evidence which might have enabled an objective investigation of your complaint is no longer available.
- The substance of your complaint has been addressed under this procedure already.
- The concerns that you raise do not fall within the scope of this procedure.
- You have not identified any potential sources of evidence which might allow the matter to be investigated.

If you wish my decision to be reviewed then you may take advantage of the procedure set out in the school's Formal Complaint Procedure, by writing to the Clerk to the Governing Body.

Yours sincerely,

Head Teacher  
Or Chair of Governing Body

**b) Acknowledgement of receipt of formal complaint and invitation to meet**

Dear .....

I have received your formal complaint, dated ..... I am grateful that you have brought this to my attention.

The school and governing body take any complaint most seriously. Therefore I would like to meet with you, as soon as possible, so that I may understand the details of your concerns more clearly. You are welcome to be accompanied to the meeting by a friend, if you would find this helpful. Please telephone my secretary, in order to arrange an appointment./ I can offer you an appointment at .... on ,..... .Please let my secretary know if this is convenient.

I hope that we will be able to resolve your concerns through our meeting, but if not I will ensure that the appropriate investigation takes place. This should begin within 5 days of our meeting.

Yours sincerely,

Head Teacher  
Or Chair of Governing Body

**c) Acknowledgement of receipt of formal complaint referred by a third party**

Dear .....

I have received a copy of the documentation that you sent to ..... setting out a complaint about ..... This has been passed to the school as it has responsibility for these matters.

The school and governing body take any complaint most seriously. Therefore I would like to meet with you, as soon as possible, so that I may understand the details of your concerns more clearly. You are welcome to be accompanied to the meeting by a friend, if you would find this helpful. Please telephone my secretary, in order to arrange an appointment./ I can offer you an appointment at .... on ,..... .Please let my secretary know if this is convenient.

Meanwhile I would be grateful if you would complete and return the Formal Complaint Form that is enclosed, along with details of the school's complaints procedure.

I hope that we will be able to resolve your concerns through our meeting, but if not I will ensure that the appropriate investigation takes place. This should begin within 5 days of our meeting.

Yours sincerely,

Head Teacher  
Or Chair of Governing Body

**d) Acknowledgements of receipt of formal complaint and advising complainant that the matter has been referred**

Dear .....

I have received your formal complaint, dated ..... . I am grateful that you have brought this to my attention.

However, the matters that are of concern to you are the responsibility of the governing body/Pupil Discipline Committee/LA/Diocese/service provider, so I have forwarded your documentation to ..... . You should be contacted, in the near future, to be advised of how they intend to proceed.

If I can be of any further assistance, please do let me know.

Yours sincerely,

Head Teacher

**e) Acknowledgements of receipt of formal complaint and advising complainant that the matter is being dealt with under a confidential school procedure**

Dear .....

I have received your formal complaint, dated ..... . I am grateful that you have brought this to my attention.

The school and governing body take any complaint most seriously. Therefore I have begun an immediate investigation. It is possible that the investigator will wish to meet with you to clarify the evidence that you have provided so far. If so, he will write to you to make suitable arrangements.

As your concerns relate to the conduct/capability of a member of staff, the investigation will be carried out under the school's staff conduct/capability procedures. This means that the detail of the procedure and its outcome must remain confidential to the school and the member of staff concerned.

OR

As your concerns relate to the behaviour of a pupil, the investigation will be carried out under the school's pupil conduct and disciplinary procedures. This means that the detail of the procedure and its outcome must remain confidential to the school and the parents of the child concerned.

In due course, I may be able to provide you with some information about the outcomes of the investigation and the processes that have been followed, but in any event will let you know when the matter has been concluded.

If I can be of any further assistance, please do let me know.

Yours sincerely,

Head Teacher  
Or Chair of Governing Body

**f) NOTIFICATION OF DECISION REGARDING FORMAL COMPLAINT**

Dear

Following receipt of your complaint and careful consideration of all the available relevant evidence, I/the panel have/has concluded that:

- There is insufficient evidence to reach a conclusion, so the complaint cannot be upheld. If you are able to provide additional evidence forthwith I/we will reconsider this decision.

**OR**

- The concern is not substantiated by the evidence in that .....

**OR**

- The concern was substantiated in part/in full, as ..... The school will review its practices/procedures..... with the intention of avoiding any reoccurrence. Parents will be informed in due course of any policy changes.

**OR**

- In order to address fully the matters investigated, the school has initiated appropriate internal procedures. Due to the nature of these procedures, their outcome must remain strictly confidential. We are confident, however, that the circumstances that gave rise to your complaint should not recur

**OR**

- In order to address fully the matters of concern that you identified, the panel recommended that the governing body should review its ..... policy, as a matter of urgency. We are confident that this should prevent similar concerns arising in future.

I hope that we may now put this matter behind us and work together for the benefit of your child's progress.

Yours sincerely,

Head Teacher/Chair of Governing Body/Chair of Panel

**g) REVIEW OUTCOME NOTIFICATION**

Dear

Having carefully considered your representations in the context of the relevant evidence, the Governing Body Complaints Review Panel has concluded that the school followed the relevant procedure appropriately in respect of your complaint.

Summary of reasons .....

Therefore, the matter is now closed as far as the school is concerned.

**Or**

Having carefully considered your representations in the context of the relevant evidence, the Governing Body Complaints Review Panel has concluded that the school followed the relevant procedure appropriately in respect of your complaint except .....

Therefore, the following action will be taken .....

Once this action has been completed the school will consider the matter to be closed.

**Or**

Having carefully considered your representations in the context of the relevant evidence, the Governing Body Complaints Review Panel has concluded that the school followed the relevant procedure appropriately in respect of your complaint except .....

However the panel determined that this procedural failure did not affect the outcome of the consideration of your complaint so, while we regret this error, we will now consider this matter to be closed as far as the school is concerned.

Yours sincerely,

Chair of Complaints Review Panel

c.c. Head Teacher  
Chair of Governors

## **Annex 5: Model Paragraph for inclusion on School website**

### **Raising Concerns and Resolving Complaints**

From time to time parents, and others connected with the school, will become aware of matters which cause them concern. To encourage resolution of such situations the Governing Body has adopted a "School Complaints Procedure".

The procedure is devised with the intention that it will:

- Usually be possible to resolve problems by informal means
- Be simple to use and understand
- Be non-adversarial
- Provide confidentiality
- Allow problems to be handled swiftly through the correct procedure
- Address all the points at issue
- Inform future practice so that the problem is unlikely to recur.

Full details of the procedure may be obtained from the School Office or from the Clerk to the Governing Body.

## **Annex 6: Informal contact/ complaints**

If the person complaining is harassing or abusive:

- inform them that their complaint will be investigated
- give them the complaints pack
- inform them that their behaviour is now considered by the school to be unreasonable or unacceptable and ask them to leave the premises

Information to go in the complaints pack:

- Informal complaint form to complete at home
- Slip detailing the behaviour which the school expects
- HPS policy for Handling Unreasonably Persistent, Harassing or Abusive Complaints
- School Complaints Procedure

### **Contact/Complaints Triage Table**

| <b>Nature of Contact</b>   | <b>Appropriate person to receive contact</b>   | <b>Relevant Policy/Procedure</b>   |
|--|--|--|
| Request for published information  | School Office  | FOI Act<br>Charging Policy   |
| Request for personal pupil information   | Head Teacher or Senior member of staff   | DPA<br>Charging Policy   |
| Complaint about GB policy [content or application of]  | Clerk/Chair  | General Complaints Procedure   |
| Unreasonable exercise of discretion by Head Teacher e.g. declining to accept a volunteer or to sign a passport application | Head Teacher<br>Chair  | General Complaints Procedure   |
| Allegation about conduct of a member of staff  | Head Teacher<br>Or Chair [if allegation against head]                                  | School Staff Discipline Procedure [Confidential to School and Employee]                          |
| Allegation of verbal or physical assault by employee on pupil  | Head Teacher OR<br>Child Protection co-ordinator Or Chair [if allegation against head] | Local Child Protection Procedures [Confidential to school, LA CPO and parents of alleged victim] |
| Allegation about capability of a member of staff   | Head Teacher<br>Or Chair [if allegation against head]                                  | School Staff Competence Procedure [Confidential to School and Employee]                          |
| Conduct of another pupil [e.g. bullying]   | Head Teacher or Senior member of staff   | School behaviour and discipline procedures [Confidential to School and parents of alleged        |

|   |  |  |
|---|--|--|
|   |  | perpetrator]   |
| Discipline of a pupil   | Head Teacher or Senior member of staff           | School behaviour and discipline procedures [Confidential to School and parents of pupil] |
| Content of /Failure to maintain a statement of SEN                            | Head Teacher /SENCO<br>LA                        | LA procedures  |
| Admissions  | Chair/Clerk [Foundation/VA]<br>LA [Community/VC] | Admissions Procedure<br>Admissions Appeal Procedure                                      |
| Exclusion   | Chair/Clerk [Foundation/VA]<br>LA [Community/VC] | Exclusion Appeal Procedure   |
| Failure to provide NC Entitlement or Inappropriate curriculum                 | Head Teacher<br>Clerk to GB<br>LA                | LA Procedure   |
| Extended Services   | Manager of relevant service                      | Procedures of Service Provider   |
| GB Decision to remove licence for a person to enter school premises [banning] | Clerk to GB/Chair                                | GB Appeal Committee  |
| Selection of pupil for school team/play                                       | Head Teacher/Clerk to GB                         | General Complaints Procedure   |

**Honiton Primary School Informal Complaint Form – to be completed when a member of the SLT is unavailable or in conjunction with a member of the SLT**

Please complete this form and return it to Head Teacher who will acknowledge its receipt and inform you of the appropriate course of action.

Your name: .....

Relationship with school [ e.g. parent of a pupil on the schools roll ]:

.....

Pupil's name [ if relevant to your complaint ]:

.....

Your Address [if not known to the school]:

Daytime telephone number [if not known to the school]: .....

Evening telephone number [if not known to the school]: .....

Please give concise details of your complaint, [including dates, names of witnesses etc...], to allow the matter to be fully investigated:

You may continue on separate paper, or attach additional documents, if you wish.

Number of Additional pages attached =

What action, if any, have you already taken to try to resolve your complaint? [i.e. who have you spoken with or written to and what was the outcome?]

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

Signature:

Date:

School use:  
Date Form received:  
Received by:  
Date acknowledgement sent:  
Acknowledgement sent by:

|                        |  |  |  |
|------------------------|--|--|--|
| Complaint referred to: |  |  |  |
| Date:                  |  |  |  |

## **Slip to go in Complaints Pack**

The school expects anyone who wishes to raise concerns with the school to:

- treat all members of the school community with courtesy and respect;
- respect the needs of pupils and staff within the school;
- avoid the use of violence, or threats of violence, towards people or property;
- recognise the time constraints under which members of staff in schools work and allow the school a reasonable time to respond to a complaint;
- follow the school's complaints procedure.

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