



Policy No: 6 Complaints Policy & Procedure

Coordinator	Executive Operations Manager
Review Frequency	Annually
Policy First Issued	2014
Last Reviewed	Summer Term 2017
Date policy considered by External HR Consultant	N/A
Date policy considered by External Solicitor	N/A
Agreed by Governors and adopted on	July 2017
Does this policy need to be agreed by Governors? If yes, which committee	Yes, Board of Governors
Due for Review	Summer Term 2018
This policy is communicated by the following means:	
Governors	Governor consultation by email when policy reviewed and agreement
Staff	Policy folders on staff shared drive and in-house training
Parents	Academy website, Parent Evenings
Students	Academy website, assemblies, in lessons

Complaints Policy & Procedure

1. Introduction

UTC@harbourside endeavours to provide the best education possible for all of its students in an open and transparent environment. We welcome any feedback that we receive from parents, students and third parties, and we accept that not all of this will be positive. Where concerns are raised UTC@harbourside intends for these to be dealt with:

- Fairly
- Openly
- Promptly
- Without Prejudice

In order to do so, the Governors have approved the following procedure which explains what you should do if you have any concerns about UTC@harbourside . All members of staff will be familiar with the procedure and will be able to assist you.

2. Which procedure do I need?

Sometimes, when concerns are more specific, there are alternative and more appropriate policies for dealing with them. The following list details specific topics of complaints, and the correct policy to refer to. You can access these policies on the academy website or ask for a copy from the main academy reception.

- Student admissions; please see UTC@harbourside Admissions Policy
- Student exclusions; please see the UTC@harbourside Behaviour for Learning Policy
- Staff grievance, capability or disciplinary; these are covered by UTC@harbourside grievance, capability or disciplinary procedure.
- Where the complaint concerns a third party used by UTC@harbourside; please complain directly to the third party themselves.
- Anonymous complaints – please refer to the whistleblowing policy.
- Subject Access Requests and Freedom of Information Requests – please see UTC@harbourside Data Protection and Freedom of Information policies

3. Raising concerns

The majority of concerns can be dealt with without resorting to the complaints procedure. Where you have a concern about any aspect of UTC@harbourside or your child's education or wellbeing, raise this via the phone, email or in person with the relevant member of staff. Ideally, they will be able to address your concern immediately, or can arrange a meeting with you to discuss the issue. However, an immediate response may not be possible during teaching hours but should be received within 24 hours.

All concerns will be dealt with confidentially, although the staff member may need to take notes if they feel that the matter may need to be taken further or it may arise again in the future. Any such notes will be kept in accordance with the principles of the Data Protection Act 1998. However, such notes would be able to be used to as evidence if further investigation was required, or if the concern became a formal complaint.

4. Safeguarding

Wherever a complaint indicates that a child's wellbeing or safety is at risk, UTC@harbourside is under a duty to report this immediately to the local authority. Any action taken will be in accordance with UTC@harbourside safeguarding policy details of which can be found on UTC@harbourside website.

Complaints Policy & Procedure

5. Social Media

In order for complaints to be resolved as quickly and fairly as possible, we request the complainants do not discuss complaints publically via social media such as facebook and twitter. Complaints will be dealt with confidentially for those involved, and we expect complainants to observe confidentiality also.

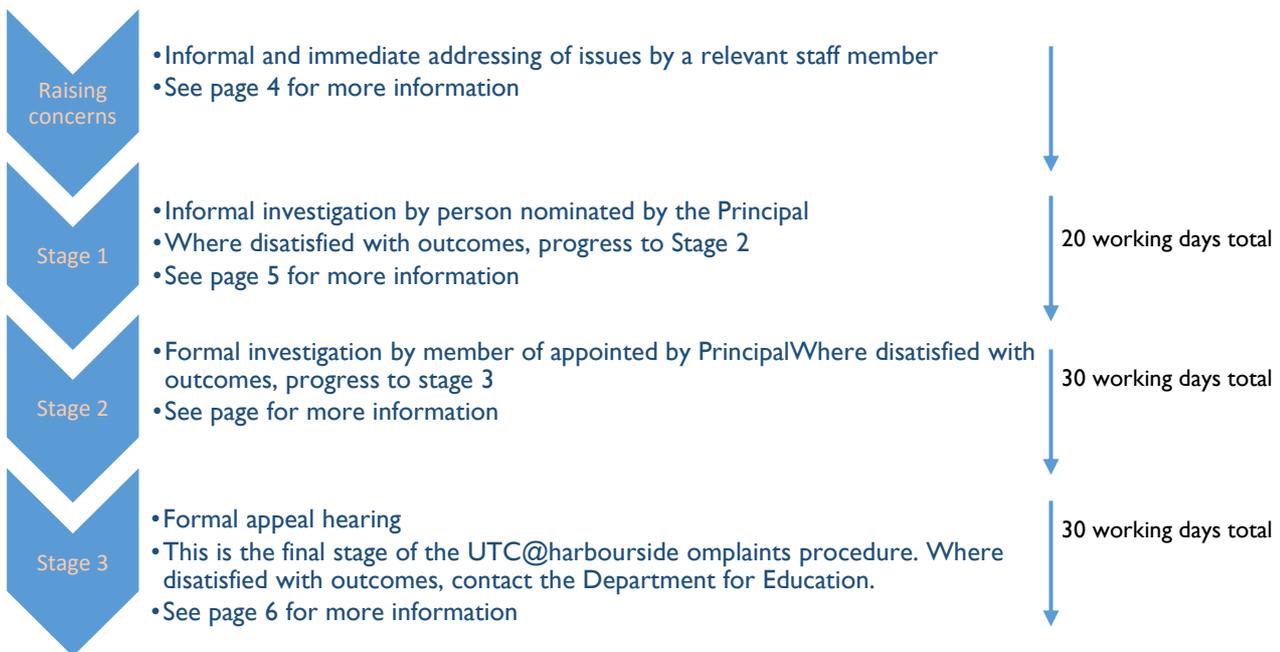
6. Complaints that result in staff capability or disciplinary

If at any formal stage of the complaint it is determined that staff disciplinary or capability proceedings are necessary in order to resolve the issue, the details of this action will remain confidential to the Principal and/or the individual's line manager. The complainant is entitled to be informed that action is being taken and the eventual outcome of any such action, but they are not entitled to participate in the proceedings or receive any detail about them.

7. Procedure

If you need to raise an issue in the first instance, please do so with the relevant member of staff who will be happy to talk to you and seek to establish a solution. If you are not satisfied and with this response and believe the issue has not been resolved, please use the following procedure as detailed below.

Timeline



8. Timeframes

UTC@harbourside will endeavour to abide by timeframes stated under each stage but acknowledges that in some circumstances, this is not always possible due to the complexity of information needed to review a complaint or difficulties regarding individual's availability to deal with the complaint, for example. If it becomes apparent that it is not possible to complete any stage of the complaints procedure within a given timeframe, the individual responsible for handling the complaint will contact the complainant as soon as possible and come to an agreed timeframe that works for all parties involved.

Complaints Policy & Procedure

UTC@harbourside reserves the right not to investigate complaints that have been made three months after the subject of the complaint took place, except in exceptional circumstances. What is meant by exceptional circumstances is 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 Principal will review the situation and decide whether or not to enact the complaints procedure, informing the chair of the governors.

9. Who should I approach?

If you have not been able to resolve the matter with the member of staff concerned you should contact Executive Operations Manager

10. Complaints about the Principal or the governors

Where a complaint regards the Principal the complainant should first directly approach the Principal in an attempt to resolve the issue informally. If the complainant is not satisfied with this outcome they should notify the clerk to the governors (see contact details at the end of the document). The Stage 2 process will then commence, but with the chair of governors as the individual responsible for the investigation rather than a member of the SLT.

Where a complaint regards a governor, the same process applies as for the Principal. Where a complaint concerns the Chair of Governors, the individual should contact the clerk to the governors. Informal resolution will be sought, but where this fails, the complaints procedure at Stage 3 will take immediate effect.

11. Stages of the Complaint

Stage 1 – Informal investigation

Where as a result of raising a concern the complainant still feels that the issue has not been addressed, or where the outcome has been that the complaint needs further investigation than can be resolved briefly, they may progress by making an informal complaint. In doing so, the following steps will be followed:

1. Complainant contacts the Complaints Officer Kathryn Reynolds
2. The complainant must explain in writing
 - An overview of the complaint so far
 - who has been involved
 - why the complaint remains unresolved
 - action they would like to be taken to put things right.
3. The Complaints Officer will respond within 5 working days (excluding those which fall in the school holidays) of having received the written complaint. They will explain what action they intend to take.
4. Where the complaint is about a member of staff an informal mediation meeting may be arranged between the two parties to see if a resolution can be come to.
5. The staff member will provide a written confirmation of the outcome of their investigation within 15 working days (excluding those which fall in the school holidays) of having sent confirmation of the intended action. Where the complainant is not satisfied with the outcome, they are able to progress to stage 2 of the complaints process, and launch a formal written complaint.

Complaints Policy & Procedure

6. The staff member will make a record of the concern and the outcomes of the discussion which will be held centrally for twelve months, in line with the principles of the Data Protection Act 1998

Stage 2 – formal investigation by a person appointed by the Principal

1. The complainant may submit a formal complaints form. See the end of the procedure for the contact details and for a copy of this form.
2. The investigator may be a member of the Senior Leadership Team or other appropriate person (either internal or external to UTC@harbourside) depending on the nature of the complaint.
3. A response will be made in writing within 10 working days (excluding those that fall in the school holidays) of the date of receipt of the complaint to acknowledge receipt of the complaint and explain what action will be taken, giving clear timeframes.
4. A log of all correspondence in relation to the complaint will be kept in accordance with the Data Protection Principles.
5. The appointed investigator will consider all relevant evidence; this may include but is not limited to:
 - a statement from the complainant,
 - where relevant a statement from an individual who is the subject of the complaint
 - any previous correspondence regarding the complaint
 - any supporting documents in either case
 - interview with anyone related to the complaint.
6. The investigator may decide to have a meeting with the complainant (and where relevant, the subject of the complaint) if they feel that it would be appropriate for the investigation.
6. After considering the report from the investigator and the available evidence, the Principal can:
 - Uphold the complaint and direct that certain action be taken to resolve it
 - Reject the complaint and provide the complainant with details of the stage three appeals process
 - Uphold the complaint in part: in other words, the Principal may find one aspect of the complaint to be valid, but not another aspect. They may direct for certain action to be taken to resolve the aspect that they find in favour of the complainant.
7. The Principal must inform the complainant of their decision in writing within 20 working days (excluding those that fall in the school holidays) of having issued written acknowledgement of the receipt of the complaint. They must explain clearly why they have come to the decision that they made. They must detail any agreed actions as a result of the complaint. Finally, they must provide the complainant with details of how to progress the complaint to stage three if they are not satisfied, providing them with the contact details of the clerk to the governors (see the end of the procedure for these).

Stage 3 – appeal – review by a panel of governors

If the complainant wishes to appeal a decision by the Principal at stage 2 of the procedure, or they are not satisfied with the action that the Principal took in relation to the complaint, the complainant is able to appeal this decision.

Complaints Policy & Procedure

They must write to the clerk (see the contact details at the end of the procedure) as soon as possible after receiving notice of the Principal's decision, briefly outlining the content of the complaint and requesting that a complaints appeal panel is convened.

The clerk will fulfil the role of organising the time and date of the appeal hearing, inviting all the attendees, collating all the relevant documentation and distributing this 5 days in advance of the meeting, recording the proceedings in the form of minutes, and circulating these and the outcome of the meeting.

The complainant must request an appeal panel within 4 weeks of receiving the Principal's decision or it will not be considered, except for in exceptional circumstances. On receipt of this written notification, the following steps will be followed:

1. The clerk will write to the complainant within five working days (not including school holidays) to confirm receipt of the appeal request and detail further action to be taken.
2. The clerk will convene a panel of two governors or directors from within the Trust and one independent person. All three panel members will have no prior knowledge of the content of the complaint.
3. The appeal hearing will take place within 20 working days (excluding those which fall in the school holidays) of receipt of the date of the confirmation letter from the clerk to the complainant, confirming the appeal.
4. In addition to the panel, the following parties will be invited, where applicable:
 - the complainant
 - the person who dealt with the complaint at Stage 2
 - where the complaint regards a member of staff, the staff member who is the subject of the complaint.

The complainant is also able to bring a companion with them to the hearing if they wish. Where the subject of the complaint is a member of staff, that staff member is also able to bring a companion with them.

The companion will be a friend or a colleague. Neither party is able to bring legal representation with them. If after the hearing any party feels that legal action is necessary, please see the contact details at the end of the procedure.

5. If the attendance of any student is required at the hearing, parental permission will be sought if they are under the age of 18. Extra care will be taken to consider the vulnerability of children where they are present at a complaints hearing.
6. Where the complaint is about a governor/director, the complainant may request that the appeal is heard by an entirely independent panel. It is at the discretion of Trust who will notify the clerk of their decision. Where an entirely independent panel is required, timescales may be affected while the academy or Trust source appropriate individuals for the review.
7. The panel can make the following decisions:
 - Dismiss the complaint in whole or in part
 - Uphold the complaint in whole or in part
 - Decide on the appropriate action to be taken to resolve the complaint

Complaints Policy & Procedure

- Recommend changes to the Trust or academy's systems or procedures to ensure that problems of a similar nature do not recur.

8. All parties who attended the meeting will be informed in writing of the outcome of the appeal within 5 working days (excluding those which fall in the school holidays).

This is the final stage at which the academy or Trust will consider the complaint. If the complainant remains dissatisfied and wishes to take the complaint further, please see the contact details at the end of the document. The Trust or academy will not consider the complaint beyond this.

13. Unreasonable complaints

Where a complainant raises an issue that has already been dealt with via the complaints procedure, and that procedure has been exhausted, the complaint will not be reinvestigated except in exceptional circumstances, for example where new evidence has come to light.

If a complainant persists in raising the same issue, the CEO will write to them explaining that the matter has been dealt with fully in line with the complaints procedure, and therefore the case is now closed. The complainant will be provided with the contact details of the Department for Education (see the end of this document) if they wish to take the matter further.

Unreasonable complaints include the following scenarios:

- The complainant refuses to co-operate with the academy's relevant procedures.
- The complainant changes the basis of the complaint as the complaint progresses.
- The complainant seeks an unrealistic outcome
- Excessive demands are made on the time of staff and academy governors and it is clearly intended to aggravate.
- The complainant acts in a way that is abusive or offensive.

The Principal will use their discretion to choose not to investigate these complaints. Where they decide to take this course of action, they must inform the chair of the Trust or chair of governors that they have done so, explaining the nature of the complaint and why they have chosen not to investigate. If the chair deems it appropriate to, they can redirect the Principal to investigate the complaint. The full complaints procedure will commence from stage one on this direction.

If the chair upholds the Principal's decision not to look into the complaint and the complainant deems this decision to be so unreasonable that no other rational body in the same position would have made that decision, then the complainant may write to the Department for Education (see the contact details at the end of the document).

14. Contact details for external organisations if not satisfied with the outcomes of the complaints procedure in full.

- If you have any queries regarding any aspect of the complaints procedure, please direct these to the clerk to the governors kathrynreynolds@utc-harbourside.org
- If the complainant feels that the Trust or academy has acted 'unreasonably' in the handling of the complaint, they can complain to the Department for Education after the complaints procedure has been exhausted. Please note that unreasonable is used in a legal sense and means acting in a way that no reasonable school or authority would act in the same circumstances.

Complaints Policy & Procedure

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

- Ofsted will also consider complaints about schools.

15. Relevant legislation and guidance

The Equality Act 2010 <http://www.legislation.gov.uk/ukpga/2010/15/contents>

The Data Protection Act 1998 <http://www.legislation.gov.uk/ukpga/1998/29/contents>

The Education (Independent School Standards) Regulations 2014

<http://www.legislation.gov.uk/uksi/2014/3283/contents/made>

Education Act 2002 <http://www.legislation.gov.uk/ukpga/2002/32/contents>

The Department for Education *Best Practice advice for school complaints procedures*

<https://www.gov.uk/government/publications/school-complaints-procedures>



UTC@harbourside Formal Complaints Form

Name	
Name of pupil, year group and your relationship to them (where applicable)	
Contact address	
Contact telephone	
Contact email address	
Details of the complaint	
Action taken so far (including staff member who has dealt with it so far) or solutions offered	

Complaints Policy & Procedure

The reason that this was not a satisfactory resolution for you
What action would you like to be taken to resolve the problem?

Signed:

Date:

<i>Official use</i> Date received:	Signed:
---------------------------------------	---------