



# WARWICK INDEPENDENT SCHOOLS FOUNDATION

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## COMPLAINTS POLICY

### 1.0 Introduction

- 1.1 This policy applies to all parents of pupils at the Schools that form Warwick Independent Schools Foundation (Warwick Preparatory School, King's High School, Warwick School, and Warwick Junior School) including, where applicable, parents of pupils in the Early Years Foundation Stage.
- 1.2 The Schools have long prided themselves on the quality of the teaching and pastoral care provided to their pupils. However, if parents do have a complaint, they can expect it to be treated by the Schools in accordance with this Policy and Procedure. Our aim is to have an open organisation, climate and culture.
- 1.3 This policy encompasses notifications of an actual or perceived problem arising from an event or process under the jurisdiction of the school, which causes parents to be concerned or dissatisfied about their child's experience or their own and where they are seeking action by the school. Parents should raise any complaints directly and we reserve the right to modify the procedures in this policy as necessary to address complaints raised by more than one set of parents together.
- 1.4 In order to assist in a speedy and satisfactory resolution, parents are asked, from the beginning, to state clearly the exact nature of their concern and the remedy sought. It can greatly assist a speedy and satisfactory resolution if the notification is prompt and specific, including examples and factual evidence where this is appropriate and practicable.
- 1.5 A central record will be kept securely of informal complaints, allowing the pattern of concerns and complaints to be monitored regularly by appropriate members of the senior management team. The number of complaints is available to parents on request.

### 2.0 Definitions for the purposes of this Policy

- 2.1 A *parent* is defined as a biological parent or any other person with parental responsibility or care for a pupil currently attending the school.<sup>1</sup>
- 2.2 *Working days* refers to full school days in term time. This therefore excludes all school holidays, weekends, public holidays and half-days. Where the word 'normally' is used, it is expected that the timescale would only be altered by the school or the parents in exceptional circumstances, such as the illness of a parent or a key member of staff involved in the process. Should the matter progress to an

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<sup>1</sup> Section 576 of the Education Act 1996 states that a 'parent', in relation to a child or young person, includes any person who is not a parent (from which can be inferred 'biological parent') but who has parental responsibility, or who has care of the child. For the purposes of education law, the department considers a 'parent' to include: all biological parents, whether they are married or not; any person who, although not a biological parent, has parental responsibility for a child or young person - this could be an adoptive parent, a step-parent, guardian or other relative; any person who, although not a biological parent and does not have parental responsibility, has care of a child or young person. A person typically has care of a child or young person if they are the person with whom the child lives, either full or part time and who looks after the child, irrespective of what their biological or legal relationship is with the child.

appeal, the availability of any of the participants including the panel members may also be a constraint. In these circumstances, a note will be sent to complainants to inform them of the proposed length of time it will take to undertake initial enquiries above and beyond the normal time indicated.

### **3.0 Policy**

3.1 In our Schools, we wish to have a community that listens and is able to respond in a positive, appropriate and sympathetic way to any concerns. It is important that all stakeholders feel valued and involved with the school and are able to voice their concerns. This is helped where the culture of the school is open and where all complaints are received in a positive manner.

3.2 All concerns need to be handled seriously. A gentle expression of concern, or a simple query, may grow into a painful matter if people feel that they have been brushed aside. Equally, issues with the potential to become acutely difficult may dwindle and fade if they are handled well at the initial stage.

### **4.0 Procedure**

#### Stage 1 – Informal Resolution

Contact: Tutor, Key Stage Coordinator or Deputy Head

Timescale: Complaint normally acknowledged within 2 working days  
Complaint to be dealt with, with a view to a full resolution, normally within 10 working days

4.1 It is hoped that most complaints and concerns will be resolved quickly and informally.

4.2 If parents or guardians have a complaint, they should contact the pupil's form Tutor (class teacher) or Key Stage Coordinator, or the Deputy Head. If he/she is not the appropriate person to deal with it, he/she will pass it to the person who is. If this individual cannot resolve the matter alone, it may be necessary for him/her to consult the Deputy Head or the Head.

4.3 Boarders' parents or legal guardians should direct complaints to the Boarding House Parents. Alternatively, they can be directed to the Head Master or Deputy Head. Boarding House complaints will be addressed in accordance with the Foundation Complaints Policy.

4.4 The aim is to resolve the matter promptly to the parents' or guardians' satisfaction.

4.5 Complaints made directly to the Deputy Head or the Head will be referred to the relevant member of staff unless the Deputy Head or the Head deems it appropriate to deal with the matter personally.

4.6 The member of staff in receipt of the complaint/concern will make a written record of it and the date on which it was received and will normally acknowledge it within 2 working days. The school will normally deal with the matter within 10 working days of receipt of the notification.

4.7 Where an informal resolution is not achieved, parents may make a formal complaint under Stage 2 of this procedure.

#### Complaints about the Head

4.8 The procedure for dealing with an informal complaint about the Head of the School is set out below:

- parents may choose to raise complaints directly with the Head if they feel that the matter is capable of resolution informally. The complaint may be raised orally or in writing. If in writing, the School will not automatically treat the complaint as a formal (Stage 2) complaint and the Head will endeavour to resolve the complaint informally under Stage 1;
- the Head will acknowledge informal complaints within 2 working days and will seek to resolve the matter under this Stage 1 by means of direct conversation or a meeting with the parents, to be held within 10 working days of the initial complaint;
- if the parent is dissatisfied with the Head's response to the informal complaint or in the event that the complaint cannot be resolved by informal means, the parent may make a formal complaint under Stage 2 of this procedure.

4.9 Alternatively, parents may choose to make their complaint about the Head to the Principal. In this case, the complaint will be treated as a formal complaint under Stage 2 of this procedure.

#### Stage 2 – Formal Resolution

Contact: Head

Timescale: Complaint normally acknowledged in writing by Head within 5 working days

Complaint to be dealt with, with a view to a full resolution, normally within 28 working days.

*Note – special additional circumstances apply to Early Years Foundation Stage (EYFS) complaints – see Section 5.0 below.*

4.10 If the complaint cannot be resolved at Stage 1 (Informal Resolution), then the parents or guardians should put their complaint in writing (letter rather than e-mail) to the Head stating explicitly that, having been through Stage 1 of the procedure, they remain dissatisfied and now wish to make a “formal complaint”.

4.11 In the Formal Complaint, parents should:

- state the nature of the complaint,
- state the remedy sought, and
- include all relevant information.

Parents should note that the complaint at this stage should not change in scope from that presented at Stage 1. Should any new matters be presented, parents will usually be advised that they will be dealt with under Stage 1.

4.12 A formal complaint should normally be lodged within 7 working days of the date of a verbal or written report to parents under the Stage 1 procedure.

4.13 The Head will acknowledge in writing receipt of the complaint, normally within 5 working days, and will normally appoint a senior member of staff to investigate the issues raised (“Investigating Officer”).

- 4.14 The Investigating Officer will keep written records of all meetings and interviews held in relation to the complaint which will be provided to the Head once collated.
- 4.15 Once the Head is satisfied, so far as is practicable, that all of the relevant facts have been established, a meeting with the parent(s) will be arranged. At or after that meeting, a decision will be made and the parent(s) will be informed in writing, detailing the reasons.
- 4.16 The school will normally deal with a formal complaint within 28 working days of receipt.
- 4.17 If the parent(s) are still not satisfied with the decision, they may choose to proceed to Stage 3 of this Procedure.

Complaints about the Head

- 4.18 The procedure for dealing with a formal complaint about the Head of the School is set out below:
  - The complaint should be put in writing to the Principal. The complaint should include the same information referred to above.
  - The Principal will acknowledge the complaint within 5 working days of receipt and indicate the action that is being taken and the likely timescale. Such action may include an investigation and/or a meeting with the parent. The parent will usually receive a response to the complaint within 28 working days.
  - If the parent is dissatisfied with the response to the complaint, the parent can request that the complaint be referred to a complaints panel under Stage 3.

Stage 3 – Panel Hearing

Contact: Foundation Secretary, who will call Complaints Panel

Timescale: Hearing normally to take place within 28 working days  
 Any documentation will normally be provided no later than 5 working days before the hearing.  
 Decision normally made within 10 working days of hearing.

*Note – special additional circumstances apply to Early Years Foundation Stage (EYFS) complaints – see Section 5.0 below.*

- 4.19 If parents seek to invoke Stage 3 (following a failure to reach resolution at Stages 1 or 2), they will be referred to the Foundation Secretary, who has been appointed by the Governors to call hearings of the Complaints Panel. The matter will then be referred to the Complaints Panel for consideration. A Complaints Panel hearing is a review of the decisions taken by the Head at Stage 2.
- 4.20 Parents should be advised that it is only their Stage 2 complaint which will be considered by the Complaints Panel. The Panel will not consider any new material or areas of complaint at this stage. They will refer any new material or complaint back to the school for investigation under the appropriate earlier stage of this procedure.
- 4.21 It is not the Complaints Panel's purpose to re-investigate the complaint, but to consider the matters raised by the parent(s), and the report from the school, and to decide whether the determination reached at Stage 2 was reasonable and fair.

- 4.22 The Complaints Panel will consist of at least three persons not directly involved in the matters detailed in the complaint, one of whom shall be independent of the management and running of the school. Each of the Panel members shall be appointed by the Governors. The Foundation Secretary, on behalf of the Panel, will then acknowledge the complaint and schedule a hearing to take place as soon as practicable and within 28 working days of the complaint being lodged with the Foundation Secretary.
- 4.23 If the Panel deems it necessary, it may require that further particulars of the complaint or any related matter be supplied in advance of the hearing. Copies of such particulars shall be supplied to all parties not later than 5 working days prior to the hearing.
- 4.24 The parents may be accompanied to the hearing by one other person who will be present to provide support and not to participate in the discussions. This may be a relative, teacher or friend. Legal representation will not be appropriate.
- 4.25 A hearing under this procedure is not a legal proceeding, but a private and confidential matter. The Foundation Secretary will make a minute of the hearing, but no tape, video or digital recording may be made by any party. No notes, other records or oral statements about any matter discussed or arising from the proceedings shall be made available directly or indirectly to third parties, including the press or other media.
- 4.26 The Panel's aim is to, if possible, resolve the parents' complaint as soon as it has met without the need for further investigation, on the understanding that they already have all the necessary information to conclude matters. Occasionally, it may become necessary to adjourn and reconvene the Panel if further information comes to light that alters the key facts of the case.
- 4.27 After due consideration of all facts they consider relevant, the Panel will reach a decision and may make recommendations as soon as reasonably possible usually within 10 working days of the Hearing. The Panel will write to the parents informing them of its decision and the reasons for it.
- 4.28 The decision of the Panel will be final. The Panel's findings and recommendations (if any) will be sent in writing to the parents, the Head, the Governors and, where relevant, the person about whom the complaint was made.
- 4.29 A copy of those findings and recommendations will be kept by the Heads' PA and is available for inspection on the school premises by the Governors and the Head.

## **5.0 Early Years Foundation Stage (EYFS)**

- 5.1 Written complaints about the fulfilment of the EYFS requirements will be investigated and parents will be informed of the outcome of this investigation within 28 days.
- 5.2 If, following this process, parents believe that the school is not meeting EYFS requirements, they may contact Ofsted and/or the Independent Schools Inspectorate (ISI) at the addresses below.

Ofsted (Midlands)  
Building C  
Cumberland Place  
Park Row  
NOTTINGHAM  
NG1 6HJ

Telephone 08456 404040

Independent Schools Inspectorate  
CAP House  
9-12 Long Lane  
LONDON  
EC1A 9HA

Telephone: 020 7600 0100

5.3 The record of the complaint is available to Ofsted and ISI on request.

5.4 Records of such complaints are kept for at least three years.

## **6.0 Boarding House**

6.1 This policy is available to all staff and parents or legal guardians at Warwick School's Boarding House.

6.2 In accordance with the National Minimum Standards for Boarding Schools standard 18, this policy is compliant with regulatory standards.

6.3 Boarders' parents should direct complaints initially to the Boarding House Parents. Alternatively, they can be directed to the Head Master or Deputy Head Master. Boarding House complaints will be addressed in accordance with the Foundation Complaints Policy. This includes details of how parents may appeal against a decision made by the school about their complaint.

6.4 The Boarders' Guide provides information to Boarders as to how they can raise specific concerns relating to the Boarding Houses, such as by approaching a member of staff or raising the matter in Boarders' Council.

## **7.0 Record-keeping**

7.1 Written records of both formal and informal complaints will be kept securely for at least three years, including:

- whether formal complaints were resolved at the preliminary stage or panel hearing stage
- what action the school has taken as a result of each complaint regardless of whether it was upheld.

7.2 Parents or guardians can be assured that all concerns and complaints will be treated seriously and confidentially as is required by paragraph 25(k) of the Education (Independent Schools Standards) Regulations 2014. Correspondence, statements and records will be kept confidential except insofar as is required of the school by paragraph 7(k) of the Education (Independent Schools Standards) Regulations 2014; where disclosure is required in the course of the school's inspection; or where any other legal obligation prevails.

## **8.0 Reporting**

8.1 At the beginning of each academic year, a report will be provided to Governors on the number of Stage 2 complaints made in the previous academic year.

**WARWICK INDEPENDENT SCHOOLS FOUNDATION  
COMPLAINTS PROCEDURE FOR PARENTS**

