

PROCEDURES FOR DEALING WITH SCHOOL BASED COMPLAINTS (Concerns & Complaints Policy)

INDEX

1. General principles of complaints
 - 1.1 Dealing with complaints - initial concerns
 - 1.2 Dealing with complaint - formal procedures
 - 1.3 Framework of principles
 - 1.4 Investigating complaints
 - 1.5 Resolving complaints
 - 1.6 Vexatious complaints
 - 1.7 Time-limits
 - 1.8 Stages of the complaints process
 - 1.9 Recording complaints
 - 1.10 Governing Body review
 - 1.11 Publicising the procedures

2. Flowchart - summary of dealing with complaints
3. Why does the school need a complaints procedure?
4. How will the guidelines help you?
5. How should schools handle complaints made by...?
6. What complaint/appeal procedures are not covered in this document?
7. What is the position of staff complained about?
8. Where can the school get further help?
9. How long should the school take in dealing with concerns and complaints?
10. What is the first stage in dealing with a complaint?
11. What is the second stage in dealing with a complaint?
12. Who can attend a stage 2 hearing?
13. What happens after the investigation / hearing?
14. What can parents do if they are not satisfied with the outcome of the second stage of the investigation?
15. When is there a third stage of complaint to the County Council and how does it work?
16. What happens when there is NO statutory third stage of complaint to the County Council?
17. Can parents complain to anyone other than the County Council?
18. Where can parents get help?
19. What kind of records will be kept about complaints?

Appendix 1 - National Curriculum and Collective Worship complaints

Appendix 2 - Hearing Stage 2 formal complaints - a toolkit for governors

Appendix 3 - How to complain to your child's school - Information for parents

Appendix 4 - Model leaflet for schools - Information for parents - How to comment and complain

1. General Principles of complaints

Most text extracted from 'School Complaints Procedure' document (DCSF)

1.1 Dealing with Complaints – Initial concerns

- Schools need to be clear about the difference between a concern and a complaint. Taking informal concerns seriously at the earliest stage will reduce the numbers that develop into formal complaints.
- These key messages deal with complaints but the underlying principle is that concerns ought to be handled, if at all possible, without the need for formal procedures. The requirement to have a complaints procedure need not in any way undermine efforts to resolve the concern informally. In most cases the class teacher or the individual delivering the service in the case of extended school provision, will receive the first approach. It would be helpful if staff were able to resolve issues on the spot, including apologising where necessary.

Schools may also wish to meet with parents if that would help resolve the issue.

Similarly parents may be given details of support organisations who may be able to impartially discuss the parents concerns with them (see Appendix 4).

1.2 Dealing with Complaints – Formal procedures

- The formal procedures will need to be invoked when initial attempts to resolve the issue are unsuccessful and the person raising the concern remains dissatisfied and wishes to take the matter further.
- Schools might wish to nominate a member of staff to have responsibility for the operation and management of the school complaints procedure. They could be termed the school's 'complaints co-ordinator'. In smaller schools this may often be the Headteacher.

1.3 Framework of Principles

An effective Complaints Procedure will:

- encourage resolution of problems by **informal** means wherever possible;
- be easily **accessible** and **publicised**;
- be **simple** to understand and use;
- be **impartial**;
- be **non-adversarial**;
- allow **swift** handling with established **time-limits** for action and keeping people informed of the progress;
- ensure a full and **fair** investigation by an independent person where necessary;
- respect people's desire for **confidentiality**;

- address all the points at issue and provide an **effective** response and **appropriate** redress, where necessary;
- provide **information** to the school's senior management team so that services can be improved.

1.4 Investigating Complaints

It is suggested that at each stage, the person investigating the complaint (the complaints co-ordinator), makes sure that they:

- establish **what** has happened so far, and **who** has been involved;
- clarify the nature of the complaint and what remains unresolved;
- meet with the complainant or contact them (if unsure or further information is necessary);
- clarify what the complainant feels would put things right;
- interview those involved in the matter and/or those complained of, allowing them to be accompanied if they wish;
- conduct the interview with an open mind and be prepared to persist in the questioning;
- keep notes of the interview.

1.5 Resolving Complaints

At each stage in the procedure schools will want to keep in mind ways in which a complaint can be resolved. It might be sufficient to acknowledge that the complaint is valid in whole or in part. In addition, it may be appropriate to offer one or more of the following:

- an apology;
- an explanation;
- an admission that the situation could have been handled differently or better;
- an assurance that the event complained of will not recur;
- an explanation of the steps that have been taken to ensure that it will not happen again;
- an undertaking to review school policies in light of the complaint.

It would be useful if complainants were encouraged to state what actions they feel might resolve the problem at any stage. An admission that the school could have handled the situation better is not the same as an admission of negligence.

An effective procedure will identify areas of agreement between the parties. It is also of equal importance to clarify any misunderstandings that might have occurred as this can create a positive atmosphere in which to discuss any outstanding issues.

1.6 Vexatious Complaints

If properly followed, a good complaints procedure will limit the number of complaints that become protracted. However, there will be occasions when, despite all stages of the procedures having been followed, the complainant remains dissatisfied. If the complainant tries to reopen the same issue, the chair of the Governing Body is able to inform them in writing that the procedure has been exhausted and that the matter is now closed.

1.7 Time-Limits

Complaints need to be considered, and resolved, as quickly and efficiently as possible. An effective complaints procedure will have realistic time limits for each action within each stage. However, where further investigations are necessary, new time limits can be set and the complainant sent details of the new deadline and an explanation for the delay.

1.8 Stages of the complaints process

A clear complaints process has well-defined stages:

- Informal - local resolution of the concern with staff member
- Stage 1 - complaint heard by Headteacher
- Stage 2 - Governor's panel

1.9 Recording Complaints

It would be useful for schools to record the progress of the complaint and the final outcome. A complaint may be made in person, by telephone, or in writing. At the end of a meeting or telephone call, it would be helpful if the member of staff ensured that the complainant and the school have the same understanding of what was discussed and agreed. A brief note of meetings and telephone calls can be kept and a copy of any written response added to the record.

1.10 Governing Body Review

The Governing Body can monitor the level and nature of complaints and review the outcomes on a regular basis to ensure the effectiveness of the procedure and make changes where necessary. Preferably, complaints information shared with the whole GB will not name individuals.

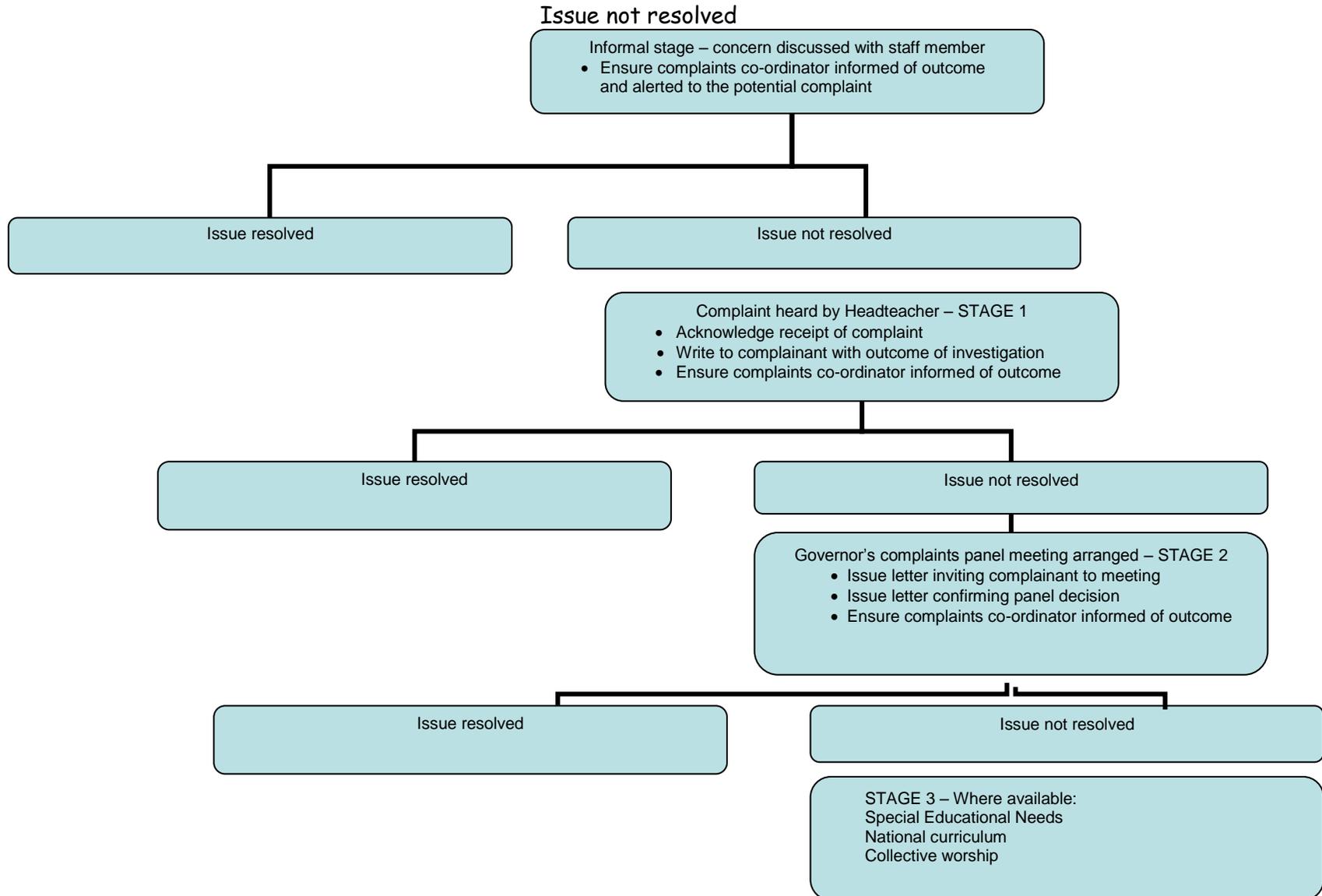
As well as addressing an individual's complaints, the process of listening to and resolving complaints will contribute to school improvement. When individual complaints are heard, schools may identify underlying issues that need to be addressed. The monitoring and review of complaints by the school and the Governing Body can be a useful tool in evaluating a school's performance.

1.11 Publicising the Procedure

There is a legal requirement for the Complaints Procedures to be publicised. It is up to the Governing Body to decide how to fulfil this requirement but details of the Complaints Procedures could be included in:

- the school prospectus;
- the governors' report to parents;
- the information given to new parents when their children join the school;
- the information given to the children themselves;
- the home-school agreement;
- home school bulletins or newsletters;
- documents supplied to community users including course information or letting agreements;
- a specific complaints leaflet which includes a form on which a complaint can be made;
- posters displayed in areas of the school that will be used by the public, such as reception or the main entrance;
- the school website

2. Summary of Dealing with Complaints



3. Why does the school need a complaints procedure?

Section 29 of the Education Act 2002 requires all maintained School Governing Bodies to adopt and publicise a complaints procedure for parents. This includes complaints about any community facilities or services that the school provides.

Previous legislation still applies. In particular, 1991 SEN Information Regulations require governing bodies of schools to publicise their complaint procedures in relation to SEN and the 1996 Education Act requires the LA to establish procedures for disputes between schools and parents about SEN provision.

There also remain specific requirements in relation to the National Curriculum, collective worship and religious education under the 1996 Education Act. The details are set out in Appendix 1.

4. How will these guidelines help you?

The Model Procedures include:

- Guidelines for Headteachers and Governing Bodies for handling complaints
- A Toolkit for Governors - Hearing Stage 2 Formal Complaints (Appendix 2)

Also included is:

- How to make a complaint about your child's school: Information for parents (Appendix 3)
- A model leaflet entitled 'How to Comment or Complain' - this is normally given to parents when their child starts school (Appendix 4)
- Complaints to CSCI from boarders and their parents and children in boarding schools and residential special schools (Appendix 5)

These procedures are now well-established in Hertfordshire and have been formally adopted or followed by the vast majority of schools. They were drawn up following consultation with Headteachers, Governors, the Diocesan authorities, the teacher associations and representatives of parent groups in 1995. The Diocese of St Albans commended the adoption of these procedures for Church of England Schools. For Roman Catholic schools the Diocese of Westminster has also provided its own guidelines for dealing with complaints.

The DCSF has confirmed our procedures are well ordered. They have, however, issued guidance in the form of a School Complaints Procedure Toolkit. The document is intended to help schools draw up a complaint procedure if they have not already done so, or to review their existing procedure if they wish. However, the good news is that the DCSF acknowledges that the majority of schools already have a complaint procedure in place, based on LA or Diocesan Board models

The DCSF guidance broadly reflects what this LA has for many years commended to schools. To obtain a copy of the guidance, download from www.governor.net.co.uk (go to Publications and search for School Complaints Procedure Toolkit) or telephone 01325 391290.

By following the up-dated procedures set out here, schools can ensure complaints are handled effectively.

5. How should schools handle complaints made by:

- A member of staff about another member of staff or the Headteacher?
- A member of the governing body about a member of staff?
- A member of staff about a member of the governing body?
- Members of the public (not parents)?
- A parent whose child no longer attends the school?

This model procedure essentially covers complaints made by parents or carers of children who attend the school, but it is important that schools do have in place written procedures for the above eventualities. It would not normally be necessary for school to consider complaints made 12 months after the events complained of.

Complaint made by one member of staff against another (including the Headteacher)

If it cannot be resolved through day to day staff management activities, the normal course of action would be to invoke the Staff Grievance Procedure.

Complaint made by a governor about a member of staff

This should be dealt with through the complaints procedure outlined in this document. Clearly the governor concerned would have to withdraw from any meeting at which the complaint or its outcome was being discussed. If the complaint is related to the *conduct* of a member of staff, it would be more appropriate to invoke the school's Disciplinary Procedures.

Complaint by a member of staff against an individual governor acting in a personal capacity

The Chair of the Governing Body (or the Vice-Chair if the complaint is against the Chair) should attempt to resolve the matter informally. If such a resolution is not possible, and with the agreement of the governor concerned, a panel of governors could be set up to consider the matter as under the normal complaints procedure in this document.

Complaint by a member of staff against the action/decision of the governing body

If the decision was taken at a meeting of the full governing body the matter would have to be put on the agenda for review at another meeting and if the decision was then confirmed that would be the end of the matter. (For this reason it is important that matters that could potentially lead to a complaint or appeal are routinely dealt with by a committee with delegated authority, in order to allow for an appeal or a rehearing by an unprejudiced second group of governors). If a committee or individual with delegated authority took the original decision then a panel of governors who were not involved in the decision should review the matter, ensuring that the member of staff concerned was given an opportunity to state his/her case to the panel. Any decision by the panel would be final.

Complaint by a member of the public (not a parent)

Complaints from members of the public are most likely to be dealt with by the Headteacher and beyond that the Chair of Governors.

Complaint by a parent whose child no longer attends the school

The purpose of this complaints procedure is to ensure that if an error has been made, or an injustice done, some action can be taken to remedy matters for the injured party. Where parents have removed their child from the roll of a school it is clearly impossible for the governing body to put things right for that child. However, the governing body has a duty of care to the pupils who remain on roll and it would be advisable for governors to investigate the circumstances to satisfy themselves that no-one had acted inappropriately and that procedures and policies had been followed correctly. It would be good practice to inform parents whether the complaint had been upheld or otherwise and of any changes to practice and procedures which have resulted.

6. What complaint/appeal procedures are NOT covered by this document?

These complaint procedures do not cover:

- Child Protection Procedures
- Appeals about admissions
- Appeals to governors discipline committee against permanent exclusion from school
- Staff Disciplinary Procedures

7. What is the position of staff complained about?

Under these complaints procedures any member of school staff who is complained about will have the opportunity to respond to the complaint during its investigation. They should also be able to see any response sent to the complainant as a result of the investigation.

There is an entirely separate procedure for schools to follow in dealing with staff disciplinary matters. Therefore, if in the course of considering a complaint the governing body or LA concludes that disciplinary procedures should be initiated, they will take separate action.

8. Where can the school get further help?

There is a "Toolkit" to help governors with practical arrangements for stage 2 complaints to the governing body attached as Appendix 2. For specific guidance on the materials in the "Toolkit" and for the practical arrangements for carrying out governor investigations and hearings, please contact School Governance on 01582 830372.

9. How long should the school take in dealing with concerns and complaints?

Schools should aim to deal with these quickly and efficiently at stage 1, so avoiding the formal stage two procedure wherever possible. All complaints should be acknowledged within 5 school days.

The governing body should deal with and respond fully to stage 2 formal complaints within 28 school days of the written complaint being received. If this is not possible parents need to be given the reasons for the delay and to be kept informed of progress.

10. What is the FIRST stage in dealing with a complaint?

Most concerns, or potential complaints, can be resolved informally by offering parents a full discussion with the member of staff who is best able to help. This may involve the Headteacher and the Chair of Governors working together to investigate the complaint. This is where the process should start and sometimes governors approached by parents informally will need to steer parents in this direction initially.

Governors need to be aware that if they do become involved closely with complaints at stage 1, they cannot be involved with stage 2 of the complaints procedure.

If the complaint is about the provision the school is making for a child's special educational needs, then a parent might find it helpful to talk to the named SEN Officer where this applies. The Parent Partnership Service will be able to provide advice on the procedures the LA has in place for resolving disputes between schools and parents over SEN provision.

Schools should give parents wishing to complain further a copy of the School Complaints Procedure and ask them to set out their complaint in a letter or by completing the complaint form.

11. What is the SECOND stage in dealing with a complaint?

Please see "Hearing Stage 2 Formal Complaints - A Toolkit for Governors" (Appendix 2) for detailed guidance on all the practical steps for investigating and hearing stage 2 complaints.

The Chair of Governors will arrange for the complaint to be investigated and considered under the arrangements approved by the governors for this purpose. This will usually involve a panel of governors appointed to act on behalf of the governing body. **In the case of Special Educational Needs complaints and National Curriculum or Collective Worship complaints, the Chair of Governors must inform the Complaints Manager.**

If the Chair of Governors, or other governors, have been involved in earlier discussions to try and help settle the disagreement at stage 1, then arrangements should be made for another governor with no prior involvement to take charge of the investigation and consideration of the complaint.

It may be helpful to offer the parent an opportunity to talk about the complaint in the course of the investigation, prior to any complaint hearing. This might clarify the outstanding matters of complaint which remain unresolved and what outcome is sought by the complainant.

Parents should be provided with full details of how the governors' complaint panel will conduct any further investigation. In some cases it may not be necessary for there to be a formal complaints panel hearing with both parties present together. Generally, however, a

formal hearing is the best way for both parents and the school Headteacher and staff to be satisfied they have had a proper opportunity to be listened to by governors. Everyone should also be informed in advance of the order of proceedings for complaint hearings.

Both parties should make available to the panel, in advance, any written information they intend to use in the formal hearing.

12. Who can attend a Stage 2 hearing?

At any meeting parents may be accompanied by a friend or representative who may speak on their behalf. This person could be an interpreter of their choice and parents should be encouraged to do this where necessary.

The Chair of the panel may invite to the meeting any person who may help establish the facts of the complaint. Parents need to be told who this person is before the meeting.

Any member of staff required by governors to attend any meeting or hearing will have the opportunity to be accompanied or represented.

A member of staff named by parents in the complaint may also choose to attend a meeting even if not required to do so by governors and may be represented. If this happens, parents should be told before the meeting.

13. What happens after the investigation/hearing?

When the complaint has been fully investigated and any hearing has taken place parents should be notified of the **findings** in writing by the Chair of the panel hearing the complaint or the governor responsible for the investigation.

The report, with findings, should, at the same time, be published to the governing body and will, in addition, include any **recommendations**. A meeting of the governing body must accept the findings but can accept, reject or reject in part, the recommendations.

The Chair of Governors should write to the parents to confirm any actions agreed by the governing body. Any agreed actions must be implemented by whoever it applies to - this could be the governing body as well as the Headteacher. Parents should also be informed whether and how they can take their complaint further.

A copy of the report must be sent to the Headteacher and the Complaints Manager in the case of those complaints where there is a right in law to a third stage of complaint to the County Council.

14. What can parents do if they are not satisfied with the outcome of the second stage of investigation?

In most cases it is expected that parental complaints will be satisfactorily resolved following formal complaint to the governing body. However, should parents remain dissatisfied, the following sections explain the circumstances in which complaints can be taken further.

15. When is there a THIRD stage of complaint to the County Council and how does it work?

(THIS APPLIES TO VERY FEW COMPLAINTS AS SET OUT BELOW)

When it is a complaint about the National Curriculum, or if it is about Collective Worship in a community or voluntary-controlled school.

Parents can complain further to the LA by writing to the Complaints Manager (see Appendix 1).

The complaints manager will acknowledge receipt of the complaint and will notify the Chair of Governors and the Headteacher. The Complaints Manager will arrange for the complaint to be investigated. The investigator will seek the comments of the governing body and any other information or advice as necessary.

Following investigation, the complaint will be considered by a panel of the Complaints Manager and three members of the LA.

Parents of a pupil may discuss their complaint with the investigating officer and may present their case personally to the panel. At any meeting the parent may be accompanied by a friend or representative who may speak on his or her behalf and also by an interpreter of his or her choice. A representative, or two representatives, of the governing body may make an oral presentation if the governing body wish.

When the complaint has been fully investigated and considered the Complaints Manager will notify the parent of the outcome in writing. This will explain reasons, any action taken or proposed to be taken and any further recourse available. A copy will be sent to the Clerk and Chair of Governors and the Headteacher. This brings the third stage to a conclusion.

When it is a complaint about the way a school is providing for a child's Special Educational Needs.

Parents can complain further to the LA by writing to the Complaints Manager.

The Complaints Manager will acknowledge the letter and will notify the Chair of Governors and the Headteacher. The Complaints Manager will arrange for the complaint to be investigated. The investigator will seek the comments of the governing body and any other information or advice as necessary.

When the complaint has been fully investigated and considered the Complaints Manager will notify parents of the outcome in writing, giving the reasons for it, any action or proposed action to be taken and the further recourse available. A copy of this will be sent to the Headteacher, the Chair of Governors and to anyone else concerned in the investigation. This brings the third stage for Special Educational Needs complaints to a conclusion.

16. What happens when there is NO statutory third stage of complaint to the County Council?

If the complaint is about denominational religious education in a voluntary aided school or collective worship in a voluntary aided school in accordance with the trust deed or previous practice before the school became a voluntary aided school:

There is no formal right of complaint to the LA (see Appendix 1). This is because the LA has no power to inspect the provision or to influence its content but complaint beyond the second stage may be made to the relevant Diocesan authority where this applies.

For Church of England schools complainants should write to the Diocesan Director of Education, Diocese of St Albans Education Centre, Hall Grove, Welwyn Garden City, AL7 4PJ.

If the complaint is about GENERAL MATTERS that are the responsibility of the governing body:

THERE IS NO STAGE 3 INVESTIGATION BY THE COUNTY COUNCIL

For the vast majority of complaints there is no right of appeal to the LA beyond the school's governing body (please see below for exceptions).

Parents may contact the complaints helpline for further advice but will be told there is no right of a further stage of formal investigation by the LA.

17. Can parents complain to anyone other than the County Council?

Parents have the right to complain to the Secretary of State for Education and Skills (under the Education Act 1996), if they believe that a governing body or the LA is acting or proposing to act unreasonably (section 496), or is failing to carry out a statutory duty (section 497). This has to mean that the LA or the governing body is acting outside its powers, or misusing them. Only then would the Secretary of State follow up the complaint.

The Secretary of State will then contact the LA or the governing body for information.

18. Where can parents get help?

Parents who remain dissatisfied following the Stage 2 consideration of their complaint by the Governing Body may seek advice from the CSF complaints helpline (tel: 01992 588542).

Appendix 5 is a model leaflet for schools. It also shows other sources of help which parents can be signposted to.

19. What kind of record will be kept about complaints?

Elected Members of the County Council will receive a report each year on any third stage National Curriculum, Collective Worship and Special Educational Needs complaints and will also receive a report on complaints about any National Curriculum and Collective Worship complaints which have been considered by schools at the second stage.

The complaints team will maintain records of complaints made or referred by parents to them for advice. These can help the LA identify trends and identify where schools may require particular guidance or support.

Schools should, as good practice, formally record and monitor all stage 2 complaints to the governing body.

Information may be published from time to time about the number and nature of complaints. Publication will not include reference to any named individual or school.

Agreed by the Staff on:

Approved by the Governors on:

Date for review:

NATIONAL CURRICULUM AND COLLECTIVE WORSHIP COMPLAINTS

1. Purpose

- 1.1 The purpose of this appendix is to provide more information on complaints which are specifically about the National Curriculum and Collective Worship, under the terms of Section 409 of the 1996 Education Act as amended by paragraph 107, Schedule 30, School Standards and Framework Act 1998.
- 1.2 They cover complaints made by anyone about the performance of duties or exercise of power by the LA or by the governing bodies of schools maintained by the LA. A complainant may make a complaint on behalf of a group of people with their agreement.

2. Scope of the arrangements

- 2.1 The schools covered are all schools maintained by the LA which are:

- primary schools (but excluding nursery classes)
- secondary schools
- special schools which are not established in a hospital

They do not cover nursery schools or special schools established in a hospital.

- 2.2 The kind of complaint covered here is defined by the 1996 Education Act. They are complaints that the governors of a school or the LA are not doing what the law requires of them because they:

- have failed to fulfil any of the duties listed below; or
- have acted or are proposing to act unreasonably in performing any of those duties or exercising any power relating to the curriculum or collective worship.

The duties involved are as follows and are common to the LA and governing bodies unless otherwise stated (references are to sections of the 1996 Education Act).

- (i) The provision of a curriculum including religious education and worship which meets the general requirements of Sections 350 -352 of the Act.
- (ii) The implementation of the national curriculum and compliance with orders and regulations made about its requirements and exceptions to its provisions (Sections 356 - 389).
- (iii) Provision to pupils of compulsory school age of courses leading to an external qualification only if that qualification and the associated syllabus criteria have been

approved by the Secretary of State or under arrangements approved by the Secretary of State (Section 400).

- (iv) Provision of religious education and worship as required by the Act and other enactments (Sections 375 - 389 and 394).
- (v) Compliance with regulations about the provision of information (Section 408).
- (vi) Operation of charging policies in relation to the curriculum (Sections 455 - 456).
- (vii) The need to act reasonably in deciding whether or not to be associated with an application for exemption from all or part of the National Curriculum in order to carry out developmental work (Section 362).
- (viii) In the case of the LEA only, the establishment of a standing advisory council on religious education and review of the agreed syllabus for the area if the standing advisory council so require (Sections 390 - 393).
- (ix) In the case of a governing body only, consideration of appeals by parents about the temporary withdrawal of pupils from part or all of the provisions of the National Curriculum.
- (x) Compliance with any other enactments relating to the curriculum.

3. Requirements

3.1 Consideration of a complaint will need to establish whether the LEA (or the governors) are acting reasonably and within the law and meeting their obligations or whether if this is not the case some action is required. In considering that question it may be necessary to consider whether:

- the LA's/governors' policy is consistent with legal requirements;
- their actions are consistent with their policy;
- the actions of staff are consistent with their policy.

4. The role of the Secretary of State

4.1 The 1996 Education Act lays down that the Secretary of State may not consider any National Curriculum or Collective Worship complaint unless it has first been considered under the LA's arrangements for handling complaints. The intention of this provision is that complaints should, if possible, be dealt with and resolved between the complainant and the parties responsible - the LA and/or the governing body.

4.2 A complainant who is still dissatisfied after these arrangements have been exhausted will be able to complain to the Secretary of State.

Guidelines for School Management

Hearing Stage 2 Formal Complaints A Toolkit for Governors

The material contained in this appendix is designed to guide governors through all the practical steps required by the complaints procedure

CONTENTS

A checklist of actions:

- upon receipt of a formal letter of complaint
- the Complaints Panel first meeting
- preparing the formal hearing
- when the Panel has reached its conclusion
- if the parent is not satisfied with the outcome

Formal Complaint form

Sample letters

Considering the evidence

Questions for the hearing

Format of hearing

Suggested layout of room

School Governance is happy to answer governors' questions on this material
Tel.01582 830372

This material is also available in downloadable form on www.thegrid.org.uk

INDEX FOR GOVERNORS' TOOLKIT

| | |
|---|----------------|
| Formal Complaint form | Annex A |
| Sample letters | |
| ○ Acknowledgement to parent on receipt of the complaint - Annex B | |
| ○ To Headteacher on receipt of parent's complaint - Annex C | |
| ○ To complaints team from the school advising of SEN, curriculum or collective worship complaints - Annex D | |
| ○ To parents inviting them to clarify their complaints - Annex F | |
| ○ To member of staff requesting them to give evidence - Annex G | |
| ○ To parents and Headteacher giving the date of the formal hearing - Annex H | |
| ○ To member of staff named in the complaint - Annex I | |
| ○ To parents and Headteacher enclosing papers - Annex K | |
| ○ To Headteacher with the panel's conclusions - Annex P | |
| ○ To complaints team, copy of panel's recommendations - Annex R | |
| ○ To parents following the discussion of recommendations by the Governing Body - Annex T | |
| | |
| Considering the evidence | Annex E |
| Questions for the hearing | Annex M |
| Format of hearing | Annex J |
| Suggested layout of room | Annex L |
| A fair hearing - Tribunals training video | Annex N |
| The Panel's Conclusions about the Complaint | Annex O |
| Report from the complaints panel | Annex P |

Guidelines for School Management

Hearing Stage 2 Formal Complaints

The panel 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 panel 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 panel decides on the issues.
- The chair explains that both parties will hear from the panel within a set time scale.

DCSF guidance

Checklist of actions

Complaint from dated

Upon receipt of a formal letter of complaint

| Tasks | Done (date) | Notes |
|---|----------------|---|
| Acknowledge receipt of formal complaint | | <i>See complaint form Annex A and letter Annex B.</i> |
| At the same time inform the Headteacher that a complaint has been received | | <i>See letter Annex C</i> |
| <p>Notify your complaints panel that a complaint has been received.</p> <p>Ask them to set a date for the panel's first meeting to plan their investigation</p> | | <p>The panel will typically consist of 3 governors but it is up to the governing body to decide the number for hearing complaints*.</p> <p>The membership of this group should have been established at the first meeting of the autumn term with reserves in case any of the governors needs to withdraw because of having prior knowledge of the incident or having a conflict of interest or unavailability. The governing body may wish to give delegated powers to the chair to vary the complaints panel membership where specialist knowledge by another governor would be useful.</p> <p>If you don't have the panel membership agreed you should call a governing body meeting at which the membership of the panel will be agreed. Since this is a matter of delegating powers you require a two-thirds quorum to set up the panel. The complaint must not be discussed at the meeting.</p> <p>The governing body must delegate powers to reach FINDINGS on whether the parents' complaint is justified since only the members of the panel will have all the evidence to reach their conclusions.</p> <p>However, the panel should be delegated to report RECOMMENDATIONS on any further action to the full governing body. This means that the members of the panel do not have to take sole responsibility for decisions on subsequent action and ensures that any decisions will have the backing of the governing body as a corporate group.</p> <p>*(The law only specifies at least three governors in the case of dismissal and exclusions)</p> |

| | | |
|------------------------------------|--|--|
| Inform Complaints Team if required | | The complaints team should be informed in the case of complaints about SEN, Curriculum or collective worship. <i>See Letter Annex D</i> |
|------------------------------------|--|--|

The Complaints Panel first meeting (*See Annex E*)

| Tasks | Done (date) | Notes |
|--|-------------|--|
| Make sure you understand the nature of the complaint. | | If the complaint is not clear, the complainant will need to be asked for clarification. In particular you will need to be clear whether the governing body is being asked to consider the original incident, or how the Headteacher has dealt with it. In practice, it is unlikely that it will be possible to separate the two entirely. However, if the original incident related to something for which the Headteacher was responsible under internal management (e.g. class organisation) the governing body must ensure that the complainant is aware that it has no power to change the Headteacher's decision - only to review how s/he dealt with the situation and make recommendations if appropriate. |
| Decide whether it would be helpful to offer the parent an opportunity to talk about the complaint. | | In many cases this can help to bring out more fully the nature and detail of the complaint to help the investigation to proceed. A response to the complaint would not be appropriate at this stage and the panel would need to make clear that they will not come to a decision at this stage. The complainant(s) may be accompanied by a friend, or representative who may speak on their behalf. The governing body should encourage complainants to be represented by an interpreter of their choice, if language difficulties are likely to be a problem. <i>(see letter Annex F).</i> |
| Decide what facts you need to establish. | | |
| Decide what documentation you need to ask to see that may help you to establish the facts. Identify who can be asked to provide that documentation. | | |
| Decide how you are going to | | A member of staff, parent or pupil may be a vital |

| | |
|--|---|
| <p>collect evidence prior to the hearing:</p> <ul style="list-style-type: none"> • signed statements • the panel interviews witness* • panel requests witness to attend | <p>witness. Governors may feel that it is best to collect evidence from them privately, prior to the hearing. The desire to keep the number of witnesses at the hearing to a minimum should be balanced against the principles of natural justice which requires that both sides hear what the witness has to say and are able to challenge their testimony.</p> <p>In order to avoid requiring an unwieldy number of witnesses appearing at the hearing, the panel would be advised to seek signed statements from witnesses. These statements would be sent to the complainant(s) before the hearing. The witnesses would only be required to attend the hearing if the complainant(s) or the Headteacher could show good reason for challenging their testimony - both that their testimony was critical to the case and that it could be contradicted.</p> <p>*In some cases the panel may wish to interview a witness before the hearing to pin point a specific item of evidence. The panel would need to be scrupulously careful to question in an objective and impartial way to ascertain the facts. The specific item of evidence should be typed up and signed by the witness.</p> <p>If any member of staff is required to attend any meeting they will have the opportunity to be accompanied or represented as they wish, (<i>see letter Annex G</i>).</p> <p>Note: No child may be requested to attend without written parental permission. Complainants cannot insist that a witness attends. The governing body cannot insist on anyone (except members of staff) attending a hearing.</p> |
| <p>Decide the date of the complaint hearing.</p> | <p>It will normally be right and prudent to hold a hearing if a parent has lodged a formal complaint. It may appear to the panel that there is no case to answer but parents lodging the complaint can only be satisfied that the governors have taken it seriously if they take part in a formal hearing. The panel must avoid giving any impression that they have pre-judged the case.</p> <p>The date should be as soon as possible consistent with giving time for the necessary evidence to be collected, copied and distributed to all concerned a week ahead of the hearing, (see below).</p> |

| | | |
|--|--|---|
| <p>Write to parents and Headteacher informing them of the date of the hearing.</p> | | <p>At the same time ask them to provide a written statement and other documentation by a date at least 10 days before the hearing. Send any signed statements collected by the panel and ask complainant and Head if they are prepared to accept those statements as unchallenged evidence. Also ask them to say if they will be accompanied by a friend and to give the name and address of that person and in what capacity they are attending (friend, interpreter, solicitor, union official etc.). <i>(see letter Annex H)</i></p> |
| <p>Write to any member of staff named in the complaint to offer them an opportunity to attend the hearing.</p> | | <p>You may not wish to use them as a witness but they have a right to attend. They may be accompanied by a friend or representative. <i>(see letter Annex I)</i></p> |

Preparing the formal hearing

| Tasks | Done (date) | Notes |
|--|----------------|--|
| Decide the format of the hearing | | <p>A schedule describing the possible format of the hearing is included in <i>Annex J</i></p> <p>All questioning should be conducted by the panel (who are actually the ones carrying out the investigation). It will not normally be appropriate for the 'plaintiff and defendant' to question each other. This should be made clear at the outset and strictly enforced by the Chair. The panel will need to make sure that it asks all the crucial questions that parents and Headteachers would have asked. At the end of their questioning the Chair of the panel should ask complainant and Headteacher whether the panel has asked all the questions that they would have wished.</p> |
| Send out papers to parents, Headteachers etc | | <p>These should arrive at least 7 days before the hearing. This allows good time for everyone to study them. (<i>see letter Annex K</i>)</p> <p>Papers should include:</p> <ul style="list-style-type: none"> • all the documentary evidence • names and status (i.e. friend, solicitor, interpreter, union official etc.) of everyone who will attend including any witnesses. • a schedule describing the format of the hearing. (<i>Annex J - see above</i>). |
| Ensure there is an appropriate meeting room to conduct the hearing | | For suggested layout <i>see Annex L</i> . |
| Decide where parents, Headteacher and any witnesses will wait. | | It is important that Headteacher and parents go into the hearing at the same time so there is no suggestion that the panel have been 'got at'. |
| Organise someone to take notes. | | <p>These notes should enable members of the panel to check back any significant points that were made at the hearing.</p> <p>Panels are advised NOT to tape record hearings unless they are prepared to spend hours poring in minute detail over every word that was uttered in the hearing. The panel, assisted by the clerk's notes, should be trusted to hear the key points of the evidence without</p> |

| | | |
|---|--|------------------------------|
| | | the need for tape recording. |
| Prepare questions the panel needs to ask on the basis of all available documentation. | | <i>See Annex M</i> |
| Reflect with all panel members on how the panel can ensure that parents, Headteacher (and any other staff involved) feel that they have been given a fair hearing | | |

When the Panel has reached its conclusions

| Tasks | Done (date) | Notes |
|---|--------------------|--|
| Write with your conclusions to the parents | | <p><i>See letter Annex N.</i></p> <p>In some circumstances the panel may prefer to communicate their findings orally through a meeting with a very brief follow-up letter.</p> <p>The panel should aim to keep its findings brief and simple. If the panel wants to make recommendations such as for restitution or a change in policy, these should not be included in the letter since the decision remains with the governing body which might overturn or amend the recommendation. If follow-up action is agreed it may be appropriate to inform the parents in a separate letter.</p> <p>There is no need to send parents notes of the meeting but they should be available for examination by the LA if the case goes to Stage 3 or to arbitration.</p> |
| Write to the Headteacher enclosing a copy of your conclusions to the parents. | | <i>See letter Annex O</i> |
| Report to governing body | | <p><i>See Annex P</i></p> <p>This confidential report should draw the distinction between the panel's findings and its recommendations. The governing body must delegate the power to determine their findings from consideration of all the evidence. This means that the findings must be accepted by the governing body. However, the panel may make recommendations to the full governing body based on lessons learned from the investigation of the complaint.</p> |

| | | |
|---|--|---|
| | | Any recommendations will be subject to discussion in the governing body and may not be accepted. |
| Report to complaints team where required. | | Governing bodies are required to report the outcome of complaints into SEN, curriculum, and collective worship. <i>See letter Annex Q.</i> |
| Write again to parents if it is appropriate to report any action decided by the governing body as a result of the panel's findings and recommendations. | | <i>See letter Annex R</i> |

If the parent is not satisfied with the outcome of the hearing

| | | |
|---|--|--|
| <p>Acknowledge receipt of their letter and respond appropriately.</p> | | <p>There are a number of possible next steps depending on the type of complaint. Complaints about SEN, National Curriculum and Collective Worship will move to stage 3 complaint to the LA. For other complaints there is no appeal beyond the governing body although parents can complain to the Secretary of State. A range of responses is shown in <i>letter Annex S</i>.</p> |
|---|--|--|

Formal Complaint Form

Name

Address

Postcode

Email address

Telephone No. **Day**

Evening

Mobile

What is it you want to complain about?

| | | |
|--|------------|-----------|
| | YES | NO |
|--|------------|-----------|

Have you complained to the Headteacher?

When did you do this? **Date:**

What happened when you complained to the Headteacher?

What would you like us to do to put things right?

| |
|--|
| |
|--|

| | |
|---------------|--|
| Signed | |
| Date | |

Please return this form to the Chair of the Governing Body

Letter of acknowledgement to parent on receipt of complaint

Dear

COMPLAINT ABOUT.....

I am writing to acknowledge receipt of your complaint dated

I shall arrange a panel of governors to investigate your complaint. The panel will meet to decide what it needs to do to ensure it has all the relevant evidence and to plan a realistic timetable for the investigation. When this planning is complete, we shall write to you again with further details. You should receive that letter by

I enclose a copy of our complaints procedure.

Yours sincerely

Chair of the Governing Body

enc.

cc: Headteacher

Letter to Headteacher on receipt of parent's complaint

Dear

COMPLAINT ABOUT

I have received a letter of complaint from(name of parent) dated I enclose a copy of the complaint for your information.

In line with our complaints procedure, I shall arrange a panel of governors to investigate the complaint. The panel will meet to decide what it needs to do to ensure it has all the relevant evidence and to plan a realistic timetable for the investigation. When this planning is complete, we shall write to you again with further details. You should receive that letter by

You will appreciate that the governing body must be equally fair to both sides in investigating this complaint.

I would be grateful if you could send me a written statement responding to the complaint. You will have an opportunity to expand on the statement but it would be very helpful if you can submit your initial statement before the panel meets to plan its investigation on (date).

Yours sincerely

Chair of the Governing Body

enc.

**Letter to Complaints Team informing about a complaint concerning
SEN, Curriculum or Collective Worship**

Complaints Team
Customer Focus
County Hall
Hertford
SG13 8DF

Date

Dear

COMPLAINT CONCERNING SEN/CURRICULUM/COLLECTIVE WORSHIP COMPLAINT

The governing body have received a complaint from name dated
..... concerning

I enclose a copy of the complaint.

The governing body will investigate the complaint and report the outcome to you as soon as
the investigation is complete.

Yours sincerely

Chair of the Governing Body

enc.

Considering the evidence
A suggested format for clarifying issues and seeking information

What is the complaint?

What facts are not disputed?

-
-
-
-
-

What facts do we need to establish

How?
*(documentation from
questioning of
.....)*

Comments

Letter to parent inviting them to clarify the complaint

Dear

COMPLAINT ABOUT

The Chair/clerk has passed your complaint to me as the Chair of the complaints panel. The panel of governors has met to plan our investigation of your complaint. Members of the panel are (named governors)

We would like to get a clearer understanding of your complaint before we start the investigation. The questions we would particularly like to ask are:

We think it would be helpful if you could meet with the panel to give us more detail of your complaint. We have arranged a meeting on(date) and hope that you will be able to attend. If you cannot attend on that date please contact me (telephone) and we shall try to arrange another time. You may prefer to write with more details. If so, please reply by(the day before the suggested meeting date).

Your daughter/son(name) may also be able to help us clarify some points. We should be very pleased if you are able to bring her/him with you to this meeting. We cannot insist that she/he attends.

The meeting we suggest is not a formal hearing of your complaint. The panel would not come to a decision at this stage.

You may be accompanied at the meeting, if you wish, by a friend, or representative who may speak on your behalf. *(You may also bring an interpreter of your choice, if you need one.)*

Please let me know, as soon as possible, whether you will attend the meeting on (date).

Yours sincerely

Chair of Complaints Panel

To member of staff required to give evidence

Dear

COMPLAINT ABOUT

The governing body has received a complaint from and a panel has been convened to consider the complaint comprising (named governors).

The panel is keen to establish all the relevant facts and it would be very helpful if we could interview you to ascertain (what are the questions you wish to ask).

We are therefore asking you to attend(the arrangements that you have decided).

This meeting is not a formal hearing of 's complaint but you are entitled to be accompanied by a friend or representative, if you wish. I should be grateful if you would confirm your attendance at this meeting and let me know the name and status of any friend or representative who will accompany you.

I enclose a copy of the school's complaints procedure for your information.

Yours sincerely

Chair of Complaints Panel.

Letter to parents and Headteacher giving date of the formal hearing

Dear

COMPLAINT ABOUT

The Chair/clerk has passed your complaint on to me as the Chair of the complaints panel. The panel of governors has met to plan our investigation of your complaint. Members of the panel are(named governors).

We have arranged a formal hearing of the complaint on(date and time) at (venue).

Your child may give evidence if you wish.

You are entitled to be accompanied by a friend or representative, if you wish. I should be grateful if you would confirm your attendance at this meeting and let me know the name of any friend or representative who will accompany you by (date, at least 9 days aHead of formal hearing). It would help us to know in which capacity the additional person is attending - interpreter, legal representative, friend etc).

I shall write to you by(date, at least 7 days aHead of formal hearing) to let you know the names of everyone attending the formal hearing and enclosing copies of all the written evidence provided by parents and the Headteacher. If you wish to submit any further evidence, please send it to me by (date, at least 9 days aHead of formal hearing).

Yours sincerely

Chair of Complaints Panel.

cc parent/Headteacher

NB The first paragraph of this letter will need to be amended if you have already sent Letter Annex C.

Letter to member of staff named in the complaint

Dear

COMPLAINT ABOUT

The governing body has received a complaint from (named parents) in which you are named. I enclose a copy of the complaint and the school's complaints procedure for your information.

We have arranged a formal hearing of the complaint on(date and time) at (venue).

As a member of staff named in the complaint you are entitled to attend although we do not wish to call you as a witness. You are entitled to be accompanied by a friend or representative, if you wish.

I should be grateful if you would let me know whether you wish to attend this hearing and inform me of the name of any friend or representative who will accompany you by (date, at least 9 days ahead of formal hearing). It would help us to know in which capacity the additional person is attending - legal representative, union representative, friend etc).

I shall write to you by(date, at least 7 days ahead of formal hearing) to let you know the names of everyone attending the formal hearing and enclosing copies of all the written evidence provided by parents and the Headteacher.

Yours sincerely

Chair of Complaints Panel.

Format of Hearing

| | |
|---------|---|
| Stage A | Introductions of everyone present and clarification of the conduct of the hearing. Panel Chair checks that everyone has a copy of this Format of Hearing on the table. |
| Stage B | Parents present complaint highlighting points made in their written complaint and other documentation. Panel questions parents to clarify the points they make. |
| Stage C | Headteacher presents the facts as s/he perceives them - highlighting points made in the written response and other documentation. Panel questions Headteacher to clarify the points s/he has made. |
| Stage D | Parents summarise their case highlighting evidence including anything that has emerged in the questioning. |
| Stage E | Headteacher summarises the case for the school highlighting evidence including anything that has emerged in the questioning. |
| Close | Panel Chair thanks parents and Headteacher for attending and gives an indication of when they can expect to hear the outcome. Parents and Headteacher leave the room together. Panel considers all the evidence and comes to its conclusion. |

Letter to parents and Headteacher enclosing papers

Dear

COMPLAINT ABOUT

Thank you for providing the information we asked for in our letter of date (Letter Annex G)

I am now in the position to give you full details about how we propose to conduct the hearing of your complaint on (date) and to enclose all the statements and other evidence we shall use to consider your complaint.

The hearing will start at (time). You are asked to report to the school office. You will be shown to a waiting area. The clerk will collect Headteacher and parents from the waiting area and they will be introduced to the panel at the same time.

The hearing will be attended by: *(insert names)*

- *members of panel*
- *clerk/note taker*
- *parents*
- *friend or representative (indicating status)*
- *Headteacher*
- *Head's representative (indicating status)*
- *witnesses (if required)*
- *additional named staff (who are entitled and have expressed an intention to attend).*

The following written statements and evidence is enclosed:

- *statement of complaint*
- *Headteacher's statement*
- *statements from witnesses*
- *any other evidence*

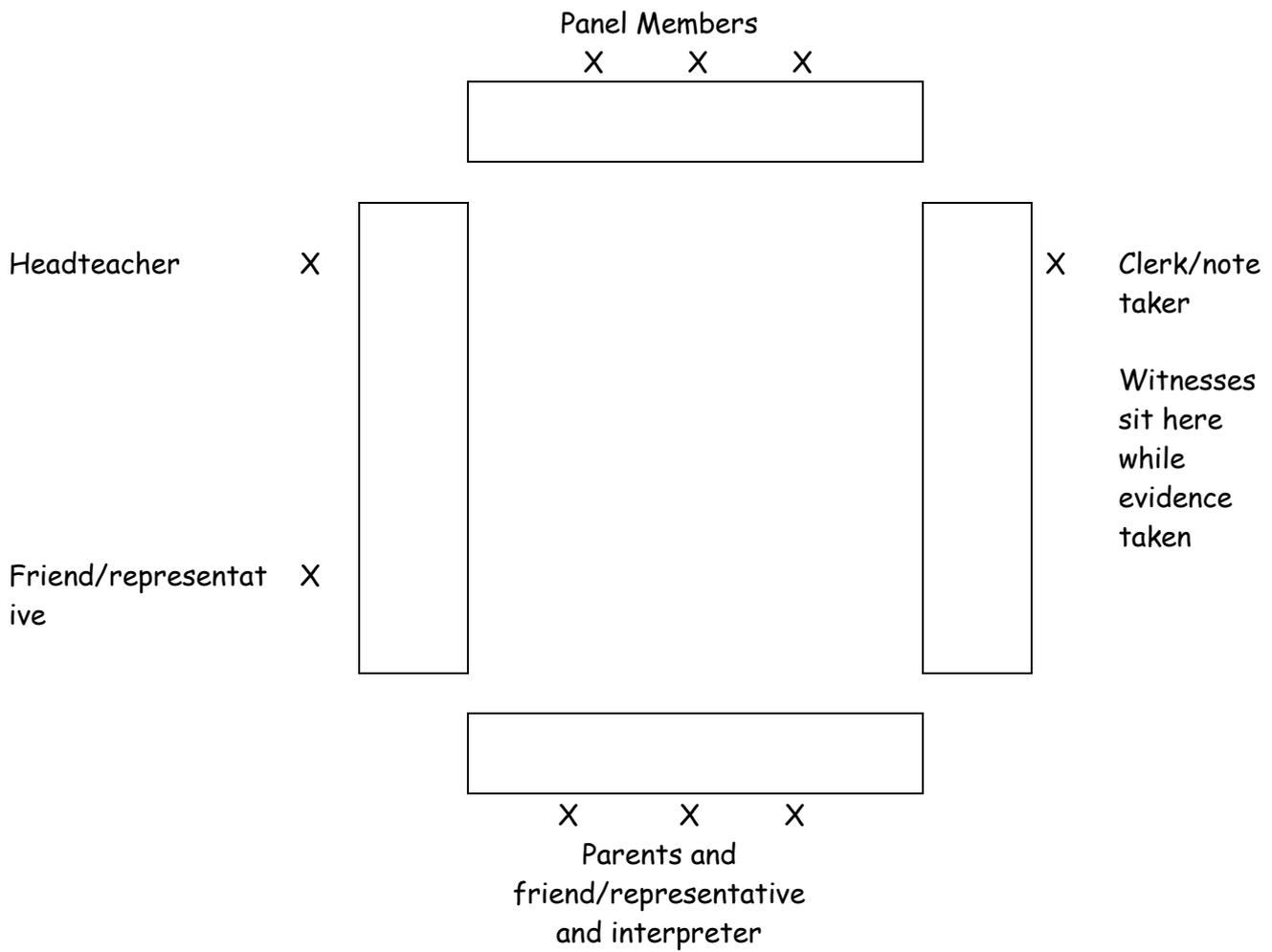
The format of the meeting is described on the attached sheet. *(enclose Annex I amended as required)*

I wish to remind you that the panel will investigate the process by which any decisions which are the subject of your complaint were arrived at.

We look forward to meeting you on

Yours sincerely
Chair of Complaints Panel

Suggested layout for Complaints Hearing



X X X
Observers
(staff named
in the
complaint who
wish to
attend)

Questions for the hearing

A suggested format for the panel to agree lines of questioning and to record evidence provided at the hearing.

What is the complaint?

What facts are not disputed?

-
-
-
-
-
-

What facts do we need to establish

What questions do we need to ask of whom?

Conclusions

The Panel's Conclusions about the Complaint

Dear

COMPLAINT ABOUT.....

Thank you for attending the hearing on The panel considered the evidence very carefully and we have come to the following conclusion(s).

Optional addition:

As a result of our investigation there are a number of recommendations that we shall be making to the governing body. We shall write to you again to inform you of any action the governing body decides to take as a result of this incident.

Yours sincerely

Chair of Complaints Panel

cc Headteacher

Any staff member named in the complaint

Complaints team

Letter to Headteacher with the panel's conclusions

Dear

COMPLAINT ABOUT.....

Thank you for attending the hearing on The panel considered the evidence very carefully and we have come to the following conclusion(s).

Add a paragraph about any action that you propose to take or recommendations you will make as a result of these conclusions.

I enclose a copy of the letter that we have sent to the parents.

Yours sincerely

Chair of Complaints Panel

enc.

STRICTLY CONFIDENTIAL

Report from the Complaints Panel

Report on a complaint by(name of parents)

Hearing date

Panel membership

-
-
-

The panel reached the following findings (exact wording from letter to the parent(s))

The panel asks that the following recommendations be considered by the full governing body meeting on

- (a)
- (b)
- (c)
- (d)
- (e)

Copy to Complaints Team

Complaints Team Manager
County Hall
Hertford
SG13 8DF

Dear

MR AND MRS
COMPLAINT ABOUT.....

Please find enclosed the letter which we have sent to (named parents) with the panel's conclusions following a hearing of their complaint on (date).

Yours sincerely

Chair of Complaints Panel

**Letter to parents following discussion of any recommendations
by the governing body.**

Dear.....

COMPLAINT ABOUT

When we wrote to you with our findings following the investigation of your complaint we told you that we would be making some recommendations to the governing body. The governing body has discussed our recommendations and has agreed the following action.

Yours sincerely,

Chair of the Governing Body

Letter to Parents not satisfied with the governing body's conclusions

Dear.....

Complaint about

I am sorry to hear that you are not satisfied with the conclusions we reached over your complaint. The panel made every effort to be scrupulously fair in hearing your complaint and taking account of all the evidence presented to us.

Insert here responses that you wish to make to the points raised in their letter if appropriate.

Since this is a complaint about SEN/National Curriculum/Collective Worship you are entitled to lodge a third stage complaint with the LA. Please write to the CSF Complaints Team, County Hall, Hertford, SG13 8DF.

or

You are entitled to make a complaint to the Secretary of State for Education and Skills if you believe the governing body has acted outside its powers or is misusing them. The Secretary of State's address is Department for Children, Schools and Families, Sanctuary Buildings, Great Smith Street, London SW1P 3BT.

Yours sincerely

Chair of Complaints Panel

CUSTOMER FOCUS TEAM

**How to complain
to your
child's school**

**Information for
parents**

www.hertsdirect.org/cft



HOW TO MAKE A COMPLAINT ABOUT YOUR CHILD'S SCHOOL

INFORMATION FOR PARENTS

What is the purpose of this leaflet?

It sets out to help you with any concerns or complaints you have about your child's school.

Most of the time, any concerns you have about your child's school can best be resolved by talking to the Headteacher or a member of the school staff in the first instance - we would encourage all parents and carers to do this before raising a formal complaint.

However, there may be occasions when you want to make a complaint to the school's Governing Body and this information is designed to help you.

This booklet describes the arrangements which Hertfordshire County Council recommends for schools to use when dealing with complaints about school matters. School Governors are responsible **in law** for having a published complaint procedure and for responding to any complaint.

Our guidance to schools aims to be fair to pupils, parents and school staff and recognises that responsibilities rest with each of these three. It takes account of the responsibilities of the Headteacher, the school's governing body and of Hertfordshire County Council, as the Local Authority (LA).

These complaints arrangements are well established and were made following consultation with Headteachers, governors, the Diocesan authorities, the teacher associations and representatives of parent groups. For Church of England schools the Diocese of St Albans commends the adoption of this procedure. For Roman Catholic schools, the Diocese of Westminster provides its own guidelines to schools for dealing with complaints.

Under this complaints procedure any member of school staff who is complained about will have the opportunity to respond to the complaint during its investigation, and will be able to see any subsequent response sent to the complainant.

There is an entirely separate procedure for schools to follow in dealing with staff disciplinary matters. Therefore, if in the course of their consideration of a complaint the governing body or Local Authority conclude that disciplinary proceedings should be started, they will take separate action.

A similar document sets out guidance for schools. Schools may also have their own leaflet explaining how concerns and complaints are dealt with.

Where can I get further help?

You should contact the school and ask for a copy of its complaints procedure. The Headteacher or other designated member of staff should be able to help with any queries. The contact details at the end of this leaflet may also help you.

What happens FIRST if I complain?

You should be able to resolve many concerns or complaints, or potential complaints, by talking to a member of the school staff concerned. The school will be able to tell you who you should speak to first. This is where you should normally start.

Unless there are exceptional circumstances you should then talk fully to the Headteacher who will investigate your complaint.

If you get in touch first with individual governors, they may need to ask you to take up your concerns with the Headteacher or the appropriate member of staff who is best able to help you.

If your complaint is about the Headteacher you should write to the Chairman of Governors at the school.

If your child has special educational needs and your complaint is about the provision the school is making for those needs, you might find it helpful to talk to the SENCO (Special Educational Needs Co-ordinator) at your child's school.

If your child has a Statement of Special Educational Needs, your named Special Needs Officer may be able to help.

Parent Partnership Supporters who work in the Customer Focus Team (CFT) can work with parents and carers of children with special educational needs or direct you to appropriate voluntary organisations.

What happens if I want to make a SECOND (formal) complaint to the governing body?

The school office will make sure you have a copy of the school's complaints procedure and will tell you how you can complain to the governing body. You are likely to be asked to complete a form or write a letter.

You should make it clear

- what you are complaining about
- why you are complaining
- who you have spoken to already
- what you want to happen as a result of your complaint

The Chairman of Governors will arrange for your complaint to be considered and investigated under the arrangements approved by the governors. This is likely to involve a panel of governors appointed to act on behalf of the governing body.

In the case of Special Educational Needs complaints and National Curriculum or Collective Worship complaints, the Chairman of Governors will inform the Head of the Customer Focus Team (CFT).

If the Chairman of Governors or other governor has been involved in earlier discussions to try and help settle the disagreement at stage 1, he or she should arrange for another governor to take charge of the investigation and consider your complaint.

The governor in charge of investigating the complaint may ask to meet you personally so that you are able to clarify what your complaint is about. The governing body will not normally be able to respond to your complaint at this stage. They should, however, give you full details of how they will carry out any further investigation or formal hearing and keep you up-to-date with progress.

You and the school must make sure the governors' complaint panel is provided with any written information or evidence you intend to use in any formal hearing.

You may bring a friend or representative who may speak on your behalf to any meeting. You may also bring an interpreter of your choice, if you need this. The Chairman of the panel may invite to the meeting any person who may help establish the facts of the complaint. He or she should tell you who this person is before the meeting.

If any member of staff is required by the governing body to attend a meeting they will have the opportunity to be accompanied or represented as they wish.

A member of staff named by parents in the complaint may also choose to attend a meeting, even if not required to do so by the governors. They may be represented. If this happens, the school will tell you this before the meeting.

When the panel has fully investigated and considered your complaint, the Chairman of the panel - or the governor responsible for the investigation - will write and let you know their findings. These findings will be reported to the governing body. The Chairman of Governors will then write to you confirming the outcome of your complaint and any agreed actions to be taken. You will also be told if you can complain further.

They should send a copy of the letter to the Headteacher (and to the Head of the Customer Focus Team (CFT) in the case of Special Educational Needs complaints, National Curriculum complaints or Collective Worship complaints.) When this has happened, the second stage is complete.

What can I do if I am not satisfied with the outcome of the second stage of investigation?

We very much hope you will be satisfied following the outcome of the formal complaint to the governing body. However, if you remain dissatisfied, the next section sets out how you might take your complaint further.

Is there a THIRD stage of complaint?

For the vast majority of complaints the procedure ends with the Governing Body. You DO NOT have a third stage of complaint to the Local Authority. (For exceptions to this please see the sections below.)

In the event that, having exhausted the school's complaints procedure, you remain dissatisfied, it is possible for you to approach the Secretary of State, who would consider your complaint if they felt the school had acted unlawfully.

If your complaint is about the way that a school is providing for your child's Statement of Special Educational Needs you DO have a third stage of complaint to the Local Authority.

You should write to the Head of the Customer Focus Team (CFT).

The Head of CFT will acknowledge your complaint within five working days and will then inform the Chairman of Governors and the Headteacher. Your complaint will be investigated within 28 working days.

When your complaint has been fully investigated and considered the Head of CF will write and let you know the decision. He will give the reasons for it, any action or proposed action to be taken and any further avenue open to you. He will send a copy to the Headteacher, the Chairman of Governors and to anyone else concerned in the investigation.

This brings the third stage for special educational needs complaints to a conclusion.

If your complaint is about the National Curriculum or about Collective Worship in a COMMUNITY school you DO have a third stage of complaint to the Local Authority

You should write to the Head of the Customer Focus Team (CFT).

(See also the last section in this booklet "National Curriculum and Collective Worship Complaints")

The Head of CFT will acknowledge your complaint within five working days and inform the Chairman of Governors and the Headteacher. He will make sure your complaint is investigated and will ask the governing body for comments and such other information or advice as necessary.

Following this investigation, a panel made up of the Head of CFT and three members of the Local Authority will consider your complaint.

You may talk to the investigating officer about your complaint and present your case personally to the panel. A friend or representative may come with you to any meeting and may speak on your behalf. You may also bring an interpreter of your choice. A representative, or two representatives, of the governing body may make speak if the governing body wish.

When the panel has fully investigated and considered your complaint, the Head of CFT will write and let you know the decision. He will explain reasons, any action taken or proposed to be taken and any further avenue open to you. He will send a copy to the Clerk and Chairman of Governors and the Headteacher. This brings the third stage to a conclusion.

If your complaint is about denominational religious education or collective worship in a VOLUNTARY-AIDED school you DO NOT have a third stage of complaint to the Local Authority

This is because the Local Authority has no power in voluntary-aided schools to inspect the provision or to influence its content. You may complain beyond the second stage to the relevant Diocesan authority where this applies.

For Church of England schools you should write to:

The Diocesan Director of Education
Diocese of St Albans Education Centre
Hall Grove
Welwyn Garden City, AL7 4PJ

(See also the last section in this booklet "National Curriculum and Collective Worship Complaints").

Can I complain to anyone other than the County Council?

Yes, you can complain to the Secretary of State at the Department for Children, Schools and Families (DCSF) if you believe that a governing body or Local Authority is acting or proposing to act unreasonably.

The address to write to is: Sanctuary Buildings
Great Smith Street
London SW1P 3BT

However, the Department for Children, Schools and Families would only follow up your complaint with the school or the Local Authority if they believed either might have acted unreasonably or failed to carry out a statutory duty.

What kind of record will be kept about complaints?

The County Council will monitor formally National Curriculum, Collective Worship, and Special Educational Needs complaints referred to it under the statutory third stage of the complaint procedure.

Schools should, as good practice, formally record and monitor all stage 2 complaints to the governing body.

Elected members of the County Council will receive a report each year on third stage National Curriculum, Collective Worship and Special Educational Needs complaints and will also receive a report on complaints about the curriculum and collective worship which have been considered by schools at the second stage.

Statistics may be published from time to time about the number and nature of complaints about individual schools. Publications will not include reference to any named individual. This is used to identify complaint trends and whether individual schools need particular guidance or support.

NATIONAL CURRICULUM AND COLLECTIVE WORSHIP COMPLAINTS

The purpose of this final section is to provide more information on complaints which are specifically about the National Curriculum and Collective Worship, under the terms of Section 409 of the 1996 Education Act (formerly Section 23 of the Education Reform Act 1988).

They cover complaints made by parents, other members of the public and staff in the schools concerned about the performance of duties or exercise of power by the Local Authority or by the governing bodies of schools maintained by the Local Authority. A complainant may make a complaint on behalf of a group of people with their agreement.

Scope of the arrangements

The schools covered are all schools maintained by the Local Authority which are:

- primary schools (but excluding nursery classes)
- secondary schools
- special schools which are not established in a hospital

They do not cover nursery schools or special schools established in a hospital.

The kind of complaint covered here is defined by the 1996 Education Act. They are complaints that the governors of a school or the Local Authority are not doing what the law requires of them because they:

- have failed to fulfil any of the duties listed below; or
- have acted or are proposing to act unreasonably in performing any of those duties or exercising any power relating to the curriculum or collective worship

The duties involved are as follows and are common to the Local Authority and governing bodies unless otherwise stated (references are to sections of the 1996 Education Act).

- the provision of a curriculum including religious education and worship which meets the general requirements of Sections 350-352 of the Act
- the implementation of the national curriculum and compliance with orders and regulations made about its requirements and exceptions to its provisions (Sections 356 - 389)
- provision to pupils of compulsory school age of courses leading to an external qualification only if that qualification and the associated syllabus criteria have been approved by the Secretary of State or under arrangements approved by the Secretary of State (Section 400)
- provision of religious education and worship as required by the Act and other enactments (Sections 375 - 389 and 394)
- compliance with regulations about the provision of information (Section 408)
- operation of charging policies in relation to the curriculum (Sections 455 - 456)
- the need to act reasonably in deciding whether or not to be associated with an application for exemption from all or part of the National Curriculum in order to carry out developmental work (Section 362)

- in the case of the Local Authority only, the establishment of a standing advisory council on religious education and review of the agreed syllabus for the area if the standing advisory council so require (Sections 390 - 393)
- in the case of a governing body only, consideration of appeals by parents about the temporary withdrawal of pupils from part or all of the provisions of the National Curriculum
- compliance with any other enactments relating to the curriculum

Requirements

Consideration of a complaint will need to establish whether the Local Authority or the school governors are acting reasonably and within the law and meeting their obligations or whether if this is not the case some action is required. In considering that question it may be necessary to consider whether:

- the Local Authority or school governors' policy is consistent with legal requirements
- their actions are consistent with their policy
- the actions of staff are consistent with their policy

The role of the Secretary of State at the Department for Children, Schools and Families

The 1996 Education Act lays down that the Secretary of State may not consider any National Curriculum or Collective Worship complaint unless it has first been considered under the Local Authority's arrangements for handling complaints. The intention of this provision is that complaints should, if possible, be dealt with and resolved between the complainant and the governing body or the Local Authority. It is only if you are still dissatisfied after these arrangements have been exhausted that the Department for Children, Schools and Families could consider your complaint.

Useful information and contacts

- Chair of Governors - the secretary at school will tell you who this is and pass on any written correspondence
- County Councillor for your area - see www.hertsdirect.org or call 01992 556556
- Complaints Team, Children Schools and Families - www.hertsdirect.org/cau
01992 588542 - csf.cft@hertscc.gov.uk

General CSF enquiries - www.hertsdirect.org/csf - 01438 737500 / 01923 471500 -
hertsdirect@hertscc.gov.uk

- School Governance, Children, Schools and Families - www.thegrid.org.uk/
01582 830372
- Parent Partnership Service (special educational needs) -
www.hertsdirect.org/parentpartnership - 01992 555847 -
parent.partnership@hertscc.gov.uk
- Minority Ethnic Curriculum Support Service (MECSS - if your complaint is about racial harassment or discrimination) - www.thegrid.org.uk/
01582 830280/830202
- ACE (Advisory Centre for Education) - www.ace-ed.org.uk - 0808 800 5793
- POhWER (advocacy service) - www.pohwer.net
01438 740162 (North Herts)
01923 859186 (South Herts)
- ParentlinePlus - <http://www.parentlineplus.org.uk/> - 0808 800 2222
- Carers in Herts - <http://www.carersinherts.org.uk/> - 01992 586969
- Children's Legal Centre - <http://www.childrenslegalcentre.com/> - 0845 345 4345
- Your Local Citizen's Advice Bureau

Appendix 4

Useful contacts

Chair of Governors

The secretary at school will tell you who this is and pass on any written correspondence

County Councillor for your area

www.hertsdirect.org or contact the Members Secretariat at County Hall
01992 556556

ACE

Advisory Centre for Education

1b Aberdeen Studios, 22 Highbury Grove

London. N5 2EA

Free Advice Line 2-5pm, Monday to Friday

0808 800 5793

www.ace-ed.org.uk

Children's Legal Centre

University of Essex, Wivenhoe Park

Colchester, Essex CO4 3SQ

Free Advice Service, 2-5pm

01206 873820

www.childrenslegalcentre.com

Complaints Helpline

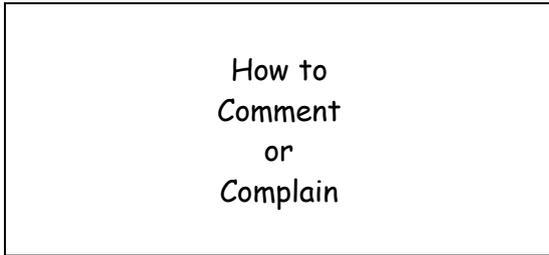
Customer Focus Team, CSF

County Hall, Hertford SG13 8DF

Helpline 01992 588542

www.hertsdirect.org/cau

Information for Parents



Potten End C of E Primary School
01442 865022
www.pottenend.herts.sch.uk

HOW TO COMMENT OR COMPLAIN

We care about what you think

Each day this school makes many decisions and tries hard to do the best for all the children. Your comments - either positive or negative - are helpful for future planning. You may want to talk to us about a particular aspect of this school, though not actually make a complaint - you just want to get something 'off your chest'. Whatever it is, you can use the form with this booklet and let us know your views.

If you are dissatisfied about the way your child is being treated, or any actions or lack of action by us, please feel able to contact us:

Our promise to you

- Your complaint will be dealt with honestly, politely and in confidence
- Your complaint will be looked into thoroughly and fairly
- If your complaint is urgent we will deal with it more quickly
- We will keep you up to date with progress at each stage
- You will get an apology if we have made a mistake
- You will be told what we are going to do to put things right
- You will get a full and clear written reply to formal complaints within 28 working days

How to make a complaint

First

If you have a concern about anything we do, or if you wish to make a complaint, you can do this by telephone, in person or in writing. We hope that most complaints can be settled quickly and informally, either by putting matters right or by giving you an explanation. If there is something you are not happy about, or you don't understand why we are doing something in a particular way, please come in and discuss it with the class teacher or other appropriate member of staff, such as the special needs co-ordinator (SENCo) if it is about special needs.

We know that it can feel uncomfortable to question or challenge, but if you don't tell us what is worrying you we cannot explain what we are doing or try to put it right.

If the first person you talk to cannot help you then speak to the Headteacher. Make an appointment with the school secretary to make sure the Headteacher is available. You should be able to sort out your worries but sometimes this is not possible. In this case there is a next step.

Second

If you are not satisfied you can complain formally by filling in a form, which is available from the school office. Send the form to the Chair of

Governors. The school secretary will tell you who this is. The Chair will then arrange for your complaint to be investigated and considered and will reply within 10 working days to give you a progress report and tell you what will happen next. When your complaint has been fully investigated you will be told of the outcome in writing.

Third

Most complaints are the responsibility of the governing body of the school and will be resolved by them. A small number of complaints cannot be resolved by this process.

In the case of complaints about **Special Educational Needs**, the **National Curriculum** or **Collective Worship**, in LA maintained schools, you can complain further to the Local Authority. This should be done by writing to the Head of the Customer Focus Team at the address on the back page.

Parent Partnership (Special Educational Needs)
Helpline 01992 555847

There are four **Parent Partnership Supporters** in the county and you can contact your local Supporter direct. Their details are:

Irene Holland **01462 634488**
(Stevenage/Hitchin/Letchworth/Baldock/villages)

Dawn Owen **01920 411152**

(Hertford/Ware/Bishops
Stortford/Waltham
Cross/Hatfield/WGC/villages)

Kären Edwards 01923 229830
(Watford/Rickmansworth/Potters
Bar/
Borehamwood/villages)

Helena Marks 01442 217143
(St Albans/Hemel Hempstead/Tring/
Harpenden/Berkhamsted/villages)

ParentlinePLus -
www.parentlineplus.org.uk
0808 800 2222

School-based Complaints Procedures - 1

Boarding Schools - Complaints to OFSTED (Office for Standards in Education, children's services and skills)

(formerly Commission for Social Care Inspections (CSCI) / National Care Standards Commission (NCSC))

OFSTED is now responsible for inspecting the welfare arrangements in boarding schools.

In respect of schools, OFSTED will investigate complaints about the welfare of children and will refer to the local social services authority any complaint it receives, which include allegations or suspicions of abuse.

The Department of Health issued in 2002 National Minimum Standards - Inspection Regulations for Board Schools and Residential Special Schools. (The documents are available on www.dh.gov.uk). The relevant standard for boarding schools is:

Boarding Schools - Standard 5

'The school should have, and follow, an appropriate policy on responding to complaints from boarders and parents.'

For convenience, a copy of the standard is attached.

Please note, in particular:

- 5.4 Boarders and their parents are informed by the school of how they can contact the CSCI regarding any complaint concerning their welfare.

Your published school-based complaint leaflet and procedure need to reflect these requirements and should therefore include the contact details set out below:

OFSTED (Office for Standards in Education, Children's Services and Skills)
Complaints Manager
3rd Floor, Royal Exchange Buildings
St Ann's Square
Manchester
M2 7LA

Telephone: 08456 40 40 45
enquiries@ofsted.gov.uk

School-based Complaints Procedures - 1a

Residential Special Schools - Complaints to OFSTED (Office for Standards in Education, children's services and skills)

(formerly Commission for Social Care Inspections (CSCI) / National Care Standards Commission (NCSC))

OFSTED is now responsible for inspecting the welfare arrangements in residential special schools.

In respect of schools, OFSTED will investigate complaints about the welfare of children and will refer to the local social services authority any complaint it receives, which include allegations or suspicions of abuse.

The Department of Health issued in 2002 National Minimum Standards - Inspection Regulations for Board Schools and Residential Special Schools. (The documents are available on www.dh.gov.uk). The relevant standard for boarding schools is:

Residential Special Schools - Standard 4

'Children know how and feel able to complain if they are unhappy with any aspect of living in the school, and feel confident that any complaint is addressed seriously and without delay.'

For convenience, a copy of the standard is attached.

Please note, in particular:

- 4.7 Serious complaints against the school or the staff are notified to OFSTED. This is in addition to any other notification requirement placed on the school by a Local Authority, the Department for Children, Schools and Families, or other official body.

Your published school-based complaint leaflet and procedure need to reflect these requirements and should therefore include the contact details set out below:

OFSTED (Office for Standards in Education, Children's Services and Skills)
Complaints Manager
3rd Floor, Royal Exchange Buildings
St Ann's Square
Manchester
M2 7LA

Potten End C of E Primary School

Telephone: 08456 40 40 45
enquiries@ofsted.gov.uk