



# Complaints Policy and Procedure

|                |                        |
|----------------|------------------------|
| Policy Type:   | Governance - Statutory |
| Approval date: | 13 October 2025        |
| Approved by:   | Trust Board            |
| Next review:   | Autumn 2026            |

Together we **Exceed**



# Contents

|  |    |
|--|----|
| <b>1. Introduction</b>   | 2  |
| <b>2. Concerns and Complaints</b>                                      | 2  |
| <b>3. Related Processes</b>  | 2  |
| ▪ Services Provided by Other Providers                                 | 3  |
| ▪ Concerns About SEND Provision  | 3  |
| <b>4. Principles for Dealing with Concerns and Complaints</b>          | 4  |
| <b>5. Raising Concerns</b>   | 4  |
| ▪ Conduct When Raising Concerns and Complaints                         | 5  |
| <b>6. Anonymous Complaints</b>   | 5  |
| <b>7. Timescales</b>   | 5  |
| <b>8. Staff Conduct</b>  | 6  |
| <b>9. Confidentiality and Social Media</b>                             | 6  |
| <b>10. Formal Complaints Procedure</b>                                 | 6  |
| ▪ Complaints About Senior Members of Staff                             | 6  |
| ▪ Making a Formal Complaint  | 7  |
| <b>11. Stage 1 – Initial Formal Complaint</b>                          | 7  |
| <b>12. Stage 2 – Formal Complaint Escalation</b>                       | 8  |
| <b>13. Stage 3 – Formal Complaint Review</b>                           | 10 |
| <b>14. Stage 4 – Complaint Review Panel</b>                            | 12 |
| <b>15. Referring Complaints on Completion of the Trust’s Procedure</b> | 13 |
| ▪ Apprenticeship Service Support                                       | 14 |
| <b>16. Duplicate Complaints</b>  | 14 |
| <b>17. Serial and Persistent Complaints</b>                            | 14 |
| <b>18. Complaints Campaigns</b>  | 15 |
| <b>19. Unreasonable Complaints</b>                                     | 15 |
| <b>20. Barring from the Premises</b>                                   | 17 |

## 1. Introduction

- 1.1 Exceed Academies Trust is committed to providing the very best education and school experience to pupils across all our schools and, equally, we are dedicated to providing high quality services through our initial teacher training offers and our Teaching School Hub. As a Trust we work in a productive and positive partnership with everyone engaged with our schools and services, including all parents and carers, course participants, and service users. We welcome any feedback as an important part of continuous improvement and accept that this will not always be positive.
- 1.2 When concerns and complaints are raised, they will be dealt with promptly through a fair, transparent process and without prejudice.
- 1.3 The following policy explains how to raise a concern or make a complaint and what process Exceed Academies Trust staff will follow to resolve the matter as quickly as possible.

## 2. Concerns and Complaints

- 2.1 A ‘concern’ may be defined as *‘an expression of worry or doubt over an issue considered to be important for which reassurances are sought’*. For the purpose of this policy, “concerns” will be classed and addressed as complaints. Any further references to “complaints” will include “concerns”.
- 2.2 For the purpose of this policy, a “complaint” is defined as *‘an expression of dissatisfaction however made, about actions taken or a perceived lack of action’*.
- 2.3 Complaints and concerns can be resolved formally, through this procedure, or informally dependent on the complainant’s choice. Exceed Academies Trust, including Exceed SCITT and Exceed Teaching School Hub, and our schools will try to resolve concerns or complaints by informal means wherever possible. Any complaint or concern will be taken seriously, whether raised formally or informally, and the appropriate procedures shall be taken.

### ‘Grievance’

- 2.4 A ‘grievance’ is an issue raised by a member of staff where they feel the school/Trust has not implemented a policy or process fairly or properly. Grievances will be dealt with in line with the Exceed Grievance Procedure. If you are a SCITT Teacher employed by an Exceed school please contact the HR team for advice on which policy would be appropriate for you to follow.

## 3. Related Processes

- 3.1 This policy covers all complaints about any community facilities or services provided by Exceed Academies Trust and all our schools, other than complaints that are dealt with under other statutory procedures, which must be followed to meet our legal duty. The following list details some specific situations where this applies:

| Subject of concern      | Appropriate Policy   | Available from                                    |
|-------------------------|--|---|
| <b>Pupil admissions</b> | Individual school’s Admissions Policy.<br>Concerns about admissions, should be raised with the Local Authority directly. | School’s website.<br><br>Local Authority website. |

| Subject of concern  | Appropriate Policy  | Available from   |
|---|---|--|
| <b>Statutory assessments of Special Educational Needs</b>                                   | Concerns about statutory assessments of Special Educational Needs should be raised with the Local Authority directly.   | Local Authority website.   |
| <b>Pupil exclusion</b>  | School Discipline Regulations.  | Further information about raising concerns about exclusion can be found at: <a href="http://www.gov.uk/school-discipline-exclusions/exclusions">www.gov.uk/school-discipline-exclusions/exclusions</a> . |
| <b>Staff grievance, capability or disciplinary</b>  | Exceed Academies Trust has policies for grievance, capability and disciplinary.   | Internal policies available to staff.  |
| <b>Staff Conduct</b>  | Complaints about staff will be dealt with under the school's internal disciplinary procedures, if appropriate.<br><br>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. | N/A  |
| <b>Whistleblowing</b>   | We have an internal whistleblowing procedure for all our employees, including temporary staff and contractors.<br><br>The Secretary of State for Education is the prescribed person for matters relating to education for whistle-blowers in education who do not want to raise matters direct with their employer.       | Internal policy available to staff.<br><br>Referrals can be made at: <a href="http://www.education.gov.uk/contactus">www.education.gov.uk/contactus</a>  |
| <b>Subject Access (Data Protection) and Freedom of Information requests</b>                 | Exceed Academies Trust: <ul style="list-style-type: none"> <li>• Data Protection Policy.</li> <li>• Subject Access Request Policy.</li> <li>• Freedom of Information Policy.</li> </ul>   | Trust website.   |
| <b>Safeguarding and Child Protection</b>  | Individual School's Safeguarding and Child Protection Policy.   | School's website.  |
| <b>Early Career Teacher induction (Appropriate Body role of Exceed Teaching School Hub)</b> | Appropriate Body Concerns, Complaints and Induction Appeals Guidance  | Trust website – <i>Policies</i> section  |

### 3.2 Services Provided by Other Providers

Where a complaint concerns a third party used by Exceed Academies Trust or by an individual Exceed school please contact the third party directly.

### 3.3 Concerns About SEND Provision

Any concerns or complaints about SEND provision by parents or carers should be initially raised informally, whether by e-mail, letter or a telephone call with the school's SENDCo (Special Educational Needs and Disabilities Co-ordinator). The SENDCo will look to respond to the concerns immediately where possible. If required, they will investigate the concerns and report back within a week.

If the parents/carers continue to be dissatisfied, a formal complaint should be raised beginning at Stage 1 of the complaints procedure outlined in this policy.

## 4. Principles for Dealing with Concerns and Complaints

### 4.1 Exceed Academies Trust and our schools will:

- take all concerns and complaints seriously.
- make every attempt to resolve concerns by informal means without the need to use formal procedures.
- publish this complaints procedure, make it easily accessible and simple to understand and use.
- be fair, open and honest when dealing with any concern or complaint.
- give careful consideration to all concerns and complaints and deal with them as swiftly as possible, keeping people informed of progress.
- resolve any concern or complaint through dialogue and mutual understanding and, wherever possible, put the interests of the child above all other issues.
- provide sufficient opportunity for any concern or complaint to be fully discussed, and then resolved.
- deal with concerns or complaints in an impartial and non-adversarial manner.
- ensure a full and fair investigation of a complaint is undertaken by a person who has not been directly involved in the matter.
- address all the points at issue and provide an effective response and appropriate redress, where necessary.
- respect people's desire for confidentiality.
- use the outcome of a complaint to reflect on the services provided by the school/Trust so, if necessary, they can be improved.
- in accordance with equality law, 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.

## 5. Raising Concerns

5.1 We recognise that parents/carers and others will, from time to time, have normal and legitimate concerns about the progress, achievement, behaviour or welfare of their child, or about other matters connected with the school. Most concerns can be dealt with outside of the formal complaints process and should be raised by phone, email or in person with a relevant member of staff so that they can be addressed in partnership with the school. Almost invariably, the sooner such concerns are raised, the easier it is for an appropriate resolution to be found.

5.2 A concern may be raised with any member of staff. For parents and carers, the best person to speak to initially would normally be your child's tutor, teacher or Head of Year (or equivalent) and for others this would normally be the Headteacher/Head of School. For a teacher trainee including apprentices, this might be your class based mentor or lead mentor. *Complainants should not approach individual governors/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 and Stage 4 of the procedure.*

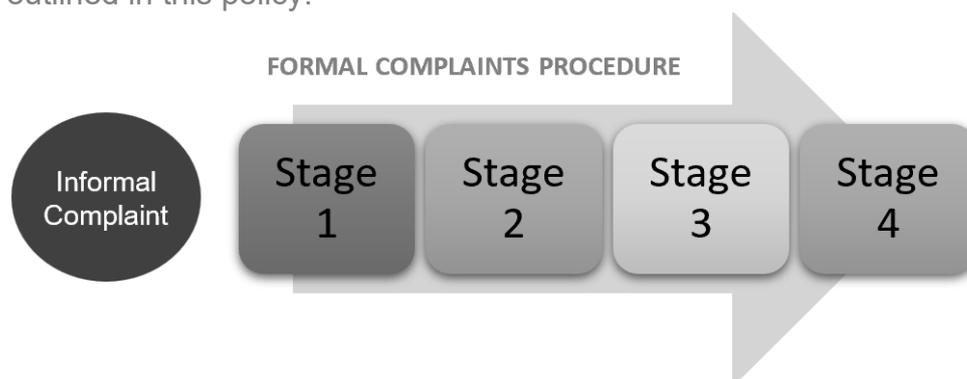
5.3 Informal concerns will be responded to quickly and resolved amicably. At the conclusion of their investigation, the appropriate person investigating the concern will provide a response within 10 school days of the date the concern is raised. If additional time is required to complete an investigation, the complainant will be updated and provided with a definitive deadline.

#### 5.4 Conduct When Raising Concerns and Complaints

In order to ensure a timely and pleasing resolution to any concerns and complaints, Exceed Academies Trust expects that anyone raising a concern will:

- Cooperate with the school/Trust in seeking a solution to the complaint.
- Express the complaint and their concerns in full at the earliest possible opportunity.
- Promptly respond to any requests for information or meetings.
- Ask for assistance as needed.
- Treat any person(s) involved in the complaint with respect.

5.5 It is hoped that concerns can be resolved informally to the satisfaction of the person raising the concern; however, it is recognised that there will be occasions when people may wish to raise their concerns formally. In this case, a formal complaint can be progressed through the procedure outlined in this policy.



## 6. Anonymous Complaints

6.1 Anonymous complaints will not be investigated, save in exceptional circumstances, as we are unable to respond to the complainant (these circumstances would include serious concerns such as child protection issues or bullying allegations, where the school is either required to involve appropriate external agencies or might conduct its own internal review to test whether there is any corroborative evidence which might trigger a formal investigation).

## 7. Timescales

7.1 Complaints are expected to be made as soon as possible after an incident arises to amend the issue in an appropriate timescale. Exceed Academies Trust reserves the right not to investigate complaints that have been made more than three months after the subject of the complaint took place unless in exceptional circumstances; for example: where new evidence has come to light; if the complaint is about an especially serious matter or where there is reasonable justification for why the complainant couldn't raise the matter sooner. The Headteacher/Head of School (or CEO for complaints about the Trust) will make the decision on whether or not to invoke the complaints procedure in this instance.

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

7.3 When the formal complaints procedure is underway, if a complainant wishes to escalate a complaint to the next stage of the procedure, it is expected that they will make the request in writing in a timely manner, within 10 school days following receipt of the response from the previous stage. Exceptions will be considered if a valid reason is provided; otherwise the complaint will be closed at the end of the last stage reached.

## 8. Staff Conduct

8.1 If, at any stage, it is necessary to undertake staff disciplinary or capability proceedings as the result of a complaint, this will be dealt with under the Trust's internal disciplinary procedures.

8.2 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.

## 9. Confidentiality and Social Media

9.1 In order for complaints to be resolved as quickly and fairly as possible, Exceed Academies Trust requests that complainants do not discuss complaints publicly including via social media such as Facebook and X (previously known as Twitter). Complaints will be dealt with confidentially for those involved, and we expect complainants to also observe confidentiality. Defamatory, offensive or otherwise inappropriate comments on social media will be reported to the appropriate authorities.

## 10. Formal Complaints Procedure

10.1 Every attempt should be made by both the complainant and the school or Trust to resolve concerns by informal means before entering into the formal procedures.

10.2 All formal complaints will be handled in the order and procedure outlined in this policy, from Stage 1 to Stage 4 consecutively. Complaints about specific individuals may bypass initial stages and where this is the case it is indicated within this Policy.

### 10.3 Complaints About Senior Members of Staff

Where a complaint regards a senior member of staff within the Trust (Headteacher/Head of School, Executive Headteacher, CEO, Director of Exceed SCITT, Director of Exceed Teaching School Hub), we ask that this be raised directly with the member of staff in the first instance to try and resolve the issue informally. If the complainant is not satisfied with this outcome they should then submit a written formal complaint marked for the attention of the Exceed Academies Trust Governance Manager and arrangements will be made for the complaint to commence at the relevant stage of the procedure as outlined within this Policy.

## 10.4 Making a Formal Complaint

Formal complaints (and each subsequent request to proceed to the next stage of the procedure) should be made in writing, including email, and should include:

- your name.
- the name and year group of your child (if applicable).
- your contact information.
- details of your complaint.
- details of action taken so far including the name(s) of staff involved.
- the reason you are not satisfied with the action taken in response to your concerns.
- what action you feel is needed to resolve the matter.

## 11. Stage 1 – Initial Formal Complaint

11.1 The written formal complaint should be sent to the relevant person as indicated below:

| Complaint relates to:   | Address to:  | Assigned to:   |
|---|--|--|
| <b>School systems and procedures or School Staff</b>                                  | Headteacher<br>Via the school office   | Headteacher or Deputy Headteacher                                  |
| <b>Headteacher</b>  | <b>PROCEED TO STAGE 2</b>  |  |
| <b>Executive Headteacher / An individual governor or whole governing board</b>        | <b>PROCEED TO STAGE 2</b>  |  |
| <b>Trust systems and procedures or Central Trust staff or a Trustee</b>               | Exceed Academies Trust Governance Manager<br>Via Trust office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a><br><br><i>If your complaint relates to the Governance Manager, please address it to the Chief Operating Officer</i> | Governance Manager or Investigating Officer allocated by the Trust |
| <b>Chief Executive Officer (CEO)</b>  | <b>PROCEED TO STAGE 2</b>  |  |
| <b>Exceed SCITT (including apprenticeships) systems and procedures or SCITT staff</b> | Head of Primary ITT or Head of Secondary ITT<br>Via SCITT office or email<br><a href="mailto:exceedscitt@exceedacademiestrust.co.uk">exceedscitt@exceedacademiestrust.co.uk</a>  | Head of Primary ITT or Head of Secondary ITT                       |
| <b>Exceed Teaching School Hub systems and procedures or Hub staff</b>                 | Deputy Director of Exceed Teaching School Hub<br>Via Teaching School Hub office or email<br><a href="mailto:tshub@exceedacademiestrust.co.uk">tshub@exceedacademiestrust.co.uk</a>   | Deputy Director of Exceed Teaching School Hub                      |

*It is extremely important that the complainant presents a clear indication of what action(s) they feel might resolve the problem at this stage in order to achieve a positive outcome for all parties. If a complainant refuses to articulate their complaint or specify the grounds of a complaint or the outcomes sought by raising the complaint, despite offers of assistance, consideration may be given as to whether the complaint is vexatious\* rather than genuinely seeking to resolve an issue (please note section 19 'Unreasonable Complaints').*

*\*Vexatious complaints are complaints which may not have substance, are designed to cause deliberate annoyance and/or frustration.*

11.2 Receipt of the complaint will be acknowledged in writing (either by letter or email) within 5 school days. Within this acknowledgement, clarification of any further information it is felt is required in addition to that included in the written complaint may be sought. Consideration will be given as to whether it is felt that a face to face meeting would be appropriate to gain the clarification required.

*Note: The investigation of the complaint may be delegated to another member of staff but not the decision to be taken.*

11.3 During the investigation, the investigating officer will:

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

11.4 At the conclusion of the investigation, a formal written response will be provided within 25 school days of the date of receipt of the complaint. If it is determined that this deadline cannot be met, the complainant will be provided with an update and revised response date.

11.5 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 that will be taken to resolve the complaint.

11.6 If it is deemed necessary by the school or Trust based on the nature of the complaint, Stage 1 will be considered by an independent investigator appointed by the Trust. At the conclusion of their investigation, the independent investigator will provide a formal written response.

## 12. Stage 2 – Formal Complaint Escalation

12.1 If a complainant remains dissatisfied following the response to Stage 1, a written request to proceed to Stage 2 should be sent, within 10 school days of receiving the Stage 1 response. Disliking the outcome of the previous stage is NOT a reason to progress; a clear reason as to why it is believed appropriate investigations/action have not been taken should be provided. The request should be sent to the relevant person as indicated below:

| Complaint relates to:  | Address to:   | Assigned to:   |
|--|---|--|
| <b>School systems and procedures or School Staff</b>                           | Exceed Academies Trust Governance Manager<br>Via the school office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a> | Headteacher (if not involved in investigation at stage 1), Executive Headteacher or Investigating Officer allocated by the Trust |
| <b>Headteacher</b>   | Exceed Academies Trust Governance Manager<br>Via the school office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a> | Executive Headteacher or Investigating Officer allocated by the Trust  |
| <b>Executive Headteacher / An individual governor or whole governing board</b> | Exceed Academies Trust Governance Manager<br>Via the school office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a> | Investigating Officer allocated by the Trust   |

| Complaint relates to:   | Address to:  | Assigned to:   |
|---|--|--|
| <b>Trust systems and procedures or Central Trust staff or a Trustee</b>               | Exceed Academies Trust Governance Manager<br>Via Trust office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a><br><br><i>If your complaint relates to the Governance Manager, please address it to the Chief Operating Officer</i> | Governance Manager or Investigating Officer allocated by the Trust                     |
| <b>Chief Executive Officer (CEO)</b>  | Exceed Academies Trust Governance Manager<br>Via Trust office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a>   | A Trustee  |
| <b>Exceed SCITT (including apprenticeships) systems and procedures or SCITT staff</b> | Director of Exceed SCITT<br>Via SCITT office or email<br><a href="mailto:exceedscitt@exceedacademiestrust.co.uk">exceedscitt@exceedacademiestrust.co.uk</a>  | Director of Exceed SCITT or Investigating Officer allocated by the Trust               |
| <b>Exceed Teaching School Hub systems and procedures or Hub staff</b>                 | Director of Exceed Teaching School Hub<br>Via Teaching School Hub office or email<br><a href="mailto:tshub@exceedacademiestrust.co.uk">tshub@exceedacademiestrust.co.uk</a>  | Director of Exceed Teaching School Hub or Investigating Officer allocated by the Trust |

*It is extremely important that the complainant presents a clear indication of what action(s) they feel might resolve the problem at this stage in order to achieve a positive outcome for all parties. If a complainant refuses to articulate their complaint or specify the grounds of a complaint or the outcomes sought by raising the complaint, despite offers of assistance, consideration may be given as to whether the complaint is vexatious\* rather than genuinely seeking to resolve an issue (please note section 19 'Unreasonable Complaints').*

*\*Vexatious complaints are complaints which may not have substance, are designed to cause deliberate annoyance and/or frustration.*

12.2 Only complaints considered at Stage 1 will be reviewed at this stage (unless the table indicates that a complaint should begin at a different stage). New complaints must be dealt with from the start of the procedure even if a separate complaint is already in progress.

12.3 Receipt of the complaint will be acknowledged in writing (either by letter or email) within 5 school days. Within this acknowledgement, clarification of any further information it is felt is required in addition to that already provided may be sought. Consideration will be given as to whether it is felt that a face to face meeting would be appropriate to gain the clarification required.

*Note: The review of the complaint may be delegated to an appropriately senior member of staff, who is completely impartial.*

12.4 This stage is a review, it will not automatically involve a reinvestigation. A review of all information available will be undertaken by the assigned person to determine whether the complaint has been investigated fairly and appropriately, what the findings were and any actions taken, and whether the complaint has been handled in line with this policy. The assigned person will consider the information provided by the complainant, the investigations that have taken place and the outcomes, and all available evidence. They will determine whether policy has been followed correctly and investigations have been conducted professionally and fairly with a clear response and outcomes.

- 12.5 At the conclusion of the review, a formal written response will be provided within 25 school days of the date of receipt of the complaint. If it is determined that this deadline cannot be met, the complainant will be provided with an update and revised response date.
- 12.6 The response will detail any actions taken to review 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 that will be taken to resolve the complaint.
- 12.7 If it is deemed necessary by the school or Trust based on the nature of the complaint, Stage 2 will be considered by an independent officer appointed by the Trust. At the conclusion of their review, the independent officer will provide a formal written response.

### 13. Stage 3 – Formal Complaint Review

- 13.1 If a complainant remains dissatisfied following the response to Stage 2, a written request to proceed to Stage 3 should be sent, within 10 school days of receiving the Stage 2 response. Disliking the outcome of the previous stage is NOT a reason to progress; a clear reason as to why it is believed appropriate investigations/action have not been taken should be provided. The request should be sent to the relevant person as indicated below:

| Complaints against:   | Address to:   | Assigned to   |
|---|---|---|
| <b>School systems and procedures or School Staff</b>                                  | Exceed Academies Trust<br>Governance Manager<br>Via the school office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a>  | Chair of Governors<br><i>(The Chair may delegate the review to another governor/trustee)</i>  |
| <b>Headteacher</b>  | Exceed Academies Trust<br>Governance Manager<br>Via the school office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a>  | Chair of Governors<br><i>(The Chair may delegate the review to another governor/trustee)</i>  |
| <b>Executive Headteacher / An individual governor or whole governing board</b>        | Exceed Academies Trust<br>Governance Manager<br>Via the school office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a>  | Chair of Governors<br><i>(The Chair may delegate the review to another governor/trustee)</i><br><i>(The Governance Manager or other allocated person will review complaints about the chair or whole board)</i> |
| <b>Trust systems and procedures or Central Trust staff or a Trustee</b>               | Exceed Academies Trust<br>Governance Manager<br>Via Trust office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a><br><br><i>If your complaint relates to the Governance Manager, please address it to the Chief Operating Officer</i> | Chair of Trustees<br><i>(The Chair may delegate the review to another trustee/governor)</i><br><i>(The Governance Manager or other allocated person will review complaints about trustees)</i>                  |
| <b>Chief Executive Officer (CEO)</b>  | Exceed Academies Trust<br>Governance Manager<br>Via Trust office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a>   | Chair of Trustees<br><i>(The Chair may delegate the review to another trustee)</i>  |
| <b>Exceed SCITT (including apprenticeships) systems and procedures or SCITT staff</b> | Exceed Academies Trust<br>Governance Manager<br>Via Trust office or email<br><a href="mailto:info@exceedacademiestrust.co.uk">info@exceedacademiestrust.co.uk</a>   | Member of the SCITT Board or Chair of Trustees<br><i>(The Chair may delegate the review to another trustee/governor)</i>  |

**Exceed Teaching School  
Hub systems and  
procedures or Hub staff**

Exceed Academies Trust  
Governance Manager  
Via Trust office or email  
[info@exceedacademiestrust.co.uk](mailto:info@exceedacademiestrust.co.uk)

Member of the Independent Appropriate  
Body Advisory Panel

*It is extremely important that the complainant presents a clear indication of why they are dissatisfied with the investigations (and any action taken) undertaken up to this point. If a complainant refuses to articulate their reason for progressing the complaint and the outcomes sought by raising the complaint, despite offers of assistance, consideration may be given as to whether the complaint is vexatious\* rather than genuinely seeking to resolve an issue (please note section 19 'Unreasonable Complaints').*

*\*Vexatious complaints are complaints which may not have substance, are designed to cause deliberate annoyance and/or frustration.*

- 13.2 Only complaints considered at both Stages 1 and 2 will be reviewed at this stage (unless the table indicates that a complaint should begin at a different stage). New complaints must be dealt with from the start of the procedure even if a separate complaint is already in progress.
- 13.3 Receipt of the escalation request will be acknowledged in writing (either by letter or email) within 5 school days. Within this acknowledgement, clarification of any further information it is felt is required in addition to that already provided may be sought. Consideration will be given as to whether it is felt that a face to face meeting would be appropriate to gain the clarification required.
- 13.4 This stage is not an investigation. A review of all information available will be undertaken by the assigned governance representative to determine whether the complaint has been investigated fairly and appropriately, what the findings were and any actions taken, and whether the complaint has been handled in line with this policy. The assigned person will consider the information provided by the complainant, the investigations that have taken place and the outcomes, and all available evidence. They will determine whether policy has been followed correctly and investigations have been conducted professionally and fairly with a clear response and outcomes.
- 13.5 Possible outcomes of the review include:
- Confirmation that the complaint has been investigated and responded to in line with this policy and that there are no evident concerns with the handling of the complaint.
  - Direction for a reconsideration of the previous response to the complaint and any possible actions that could be taken.
  - A recommendation for changes to the school's systems or procedures to prevent similar issues in the future.
- 13.6 At the conclusion of the review, a formal written response will be provided within 25 school days of the date of receipt of the complaint escalation request. If it is determined that this deadline cannot be met, the complainant will be provided with an update and revised response date.
- 13.7 The response will detail the outcome of the review and provide an explanation of the findings regarding the handling of the complaint. Where appropriate, it will include details of the timeline for reconsideration of the complaint.

## 14. Stage 4 – Complaint Review Panel

- 14.1 If the complainant is dissatisfied with the outcome at the end of Stage 3 and wishes to take the matter further, they can escalate the complaint to Stage 4 – a panel hearing. Disliking the outcome of the previous stage is NOT a reason to progress; a clear reason as to why it is believed appropriate investigations/action have not been taken should be provided. This is the final stage of the complaints procedure.
- 14.2 A request to escalate to Stage 4 must be made to the Exceed Academies Trust Governance Manager, via the school or Trust office, within 10 school days of receipt of the Stage 3 response. Requests received outside of this time frame will only be considered if exceptional circumstances apply.
- 14.3 The Governance Manager will acknowledge receipt of the escalation request in writing (either by letter or email) within 5 school days.
- 14.4 The assigned Clerk to the Panel 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 4 request. If this is not possible, the Clerk will provide an anticipated date and keep the complainant informed.
- 14.5 If the complainant rejects the offer of two proposed dates, without good reason, the panel will take a decision to either hold the meeting in the complainant's absence or close the complaint.
- 14.6 The Complaint Panel will consist of three members (including an allocated Chair). None of the three members of the Complaint Panel will have been involved in the incidents or events which led to the complaint, or will have been involved in dealing with the complaint in the previous stages, or have any detailed prior knowledge of the complaint. One of the Complaint Panel members will be independent of the management and running of the Academy Trust. This means that the independent Complaint Panel member will not be a Trustee or an employee of the Trust.
- 14.7 The complainant is entitled to bring someone along to the meeting to provide support. This can be a relative or friend. Legal representatives and representatives from the media are not permitted to attend the panel meeting. However, there may be occasions when legal representation is appropriate. For instance, if a trust employee is called as a witness in a complaint meeting, they may wish to be supported by union and/or legal representation.  
*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.*
- 14.8 At least 4 school days before the meeting, the Clerk will:
- confirm and notify the complainant of the date, time and venue of the meeting.
  - circulate any written material to all parties. The panel will not accept, as evidence, recordings of conversations that were obtained covertly and without the informed consent of all parties being recorded.

- 14.9 The panel 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 the start of the procedure.
- 14.10 The meeting will be held in private. Electronic recordings of meetings or conversations are not normally permitted unless a complainant's own disability or special needs require it. Prior knowledge and consent of all parties attending must be sought before meetings or conversations take place. Consent will be recorded in any minutes taken.
- 14.11 The panel will consider the complaint and all the evidence presented. The panel can:
- uphold the complaint in whole or in part.
  - dismiss the complaint in whole or in part.
- 14.12 If the complaint is upheld in whole or in part, the panel will:
- decide on the appropriate action to be taken to resolve the complaint.
  - where appropriate, recommend changes to the school's systems or procedures to prevent similar issues in the future.
- 14.13 The Chair of the Panel will provide the complainant and the school/Trust with a full explanation of their decision and the reason(s) for it, in writing, within 15 school days. The letter to the complainant will include details of how to contact the Education and Skills Funding Agency (ESFA) if they are dissatisfied with the way their complaint has been handled.
- 14.14 The response will detail any actions taken 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/Trust will take to resolve the complaint.
- 14.15 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.
- 14.16 A written record will be kept of all complaints, and of whether they are resolved at the preliminary stages or proceed to a panel hearing, along with what actions have been taken, regardless of the decision.
- 14.17 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.

## **15. Referring Complaints on Completion of the Trust's Procedure**

- 15.1 If the complainant believes their complaint was not handled in accordance with the published complaints procedure or the Trust/school acted unlawfully or unreasonably in the exercise of their duties under education law, they can contact the Department for Education (DfE) after they have completed Stage 4.

15.2 The DfE will not normally reinvestigate the substance of complaints or overturn any decisions made by the school/Trust. They will consider whether the school/Trust 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.

15.3 The complainant can refer their complaint to the DfE online at: <https://www.gov.uk/contact-dfe>, or by telephone on: 0370 000 2288.

#### 15.4 **Apprenticeship Service Support**

If the Trust's complaints procedure has been fully exhausted in respect of a complaint regarding an apprenticeship, and the complainant remains unsatisfied, they may wish to contact the Apprenticeship Service for support and advice by calling 08000 150 600 or by emailing [helpdesk@manage-apprenticeships.service.gov.uk](mailto:helpdesk@manage-apprenticeships.service.gov.uk) in the first instance.

## 16. Duplicate Complaints

16.1 There may be some cases where at the end of the complaints procedure, the school/Trust receives a duplicate complaint from a complainants spouse, partner, grandparent or child.

16.2 Where the complaint is about the same subject, the new complainant will be informed that the school/Trust has already considered that complaint and that the local process has been completed. The new complainant will be advised to contact the ESFA if they are dissatisfied with the school's/Trust's handling of the original complaint.

16.3 The school/Trust will take care not to overlook any new aspects to the complaint that may not have been previously considered. Any new elements of a complaint will be investigated and dealt with in line with the full complaints procedure.

## 17. Serial and Persistent Complaints

17.1 The school/Trust will act in a manner they believe to be appropriate when dealing with an individual who consistently makes the same complaints or who continuously asks the school to reconsider its position.

17.2 If a complainant attempts to re-open an issue which has previously fully completed the complaints procedure, the Exceed Academies Trust Governance Manager will inform the complainant that the matter is now closed.

17.3 If the complainant contacts the school/Trust regarding the same issue again, the complaint may be classed as 'serial' or 'persistent' and the school/Trust does not have an obligation to respond.

17.4 The school/Trust will not take the decision to stop responding to an individual lightly. The school/Trust will ensure that:

- They have previously taken every reasonable step to address the problem.
- They have provided the complainant with a statement of the school's/Trust's position.
- The complainant is contacting the school repeatedly with the same complaint.

17.5 If the school/Trust believes that the complainant is continuously contacting the school/Trust to cause disruption or inconvenience, or if the complainant is being abusive or threatening, the school/Trust has the right to not respond to the complainant. Once the school/Trust decides to no longer respond to a complainant, the individual will be informed of this decision in writing.

17.6 Any new complaint made by a 'serial' complainant will be responded to.

## 18. Complaints Campaigns

18.1 For the purposes of this policy, "complaints campaigns" are defined as:

- Where the school/Trust receives a number of complaints all based on the same subject.
- Where the school/Trust receives multiple complaints from complainants who are not connected to the school/Trust.

18.2 In the event of a complaints campaign (as defined above), the school/Trust will not respond to each complaint individually but will either:

- send a template response to all complainants; or
- publish a single response on the school's/Trust's website.

## 19. Unreasonable Complaints

19.1 Exceed Academies Trust is committed to dealing with all complaints fairly and impartially, and to providing a high-quality service to those who complain. We will not normally limit the contact complainants have with the school; however, we do not expect our staff to tolerate unacceptable behaviour and will take action to protect staff from that behaviour, including that which is abusive, offensive or threatening.

19.2 The Trust defines unreasonable complainants as 'those who, because of the frequency or nature of their contacts with the school, hinder our consideration of their or other people's complaints'.

19.3 A complaint may be regarded as unreasonable when the person making the complaint:

- Refuses to articulate their complaint or specify the grounds of a complaint or the outcomes sought by raising the complaint, despite offers of assistance.
- Refuses to co-operate with the complaints investigation process while still wishing their complaint to be resolved.
- Refuses to accept that certain issues are not within the scope of a complaints procedure.
- Insists on the complaint being dealt with in ways which are incompatible with the adopted complaints procedure or with good practice.
- Introduces trivial or irrelevant information which the complainant expects to be taken into account and commented on, or raises large numbers of detailed but unimportant questions, and insists they are fully answered, often immediately and to their own timescales.
- Makes unjustified complaints about staff who are trying to deal with the issues and seeks to have them replaced.
- Changes the basis of the complaint as the investigation proceeds.

- Repeatedly makes the same complaint (despite previous investigations or responses concluding that the complaint is groundless or has been addressed).
- Refuses to accept the findings of the investigation into that complaint where the school's complaints procedure has been fully and properly implemented and completed including referral to the ESFA.
- Seeks an unrealistic outcome.
- Makes excessive demands on school time by frequent, lengthy, complicated and stressful contact with staff regarding the complaint in person, in writing, by email and by telephone while the complaint is being dealt with.

19.4 A complaint may also be considered unreasonable if the person making the complaint does so either face-to-face, by telephone or in writing (including electronically):

- Maliciously.
- Aggressively.
- Using threats, intimidation or violence.
- Using abusive, offensive or discriminatory language.
- Knowing it to be false.
- Using falsified information.
- Publishing unacceptable information in a variety of media such as in social media websites and newspapers.

19.5 Complainants should limit the numbers of communications with a school while a complaint is being progressed. It is not helpful if repeated correspondence is sent (either by letter, phone, email or text) as it could delay the outcome being reached.

19.6 Whenever possible, a representative of the school/Trust will discuss any concerns with the complainant informally before applying an 'unreasonable' marking.

19.7 If the behaviour continues, the complainant will be informed in writing that their behaviour is unreasonable and that their complaint will not be taken any further (the school/Trust will fully investigate all complaints regardless of any decision taken around the behaviour of a complainant). For complainants who excessively contact the school/Trust causing a significant level of disruption, the school/Trust may specify methods of communication and limit the number of contacts in a communication plan.

19.8 In response to any serious incident of aggression or violence, the concerns and actions taken will be put in writing immediately and the police informed. This may include banning an individual from the premises.

19.9 We reserve the right not to consider complaints that:

- are malicious (that is, they are instituted without sufficient grounds and serving only to cause annoyance).
- use obscenities, racist or homophobic language.
- contain personally offensive remarks about members of our staff.
- are repeatedly submitted with only minor differences after we have fully addressed the complaint.

## 20. Barring from the Premises

- 20.1 School premises are private property and therefore any individual can be barred from entering the premises.
- 20.2 If an individual's behaviour is cause for concern, the Headteacher can ask the individual to leave the premises.
- 20.3 The Headteacher will notify the parties involved in writing, explaining that their implied licence for access to the premises has been temporarily revoked and why, subject to any representations that the individual may wish to make.
- 20.4 The individual involved will be given the opportunity to formally express their views regarding the decision to bar them.
- 20.5 This decision to bar will be reviewed by the Exceed Academies Trust Governance Manager taking into account any discussions following the incident.
- 20.6 If the decision is made to continue the bar, the individual will be contacted in writing, informing them of how long the bar will be in place.