



Northampton School *for Boys* MAT

Complaints Policy and Procedure

Approved by: MAT Working Party
(Trust Board to review future revisions)
Date: November 2022
Review Date: July 2024

Author: Richard Bernard, CEO
Head Teachers: Richard Bernard, Matthew Edwards



CONTENTS

1. Introduction
 2. General Principles
 3. How to raise a Complaint and Complaints Procedures
 4. Stage 1 – Informal Complaint or Concern
 5. Stage 2 – Formal Complaint
 6. Stage 3 – Panel Hearing
- Annex A Form for Formal Complaint
- Annex B Model Procedure for the conduct of a Stage 3 Hearing
- Annex C Dealing with complaints about racism
- Annex D Unreasonably persistent complaints



1. Introduction

Who can make a complaint?

This complaints procedure is not limited to parents or carers of children that are registered at the school. Any person, including members of the public, may make a complaint to Northampton School *for Boys* or Northampton School about any provision of facilities or services that they provide. Unless complaints are dealt with under separate statutory procedures (such as appeals relating to exclusions or admissions), we will use this complaints procedure.

The difference between a concern and a complaint:

- A concern may be defined as ‘an expression of worry or doubt over an issue considered to be important for which reassurances are sought’.
- A complaint may be defined as ‘an expression of dissatisfaction, however made, about actions taken or a lack of action’.

It is in everyone’s interest that concerns, and complaints are resolved at the earliest possible stage. Many issues can be resolved informally, without the need to use the formal stages of the complaints procedure. Trust schools takes concerns seriously and will make every effort to resolve the matter as quickly as possible.

If you have difficulty discussing a concern with a particular member of staff, we will respect your views. In these cases, the Headteacher or his PA will refer you to another staff member. Similarly, if the member of staff directly involved feels unable to deal with a concern, the Headteacher will refer you to another staff member. The member of staff may be a more senior member of staff but does not have to be. The ability to consider the concern objectively and impartially is more important.

We understand however, that there are occasions when people would like to raise their concerns formally. In this case, Trust schools will attempt to resolve the issue internally, through the stages outlined within this complaints procedure.

2. General Principles

- Resolution of a complaint provides an opportunity for us to improve our practice and so strengthen our partnership with parents and/or the public.
- It is desirable for any concern/complaint to be addressed by a member of staff or Trustee at a level close to the cause for the concern.
- Our procedures should be quick, consistent, and fair to all.
- A complaint is distinct from any formal disciplinary procedure. Staff who are questioned during the investigation of a complaint will be treated fairly and have an opportunity to put their case. They will be offered support if needed.

- If your concern/complaint has the potential to become a staff disciplinary issue, professional advice will be sought.
- Confidentiality is important in securing the confidence of all concerned. Conversations and correspondence will be treated with discretion. You need to feel confident that a complaint will not disadvantage your child. However, you must realise that some information may have to be shared – as sensitively as possible – for us to carry out a thorough investigation.
- Every complaint will be acknowledged as ‘genuinely felt’ by the complainant.

3. How to Raise a Complaint & Complaints Procedure

A concern or complaint can be made in person, in writing or by telephone. They may also be made by a third party acting on behalf of a complainant, if they have appropriate consent to do so.

- Complaints against school staff at Northampton School for Boys (except the Headteacher) should be made in the first instance, to Mr R Bernard, Headteacher via Louise Pawley PA in the school office. Please mark them as Private and Confidential.
- Complaints against School staff at Northampton School (except the Headteacher) should be made in the first instance, to Mr M Edwards, Headteacher via Louise Shocklidge PA in the school office. Please mark them as Private and Confidential.
- Complaints that involve or are about the Headteacher should be addressed to Mr Peter Bason, the Chair of the Trust, via the school office. Please mark them as Private and Confidential.
- Complaints about the Chair of the Trust, any individual Trustee or the whole Trust Board or a member of the Local Academy Board or the whole Local Academy Board should be addressed to Mrs Leah Howard, the Clerk to the Trust Board via the school office. Please mark them as Private and Confidential.

For ease of use, a template complaint form is included at the end of this procedure. If you require help in completing the form, please contact the school office. You can also ask a third party organisation for example like the Citizens Advice Bureau to help you.

In accordance with equality law, we will consider making reasonable adjustments if required, to enable complainants to access and complete this complaints procedure. For instance, providing information in alternative formats, assisting complainants in raising a formal complaint or holding meetings in accessible locations.

Anonymous complaints

We will not normally investigate anonymous complaints. However, the Headteacher or Chair of the Trust, if appropriate, will determine whether the complaint warrants an investigation.



Time scales

You must raise the complaint within three months of the incident or, where a series of associated incidents have occurred, within three months of the last of these incidents. We will consider complaints made outside of this time frame if exceptional circumstances apply.

Complaints received outside of term time.

We will consider complaints made outside of term time to have been received on the first school day after the holiday period.

Scope of this complaints procedure

This procedure covers all complaints about any provision of community facilities or services provided by the Northampton School *for Boys* Trust, other than complaints that are dealt with under other statutory procedures, including those listed below.

Exceptions	Who to contact
Admissions to schools	Concerns about admissions should be handled through the appeals process.
Exam results	Complaints relating to exams will be handled through the examination review and appeals procedure.
Matters likely to require a Child Protection Investigation	Complaints about child protection matters are handled under our child protection policy and in accordance with relevant statutory guidance. If you have serious concerns, you may wish to contact the local authority designated officer (LADO) who has local responsibility for safeguarding or the Multi-Agency Safeguarding Hub (MASH).
Exclusion of children from school*	Further information about raising concerns about exclusion can be found at: www.gov.uk/school-disciplineexclusions/exclusions . *complaints about the application of the behaviour policy can be made through the school's complaints procedure.
Whistleblowing	We have an internal whistleblowing procedure for all our employees, including temporary staff and contractors. The Secretary of State for Education is the prescribed person for matters relating to education for whistleblowers in education who do not want to raise matters direct with their employer. Referrals can be made at: www.education.gov.uk/contactus . Volunteer staff who have concerns about our school should complain through the school's complaints procedure.

Staff grievances	Complaints from staff will be dealt with under the school's internal grievance procedures.
Staff conduct	Complaints about staff will be dealt with under the school's internal disciplinary procedures, if appropriate. Complainants will not be informed of any disciplinary action taken against a staff member as a result of a complaint. However, the complainant will be notified that the matter is being addressed.

If other bodies are investigating aspects of the complaint, for example the police, local authority (LA) safeguarding teams or Tribunals, this may impact on our ability to adhere to the timescales within this procedure or result in the procedure being suspended until those public bodies have completed their investigations. If this happens, we will inform you of a proposed new timescale.

If a complainant commences legal action against the school in relation to their complaint, we will consider whether to suspend the complaints procedure until those legal proceedings have concluded.

Resolving complaints

At each stage in the procedure, the Trust wants to resolve the complaint. If appropriate, we will acknowledge that the complaint is upheld in whole or in part. In addition, we may offer one or more of the following:

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

Withdrawal of a complaint

If a complainant wants to withdraw their complaint, we will ask them to confirm this in writing.

As parents, you have access to this and other policies on the school website. You are informed of this in the Headteachers' Annual Letter at the start of the academic year.



4. Stage 1 – Informal complaints

It is to be hoped that most concerns can be expressed and resolved on an informal basis.

Concerns should be raised with either the class teacher, Year Team Leader, Curriculum Team Leader or Senior Leadership Team. Complainants should not approach individual governors or Trustees to raise concerns or complaints. They have no power to act on an individual basis and it may also prevent them from considering complaints at Stage 3 of the procedure.

At the conclusion of their investigation, the appropriate person investigating the complaint will provide an informal response normally within 2-3 school days of the date of receipt of the complaint.

If the issue remains unresolved, the next step is to make a formal complaint.

5. Stage 2 – Formal complaints

Formal complaints must be made to the Headteacher of a Trust school (unless they are about the Headteacher), via the school office. This must be done in writing (preferably on the Complaint Form below).

The Headteacher will record the date the complaint is received and will acknowledge receipt of the complaint in writing (either by letter or email via his PA) within 3 school days.

Within this response, the Headteacher may seek to clarify the nature of the complaint, ask what remains unresolved and what outcome the complainant would like to see. The Headteacher can consider whether a face to face meeting is the most appropriate way of doing this.

Note: The Headteacher will normally delegate the investigation to another member of the school's Senior Leadership Team but not the decision to be taken.

During the investigation, the Headteacher (or investigator) will:

- if necessary, interview those involved in the matter and/or those complained of, allowing them to be accompanied if they wish.
- keep a written record of any meetings/interviews in relation to their investigation.

At the conclusion of their investigation, the school will provide a formal written response within 10 school days of the date of receipt of the complaint.

If the school is unable to meet this deadline, the complainant will be provided with a revised response date.



The response will detail any actions taken to investigate the complaint and provide a full explanation of the decision made and the reason(s) for it. Where appropriate, it will include details of actions the school will take to resolve the complaint.

The Headteacher will advise the complainant of how to escalate their complaint should they remain dissatisfied with the outcome of Stage 2.

If the complaint is about the Headteacher, or an individual member of the Trust Board or Local Academy Board (including the Chair or Vice-Chair), a suitable Trustee will be appointed to complete all the actions at Stage 2.

Complaints about the Headteacher or member of the Trust Board or Local Academy Board must be made to the Clerk, via the school office.

If the complaint is:

- jointly about the Chair and Vice Chair or
- the entire Trust Board or
- the majority of the Trust Board
- or the entire Local Academy Board

Stage 2 will be considered by an independent investigator appointed by the Trust Board. At the conclusion of their investigation, the independent investigator will provide a formal written response.

Where complaints are about staff conduct, complainants will be informed if the matter is to be dealt with under the staff disciplinary procedures but the outcomes of these procedures will not be shared with the complainant.

Stage 3 – Panel Hearing

Complaints rarely reach the appeal stage, but it is important that our Trust Board is prepared to deal with them.

If the complainant is dissatisfied with the outcome at Stage 2 and wishes to take the matter further, they can escalate the complaint to Stage 3. At Northampton School *for Boys* Trust an individual complaint will not be considered by the full Trust Board. The Trust Board will instead establish a complaint panel (the ‘Panel’) to deal with the complaint. The Panel will consist of two Trustees taken from a nominated pool and a person who is independent of the management and running of the school. All Trustees will not be directly involved in the matters detailed in the complaint.

A request to escalate to Stage 3 must be made to the Clerk, via the school office, within 5 school days of receipt of the Stage 2 response.



The Clerk will record the date the complaint is received and acknowledge receipt of the complaint in writing (either by letter or email) within 3 school days.

Requests received outside of this time frame will only be considered if exceptional circumstances apply. The Clerk will write to the complainant to inform them of the date of the meeting. They will aim to convene a meeting within 15 school days of receipt of the Stage 3 request. If this is not possible, the Clerk will provide an anticipated date and keep the complainant informed. If the complainant rejects the offer of three proposed dates, without good reason, the Clerk will decide when to hold the meeting. It will then proceed in the complainant's absence on the basis of written submissions from both parties.

The clerk will ensure that the complainant, the Headteacher of the school concerned, and any other witnesses are given at least 5 school days' notice in writing of the date, time and place of the hearing or otherwise are in full agreement of a shorter timescale. The letter of notification will also inform the complainant of their right to be accompanied by a friend/relative. Generally, we do not encourage either party to bring legal representatives to the Panel meeting. However, there may be occasions when legal representation is appropriate. This must be announced by either party prior to a meeting. For instance, if a school employee is called as a witness in a complaint meeting, they may wish to be supported by union and/or legal representation. Representatives from the media are not permitted to attend.

The letter must establish whether there are communications issues – such as language, hearing impairment – and the clerk should make suitable arrangements as required. The letter will set out the procedure for the conduct of the hearing and any rights to submit further written evidence to the committee.

The clerk will invite the Headteacher of the school concerned and/or the person investigating the complaint to attend the hearing and to submit a written report for the panel in response to your complaint. The Headteacher may also invite the chair of the Trust or any other members of staff directly involved in matters raised by the complainant to respond in writing and/or in person to the complaint. Any involvement of other staff is at the discretion of the chair of the panel.

All relevant documents should be received by all parties at least 5 school days before the meeting of the panel. This provides adequate opportunity to read them prior to the start of the meeting.

During the meeting:

- The chair of the Panel should ensure that minutes of the meeting are taken.
- The chair of the Panel should try to ensure that the proceedings are sufficiently informal that all participants feel at ease.

- At the conclusion of the representations and questions, the chair should explain that the Panel will consider the issues and write to both parties with their decision or judgement within 5 school days.
- All except for the Panel and any advisers should then withdraw and the Panel should consider the evidence. This should include: a judgement about the validity of the complaint; appropriate action to be taken by the school and/or the complainant; and where appropriate, recommendations on changes to the Trust's/school's systems or procedures to ensure similar problems do not arise in the future.

The school will keep a copy of all correspondence and notes confidentially on file. This will be separate from pupils' personal records.

If the complaint is:

- jointly about the Chair and Vice Chair or
- the entire Trust Board or Local Academy Board or
- the majority of the Trust Board or Local Academy Board

Stage 3 will be heard by a completely independent committee panel.

Any written material will be circulated to all parties at least 2 school days before the date of the meeting. The committee will not normally accept, as evidence, recordings of conversations that were obtained covertly and without the informed consent of all parties being recorded.

The committee will also not review any new complaints at this stage or consider evidence unrelated to the initial complaint to be included. New complaints must be dealt with from Stage 1 of the procedure.

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

The committee will consider the complaint and all the evidence presented. The committee can:

- uphold the complaint in whole or in part.
- dismiss the complaint in whole or in part.

If the complaint is upheld in whole or in part, the committee will:

- decide on the appropriate action to be taken to resolve the complaint.
- where appropriate, recommend changes to the Trust's/school's systems or procedures to prevent similar issues in the future.



The Chair of the Committee will provide the complainant and the school with a full explanation of their decision and the reason(s) for it, in writing, within 5 school days.

The response will detail any actions taken to investigate the complaint and provide a full explanation of the decision made and the reason(s) for it. Where appropriate, it will include details of actions the Trust/school will take to resolve the complaint.

The panel will ensure that those findings and recommendations are sent by electronic mail or otherwise given to the complainant and, where relevant, the person complained about.

Furthermore, they will be available for inspection on the school premises by the proprietor and the Headteacher.

A written record will be kept of all complaints, and of whether they are resolved at the preliminary stage or proceed to a panel hearing, along with what actions have been taken, regardless of the decision.

All correspondence, statements and records relating to individual complaints will be kept confidential except where the Secretary of State or a body conducting an inspection under section 109 of the 2008 Act requests access to them.

Next Steps

If the complainant believes the school did not handle their complaint in accordance with the published complaints procedure or they acted unlawfully or unreasonably in the exercise of their duties under education law, they can contact the ESFA after they have completed Stage 3.

The ESFA will not normally reinvestigate the substance of complaints or overturn any decisions made by a Trust/school. They will consider whether the Trust/school has adhered to education legislation and any statutory policies connected with the complaint and whether they have followed Part 7 of the Education (Independent School Standards) Regulations 2014.

The complainant can refer their complaint to the ESFA online at: www.education.gov.uk/contactus, by telephone on: 0370 000 2288 or by writing to:

Department for Education
School complaints compliance unit
Piccadilly Gate
Store Street
Manchester
M1 2WD



ANNEX A

Stage 2 - Formal Complaint

Part One – to be completed by the complainant.

Your Name	Your son/daughter (if applicable)
Your address	Your contact numbers
Your email address	Date of complaint

Brief statement of the nature of complaint (a summary of the complaint only)

Was the complaint raised informally?	Yes / No
If so, with whom?	
When?	
Signature	

Part Two – to be completed by the school.

Person to deal with complaint	
Has the complainant put their full complaint in writing?	Yes / No / Not yet
Date complaint received	
Signature	

Once the complaint is in writing, this pro-forma and full written complaint must be forwarded to the Headteacher (or the Chair of the Trust if the complaint is against the Headteacher) who will decide who will conduct the investigation.

The investigation will follow the procedures laid down in the school's Complaints Policy. (Available on the website: www.nsb.northants.sch.uk)

ANNEX B

Model Procedure for the Conduct of a Stage 3 Panel Hearing

1. The chair of the Panel should invite all parties (except any witnesses) into the room, introduce and explain the role of each person. The person investigating the complaint will be able to respond instead of or as well as the Headteacher.
2. The chair should explain that the purpose of the hearing is to review the complaint and try to resolve it and achieve reconciliation between the school and the complainant. This will not always be possible. It may only be possible to establish the facts of the situation and make recommendations about future action.
3. The chair should ascertain whether the proposed procedure is acceptable. If so, the meeting will proceed along the following lines:
 - i. The complainant describes her/his complaint and may call witnesses.
 - ii. The Headteacher may seek clarification from the complainant and any witnesses.
 - iii. The Panel or its advisers may seek clarification from the complainant and any witnesses.
 - iv. The Headteacher will respond to the complaint and may call witnesses.
 - v. The complainant may seek clarification from the Headteacher and any witnesses.
 - vi. The Panel (including any advisers) may seek clarification from the Headteacher and any witnesses.
 - vii. The Headteacher will be given the opportunity to sum up.
 - viii. The complainant will be given the opportunity to sum up.
 - ix. Both parties will leave the room to allow the Panel to deliberate but any advisers may remain to offer technical and procedural advice.
4. The Panel should make a decision or judgement on: -
the validity of the complaint; appropriate action to be taken by the school and/or parent; and where appropriate, recommendations on changes to the school's systems or procedures to ensure similar problems do not arise in the future.
5. The decision or judgement will be confirmed in writing within three school days.

NB If there is more than one complainant this procedure should be followed for each one in turn, unless the complainants agree to the complaint being heard with all present in one sitting.

ANNEX C

Dealing with Complaints about Racism

1. Racist Behaviour to a Pupil or Student

- When an incident is reported as one pupil being racist towards another, an Incident Form will be completed and reviewed by Senior Staff and may then be sent to the Headteacher for further review based on the details of the incident.
- Racist incident data is reported at meetings of the Trust Board.

2. Racist Incident Alleged Against School Staff

- The report/complaint should be made to the Headteacher, or if the Headteacher is the subject of the report/complaint, to the Chair of the Trust
- As racism is a disciplinary offence, the normal disciplinary procedures will be followed.

3. Institutional Racism

- Parents who perceive that racist practice or policies are operated by the Trust or a Trust school should pursue these through the General Complaints Procedure.

ANNEX D

Unreasonably persistent complaints

We will treat all complaints seriously. However, a complaint may become unreasonable if the person:

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

Steps we will take

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

We may:

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

Stopping responding

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

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

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

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

Duplicate complaints

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

If we are satisfied that there are no new aspects, we will:

- Tell the new complainant that we have already investigated and responded to this issue, and the local process is complete
- Direct them to the DfE if they are dissatisfied with our original handling of the complaint

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

Complaint campaigns

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

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

If complainants are not satisfied with the school's response, or wish to pursue the complaint further, the normal procedures will apply.