



# **Complaints and Appeals Procedure**

Sir Thomas Rich's School

## Complaints and Appeals Procedure

Centre name	Sir Thomas Rich's School
Centre number	57143
Date policy first created	21/11/2023
Current policy approved by	Senior Leadership Team (SLT), Trustees' Curriculum and Evaluation Committee
Current policy reviewed by	Jo Tyler
Date of review	04/11/2024
Date of next review	04/11/2025

## Key staff involved in the policy

Role	Name
Head of centre	Matthew Lynch
Senior leader(s)	Dave Dempsey (Deputy Headteacher, Deputy Head of Centre) Sonja Jones (Director of Finance and Operations, Line Manager for exams)
Exams officer	Jo Tyler
Other staff (if applicable)	Senior Leadership Team (SLT), Trustees' Curriculum and Evaluation Committee

This policy is reviewed and updated annually to ensure that any complaints at Sir Thomas Rich's School are managed in accordance with current requirements and regulations.

## Purpose of the policy

The purpose of this policy is to confirm the arrangements for complaints at Sir Thomas Rich's School and confirms compliance with JCQ's **General Regulations for Approved Centres** (5.3, 5.8) in drawing to the attention of candidates and their parents/carers our written complaints policy which covers general complaints regarding the centre's delivery or administration of a qualification and our internal appeals procedure.

## Grounds for complaint

A candidate (or their/parent/carers) at Sir Thomas Rich's School may make a complaint on the grounds below (This is not an exhaustive list).

### Teaching and Learning

- Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis
- Teacher lacking knowledge of new specification/incorrect core content studied/taught
- Core content not adequately covered
- Inadequate feedback for a candidate following assessment(s)
- Pre-release/advance material/set task issued by the awarding body not provided on time to an examination candidate
- The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- Candidate not informed of their centre assessed mark prior to marks being submitted to the awarding body
- Candidate not informed of their centre assessed mark in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- Candidate not given sufficient time to review materials to make a decision whether to request a review of the centre assessed mark
- Candidate unhappy with internal assessment decision (complainant to refer to the centre's **internal appeals procedure**)
- Centre fails to adhere to its internal appeals procedure

Additional grounds for complaint relating to teaching and learning:

Not applicable

### Access arrangements and special consideration

- Candidate not assessed by the centre's appointed assessor
- Candidate not involved in decisions made regarding their access arrangements
- Candidate did not consent to record their personal data online (by the non-acquisition of a completed **candidate personal data consent form**)
- Candidate not informed/adequately informed of the arrangement(s) in place and the subjects or components of subjects where the arrangement(s) would not apply

- Examination information not appropriately adapted for a disabled candidate to access it
- Adapted equipment/assistive technology put in place failed during examination/assessment
- Approved access arrangement(s) not put in place at the time of an examination/assessment
- Appropriate arrangement(s) not put in place at the time of an examination/assessment as a consequence of a temporary injury or impairment
- Candidate unhappy with centre decision relating to access arrangements or special consideration (complainant to refer to the centre's **internal appeals procedure**)
- Centre fails to adhere to its internal appeals procedure

Additional grounds for complaint relating to access arrangements:

Not Applicable

### **Entries**

- Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer)
- Candidate not entered/entered late (incurring a late entry fee) for a required examination/assessment
- Candidate entered for a wrong examination/assessment
- Candidate entered for a wrong tier of entry

Additional grounds for complaint relating to examination entries:

Not Applicable

### **Conducting examinations**

- Failure to adequately brief candidate on examination timetable/regulations prior to examination/assessment taking place
- Room in which assessment held did not provide candidate with appropriate conditions for taking the examination
- Inadequate invigilation in examination room
- Failure to conduct the examination according to the regulations
- Online system failed during (on-screen) examination/assessment
- Disruption during the examination/assessment
- Alleged, suspected or actual malpractice incident not investigated/reported
- Failure to inform/update candidate on the accepted/rejected outcome of a special consideration application if provided by awarding body

Additional grounds for complaint relating to the conducting of examinations:

Not Applicable

### **Results and Post-Results**

- Before examinations, candidate not made aware of the arrangements for post-results services and the availability of senior members of centre staff after the publication of results
- Candidate not having access to a member of senior staff after the publication of results to discuss/make a decision on the submission of a results review/enquiry
- Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body **post-results services**)
- Candidate (or parent/carer) unhappy with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal (complainant to refer to the centre's **internal appeals procedure**)
- Centre fails to adhere to its internal appeals procedure
- Centre applied for the wrong post-results service/for the wrong script for a candidate
- Centre missed awarding body deadline to apply for a post-results service
- Centre applied for a post-results service for a candidate without gaining required candidate consent/permission

Additional grounds for complaint relating to results and post-results:

Not Applicable

## Raising a concern/complaint

If a candidate (or parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification, Sir Thomas Rich's School encourages an informal resolution in the first instance.

This can be undertaken by:

- By raising the concern or complaint in person by appointment, by telephone or in email or letter to the Headteacher (Head of Centre).

If a concern or complaint fails to be resolved informally, the candidate (or parent/carer) is then at liberty to make a formal complaint.

## How to make a formal complaint

All documentation relating to the submission of a formal complaint is available from, and should be returned to:

- Matthew Lynch - Headteacher (Head of Centre).

Formal complaints will be logged and acknowledged within:

- Within 5 school days

To make a formal complaint, candidates (or parents/carers) must:

- If the concern is not resolved at the informal stage the complaint must be put in writing and passed to the Headteacher, or, where the complaint concerns the Headteacher, to the Chair of Trustees. It should briefly set out the facts and state what it is that the complainant considers should have been done, or the way in which the School has not met reasonable expectations. Details which will help the

investigation such as dates and times of events, potential witnesses and any documentary evidence should also be included.

It is also helpful to include a statement about what might reasonably contribute to a resolution of the problem.

A School complaint form is available for guidance, though does not have to be used.

### **How a formal complaint is investigated**

An investigation will be carried out by a nominated individual identified by the Headteacher (or, where the complaint concerns the Headteacher, by the Chair of Trustees). The investigator will usually be a member of the School's Senior Leadership Team (SLT) (or, where the complaint concerns the Headteacher, a Trustee), however, in certain circumstances the School may appoint an external investigator.

There is no prescribed process for investigating complaints. As part of this process, the Investigator may offer the complainant a meeting and speak to others involved, and review relevant documents.

Any investigative meetings will be solely for the purpose of fact-finding; no decision on the outcome of the complaint will be taken until all relevant information has been obtained. Whenever reasonably possible, any meeting with the complainant will take place within 15 school days of the written complaint being received.

The findings and conclusion of any investigation will be provided to the complainant within:

- The investigator will put her/his findings in writing, a copy of which will be provided to the complainant, and will indicate what, if any, steps should be taken to resolve the matter. Whenever reasonably possible, this will be done within 15 school days of the meeting with the complainant and if not, a meeting is to take place within 25 school days of the complaint being received.

### **Internal appeals procedure**

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted.

To submit an appeal, candidates (or parents/carers) must:

- If the complainant is not satisfied with the response of the investigator, she/he may request that a complaint is considered by the complaints panel of the governing body, which will comprise at least three people who have not previously been directly involved in the matter including one person who is independent of the management and running of the School.

Appeals will be logged and acknowledged within:

- 5 school days

The appeal will be referred to:

- the Governance Professional. It should be sent within 10 school days of the investigator's Stage 2 response being sent to the complainant, and should briefly set out the reasons the complainant is dissatisfied with the response and setting out the resolution that is sought.

It will be the responsibility of

The Governance Professional will notify all concerned.

to inform the appellant of the final conclusion in accordance with the internal appeals procedure.

Additional details on the internal appeals process:

Once the complaints process is concluded (or a complaint has been terminated due to undue delay or failure to lodge a Stage 3 request within the time stated in the policy) the matter is closed. If the complainant is still not satisfied, then they may contact the ESFA.

There is an online procedure at: <https://form.education.gov.uk>.

## Changes 2024/2025

(Changed) Under heading **Purpose of the policy:** (From) The purpose of this policy is to confirm the arrangements for complaints at Sir Thomas Rich's School and confirms compliance with JCQ's General Regulations for Approved Centres (sections 5.3, 5.8) in drawing to the attention of candidates and their parents/carers its written complaints policy which covers general complaints regarding the centre's delivery or administration of a qualification. (To) The purpose of this policy is to confirm the arrangements for complaints at Sir Thomas Rich's School and confirms compliance with JCQ's General Regulations for Approved Centres (5.3, 5.8) in drawing to the attention of candidates and their parents/carers our written complaints policy which covers general complaints regarding the centre's delivery or administration of a qualification and our internal appeals procedure.

## Centre-specific changes

Upon review in November 2024, centre specific changes were made to this document regarding a change in the Head of Centre from Matthew Morgan to Matthew Lynch.