



Complaints Policy and Procedure (Statutory)

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Responsible	Executive Principal	

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This policy is written using the ESFA's Best practice guidance for academies complaints procedures. <https://www.gov.uk/government/publications/setting-up-an-academies-complaints-procedure/best-practice-guidance-for-academies-complaints-procedures>

1. Who Can Make a complaint

This complaints procedure is not limited to parents/carers of children that are registered at an Academy of the Trust. Any person, including members of the public, may make a complaint to Nunthorpe Multi Academy Trust or any of its academies about any provision of facilities or services that it provides. Unless complaints are dealt with under separate statutory procedures (such as appeals relating to exclusions or admissions) or Statutory assessments of Special Educational Needs (SEN) and matters likely to require a Child Protection Investigation are outside the responsibility of the Trust, the Trust will use this complaints procedure.

2. Definition of a concern versus a complaint.

A concern may be defined as "any expression of dissatisfaction, stating upset or disruption that can be resolved by way of apology and explanation". A complaint may be generally defined as "any expression of dissatisfaction, whether justified or not, about whereby someone believes that they have been, or potentially could be, cause upset or disruption which cannot be resolved by a simple apology or explanation". A query is a question or request for further information where no dissatisfaction has been shown.

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 complaint's policy. The Trust and its academies take 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, the Trust will respect your views. In these cases, the Executive Principal, Head of School or the Trust's Governance Professional and Compliance Lead, will refer you to another staff member. Similarly, if the member of staff directly involved feels unable to deal with a concern, the complainant may be referred to another staff member. The member of staff may be more senior but does not have to be. The ability to consider the concern objectively and impartially is more important. The Trust understands however, that there are occasions when people would like to raise their concerns formally. In this case, Nunthorpe Multi Academy Trust and its academies will attempt to resolve the issue through the stages outlined within this complaint's procedure.

3. How to raise a concern or make a complaint.

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 on a complainant, if they have appropriate consent to do so.

Complaints against academy staff (except the Head of School) should be made in the first instance, to the Head of School via the Complaints@nmat.co.uk email address. Please mark them as Private and Confidential.

Complaints that involve or are about the Head of School should be addressed to the Trust's Executive Principal via the Complaints@nmat.co.uk email address. Please mark them as Private and Confidential.

Complaints about the Chair of Governors, any individual governor or the whole governing body should be addressed directly to the Governance Professional and Compliance Lead via the Complaints@nmat.co.uk email address. Please mark them as Private and Confidential.

Complaints about the Executive Principal or an NMAT Trustee, should be addressed to the

Chair of Trustees, via the Complaints@nmat.co.uk email address. Please mark them as Private and Confidential. Complaints about the Chair of Trustees should be addressed to the Executive Principal using the Complaints@nmat.co.uk email address.

A written record will be kept of all formal complaints 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.

For ease of use, template complaint forms for formal complaints are included as Appendix A, B and C at the end of this policy. If you require help in completing the form, please contact the Governance Professional and Compliance Lead for assistance. You can also ask a third-party organisation for example, the Citizens Advice Bureau to help you.

Exceptions	Who to contact
Admissions to NMAT academies	Concerns about admissions should be handled through a separate process – either through the appeals process or via the Local Authority.
Matters likely to require a Child Protection Investigation	<p>Complaints about child protection matters are handled under NMAT's Child Protection and safeguarding policy and in accordance with relevant statutory guidance.</p> <p>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). (LADO) Designated Officer, Redcar & Cleveland Borough Council Tel: (01642) 130705 or email RedcarLADO@redcar.gov.uk</p> <p><i>Middlesbrough Multi Agency Children's Hub 01642 726004</i> MiddlesbroughMACH@middlesbrough.gov.uk.</p> <p><i>Redcar and Cleveland Multi Agency Children's Hub</i> <i>01642 130700</i> RedcarMACH@redcar-cleveland.gov.uk</p>
Exclusion of children from school*	<p>Further information about raising concerns about exclusion can be found at: www.gov.uk/school-disciplineexclusions/exclusions.</p> <p><i>*complaints about the application of the behaviour policy can be made through the Academy's complaints procedure. The behaviour policy can be found on the Academy website.</i></p>

Whistleblowing	<p>The Trust have an internal whistleblowing procedure for all its employees, including temporary staff and contractors.</p> <p>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. Referrals can be made at: www.education.gov.uk/contactus.</p> <p>Volunteer staff who have concerns about the Trust or its academies should complain through the Trust’s complaints procedure. You may also be able to complain direct to the LA or the Department for Education (see link above), depending on the substance of your complaint.</p>
Staff grievances	<p>Complaints from staff will be dealt with under the Trust’s internal grievance procedures.</p>
Staff conduct	<p>Complaints about staff will be dealt with under the Trust’s internal disciplinary procedures, if appropriate.</p> <p>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.</p>

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.

Note: Complaints about staff conduct will not generally be handled under this complaint’s procedure. Complainants will be advised that any staff conduct complaints will be considered under (Human Resources) staff disciplinary procedures, if appropriate, but outcomes will not be shared with them.

The Trust has adopted the ESFA’s best practice guidance and determines 3 months to be the maximum acceptable time frame in which to lodge a complaint. Complaints received beyond this date will only be considered in exceptional circumstances.

4. Anonymous complaints

The Trust and its academies will not normally investigate anonymous complaints. However, the Head of School or the Trust’s Executive Principal if appropriate, will determine whether the complaint warrants an investigation.

5. Timescales

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. The Trust will only consider complaints made outside of this time frame if exceptional circumstances apply.

6. Complaints received outside of term time

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

7. Scope of this complaint's procedure

This procedure covers all complaints about any provision of community facilities or services by Nunthorpe Multi Academy Trust or any of its academies, other than complaints that are dealt with under other statutory procedures, including those listed below.

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 Nunthorpe Multi Academy Trust or any of its academies in relation to their complaint, the Trust will consider whether to suspend the complaints procedure until those legal proceedings have concluded.

8. Resolving complaints

At each stage in the procedure, the Trust wants to resolve the complaint. If appropriate, the Trust will acknowledge that the complaint is upheld in whole or in part. In addition, it 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 the Trust will try to ensure the event/actions linked to the complaint 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 Trust and/or academy policies considering the complaint;
- an apology.

9. Withdrawal of a complaint

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

10. Stage One: Academy Response – 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 teacher, Pastoral Managers / Head of Department or relevant member of the academy's Senior Leadership team. This communication should be made via a telephone call to the Academy or the individual's email address. Email addresses are available via the Academy website. 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 Three of the policy.

In line with the Academy's communication protocol, a complaint will be acknowledged by the within 2 school days of receipt of the complaint. It must be appreciated that requests to receive immediate responses directly from the Head of School will not be possible. However, where a complaint is of a serious nature, and a response from the Head of School is requested, the Head of School's PA will respond as soon as is practicable and will be no later than 2 school days.

At the conclusion of their investigation, the appropriate person investigating the complaint will aim to provide an informal response within seven school days of the date of receipt of the complaint.

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

11. Stage Two – Formal complaint investigated by the Head of School

Academy Specific

If the attempt to resolve the complaint at Stage One have proved unsuccessful, the complainant should initiate a formal complaint. This must be made to the Head of School (unless the complaint is about the Head of School), via the Complaints@nmat.co.uk email address. This must be done in writing using the Stage Two Complaint Form (Appendix A which can be found at the back of this policy).

The Head of School or the Governance Professional and Compliance Lead will record the date the complaint is received and will acknowledge receipt of the complaint in writing within two school days.

During the investigation, the Head of School (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 Head of School will provide a formal written response usually within 10 school days of the date of receipt of the complaint. If the Head of School is unable to meet this deadline, they will provide the complainant with an update and 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 Trust or the academy will take to resolve the complaint. The Head of School will advise the complainant how to escalate their complaint should this be appropriate.

If the complaint is about the Head of School, or a member of the governing body (including the Chair or Vice-Chair), the Trust's Executive Principal or a suitably skilled Trustee will complete all the actions at Stage Two.

Complaints about the Head of School or member of the governing body must be made to the Governance Professional and Compliance Lead, via the Complaints@nmat.co.uk email address.

If the complaint is:

- jointly about the Chair and Vice Chair or
- the entire governing body or
- the majority of the governing body

Stage Two will be escalated to the Executive Principal of the Trust.

Complaints about the Trust's central team.

Formal complaints must be made to the Chief Operations Officer (unless they are about the Chief Operations Officer), via the Complaints@nmat.co.uk email address. This must be done in writing and we may ask you to complete the Stage Two Complaint Form). It is the responsibility of the complainant to provide all evidence to support their complaint at the point of submission.

The Chief Operations Officer or Governance Professional and Compliance Lead will record the date the complaint is received and will acknowledge receipt of the complaint in writing (either by letter or email) within 2 school days. This will detail this step as being dealt with as Stage Two.

12. Stage Three – Formal complaint – Investigated by the Executive Principal

If the attempt to resolve the complaint at Stage Two have proved unsuccessful, a Stage Three complaint can be made to the Executive Principal (unless they are about the Executive Principal), via the Complaints@nmat.co.uk email address. This must be done in writing and using the Stage Three Complaint Form. (Appendix B which can be found at the back of this policy).

The Executive Principal or the Governance Professional and Compliance Lead) will record the date the complaint is received and will acknowledge receipt of the complaint in writing within two school days.

The Executive Principal can consider whether a face to face meeting is the most appropriate way of doing this. During the investigation, the Executive Principal 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 Executive Principal will usually provide a formal written response within 10 school days of the date of receipt of the complaint. If the Executive Principal is unable to meet this deadline, they will provide the complainant with an update and 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 Trust or the academy will take to resolve the complaint.

The Executive Principal will advise the complainant how to escalate their complaint should this be appropriate.

If the complaint is about the Executive Principal a suitably skilled Trustee will complete all the actions at Stage Three. If the complaint concerns a Trustee, the complaint should be investigated by the Chair of the Trust Board. If a formal complaint is received about the Chair, the complaint will be referred to the Vice Chair for investigation.

13. Stage Four – Trust Response - Panel Hearing

If the complainant is dissatisfied with the outcome at Stage Three and wishes to take the matter further, they can escalate the complaint to Stage Four. This is the final stage of the Trust's complaint's procedure. The Panel Hearing will consist of at least three people who were not directly involved in the matters detailed in the complaint. One panel member will be independent of the management and running of the Academy Trust.

A request to escalate to Stage Four must be made to the Governance Professional and Compliance Lead, via the Complaints@nmat.co.uk email address, within five school days of receipt of the Stage Three response. This must be done in writing and using the Stage Four Complaint Form. (Appendix C which can be found at the back of this policy)

The Governance Professional and Compliance Lead will record the date the complaint is received and acknowledge receipt of the complaint in writing within two school days.

Requests received outside of this time frame will only be considered if exceptional circumstances apply.

The Governance Professional and Compliance Lead will write to the complainant to inform them of the date of the Hearing. They will aim to convene a Hearing within fifteen school days of receipt of the Stage Four request. If this is not possible, the Governance Professional and Compliance Lead will provide an anticipated date and keep the complainant informed.

The Trust will aim to set a meeting date that suits everyone. However, the Trust acknowledge this is not always possible and dates may be circulated when the Panel is available to hear the complaint. Where a meeting date has been suggested and no response has been received within 5 school days, this will be seen as being rejected.

If the complainant rejects the offer of three proposed dates, without good reason, the Governance Professional and Compliance Lead will decide when to hold the Hearing in the complainant's absence but will inform all parties of the date. Written submissions may be requested from both parties in this instance.

At least 10 school days before the Hearing, the Governance Professional and Compliance Lead will:

- confirm and notify the complainant of the date, time and venue of the meeting, ensuring that, if the complainant is invited, the dates are convenient to all parties and that the venue and proceedings are accessible;

request copies of any further written material to be submitted to the Panel at least seven school days before the meeting.

A complainant may bring someone along to the panel hearing to provide support. This request must be submitted in writing 2 school days prior to the meeting taking place. This can be a relative or friend. Generally, we do not encourage either party to bring legal representatives to the Panel Hearing. 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.

Representatives from the media are not permitted to attend.

The panel will not normally accept, as evidence, recordings of conversations that were obtained covertly and without the informed consent of all parties being recorded.

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 Stage One of the policy.

The Hearing will be held in private. Electronic recordings of meetings or conversations are not normally permitted unless a complainant's own disability or special needs requires 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.

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.

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 Trust's systems or procedures to prevent similar issues in the future.

The Chair of the Panel will provide the complainant with a full explanation of their decision and the reason(s) for it, in writing, within 10 school days. This will also be forwarded to the Chair of Trustees.

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 by the Trust.

then proceed in the complainant's absence based on written submissions from both parties.

1. Next Steps

If the complainant believes the Academy/Trust did not handle their complaint in accordance with the published complaints policy 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 Four.

For information, the ESFA will not normally reinvestigate the substance of the complaint or overturn any decisions made by the Trust or the Academy. They will consider whether the 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.

The complainant can refer their complaint to the ESFA online at: [https://form.education.gov.uk/service/Contact the Department for Education](https://form.education.gov.uk/service/Contact%20the%20Department%20for%20Education) by telephone on: 0370 000 2288 or by writing to:

Academy Complaints and Customer Insight Unit
Education and Skills Funding Agency
Cheylesmore House
5 Quinton Road
Coventry CV1 2WT

15. Roles and Responsibilities

Complainant

The complainant will receive a more effective response to the complaint if they:

- explain the complaint in full as early as possible;
- co-operate with the Trust/Academy in seeking a solution to the complaint;
- respond promptly to requests for information or meetings or in agreeing the details of the complaint;
- ask for assistance as needed;
- treat all those involved in the complaint with respect;
- refrain from publicising the details of their complaint on social media and respect confidentiality.

Committee Chair

The Panel's chair, who is nominated in advance of the complaint meeting, should ensure that:

- both parties are asked (via the Governance Professional and Compliance Lead) to provide any additional information relating to the complaint by a specified date in advance of the meeting;
- the meeting is conducted in an informal manner, is not adversarial, and that, if all parties are invited to attend, everyone is treated with respect and courtesy;
- complainants who may not be used to speaking at such a meeting are put at ease. This is particularly important if the complainant is a child/young person;
- the remit of the panel is explained to the complainant;
- written material is seen by everyone in attendance, provided it does not breach confidentiality or any individual's rights to privacy under the DPA 2018 or GDPR. If a new issue arises it would be useful to give everyone the opportunity to consider and comment upon it; this may require a short adjournment of the meeting;
- both the complainant and the Academy/Trust are given the opportunity to make their case and seek clarity, either through written submissions ahead of the meeting or verbally in the meeting itself;
- the issues are addressed;
- key findings of fact are made;
- the panel is open-minded and acts independently;
- no member of the Panel has an external interest in the outcome of the proceedings or any involvement in an earlier stage of the policy;
- the meeting is minuted;
- they liaise with the Governance Professional and Compliance Lead

Panel Member

Panel members should be aware that:

- the meeting must be independent and impartial and should be seen to be so. No Trustee may sit on the committee if they have had a prior involvement in the complaint or in the circumstances surrounding it;
- the aim of the meeting should be to resolve the complaint and achieve reconciliation between the Academy/Trust and the complainant. We recognise that the complainant might not be satisfied with the outcome if the meeting does not find in their favour. It may only be possible to establish the facts and make recommendations;
- many complainants will feel nervous and inhibited in a formal setting. Parents/carers often feel emotional when discussing an issue that affects their child/young person;
- extra care needs to be taken when the complainant is a child/young person and present during all or part of the meeting. Careful consideration of the atmosphere and proceedings should ensure that the child/young person does not feel intimidated. The committee should respect the views of the child/young person and give them equal consideration to those of adults. If the child/young person is the complainant, the panel should ask in advance if any support is needed to help them present their complaint.
Where the child/young person's parent/carer is the complainant, the panel should give the parent/carer the opportunity to say which parts of the meeting, if any, the child/young person needs to attend. However, the parent/carer should be advised that agreement might not always be possible if the parent/carer wishes the child/young person to attend a part of the meeting that the panel considers is not in the child/young person's best interests.

16. Serial / Persistent / Unreasonable/ Vexatious Complaints

The Trust is committed to dealing with all complaints fairly and impartially, and to providing a high quality of service to those who complain. We will not normally limit the contact complainants have with an Academy or the Trust. However, we do not expect our staff to tolerate unacceptable behaviour and will take action to protect staff from such behaviour, including that which is abusive, offensive or threatening.

Unreasonable/Vexatious Complaints Definitions

NMAT defines unreasonable/vexatious complainants as *'those who, because of the frequency or nature of their contacts with the Academy/Trust, hinder our consideration of their or other people's complaints'*. The application of serial, persistent or vexatious would be made against the complaint, not the individual.

A complaint may be regarded as serial, persistent unreasonable or vexatious when the person making the complaint:

- Makes complaints that are obsessive, persistent, harassing, prolific, repetitious.
- Insists upon pursuing unmeritorious complaints and/or unrealistic outcomes beyond all reason
- Insists upon pursuing meritorious complaints in an unreasonable manner.
- makes complaints which are designed to cause disruption or annoyance.
- makes demands for redress that lack any serious purpose or value.
- 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 complaint's policy;
- Insists on the complaint being dealt with in ways which are incompatible with the complaint's policy or with good practice;
- Introduces trivial or irrelevant information which the complainant expects to be considered 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 Academy Trust's complaint policy has been fully and properly implemented and completed including referral to the Department for Education;
- Seeks an unrealistic outcome;
- Makes excessive demands on Academy/Trust 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.

A complaint may also be considered unreasonable if the person making the complaint does so either face-to-face, by telephone or in writing or 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.

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

In the first instance, if the complaints are identified as meeting the above criteria, the Head of School or Executive Principal will raise these concerns with the complainant informally before applying an 'unreasonable' marking.

If the behaviour continues the Head of School or Executive Principal will write to the complainant explaining that their behaviour is unreasonable/vexatious and will ask them to change it. For complainants who excessively contact the Trust or the Academy causing a significant level of disruption, the Trust may specify methods of communication and limit the number of contacts in a communication plan. This will usually be reviewed after 6 months.

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. **Please refer to NMAT's Visitor Behaviour Policy**

17. Monitoring Arrangements

The Executive Principal monitors the implementation of this policy. This policy will be kept under review considering legal developments and best practice and approved by the Board of Trustees every year.

18. Links With Other Policies

This Complaints Policy and Procedure is linked to our:

- Nunthorpe Academy Admissions Policy
- Nunthorpe Academy Behaviour Policy
- NMAT Child Protection and Safeguarding Policy
- NMAT SEND Policy
- NMAT Exclusions Policy
- NMAT Whistleblowing Policy
- NMAT Staff Concerns Policy
- NMAT Staff Code of Conduct
- NMAT Acceptable Use Policy
- NMAT Visitor Behaviour Policy

Appendices.

Appendix A

Stage Two Complaint Form – Nunthorpe Multi Academy Trust

If you are not satisfied or feel that you have been unfairly treated, the Trust would like you to indicate the problem. It is, however, very important that you seek to resolve any difficulties in the first instance by discussing your complaint with a member of staff at the Academy or central trust. If you have tried this and are still not satisfied with the response, then please complete the form below and forward to complaints@nmat.co.uk

Please complete and return to the Governance Professional and Compliance Lead at Complaints@nmat.co.uk who will acknowledge receipt and explain what action will be taken.

Stage Two Complaint Form – Nunthorpe Multi Academy Trust	
Your Name:	
Name of Academy:	
Student's Name:	
Your relationship to the Student:	
Address:	
Postcode:	
Day Time telephone number:	
Evening telephone number:	
Please give details of your complaint, including whether you have spoken to anybody at the Academy about it:	
How have Academy staff responded with your complaint?	

<p>What actions do you feel might resolve the problem at this stage? OR What would you like to see done to resolve your complaint and bring the matter to an acceptable closure for yourself and the Academy/Trust?</p>
<p>Are you attaching any paperwork? If so, please give details?</p>
<p>Signature:</p> <p>Date:</p>

Official Use only

Date acknowledgement sent:	
By whom:	
Case Number:	
Complaint referred to:	
Date:	
Outcome and action taken:	

Appendix B

Stage Three Complaint Form – Nunthorpe Multi Academy Trust

If you are not satisfied with the response at Stage Two or feel that you have been unfairly treated, we would like you to indicate the problem. It is, however, very important that you seek to resolve any difficulties at Stage Two of this policy. If you have completed this and are still not satisfied with the response, then please complete the form below and forward to complaints@nmat.co.uk

Please complete and return to the Governance Professional and Compliance Lead at Complaints@nmat.co.uk who will acknowledge receipt and explain what action will be taken.

Stage Three Complaint Form – Nunthorpe Multi Academy Trust	
Your Name:	
Name of Academy:	
Student's Name:	
Your relationship to the Student:	
Address:	
Postcode:	
Day Time telephone number:	
Evening telephone number:	
So far how have Academy staff responded with your complaint?	
Please outline why you wish to request a further review; include if you are unhappy with the way your complaint was recorded or handled, the way it was investigated or the outcome of the case explaining why?	

What actions do you feel might resolve the problem at this stage? OR What would you like to see done to resolve your complaint and bring the matter to an acceptable closure for yourself and the Academy/Trust?

Are you attaching any paperwork? If so, please give details?

Signature:

Date:

Official Use only

Date acknowledgement sent:	
Case number if applicable:	
By whom:	
Complaint referred to:	
Date:	
Action taken:	

Appendix C

Stage Four Complaint Form – Nunthorpe Multi Academy Trust

If you are not satisfied with the response at Stage Three or feel that you have been unfairly treated, we would like you to indicate the problem. It is, however, very important that you seek to resolve any difficulties at Stage Three of this policy. If you have completed this and are still not satisfied with the response, then please complete the form below and forward to complaints@nmat.co.uk

Please complete and return to the Governance Professional and Compliance Lead at Complaints@nmat.co.uk who will acknowledge receipt and explain what action will be taken.

Stage Four Complaint Form – Nunthorpe Multi Academy Trust	
Your Name:	
Name of Academy:	
Student's Name:	
Your relationship to the Student:	
Address:	
Postcode:	
Day Time telephone number:	
Evening telephone number:	
Please outline why you wish to request a further review; include if you are unhappy with the way your complaint was recorded or handled, the way it was investigated or the outcome of the case explaining why?	
What actions do you feel might resolve the problem at this stage?	

Are you attaching any paperwork? If so, please give details?
Signature:
Date:

Official Use only

Date acknowledgement sent:	
By whom:	
Case Number:	
Complaint referred to:	
Date of Stage Four Panel meeting:	
Outcome:	



Privacy Notice – Complaints

This Privacy Notice has been written to inform individuals who are contemplating making a complaint, are in the progress of making a complaint, or have previously made a complaint about what Nunthorpe Multi Academy Trust does with your personal data as part of the school's complaints process.

Who are we?

Nunthorpe Multi Academy Trust is a 'Data Controller' as defined by Article 4 (7) of GDPR. This means that we determine the purposes for which, and the manner in which, your personal data is processed. We have a responsibility to you and your personal data and will only collect and use this in ways which are compliant with data protection legislation.

The Trust has appointed GDPR Sentry to be its Data Protection Officer (DPO). A DPO is the person or organisation who advises the Trust about compliance with the Data Protection Legislation. The DPO also provides support to the people whose data is being processed. The Trust also has a Data Protection Lead within the organisation, who you can contact first regarding data protection concerns.

If you would like to talk about anything in this privacy notice, please get in touch with the people below.

Data protection lead for NMAT:

Mrs. Samina Javed-Sarwar

Email: Sjaved-sarwar@nunthorpe.co.uk

Data Protection Officer (DPO) - GDPR Sentry Limited

Unit 434 Birch Park,

Thorp Arch Estate,

Wetherby, West Yorkshire,

LS23 7FG

email: support@gdprsentry.com

Contact number: 0113 804 2035

What information do we collect and why do we require it?

As a Trust we are obliged to have a complaints procedure in place. As part of our complaints procedure, we are required to process personal data.

The personal data we collect about you includes:

- Personal identifiers (your name, address, contact details)
- Any relevant information we hold on Academy/Trust systems and databases,
- Any information you, or a party to the complaint, provides us with,
- Any information passed to us by any other organisation,
- Witness statements,
- Any relevant correspondence we have had with you or another party to the complaint – including internal correspondence about you,

- Any relevant video recording (including CCTV), audio recordings, or images,
- Investigation interview notes.

Who do we obtain your information from?

Much of the information we process will be obtained directly from your complaint or from a complaint made by another individual. However, we may need to collect data about you from, but not necessarily limited to, the following organisations:

- Department of Education,
- The Local Authority,
- Our appointed Data Protection Officer
- Ofsted
- The Police and/or other Law Enforcement bodies
- Local Health and/or social care providers

Who do we share your personal data with?

According to our complaints procedure all complaints are handled by Compliance Lead. However, Within the Trust we will disclose any relevant data to any individual (usually an employee or Trustee and/or Governor) that requires the data in order to complete the investigation, to administer the complaint, or to receive advice about how to handle a complaint.

- The following organisations may also receive your data if allowed by law:
- Department of Education
- The Local Authority
- Our appointed Data Protection Officer
- Ofsted
- Information Commissioner's Office
- Any other organisation and/or regulator when the Trust is legally required to disclose your information.

How long do we keep your personal data for?

Generally, the Trust will keep personal data collected as part of the complaints process for six years upon closure of the complaint. This is to ensure that the Trust can demonstrate the complaint has been handled appropriately.

In some cases, information gathered as part of a complaint investigation will need to be kept for longer than six years in accordance with various legislation. For example, any complaints in relation to Looked after Children will be kept for 40 Years from closure of the file.

Do you transfer my data outside of the UK?

Generally, the information that the Trust holds is all held within the UK. However, some information may be held on computer servers which are held outside of the UK. We will take all reasonable steps to ensure your data is not processed in a country that is not seen as 'secure third country' by the UK government. If we do need to send your data out of the EU it will ensure it has extra protection from loss or unauthorised access.

What is our lawful basis for processing your personal data?

The Trust is legally required to operate a relevant complaints procedure as per the (Academies and Independent Schools) The Education (Independent School Standards) Regulations 2014

As such the Trust relies on Article 6(1)(c) and Article 9(2)(g) of the UK GDPR to process your personal and special category data. This is in pursuance with Schedule 1, Part 2 (6)(2)(a) of the Data Protection Act 2018 – this means that the Trust can process your data as part of the official authority vested in us by the above legislation.

What rights do you have over your data?

Under the UK GDPR data subjects have the following rights in relation to the processing of their personal data:

- to be informed about how we process their personal data. This notice fulfils this obligation
- to request access to their personal data that we hold, and be provided with a copy of it
- to request that your personal data is amended if inaccurate or incomplete
- to request that your personal data is erased where there is no compelling reason for its continued processing
- to request that the processing of your personal data is restricted
- to object to your personal data being processed

You can exercise any of these rights by contacting:

NMATComplaints@nunthorpe.co.uk

If you have any concerns about the way we have handled your personal data or would like any further information, then please contact our Data Protection Lead or DPO on the addresses provided above.

If we cannot resolve your concerns, you may also complain to the Information Commissioner's Office (the Data Protection Regulator) about the way in which the school has handled your personal data. You can do so by contacting:

First Contact Team
Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow Cheshire
SK9 5AF
icocasework@ico.org.uk // 0303 123 1113

