



Complaints Policy
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Document Status

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This document is for school and Governing Boards. Complainants should be given the “Complainant Leaflet”.

Vision Statement

We firmly believe in celebrating and preserving the diversity within our member academies, whilst ensuring that all of our people, pupils, staff, parents and carers have access to the very best opportunities, with real and effective tangible outcomes to enable them to exceed their expectations and fulfil their potential.

This document should be read and used in conjunction with the two accompanying documents “Leaflets for Complainants” and “Governing Board Policy”

The document includes information from the DFE “Best Practice Advice for School Complaints Procedures 2019”. <https://www.gov.uk/government/publications/school-complaints-procedures/best-practice-advice-for-school-complaints-procedures-2019>

Schools may also find the DFE website <https://www.gov.uk/complain-about-school> has some useful guidance.

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General Principles

- This procedure is intended to allow you to raise a concern or complaint relating to the Yorkshire Endeavour Academy Trust or any of its academies or the services that they provide.
- The Trust has adopted this procedure for complaints from people who are parents/carers of pupils attending any of the academies at the time the complaint is made, or from people who are accessing the services of the Trust at the time the complaint is made.
- The Trust will usually also follow this procedure when dealing with complaints from others but reserves the right to substitute this procedure for an alternative process where it is appropriate to do so. Complainants will be informed about the procedure that will be used to consider their complaint as soon as possible after their complaint is received by the academy.
- This procedure does not apply to concerns and complaints relating to the following, which are dealt with under separate policies:
 - Staff Grievances or Disciplinary Procedures
 - Admissions or Exclusions
 - Issues Related to Child Protection
 - Statements of SEND/EHC Plans
- The aims of the procedure are:
 - to deal with any complaint against the Trust or an academy or any individual connected with it by following the correct procedure
 - to deal with all complaints thoroughly and in a timely manner and by being open, honest and fair when dealing with the complainant
- All staff will be made aware of this complaints procedure and are expected to review this policy regularly in order that they are familiar with our process of dealing with complaints and can be of assistance when an issue is brought to their attention.

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. Yorkshire Endeavour Academy Trust takes concerns seriously and will make every effort to resolve the matter as quickly as possible. We understand however, that there are occasions when people would like to raise their concerns formally. In this case, Yorkshire Endeavour Academy Trust will attempt to resolve the issue internally, through the stages outlined within this complaints procedure.

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 Yorkshire Endeavour Academy Trust about any provision of facilities or services that we provide. Unless complaints are dealt with under separate statutory procedures (such as appeals relating to exclusions or admissions), we will use this complaints procedure.

Complaint Campaigns

Occasionally, you may become the focus of a campaign and receive large volumes of complaints:

- all based on the same subject
- from complainants unconnected with the school

Where this happens, YEAT will respond by

- sending a template response to all complainants and/or
- publishing a single response on the school's website.

Parental Responsibility

Conflict between estranged parents over the application of parental responsibility is a common cause of complaints made to schools.

Where such complaints occur, YEAT will follow the advice set out by the DfE in their document: [Understanding and dealing with issues relating to parental responsibility](#).

Understanding this procedure

- In order to investigate your complaint as fully as possible, we have implemented a staged approach. We anticipate that almost all complaints that arise will be resolved at Stage 1 or Stage 2 below.

- We expect our members of staff to be addressed in a respectful manner and for communication to remain appropriate at all times. The procedure under Part 2 will only be used on very rare occasions to deal with unreasonably persistent complainants or unreasonable complainant behaviour.
- To enable a proper investigation, concerns or complaints should be brought to the attention of YEAT (for YEAT complaints) or to the individual academy, as soon as possible. In general, any matter raised more than 3 months after the event being complained of will not be considered. However, the Trust may make exceptions to this.
- If, at any stage, the Trust or the academy believes that the concern or complaint is vexatious, has insufficient grounds, has already been considered in full or has been closed, the CEO, Headteacher or Chair of Governors/Directors (as appropriate) may write to you to refuse to consider the concern or complaint under this procedure and the reasons why they are refusing to do so. In this eventuality, the individual with the concern or complaint may proceed directly to Stage 4 of this procedure.
- An anonymous concern or complaint will not be investigated under this procedure unless there are exceptional circumstances.
- If it becomes necessary to alter the time limits and deadlines set out within this procedure, you will be advised accordingly and given an explanation as to why this has been the case and provided with revised timescales.
- A written record will be kept of all complaints, including at what stage they were resolved; such records will be stored securely. Correspondence, statements and records relating to individual complaints will be kept confidential except where access is requested by the Secretary of State or where disclosure is required in the course of an academy inspection or under other legal authority.
- *Note: Complaints about staff conduct will not generally be handled under this complaints procedure. Complainants will be advised that any staff conduct complaints will be considered under staff disciplinary procedures, if appropriate, but outcomes will not be shared with them.*
- In this procedure:
 - “school days” excludes weekends, bank holidays and academy holidays
 - “parent” means a parent, carer or anyone with legal responsibility for a child

PART ONE – Raising a concern or complaint

1. Informal Stage

Many concerns can be resolved by simple clarification or the provision of information.

- Where a complaint is about YEAT, it is normally appropriate to communicate directly via the Company Secretary. This may be by email, letter, by telephone or in person by appointment, requested via the Trust office. Where the complaint is about a member of staff, it is normally appropriate to communicate directly with them in the first instance. This may be by email, letter, by telephone or in person by appointment, requested via the Trust office.

- Where a complaint concerns your child or a child attending an academy, it is normally appropriate to communicate directly with the child's class teacher, or the academy's Headteacher. Where the complaint is about a member of academy staff, it is normally appropriate to communicate directly with them in the first instance. This may be by email, letter, by telephone or in person by appointment, requested via the academy office. A complaint may also be made by a third party acting on behalf of the complainant. In this case, the school should ensure that they have written consent from the complainant before disclosing information to a third party.
- We value informal meetings and discussions and encourage parents to approach staff with any concerns they may have and aim to resolve all issues with open dialogue and mutual understanding. If you wish to hold a meeting to discuss your concern or complaint, please explain the nature of your concern or the complaint in advance using the Meeting Request Form provided.
- In the case of serious concerns, it may be appropriate to address them directly to the Headteacher (or to the CEO, via the Company Secretary, if the complaint is about a Headteacher or Chair of Governors). If you are uncertain about who to contact, please seek advice from the Trust office or the Clerk to Governors of the appropriate academy.
- It is anticipated that most complaints will be resolved by this informal stage within 15 working school days of being notified of the complaint.

2. Formal Stage

If your concern or complaint is not resolved to your satisfaction at the informal stage or you wish the complaint to be dealt with immediately as a formal complaint, you should put your complaint in writing.

- If your complaint is about the CEO, your complaint should be sent to the YEAT Chair of Trustees, via the Company Secretary.
- If your complaint is about a Headteacher, your complaint should be sent to the CEO, via the Company Secretary. Your written complaint should include details which might assist the investigation, such as the nature of the complaint, details of how the matter has been dealt with so far, the names of potential witnesses, dates and times of events and copies of all relevant documents. It is very important that you include a clear statement of the actions that you would like the academy to take to resolve your concern. You may wish to use the Complaint Form provided.
- Your written complaint will be acknowledged within 5 school days of receipt. You may be invited to a meeting to clarify your concerns and to explore the possibility of an informal resolution. If you accept that invitation, you may be accompanied by one other person such as a relative or friend, who should not be legally qualified, to assist you in explaining the nature of your concerns. Where possible, this meeting will take place within 10 school days of receipt of the written complaint.
- Where you decline the invitation to a meeting, or the complaint cannot be resolved through a meeting, arrangements will be made for the matter to be formally investigated. If necessary, witnesses will be interviewed, and statements taken from those involved. If the complaint centres on a pupil, the pupil should also be interviewed. Pupils should normally be interviewed with their parent present, but if this would seriously delay the investigation of a serious or urgent complaint or if the pupil has specifically said that s/he

would prefer that their parents were not involved, another member of staff with whom the pupil feels comfortable should be present. If a member of staff is complained against, they must have the opportunity to present their case.

- Once all the relevant facts have been established as far as possible, you will be provided with a written response to the complaint, including a full explanation of the decision and the reasons for it. This will include what action the academy will take to resolve the complaint (if any). You will be advised that if you are dissatisfied with the outcome of the complaint, you may request that your complaint be heard by the Review Panel.
- Following investigation, the CEO, Headteacher or Chair of Governors/Trustees (as appropriate) will notify you in writing of their decision and the reasons for it. Where possible, this will be within 15 school days of receipt of the complaint.
- If in the early stages of the investigation, the Executive Principal/Headteacher considers that the complaint is best dealt with immediately at Stage 3, it will be passed to the Chair of the Directors/Trustees and you will be informed of this action without delay.

What if the complaint is about the Executive Principal or a Headteacher?

In the case of complaints regarding YEAT, the CEO, or a Headteacher please forward documentation to:

The Company Secretary
Yorkshire Endeavour Academy Trust
Airy Hill Primary School
14 Waterstead Lane
Whitby
YO21 1PZ

What if the complaint is about a Governor?

You should contact the Chair of the Local Governing Board (LGB) who will investigate the concerns in accordance with Stage 2. If the complaint is about the Chair of the Local Governing Board (LGB) you should contact the Vice Chair, via the appropriate Clerk to Governors of the academy.

If the complaint is about the LGB as a whole, you should send your complaint to the Chair of the Trustees, via:

The Company Secretary
Yorkshire Endeavour Academy Trust
Airy Hill Primary School
14 Waterstead Lane
Whitby
YO21 1PZ

3. Review Panel Hearing Stage

- If you are dissatisfied with the decision of the CEO/Chair of Trustees (in the case of YEAT complaints) under the Formal Stage, you may request that a Review Panel of the Trust is convened to reconsider your complaint. Your request will only be considered if you have completed the relevant procedures at Stages 1 and 2. To request a hearing by the Review Panel, you should write to the Company Secretary within 10 school days of receiving notice of the outcome of the Formal Stage.

- If you are dissatisfied with the decision of the Headteacher/Chair of Governors (in the case of individual academy complaints) under the Formal Stage, you may request that a Review Panel of the governing body is convened to reconsider your complaint. Your request will only be considered if you have completed the relevant procedures at Stages 1 and 2. To request a hearing before the Review Panel, you should write to the Clerk to Governors within 10 school days of receiving notice of the outcome of the Formal Stage.
- You should ensure that you provide copies of all relevant documents and state all the grounds for your complaint and the outcome that you desire. You may wish to use the Complaint Review Request Form provided. The Company Secretary/Clerk to Governors will acknowledge your request in writing within 5 school days of receipt.
- The review will be conducted by a panel of at least 3 members, consisting of two Trustees (in the case of YEAT complaints) or two governors of the academy (in the case of complaints to an academy) and one other person who is independent of the management and running of the Trust/academy.
- Every effort will be made to enable the hearing to take place within 20 school days of the receipt of your request. As soon as reasonably practical, and in any event at least 5 working days before the hearing, you will be sent written notification of the date, time and place of the hearing, together with brief details of the Panel members who will be present. Fair consideration will be given to any bona fide objection to a particular member of the Panel. Copies of any additional documents you wish the Panel to consider should be sent to the Company Secretary/Clerk to Governors at least 3 days prior to the hearing. The Panel reserves the right not to consider any documentation presented after this.
- A copy of the complaint and any other documents provided by you in support of your complaint, or by the Trust/academy in defence of the complaint, will be provided to the Review Panel as soon as practicable upon receipt. Copies of these documents shall also be provided to you or Executive Principal/Headteacher (as applicable) at least 3 school days before the hearing. The Review Panel reserves the right not to consider any documentation presented by either you or the academy, Page 6 of 14 less than 3 school days prior to the hearing. The Review Panel is under no obligation to hear oral evidence from witnesses but may do so and/or may take written statements into account.
- You will be asked to attend the hearing and may be accompanied by one other person such as a relative or friend, who should not be legally qualified. The Company Secretary/Clerk to Governors or nominated deputy will also attend the hearing in order to keep a record of the proceedings.
- The Review Panel will be conducted in such a way as to ensure that all those present have the opportunity of asking questions and making comments in an appropriate manner. The Panel is under no obligation to hear oral evidence from witnesses but may do so and/or may take written statements into account.
 - Unless otherwise stated, the procedure for an appeal is as follows:
 - the complainant and CEO/Headteacher will enter the hearing together
 - the Chair of the Review Panel will introduce the panel members and outline the process
 - the complainant will explain the complaint
 - the Executive Principal/Headteacher and committee members will question the complainant
 - the Executive Principal/Headteacher will explain the Trust/academy's actions
 - the complainant and the committee members will question the Executive Principal/Headteacher
 - the complainant will sum up their complaint

- the Executive Principal/Headteacher will sum up the Trust/academy's actions
 - the Chair of the panel will explain that both parties will hear from the committee within 5 school days
 - both parties will leave together while the panel decides
 - the Clerk will stay to assist the panel with its decision making
- After the hearing, the Panel; will consider their decision and inform you and the Executive Principal/Headteacher of their decision in writing within 5 school days. The letter will set out the decision of the committee together with the reasons underpinning that decision. The Panel can:
 - Request further information from you and/or the academy to assist them in making their decision
 - Dismiss the complaint in whole or in part
 - Uphold the complaint in whole or in part
 - Decide on the appropriate action to be taken to resolve the complaint
 - Recommend changes to the academy's systems or procedures to ensure that problems of a similar nature do not reoccur

4. Referral to the Education Funding Agency (EFA)

If you are dissatisfied with the decision of the Review Panel, you are entitled to refer your complaint to the Education Funding Agency who have limited powers to review the academy's handling of the complaint in accordance with EFA's 'Procedure for dealing with complaints about Academies'. At the time of writing this procedure, the EFA procedure and the EFA school complaints form are available at

www.education.gov.uk/schools/leadership/schoolperformance/b00212240/making-complaint-school

RECORDS OF COMPLAINTS

A written record will be kept of all complaints, including at what stage they were resolved. Correspondence, statements and records relating to individual complaints will be kept confidential, except where access is requested by the Secretary of State or where disclosure is required in the course of a school inspection or under other legal authority.

PART TWO - Unreasonably persistent complainants and unreasonable complainant behaviour

There are rare circumstances where we will deviate from the Complaints Procedure set out in Part One. These include, but are not necessarily limited to:

- where the complainant's behaviour towards staff, members of the Governors or Directors is unacceptable, for example, is abusive, offensive or threatening;
- where, because of the frequency of their contact with the Trust/academy, the complainant is hindering the consideration of their or other people's complaints and/or the proper running of the Trust/academy;
- where the complainant's complaint is vexatious and/or has patently insufficient grounds;
- where the complainant's complaint is the same, similar to or based on the same facts of a complaint which has already been considered in full by the Trust/academy.

In these circumstances, we may:

- inform the complainant that their behaviour is unacceptable or unreasonably persistent and ask them to change it;
- restrict the complainant's access to the Trust/academy e.g. requesting contact in a particular form (for example, letters only), requiring contact to take place with a named person only, restricting telephone calls to specified days and times or banning the complainant from the academy's premises;
- conduct the Review Panel on the papers only i.e. not hold a hearing;
- refuse to consider the complaint and refer the complainant directly to Stage 4.

In all cases we will write to tell the complainant why we believe his or her behaviour is unacceptable or unreasonably persistent, what action we are taking and the duration of that action.

Where the behaviour is so extreme that it threatens the immediate safety and welfare of staff, members of the Governors or Directors, we will consider other options, for example reporting the matter to the Police or taking legal action. In such cases, we may not give the complainant prior warning of that action.

SUMMARY OF COMPLAINTS PROCEDURE

Stage 1: Informal concerns	Complainant brings complaint to attention to <ul style="list-style-type: none"> • YEAT complaints – YEAT Company Secretary • Academy complaints – member of staff
	Issue to be resolved within 15 school days
	Where no satisfactory solution has been found, parent to be advised that they may proceed to Stage 2
Stage 2: Formal Written Complaint	Complainant to put complaint in writing using Complaint Form to <ul style="list-style-type: none"> • YEAT MAT complaints – YEAT MAT Company Secretary • Academy complaints – Clerk to Governors
	Complaint to be acknowledged within 5 school days
	(Optional) Meeting with parents within 10 school days
	Response to the complaint sent within 15 school days
Stage 3: Referral to Review Panel	Complainant to request hearing within 10 school days of receiving notice of the outcome of Stage 2
	Request to be acknowledged within 5 school days
	Hearing to take place within 20 school days of receipt of request
	Notification of date, time and place of the hearing and details of the Review Panel present sent at least 5 school days before the hearing
	Trust/academy and complainant to submit evidence in support of their case to Company Secretary/Clerk at least 3 school days before the hearing
	Review Panel decision sent not more than 5 school days after the hearing

CONTACT DETAILS

YEAT MAT informal and formal complaints:

The Company Secretary
 Yorkshire Endeavour Academy Trust
 Airy Hill Primary School
 14 Waterstead Lane
 Whitby
 YO21 1PZ

Academy informal complaints:

Headteacher at the appropriate academy address

Academy formal complaints:

Clerk to Governors at the appropriate academy address

YEAT MAT TRUST: MEETING REQUEST FORM

Name of Academy _____

I wish to meet _____

to discuss the following matter:

Brief details of topic to be discussed:

Dates/times when it would be most convenient for a meeting:

Your name: _____

Relationship with the Trust/academy _____

(e.g. parent/carer of a pupil on the academy roll)

Pupil's name (if relevant to the matter to be discussed) _____

Your Address _____

Telephone numbers

Daytime _____ Evening _____

E-mail address _____

Signed _____ Date _____

[Please complete this form and return it to YEAT Trust registered office or to the academy office, as appropriate]

Admin use

Date Form received	Date response sent
Received by	Response sent by

YEAT MAT TRUST: FORMAL COMPLAINT FORM

Please complete this form and return it to YEAT Trust registered office or to the academy office (as appropriate) who will acknowledge its receipt and inform you of the next stage in the procedure.

Your name: _____

Relationship with the Trust/academy _____

(e.g. parent/carer of a pupil on the academy roll)

Pupil's name (if relevant to the matter to be discussed) _____

Your Address _____

Telephone numbers

Daytime _____ Evening _____

E-mail address _____

Signed _____ Date _____

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

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

Number of Additional pages attached =

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

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

Admin use

Date Form received	Date acknowledgement sent
Received by	Acknowledgement sent by
Complaint referred to:	Date:

YEAT MAT TRUST: COMPLAINT REVIEW REQUEST FORM

Please complete this form and return it, to YEAT Trust registered office or to the academy office (as appropriate) who will acknowledge its receipt and inform you of the next stage in the procedure.

Your name: _____

Relationship with the Trust/academy _____

(eg parent/carer of a pupil on the academy roll)

Pupil's name (if relevant to the matter to be discussed) _____

Your Address _____

Telephone numbers

Daytime _____ Evening _____

E-mail address _____

Signed _____ Date _____

Dear Sir/Madam

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

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

I have attached copies of my formal complaint and of the response(s) from the Trust/academy.

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

You may continue on separate paper, or attach additional documents, if you wish.
Number of Additional pages attached =

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

Signed _____

Date _____

Admin use

Date Form received	Date acknowledgement sent
Received by	Acknowledgement sent by
Complaint referred to:	Date:
Request referred to:	Date: