

APPENDIX 1

PROCEDURES FOR IMPLEMENTATION

The following procedures are to assist a school resolve a dispute or complaint. The process may be adapted to best suit the local setting or particular circumstances, ensuring it conforms to the rules of procedural fairness and is in keeping with the Dispute and Complaint Resolution Policy.

Where the dispute or complaint involves the Principal, the matter shall be referred in writing directly to the COO and STEP 3 applied.

STEP 1: Local Resolution Process Between the Parties Directly Involved

1. When a dispute or complaint arises at a school, the parties involved shall attempt to resolve the issue between themselves in the first instance. If a complaint or concern is raised in writing, the complainant must be contacted within two (2) working days, to explain how the school proposes to proceed.
2. Step 1 will involve:
 - the complainant being provided with, or advised where they can obtain a copy of the School Dispute and Complaint Resolution Process;
 - all parties having the opportunity to state their position on the matter, allowing each party the opportunity to fully understand the other parties' position;
 - all parties being willing to compromise in order to reach an agreed solution;
 - the complainant being given the opportunity to be represented;
 - advice being given to the complainant about the advocacy and support services available, if the complaint relates to child harm or abuse, and a mandatory report being lodged (if applicable).
3. For purposes of identifying patterns, a record of the complaint should be included in the school Complaints Register. It may not be possible to complete every field in the register particularly if the complaint is resolved at an early stage.

STEP 2: Informal Resolution Process

Where the dispute/complaint is of a serious nature that in the opinion of the Principal requires a formal resolution, the Principal shall proceed directly to Step 3: Formal Resolution Process. The complainant will be advised if the Principal decides to omit Step 2 due to the serious nature of the complaint.

1. Where the parties directly involved cannot reach a resolution, the Head of House/Year or senior staff member should be approached to assist in the resolution of the matter. The complainant will be contacted in writing, within five (5) working days, to explain how the school proposes to proceed.
2. The Principal must be made aware of the dispute/complaint.
3. The Head of House/Year or senior staff member, as determined by the school, shall initially deal with the parties by:
 - providing all parties with the opportunity to state their position on the matter to allow them to gain a thorough understanding of each party's position,and then deal with the specifics of the matter by:
 - asking the necessary questions to obtain a detailed response

- asking what resolution would resolve the matter
 - agreeing on a resolution between the parties where possible
 - setting a timeline when actions to reach the resolution shall be taken
 - reporting to the parties when the resolution actions have been taken.
4. There are no formal written records required for such a resolution. A file note of the meeting will be made.
 5. For purposes of identifying patterns, a record of the complaint must be included in the school Complaints Register.

STEP 3: Formal Resolution Process - Principal

The parties to the dispute/complaint shall be provided by the Principal with a copy of the School Dispute and Complaints Process, at the commencement of this process.

1. When an informal resolution fails or when the Principal decides to move to the Formal Resolution Process immediately, the Principal shall:
 - contact the complainant in writing, within five (5) working days, to explain how the school proposes to proceed.
 - request in writing from the complainant information about the nature and details of the dispute/complaint.
 - record the specifics of the dispute/complaint including:
 - a. the nature of the dispute/complaint;
 - b. the parties involved;
 - c. the parties' views of the matter and their suggested resolution;
 - d. any substantiation provided;
 - e. the provision to the parties of a proposed timeline for resolution.
 - make a decision based on the merits of the case and appropriately balance the principles of justice and compassion.
 - discuss the decision with the parties and provide the decision in writing within the proposed timeline.
2. The Principal may, after exhausting all reasonable attempts at conciliation, offer outside mediation, including the service of providers such as the Employee Assistance Programme providers, prior to any decision being made.
3. The Principal will maintain an appropriate Complaints Register recording all formal complaints and how they have been resolved.
4. Where a party to the dispute or complaint feels that there has been an error in some way based on any of the criteria in this policy, that party may appeal to the COO, after exhausting all reasonable attempts at conciliation (**STEP 4**).

STEP 4: Appeal Process to the COO

Note: The COO is responsible for reviewing the process followed by the Principal to ensure it complies with this Policy.

1. Where an appeal to the COO is lodged by a complainant, or where the dispute or complaint involves the Principal, the following information must be provided to the COO in writing for purposes of that appeal:
 - the notification of the appeal;
 - the nature and details of the dispute or complaint;
 - facts and/or documents that support or substantiate the dispute or complaint;
 - the decision made by the Principal (unless the complaint is against the Principal);
 - the complainant's proposed resolution to the matter.
2. On receipt of the written information, the COO will acknowledge the receipt of the appeal in writing, within five (5) working days, and contact the Principal in writing outlining the dispute/complaint with the documentation provided by the complainant and discuss the most appropriate way to proceed.
3. The COO will advise the Principal and any other relevant parties involved within ten (10) working days, as to the investigating procedure to be adopted regarding the appeal.
4. Once the COO is satisfied that the investigation has been completed, the COO shall make a decision based on the information presented or undertake further conciliation in an attempt to resolve the matter by agreement between the parties.
5. The parties shall be notified in writing of the outcome of the appeal. A copy of all documentation will be placed on file by the COO.
6. Where a party to the dispute or complaint does not accept the COO's decision, that party may appeal the decision to the CEO. The CEO will notify the Chair of the Board.
7. The Principal will update the Complaints Register with the outcome of the review undertaken by the COO.

STEP 5: Appeal Process to the CEO

1. Where an appeal to the CEO is lodged by a complainant against the decision of the COO, the following information must be provided in writing to the CEO for purposes of the appeal:
 - the notification of the appeal;
 - the nature and details of the complaint or dispute;
 - the person/school against whom the complaint is made or with whom there is a dispute;
 - facts and/or documents that support or substantiate the dispute or complaint the decision made by the COO;
 - the complainant's proposed resolution to the matter.
2. The Visitor (as defined in the Constitutions of AngliSchools and the Charter of the individual schools) may play a role in this process, once all avenues of appeal have been exhausted, in accordance with the powers bestowed on the Visitor by the relevant Constitution or Charter.
3. On receipt of the written information, the CEO will acknowledge receipt within five (5) working days, and determine if Steps 1, 2, 3 and 4 have been undertaken by the complainant. Where

- these steps have not been undertaken, the matter will be referred back to the school and the complainant advised accordingly.
4. Where Steps 1, 2, 3 and 4 have been undertaken, the CEO will appoint an Independent External Investigator (Investigator) (who is not a Board Member, School Councillor or staff member). The Investigator will contact the COO and Principal in writing outlining the dispute or complaint with the documentation provided by the complainant and seeking a response from the school to the complaint.
 5. The Investigator will advise the complainant, the COO and Principal and any other relevant parties involved, within ten (10) working days of the acknowledgement letter, as to the investigating procedure to be adopted by the Investigator regarding the complaint.
 6. Once the Investigator has completed the investigation, the Investigator shall make a recommendation to the CEO based on the information presented or undertake further conciliation in an attempt to resolve the matter by agreement between the parties.
 7. Within five (5) working days of receiving the Investigator's recommendation, the CEO shall notify the parties, and the Chair of the Board, of the outcome of the appeal. A copy of all documentation will be placed on file at AngliSchools Head Office and a copy provided to the school.
 8. The Principal will update the Complaints Register with the outcome of the review undertaken by the Investigator.

The Director of Risk and Compliance will support this process and update the Complaints Register with the outcome of the review undertaken by the Investigator.