



HCAT

Habitual or Vexatious Complainants Policy

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Contents

HCAT Habitual or Vexatious Complainants Policy	2
1. Introduction	2
2. Scope of Policy	2
3. Definition of Habitual or Vexatious Complainant	2
4. Strategy for Dealing with Habitual or Vexatious Complainants.	3
5. Review Decisions and Withdrawing 'Habitual or Vexatious' Status.	4
6. Monitoring Arrangements.	4

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HCAT Habitual or Vexatious Complainants Policy

1. Introduction

This policy applies to all complainants, and identifies situations where a complainant, either individually or as part of a group, or a group of complainants, might be 'habitual or vexatious' and ways of responding to these situations.

In this policy the term habitual means 'done constantly or as a habit'. The term vexatious is recognised in law and means 'denoting an action or the bringer of an action that is brought without sufficient grounds for winning, purely to cause annoyance to the defendant'. These terms are used in this policy to clarify that we are attempting to deal with persons who seek to be disruptive or whose requests cause disproportionate and repeated efforts on behalf of the school staff, governors and trustees by pursuing an unreasonable course of conduct.

The term complainant in this policy includes requests made under the Freedom of Information Act 2000, the Data Protection Act 1998, and the Environmental Information Regulations 2004, and reference to the complaints procedure is, where relevant, to be interpreted as meaning requests under those Acts.

Habitual and/or vexatious complainants can be a problem for school / college staff, governors and trustees. The difficulty in handling such complaints can place a strain on time and resources. Whilst the school / college endeavours to respond with patience and sympathy to the needs of all complainants there are times when there is nothing further which can reasonably be done to assist or to rectify a real or perceived problem.

2. Scope of Policy

This policy should only be used in exceptional circumstances after all reasonable measures have been taken to try to resolve complaints under the Academy's complaints procedures. Judgement and discretion must be used in applying the criteria to identify potential habitual or vexatious complainants and in deciding on the appropriate action to be taken in specific cases.

The policy should only be invoked following careful consideration of all the issues by the Chief Executive Officer (CEO) and the Chair of Trustees after an attempt has been made to reason with the complainant and it has been explained to them what it will mean if the habitual and vexatious policy is invoked. **Authorisation to invoke the policy must be made in consultation with and on the advice of a panel of 3 Trustees. In an emergency the Chair of Trustees or if unavailable the Vice Chair of Trustees may give authorisation pending ratification by the panel of 3 Trustees. The decision to invoke the policy must be reported to the full governing body and the Board of Trustees.**

No individual may undertake a role in authorisation in this procedure if he/she has had an involvement with the complaint.

3. Definition of Habitual or Vexatious Complainant

Each case will be viewed individually and decided on its merits. However, a complainant (and/or anyone acting on their behalf) may be deemed to be habitual or vexatious if previous or current contact with them shows that they may meet any or all the following criteria, dependent upon degree.

Where complainants:

- persist in pursuing a complaint where the school / college's complaints procedure has been fully and properly implemented and exhausted (e.g. where several responses have been provided)
- change the substance of a complaint or continually raise new issues or seek to prolong contact by continually raising further concerns or questions upon receipt of a response. Care must be taken not to discard new issues which are significantly different from the original complaints. These might need to be addressed as separate complaints

- are unwilling to accept documented evidence of action
- are unwilling to accept that the Governing body or Board of Trustees has reached a final decision on a chosen course of action
- deny receiving an adequate response despite correspondence specifically answering their questions
- persist in pursuing a matter when they have already exhausted other statutory routes
- do not clearly identify the precise issues which they wish to be investigated, despite reasonable efforts to help them specify their concerns
- continue to seek to pursue a complaint where the concerns identified are not within the remit of the Governing body or Board of Trustees to investigate
- focus on a trivial matter to an extent which is out of proportion to its significance and continue to focus on this point. It is recognised that determining what is a 'trivial' matter can be subjective and careful judgements must be used in applying this criteria
- have while addressing a complaint, had an excessive number of contacts with the school placing unreasonable demands on staff time. A contact may be in person or by telephone, letter, e-mail or fax. Discretion must be used in determining the precise number of "excessive contacts" applicable under this section, using judgement based on the specific circumstances of each individual case
- have threatened or used physical violence towards staff at any time. This will cause personal contact with the complainant and / or their representatives to be discontinued and the complaint will, thereafter, only be continued through written communication. All such incidences will be documented. HCAT has determined that any complainant who threatens or uses actual physical violence towards staff will be regarded as a vexatious complainant and will receive written confirmation of the same from the Chief Executive Officer. This will also inform the complainant of the action to be taken regarding any further communication received
- have harassed or been personally abusive or verbally aggressive on more than one occasion towards staff dealing with the complaint. Staff recognise, however, that complainants may sometimes act out of character in times of stress, anxiety or distress and will make reasonable allowances for this. They will document all instances of harassment, abusive or verbally aggressive behaviour
- are known to have recorded meetings or telephone conversations or circulated such records to third parties without the prior knowledge and consent of other parties involved
- make unreasonable demands and fail to accept that these may be unreasonable, for example, insist on responses to complaints or enquiries being provided more urgently than is reasonable or within the complaint's procedure or normal recognised practice

4. Strategy for Dealing with Habitual or Vexatious Complainants.

Where complainants have been identified as habitual or vexatious under the scope of this policy, taking account of the above criteria, the Authorising Officers (CEO and Chair of Trustees or if unavailable the Vice Chair of Trustees) will determine what action to take. The Clerk will implement such action and will notify complainants, in writing, of the reasons why they have been classified as habitual or vexatious and what action will be taken. They will also be notified of the review procedure.

This notification may be copied for the information of others already involved in the complaint or matters closely related to it. A record must be kept, for future reference, of the reasons why a complainant has been classified as habitual or vexatious.

It may be decided to deal with complainants in one or more of the following ways:

- Withdraw contact with the complainant either in person, by telephone, by email, by letter or any combination of these, provided that at least one form of contact is maintained. If staff are to withdraw from

a telephone conversation with a complainant there will be an agreed statement available for them to use at such times.

- To restrict contact to liaison through a designated member of staff.
- Notify the complainant in writing that the Board of Trustees has responded fully to the points raised and has tried to resolve the complaint but there is nothing more to add and continuing contact on the matter will serve no useful purpose. The complainant should be notified that any form of contact, either orally or in writing, in relation to their complaint, or any further complaints relative to the same period, or the same or similar issues as an earlier complaint, is at an end, and that further contact received will be acknowledged but not answered.
- Temporarily suspend, for a period to be specified to the complainant, all contact with the complainant, provided that the Board of Trustees shall not, withdraw or not provide any services to which the complainant or his/her family are entitled to receive.

5. Review Decisions and Withdrawing 'Habitual or Vexatious' Status.

Once a complainant has been determined, as habitual or vexatious, such status needs to be regularly reviewed, and, where appropriate, withdrawn later. Such action may be appropriate where a complainant subsequently demonstrates a more reasonable approach or submits a further complaint for which the normal complaints procedures would appear appropriate.

A panel of 3 Trustees should review their decisions to categorise a complainant as habitual or vexatious every six months.

The panel on review may either withdraw the categorisation of a person as habitual or vexatious or amend the strategy being applied to that person.

If the panel considers it appropriate to withdraw the status of habitual or vexatious complainant, normal contact with the complainant and application of the school / college's complaints procedure will be resumed. The complainant will be given notice of this decision forthwith.

Copies of all decisions relating to the categorisation of a person as a habitual or vexatious complainant will be sent to the clerk who will hold and maintain a central register of such decisions.

6. Monitoring Arrangements.

Statistical information will be presented annually to the Governing body and Board of Trustees with details of complainants who are categorised as habitual and / or vexatious.