


Complaints procedure



Approved by: SDT	Date: September 2023
Signed by: 	Position: CEO of Inclusion Education
Last reviewed: September 2023	Next review due: September 2025

Monitoring arrangements This policy will be reviewed bi-annually, but may be reviewed earlier if deemed appropriate by the Chief Executive or Trustee

As an organisation, Inclusion Education, received the following complaints:

Complaints 2022/2023: 0 received

Complaints 2021/2022: 0 received

Complaints 2020/2021: 0 received

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Contents

1. Aims	2
2. Legislation and guidance	3
3. Definitions and scope	3
4. Roles and responsibilities	3
5. Principles for investigation	5
6. Stages of complaint (not complaints against the headteacher or governors)	5
7. Complaints against the headteacher, a governor or the governing board	Error! Bookmark not defined.
8. Referring complaints on completion of the organisation's procedure	7
9. Persistent complaints	8
10. Record keeping	Error! Bookmark not defined.
11. Learning lessons	Error! Bookmark not defined.
12. Monitoring arrangements	Error! Bookmark not defined.
13. Links with other policies	10
14. Policy implementation	10

1. Aims

Our organisation (which includes the school and college when mentioned throughout this document) aims to meet its statutory obligations when responding to complaints from parents of learners, students, and others.

When responding to complaints, we aim to:

- Be impartial and non-adversarial
- Facilitate a full and fair investigation by an independent person where necessary
- Address all the points at issue and provide an effective and prompt response
- Respect complainants' desire for confidentiality
- Treat complainants with respect and courtesy
- Make sure that any decisions we make are lawful, rational, reasonable, fair and proportionate, in line with the principles of administrative law
- Keep complainants informed of the progress of the complaints process
- Consider how the complaint can feed into organisations improvement evaluation processes

We try to resolve concerns or complaints by informal means wherever possible. Where this is not possible, formal procedures will be followed.

The organisation will aim to give the complainant the opportunity to complete the complaints procedure in full.

To support this, we will make sure we publicise the existence of this policy and make it available on the Inclusion Education, School and College websites.

Throughout the process, we will be sensitive to the needs of all parties involved, and make any reasonable adjustments needed to accommodate individuals.

2. Legislation and guidance

This document meets the requirements set out in part 7 of the schedule to [the Education \(Independent School Standards\) Regulations 2014](#), which states that we must have and make available a written procedure to deal with complaints from parents of learner and students.

It is also based on guidance published by the Education and Skills Funding Agency (ESFA) on [creating a complaints procedure that complies with the above regulations](#), and refers to [good practice guidance on setting up complaints procedures](#) from the Department for Education (DfE).

3. Definitions and scope

3.1 Definitions

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”
- A **complaint** is defined as “an expression of dissatisfaction however made, about actions taken or a lack of action”

3.2 Scope

The organisation intends to resolve complaints informally where possible, at the earliest possible stage.

There may be occasions when complainants would like to raise their concerns formally. This policy outlines the procedure relating to handling such complaints.

This policy does **not** cover complaints procedures relating to:

- Admissions
- Statutory assessments of special educational needs (SEN)
- Safeguarding matters
- Exclusion
- Whistle-blowing
- Staff grievances
- Staff discipline

Complaints about services provided by other providers should be directed to the provider concerned.

4. Roles and responsibilities

4.1 The complainant

The complainant will get a more effective and timely response to their complaint if they:

- Follow these procedures
- Co-operate with the school and college throughout the process, and respond to deadlines and communication promptly
- Ask for assistance as needed

- Treat all those involved with respect
- Not publish details about the complaint on social media

4.2 The investigator

An individual will be appointed to look into the complaint, and establish the facts. They will:

- Interview all relevant parties, keeping notes
- Consider records and any written evidence and keep these securely
- Prepare a comprehensive report to the Headteacher / CEO which includes the facts and potential solutions

4.3 The complaints co-ordinator

The complaints co-ordinator can be:

- Inclusion Education CEO
- The Headteacher or Assistant Head
- Inclusion Education Head of Business Operations
- Clerk to the trustee board

The complaints co-ordinator will:

- Keep the complainant up to date at each stage in the procedure
- Make sure the process runs smoothly by liaising with staff members, Head Teachers, Clerk, CEO and Chair of Governing board / trustees.,
- Be aware of issues relating to:
 - Sharing third party information
 - Additional support needed by complainants, for example interpretation support or where the complainant is a child or young person
- Keep records
- Arrange the complaints hearing
- Record and circulate the minutes and outcome of the hearing

4.4 Review Hearing Chair

The complaints review hearing Chair can be:

- The Inclusion Education CEO
- The Headteacher or Assistant Head
- Inclusion Education Head of Business Operations
- Trustee

The chair 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 hearing, and are allowed to present their case

5. Principles for investigation

When investigating a complaint, we will try to clarify:

- What has happened
- Who was involved
- What the complainant feels would put things right

5.1 Time scales

The complainant must raise the complaint within 3 months of the incident. If the complaint is about a series of related incidents, they must raise the complaint within 3 months of the last incident.

We will consider exceptions to this time frame in circumstances where there were valid reasons for not making a complaint at that time and the complaint can still be investigated in a fair manner for all involved.

When complaints are made out of term time, we will consider them to have been received on the first school day after the holiday period.

If at any point we cannot meet the time scales 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

6. Stages of complaint (not complaints against the CEO or trustees)

6.1 Stage 1: informal

Inclusion Education will take informal concerns seriously and make every effort to resolve the matter quickly. It may be the case that the provision or clarification of information will resolve the issue.

The complainant should raise the complaint as soon as possible with the relevant member of staff or the head of provision, either in person or by letter, telephone or email. If the complainant is unclear who to contact or how to contact them, they should contact the office team, contact details of which can be found on the website. Staff members receiving complaints must inform the Head of provision within 24 hours.

The organisation will acknowledge informal complaints within 2 working days, and investigate and provide a response within 10 working days.

Where a complaint can be resolved informally at this level the member of staff dealing with it should nonetheless ensure the complainant has been made aware of all the options open for pursuing the complaint.

The informal stage will involve a meeting, telephone call or email between the complainant and the Headteacher or the subject of the complaint, if appropriate.

If the complaint is not resolved informally, it will be escalated to a formal complaint.

6.2 Stage 2: formal

The formal stage involves the complainant putting the complaint to the Headteacher:

- In a letter or email
- Over the phone
- In person
- Through a third party acting on their behalf

The complainant should provide details such as relevant dates, times and the names of witnesses of events, alongside copies of any relevant documents. The complainant should also state what they feel would resolve the complaint.

If complainants need assistance raising a formal complaint, they can contact the office team, contact details of which can be found on the website.

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 5 working days.

The Headteacher (or other person appointed by the head for this purpose) will then conduct their own investigation. The written conclusion of this investigation will be sent to the complainant within 15 working days.

If the complainant is not satisfied with the response and wishes to proceed to the next stage of this procedure, they should inform the coordinator in writing within 5 working days.

6.3 Stage 3: review hearing

Complaints will be escalated to the review hearing stage if the complainant is not satisfied with the response to the complaint at the second, formal, stage.

Attendees will consist of the Headteacher, CEO of Inclusion Education or a trustee and one other member of staff within the organisation who were not directly involved in the matters detailed in the complaint. This member of staff must be independent of the management and running of the provision or organisation. The panel cannot be made up solely of trustees and/or Senior Management Team, as they are not independent of the management and running of the provisions or organisation.

Attendees will have access to the existing record of the complaint's progress to date (see section 10).

The complainant must have reasonable notice of the date of the review hearing. The coordinator will aim to find a date within 10 working days of the request, where possible.

If the complainant rejects the offer of 3 proposed dates without good reason, the coordinator will set a date. The hearing will go ahead using written submissions from both parties.

Any written material will be circulated to all parties at least 2 working days before the date of the meeting.

At the meeting

The meeting will be held in private. Electronic recordings of meetings or conversations are not normally permitted unless a complainant's own disability or special needs require it. Prior knowledge and consent of all parties attending will be sought before meetings or conversations take place. Consent will be recorded in any minutes taken.

The complainant must be allowed to attend the review hearing and be accompanied if they wish. We don't encourage either party to bring legal representation, but will consider it on a case-by-case basis. For instance, if an employee is called as a witness in a complaint meeting, they may wish to be supported by their union.

Representatives from the media are not permitted to attend.

The complainant and Headteacher will have an opportunity to set out written or oral submissions prior to the meeting alongside the record of the complaints progress to date.

At the meeting, each individual will have the opportunity to give statements and present their evidence.

The Headteacher will then put together their findings and recommendations from the case. They will also provide copies of the minutes of the hearing and the findings and recommendations to the complainant and make a copy available for inspection by the Chair of Trustees.

The outcome

This can be to:

- Uphold the complaint, in whole or in part
- Dismiss the complaint, in whole or in part

If the complaint is upheld, the Inclusion Education CEO will:

- Decide the appropriate action to resolve the complaint
- Where appropriate, recommend changes to the school, college or organisational systems or procedures to prevent similar issues in the future

The organisation will inform those involved of the decision in writing within 5 working days.

7. Complaints against the Headteacher, Governor, Inclusion Education CEO, a trustee or the trustee board

Complaints made against the Headteacher or member of the Governing board, CEO or any member of the trustee board should be directed to the Clerk to the Trustee board in the first instance.

If the complaint is about the Headteacher or governing board member, the CEO will carry out the steps at stage 1-3 (set out in section 6 above).

If the complaint is about the CEO, a member of the Trustee Board will carry out the steps at stage 1-2 and the Chair of the Trustee Board will carry out step 3 (set out in section 6 above).

If the complaint is about the Chair of the Trustee Board, the CEO will carry out the steps at stage 1-3 (set out in section 6 above).

If the complaint is:

- Jointly about the Chair of the Trustee Board and the or
- The entire or majority of the Trustee Board

An independent investigator will carry out the steps in stage 1-3 (set out in section 6 above). They will be appointed by the senior leadership team and will write a formal response at the end of their investigation.

8. Referring complaints on completion of the organisation's procedure

If the complainant is unsatisfied with the outcome of the organisations complaints procedure and the complaint is regarding the school or college not meeting standards set by the DfE in any of the following areas, the complainant can refer their complaint to the DfE:

- Education
- Learner / student welfare and health and safety

- School / college premises
- Staff suitability
- Making information available to parents
- The spiritual, moral, social or cultural development of learners / students

The DfE will consider reports of a major failure to meet the standards. Where appropriate, it can arrange an emergency inspection to look at learner welfare and health and safety, and make sure that the school or college deals with serious failings.

For more information or to refer a complaint, see the following webpage:

<https://www.gov.uk/complain-about-school>

9. Persistent complaints

9.1 Unreasonably persistent complaints

Most complaints raised will be valid, and therefore we will treat them seriously. We will always support someone who has a genuine grievance and be keen to work with them to resolve any further issues they may be facing. However, in the exceptional circumstance that a complaint may become unreasonable if the person:

- Has made the same complaint before, and it's already been resolved by following the complaints procedure
- Makes a complaint that is obsessive, persistent, harassing, prolific, defamatory or repetitive
- Insists on pursuing a complaint that is unfounded, or out of scope of the complaints procedure, beyond all reason
- Pursues a valid complaint, but in an unreasonable manner e.g. refuses to articulate the complaint, refuses to co-operate with this complaints procedure, or insists that the complaint is dealt with in ways that are incompatible with this procedure and the time frames it sets out
- Makes a complaint designed to cause disruption, annoyance or excessive demands on the provisions or organisations time
- Seeks unrealistic outcomes, or a solution that lacks any serious purpose or value

Steps we will take

We will take every reasonable step to address the complainant's concerns, and give them a clear statement of our position and their options. We will maintain our role as an objective arbiter throughout the process, including when we meet with individuals. We will follow our complaints procedure as normal (as outlined above) wherever possible.

If the complainant continues to contact the organisation in a disruptive way, we may put communications strategies in place regarding this particular complaint. We may:

- Give the complainant a single point of contact via an email address
- Limit the number of times the complainant can make contact, such as a fixed number per term
- Ask the complainant to engage a third party to act on their behalf, such as [Citizens Advice](#)
- Put any other strategy in place as necessary

Stopping responding

We may stop responding to the complainant when all of these factors are met:

- We believe we have taken all reasonable steps to help address their concerns
- We have provided a clear statement of our position and their options
- The complainant contacts us repeatedly, and we believe their intention is to cause disruption or inconvenience

Where we stop responding, we will inform the individual that we intend to do so. We will also explain that we will still consider any new complaints they make.

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

9.2 Duplicate complaints

If we have resolved a complaint under this procedure and receive a duplicate complaint on the same subject from a partner, family member or other individual, we will assess whether there are aspects that we hadn't previously considered, or any new information we need to take into account.

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 that the local process is complete
- Direct them to the DfE if they are dissatisfied with our original handling of the complaint

If there are new aspects, we will follow this procedure again.

9.3 Complaint campaigns

Where the organisation receives a large volume of complaints about the same topic or subject, especially if these come from complainants unconnected with the organisation may respond to these complaints by:

- Publishing a single response on the relevant organisation website
- Sending a template response to all of the complainants

10. Record keeping

The organisation will record the progress of all complaints, including information about actions taken at all stages, the stage at which the complaint was resolved, and the final outcome. The records will also include copies of letters and emails, and notes relating to meetings and phone calls.

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 review panel.

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.

Records of complaints will be kept securely, only for as long as necessary and in line with data protection law, our privacy notices and records retention schedule.

The details of the complaint, including the names of individuals involved, will not be shared with the whole governing board in case a review panel needs to be organised at a later point.

Where the governing board is aware of the substance of the complaint before the review panel stage, the school will (where reasonably practicable) arrange for an independent panel to hear the complaint.

Complainants also have the right to request an independent panel if they believe there is likely to be bias in the proceedings. The decision to approve this request is made by the governing board, who will not unreasonably withhold consent.

11. Learning lessons

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 organisation can make to its procedures or practice to help prevent similar events in the future.

13. Links with other policies

Policies dealing with other forms of complaints include:

- Child protection and safeguarding policy and procedures
- Staff grievance procedures
- Staff disciplinary procedures

14. Policy implementation

The Chief Executive is responsible for ensuring the implementation of this policy and that regular reviews take place.

All staff and volunteers have a responsibility to adhere to this policy and will be made aware of this policy as part of their induction, supervision and training.

Failure to act in line with this policy will result in disciplinary action