

Guidelines for Handling School Complaints

King's College

Education Bureau

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Foreword

The school has strived hard to maintain good communication with stakeholders through different means. Key stakeholders, like parents and alumni, often make inquiries and provide feedback and suggestions regarding the performance of the school. Notwithstanding the availability of established systems and channels in the school for public inquiry, consultation and communication, some people would lodge complaints with schools for one reason or another. Should misunderstanding or insufficient communication be identified as the actual cause of any complaints, the school will undertake to explain to the complainant(s) fully and sincerely to remove their doubts. To ensure that school operation would not be affected, the school has developed appropriate policies and measures to deal with complaints lodged by different people.

In order to handle complaints more speedily and effectively, and to respond to the reasonable demands from complainants, the school has established and enhanced its school-based mechanism and procedures according to its own situations and needs. It is expected by means of the school-based mechanism the school can get to the root of the issues and take appropriate follow-up actions, such as introducing new measures or improving the existing policies and practices to prevent similar problems from recurring. The school will adequately communicate with its stakeholders to ensure that the relevant mechanism and procedures are transparent and acceptable for effective implementation.

Chapter I Scope of Application

1.1 In the spirit of school-based management, the School Management Committees (SMC) of the school is entrusted with the power and responsibility to manage schools. The School will, therefore, collaborate closely with its SMC to develop a school-based mechanism and procedures for handling school affairs, including complaints related to schools.

1.2 The following types of complaints lodged to the EDB or the school by parents, students or the public through various means, including post, fax, email, phone or in person will be handled:

(i) **Complaints about the daily operation and internal affairs of schools**

A complainant should lodge his/her complaint directly to the school for effective handling if it concerns the daily operation and internal affairs of the school (*see Appendix I for relevant examples*).

- If complaints are lodged directly to the school, they will be directly handled and replied by the school according to the school-based mechanism.
- If formal complaints against the Principal or the SMC are received by the school, the Regional Education Office (REO) will be informed and the complaint will be directly handled by respective School Development Officer(s).
- If complaints are lodged directly to the EDB, the appropriate way of handling will be decided upon by the Bureau according to the nature and gravity of the issue. In general, if the complaint allegations are related to daily operation and internal affairs of the school, the case will be referred to the school for investigation and direct reply to the complainant. If the allegations involve special circumstances, e.g. breaches of legislations, non-compliance with the requirements stipulated in the relevant circulars, guidelines and codes of practice, student safety being endangered, school operation being seriously impeded, maladministration of the SMCs or serious mismanagement by the school, the case will be directly handled by respective School Development Officer(s) of REO.
- To ensure compliance with the relevant requirements, the school will handle complaints of different nature about daily operation and internal affairs or complaints related to other legislations in accordance with the relevant EDB

circulars and internal circulars, guidelines and codes of practice as appropriate.

(ii) Complaints about the Education Ordinance, education policies and services provided by the EDB

- If a complaint falls into any of the following categories, the school will re-direct it to the relevant division(s)/section(s) of the EDB as soon as possible for acknowledging receipt and direct handling even though the case may have taken place in schools:
 - Complaints about education policies (e.g. class structure and class size);
 - Complaints about alleged contravention of the Education Ordinance, Education Regulations or violation of the provisions of relevant circulars or internal circulars; and
 - Complaints about services directly provided by the EDB (e.g. school place allocation, services provided by REO).
- The relevant division(s)/section(s) of the EDB will also draw reference from relevant internal guidelines in handling the above complaints.

1.3 The GS Guidelines are not applicable to handling of the following types of complaints:

- Complaints related to ongoing legal proceedings;
- Complaints under the jurisdiction of other organisations/government departments;
- Complaints governed by other ordinances or statutory regulations such as complaints against corruption, fraud or theft.

If the complaints fall into the categories specified in paragraph 1.1 (i) above, the school will refer to the relevant EDB circulars/internal circulars, guidelines and codes of practice as appropriate in handling such complaints.

1.4 In general, the school may consider not to accept the following types of complaints:

(i) Anonymous complaints

- Whether the complaint is made in written form or in person, the complainant should be asked to provide his/her name,

correspondence/e-mail address and/or contact phone number to facilitate investigation and reply. If in doubt, the school may request the complainant to show his/her identity documents. Should the complainant fail or refuse to provide these personal details, thus rendering it impossible for the school to investigate and reply to the complainant, the school may deem the complaint anonymous and not handle it.

- However, under special circumstances (e.g. when there is sufficient evidence or when the case is serious or urgent), the middle or senior management of the school may decide whether to follow up with an anonymous complaint, such as treating it as an internal reference, informing the subject of the complaint about the case, or taking appropriate remedial and improvement measures. If follow-up actions are considered unnecessary, the school will briefly state the reasons and put on file for record.

(ii) Complaints not made by the person concerned

- Generally speaking, the person concerned should lodge the complaint by himself/herself. Anyone who seeks to file a complaint on behalf of the person concerned has to obtain his/her prior written consent. If the case involves a student (or a minor, or an intellectually disabled person), then his/her parents/guardian, or the person authorised by the parents/guardian, may lodge a complaint on his/her behalf.
- If a complaint is lodged by more than one person on behalf of the person concerned, the school may require the person concerned to appoint one of them as the contact person.
- Sometimes a complaint is referred or lodged on behalf of the person concerned by other organisations/groups such as Legislative councillors, district councillors, trade unions or the media. If the relevant organisation/group has obtained prior written authorisation from the person concerned, the school will handle the complaint in accordance with the school-based prescribed procedures.

(iii) Complaints with insufficient information

If the complainant has not provided sufficient information and/or failed to provide further information requested by the school to enable a proper or meaningful investigation, the school may decide not to conduct investigation and close the case. To avoid misunderstanding, the school has to provide a written reply to the complainant explaining clearly why the case was not

handled by the school.

- 1.4 Parents and the public are advised to lodge any complaints related to school daily operation and internal affairs within the same school year or a complaint should be lodged within one calendar year from the occurrence of the incident involved. If the incident involved had happened more than one year, the environment might have changed or evidence might have disappeared, or the complainant/subject of the complaint might have already left his/her post or the school. The school will not be able to investigate the complaint because of the difficulty in collecting evidences.

Chapter II Guiding Principles for Handling Complaints

Principle I: Handling of complaints by the appropriate party/parties

- 2.1 To better understand and effectively address the concerns of the complainant, the school will handle those complaints relating to daily operation and internal affairs, and the relevant division(s)/section(s) of the EDB will handle those complaints concerning the Education Ordinance, education policies and services. Complaints related to suspected breaches of other legislations of Hong Kong should be lodged to and handled by the relevant law enforcement agencies (e.g. the ICAC, Hong Kong Police Force). If the complaints fall into the categories specified in paragraph 1.1 (i) above, schools will refer to the relevant EDB circulars/internal circulars, guidelines and codes of practice as appropriate in handling such complaints.
- 2.2 If a complaint involves both the school and other division(s)/section(s) of the EDB, the related division(s)/section(s) will collaborate with the school(s) concerned on how to follow-up/handle the case. If a complaint is lodged to the school and the EDB at the same time, the Bureau will judge according to the nature and gravity of the issue whether the complaint should be referred to the school concerned for follow-up or directly handled by the respective School Development Officer(s) of REO.

Principle II: Timely and efficient handling

- 2.3 The school will handle and respond to all verbal or written inquiries, opinions or complaints as soon as possible to prevent any uninviting situation from worsening. Upon receipt of an inquiry/a complaint, the frontline staff should either directly handle it or immediately refer it to the designated staff/task force for action. If the responsible staff cannot resolve the problem, they have to seek help from their seniors.
- 2.4 If an incident is referred or reported to the school by the media, the school will:
- appoint a spokesman (e.g. the Assistant Principal) to handle inquiries from the public/the media so as to avoid giving confusing messages.
 - provide appropriate responses or clarification to the public as soon as possible (within one or two days), including information about actions taken or preliminary investigation results, and ensure that the information

provided is clear, accurate and in line with requirements under the Personal Data (Privacy) Ordinance.

- inform the SMC Chairman, all teaching and non-teaching staff, students and parents of the progress of the case as far as possible; observe whether students and staff have been emotionally affected by the incident; and provide them with appropriate counselling where necessary.

Principle III: Clear and transparent mechanism

- 2.5 The school is committed to, in collaboration with the SMC, set up a clear and effective school-based mechanism as well as procedures for speedy and proper handling of inquiries and complaints. To ensure the relevant procedures are generally accepted by stakeholders, the school will adequately communicate with teachers and parents.
- 2.6 The school will prepare guidelines for stakeholders on the relevant policies, procedures and responsible staff for handling complaints, making parents and staff fully aware of the details of the procedures through different channels, e.g. school websites, circulars, student handbooks, staff meetings, parent-teacher meetings, seminars and school events.
- 2.7 To facilitate smooth implementation of the school-based mechanism, the school will ensure that all staff responsible for handling inquiries and complaints understand and comply with the relevant policies and guideline. To enhance mutual understanding and strengthen home-school co-operation, the school will draw up strategies for regular communication with parents through different channels, e.g. briefings/information folders for new students and their parents, circulars issued at the beginning of each school year, etc. to inform them of the policies and procedures of complaint handling in the school.
- 2.8 The school will regularly review the complaint handling policies and guidelines by adequately communicate with its staff and parents, and revise the handling procedures whenever necessary.

Principle IV: Fair and impartial handling

- 2.9 The school will approach complaints positively and treat the complainants and the subjects of the complaints fairly. The school will provide sufficient appeal

channels within the school (see paras. 3.7(ii) and 4.1) and consider inviting independent persons to participate in the complaint/appeal handling process, if necessary.

- 2.10 Before an investigation begins or where appropriate, the designated staff and related individuals should declare interests. If there is any conflict of interest, the persons concerned will avoid handling the case or having access to information relating to it.
- 2.11 To avoid conflict of interest, any staff member who is the subject of the complaint should not be involved in conducting or supervising the investigation, or signing and issuing letters to the complainant.
- 2.12 The school will see to it that the rights of the complainants or other persons involved in the complaint are being protected and that their future communication and contact with the school would not be affected.

Chapter III Procedures for Handling Complaints

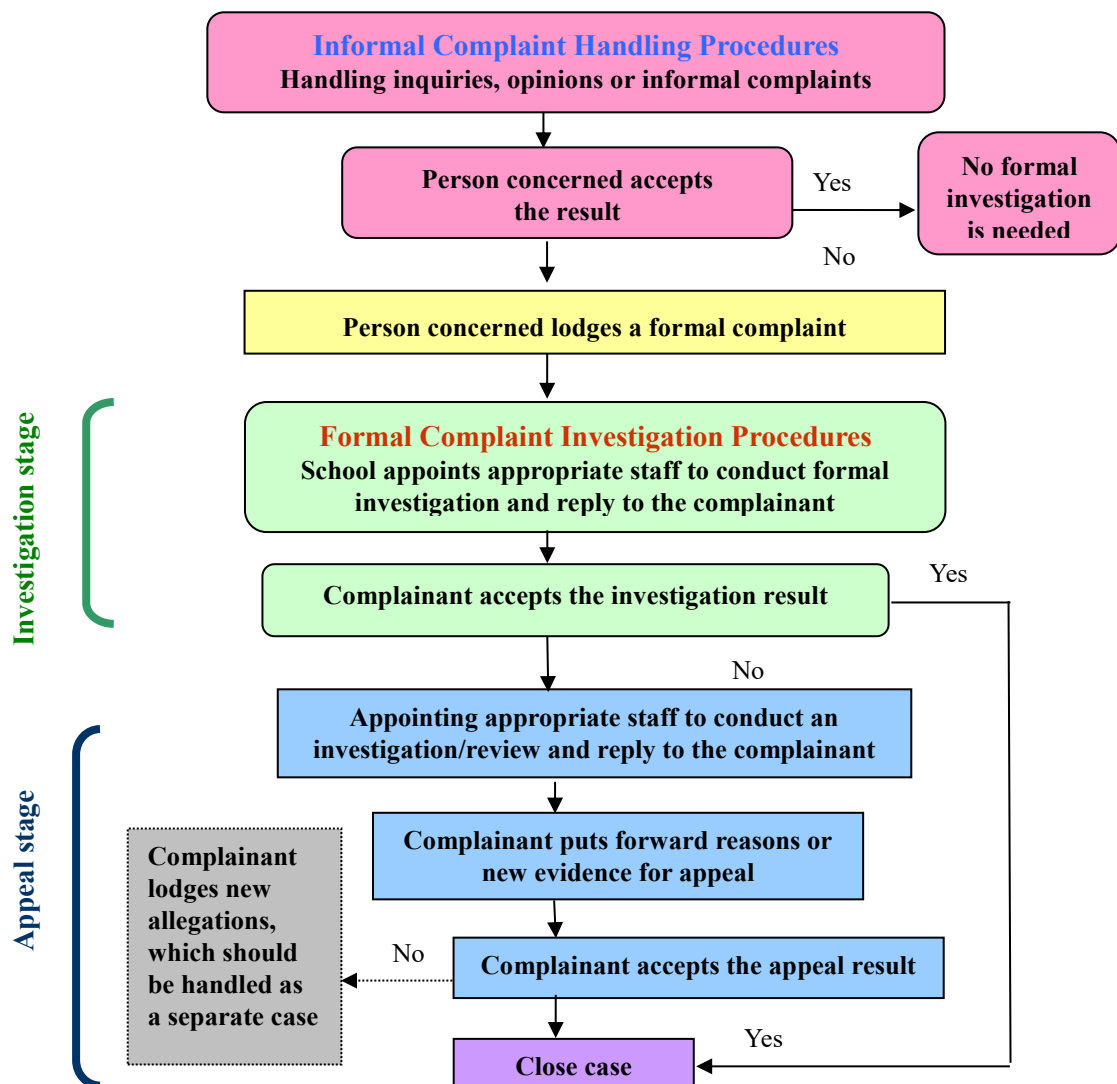
Interpretation of Complaints

3.1 To avoid confusion in the handling process, concerns and complaints will be differentiated as follows:

- ◆ A concern refers to the inquiry or opinion expressed by the stakeholders for the interests of themselves, their children or the school, with a view to changing or improving the existing situation.
- ◆ A complaint is an expression of disappointment, dissatisfaction or grievance expressed by the complainant. They may demand the school to rectify its mistakes, take disciplinary action against the suspected offenders, or resolve the issue(s) raised in the complaint.

The following flowchart (Diagram 1) describes the procedures for handling school complaints

Diagram 1: Flowchart of School Complaint Handling Procedures



- 3.2 In general, unless the person concerned insists on making a formal complaint, the responsible staff can promptly provide assistance or help resolve his/her problem/concern by following the informal complaint handling procedures.

Informal Complaint Handling Procedures

Immediate/prompt handling

- 3.3 The school will handle inquiries or complaints efficiently and appropriately, in order to remove misunderstandings and forestall crises, and to enhance the school's image. The following arrangements will be adopted:
- ◆ If the school receives an inquiry, opinion or informal complaint from the public, whether verbal or written, the frontline staff will listen to the concerns of the inquirer/complainant with care and understanding. He/She will record it (stating the date, time, content, etc.) and direct this to the Teacher in-charge (TIC) concerned as early as possible. If the incident is not serious, the TIC will provide whatever assistance or information required or promptly respond to the concerns raised by the inquirer/complainant and help resolve the problems involved, either personally or with the assistance of the frontline staff.
 - ◆ To prevent any misunderstanding, misgivings or worries, the school will give the initial response to the inquiry, opinion or informal complaint within three days.
 - ◆ If necessary, the TIC will refer the case to the Principal. The Principal may decide whether to take up the handling of the case, depending on the situation of the school and the nature of the case.

Replying to complaints

- 3.4 As a normal practice, oral replies will be given to verbal inquiries/opinions/complaints handled by the informal complaint handling procedures. For opinions/complaints which are presented in written form or if the school wishes to make clear its stance or provide necessary details, the TIC may decide whether a simple written reply to the person(s) concerned/complainant is appropriate.

Complaint records

- 3.5 After answering or resolving an inquiry/complaint, the TIC will record the key points in a log book for future reference. (*A sample is provided in Appendix II.*)

Appropriate follow-up

- 3.6 The school will review whether the policies or procedures regarding complaints have been properly followed and suggest appropriate measures to improve the handling of similar cases or prevent similar cases from recurring. If necessary,

the TIC may brief the complainant(s) on the follow-up actions that the school has adopted and the results that follow.

Formal Complaint Investigation Procedures

Arrangements for the investigation and appeal stages

3.7 If the school receives a formal complaint, verbally or written, the following formal complaint investigation procedures (including an appeal mechanism) should be initiated:

(i) Investigation stage

If the school receives any formal complaints, they will be handled according to the following procedures:

- ◆ Depending on the nature, the scope and the people involved in the complaint, the school will assign an appropriate staff or set up a task force to handle the complaint and reply to the complainant.
- ◆ The school will acknowledge receipt of the complaint **within 10 days**, seek the complainant's consent to obtain his/her personal data and information relating to the complaint, and inform him/her of the name, post title and phone number of the staff responsible for handling the case for contact purposes. (*Samples of Acknowledgement Letters are provided in Appendixes III and IV.*)
- ◆ Where necessary, the designated staff or head of the task force will contact the complainant and other persons involved or arrange meetings with them in order to have a better grasp of the situation or request them to provide relevant information.
- ◆ The school will handle the complaint as quickly as possible, or **not exceeding 30 calendar days** after the complainant agrees to let the school have access to his/her personal data and send a written reply to inform the complainant of the investigation result. If the personal data/information provided by the complainant is incomplete, the time limit should start from the date on which the school receives from the complainant the necessary information.
- ◆ For complicated cases which require a longer processing time, an interim reply will be issued to inform the complainant of the progress of the case and the reasons why a longer time is needed to provide a substantive reply and, if possible, the estimated time frame for issuing a substantive reply. (*A sample is provided in Appendix V.*)
- ◆ If the complainant accepts the investigation result, the case will be officially concluded.
- ◆ If the complainant does not accept the investigation result or the way the school handled the complaint, and is able to provide new evidence or

sufficient justification, he/she may lodge an appeal in writing against the school's decision **within 30 calendar days** of the date of the written reply.

(ii) Appeal stage

The school will adopt the following procedures with appeal cases:

- ◆ The school will assign appropriate staff of a higher rank than that responsible for the investigation stage to handle the appeal and reply to the complainant.
- ◆ The school will handle and resolve the appeal as quickly as possible, or **not exceeding 30 calendar days** after receiving the request for appeal, and send a written reply to inform the complainant of the appeal result.
- ◆ If the complainant accepts the appeal result, the case will be officially concluded.
- ◆ If the complainant does not accept the appeal result or the way the school handled the appeal, the school will cautiously review the appeal process to ensure that proper procedures have been followed. The complainant will be informed of the school's follow up action and result in a written letter. (*A sample is provided in Appendix VI.*)
- ◆ If the complainant raises other new allegations, the schools will handle them as a separate case. A new investigation stage conducted by another designated staff or task force will be started.

Resolving conflict through mediation

- 3.8 When handling complaints, the school may, having regard to the nature of individual cases, consider adopting different means to resolve conflicts quickly. This may include seeking mediation service from a mediator, or inviting independent persons/professionals to provide impartial views to assist the persons concerned (including the complainants and the persons being complained against).

Responding to complaints/appeals

- 3.9 Whether the complaint or appeal is in verbal or written form, the staff in-charge of the investigation will prepare and send a verbal or written reply to the complainant.

Complaint/appeal records

- 3.10 The school will keep a clear record of cases handled by the formal complaint investigation/appeal procedures. The staff in-charge of the investigation/appeal will complete the complaint record (*A sample is provided in Appendix VII*). All relevant information (including correspondences, investigation reports and interview records) will be stored under a complaint record management system. The school will also keep statistics of complaints and appeals lodged through

either the informal or formal handling procedures for future reference.

Appropriate follow-up

3.11 At the end of the investigation/appeal stage, the staff in-charge of investigation/appeal school will review whether the complaint/appeal handling policies and procedures are appropriate, and, where appropriate, make recommendations to the Principal on proper measures to improve the method of handling and to prevent similar incidents from recurring. The staff in-charge should inform the complainant(s) of the school's follow-up actions and outcome of the review.

Chapter IV Arrangements for Handling Complaints

Designated staff

4.1 Taking into account the nature of the complaint, its scope and the people involved, the school will assign a designated staff member or set up a task force to handle the complaint with reference to the following arrangements:

- ◆ Staff members who are responsible for the appeal stage should be different from those responsible for the investigation stage. In principle, the staff dealing with the appeal should be of a higher rank than those responsible for the investigation. If this is not practicable, the school will make other arrangements, such as appointing staff member from another department, to ensure fair handling.
- ◆ Where necessary, the school will establish a task force to handle special complaint cases. Depending on the situation, the task force may include members of the SMC and representatives from other division(s)/section(s) of the EDB. To enhance credibility, the school may invite independent persons such as social workers, lawyers, psychologists, and parents or teachers not involved in the case to join the task force to provide professional advice and support.
- ◆ The appointed staff should be proactive in communicating with the inquirers/complainants, and prompt in providing responses as well as the information they need. The school will also ensure that frontline/designated staff have proper authorisation and clearly understand their roles and responsibilities.

4.2 The table below outlines the deployment of staff in handling complaints:

Targets involved	Example	Investigation stage	Appeal stage
Teaching and school staff	1	Senior Teacher / Appraising Officer of the person being complained against	Assistant Principal / Countersigning officer of the person being complained against
	2	Assistant Principal	Principal
	3	Principal	Designated staff of the EDB #
Remarks: If the school receives formal complaints against the Principal or SMC, it should refer the complaint to REO for follow-up actions.			

Designated staff of the EDB could be the relevant School Development Officer(s) of

REO. REO staff would handle the complaints according to the current practice and route the investigation reports through the SMC Chairperson for information/comment.

Confidentiality

- 4.3 All contents and information of complaints should be kept strictly confidential and restricted to internal reference or reference by relevant persons only.
- 4.4 When the school needs to collect personal data during the handling process or when it receives requests for the disclosure of data/records in respect of the complaint case, the school will observe the regulations and recommendations laid down in the Personal Data (Privacy) Ordinance. This includes clearly stating the purpose and the form of collection of personal data, and that the data will only be used for handling the complaint or appeal cases.
- 4.5 The school will adopt appropriate security measures to protect personal data and privacy, such as keeping the data in safe places (e.g. cabinets under lock and key). Computer data will be protected by passwords. Use of portable data storage devices will be tightly controlled. Where necessary, encrypted portable data storage devices will be used. Complaints will normally be graded as “Restricted”.
- 4.6 The school will establish procedures to ensure that only authorised persons are allowed access to information relating to the case. The responsible persons should not disclose or discuss in public any contents or information relating to the case without authorisation.
- 4.7 Where interviews or meetings with complainant(s) are involved in handling the complaint cases, the school will incorporate the associated arrangements into the school-based complaint handling mechanism. To avoid misunderstanding, the school will:
 - ◆ state clearly whether the person(s) concerned can be accompanied by others (e.g. relatives, legal representatives) during the interview/meeting and reiterate this stance before the interview/meeting starts;
 - ◆ indicate before the interview/meeting starts whether audio/video recording is prohibited or whether the consent of all attendees has been obtained if the session is to be audio/video recorded;
 - ◆ well brief the staff beforehand and ask the staff to remind the complainant(s) before the interview/meeting starts that both the staff and the complainant(s) should be cautious of unauthorized release of third party information and hence should refrain from divulging any such information over phone. They should also observe and comply with Data

Protection Principles appended to Personal Data (Privacy) Ordinance (Cap. 486) during the interview/meeting; and

- ◆ advise the staff that government school staff in carrying out a public duty should not refuse audio/video recording requests made by complainants. Whenever the dialogue touches on personal data and information of a third party, staff should reiterate the stance that he cannot disclose such information in compliance with Personal Data (Privacy) Ordinance (Cap. 486).

Follow-up and evaluation

- 4.8 The school will periodically conduct a comprehensive review on the strategies, process and steps we have taken in handling complaints in order to benefit from past experiences, improve the way of handling, and avoid similar cases from recurring.
- 4.9 The school will take appropriate follow-up measures to improve our services or revise relevant policies for enhancement of professional standards of our services.
- 4.10 The school will regularly review our complaint handling policies and report to the SMCs by providing, for example, relevant data concerning complaint/appeal cases, and suggest, if necessary, improvement measures to enhance the school-based complaint handling mechanism and procedures.

Support and training

- 4.11 The school will provide appropriate training to assist staff to effectively handle inquiries/complaints, e.g. providing training programmes on communication, negotiation and mediation skills, or arranging experience sharing sessions for frontline/designated staff to enhance their capability in handling complaints and resolving conflicts.
- 4.12 To enhance the knowledge and skills of school staff (including principals, teachers, administrative and frontline staff) in the prevention and handling of complaints, school staff will be informed of and encouraged to attend relevant training programmes organized by the EDB.

Chapter V Review of Complaints by Review Board ¹

5.1 Most school-related complaints can be settled through the informal and formal complaint handling procedures. However, some complaints may remain unresolved after the investigation and appeal stages. The complainant/school or the EDB² may request the “Review Board on School Complaints” (Review Board) to review these cases under the following circumstances:

- ◆ The complainant provides substantial grounds or new evidence to show that the school / other division(s) / section(s) of the EDB has handled the case improperly.
- ◆ The complaint has been properly dealt with through established procedures by the school/ other division(s) / section(s) of the EDB but the complainant refuses to accept the investigation result and continues to complain.

Membership of the Review Board

5.2 The EDB has set up a Panel of Review Boards on School Complaints (the Panel). Its members are independent persons from the education and other sectors appointed by the Permanent Secretary for Education (PS(Ed)). The Panel comprises a Chairperson, a Deputy Chairperson and not less than ten members. The tenure of members is two years.

5.3 Where necessary, the Panel may set up several Review Boards to review different complaint cases. Each Review Board is composed of the following members:

- (i) The Chairperson/Deputy Chairperson of the Panel; and
- (ii) Two other members appointed by rotation from the Panel.

If necessary, the Review Board may invite up to two non-members (such as school staff, representatives of the EDB or professionals) to sit on the Board to provide information and/or advices on the case.

5.4 Members of the Review Board should declare interests. Persons who have any conflict of interest with the organisations and/or persons relating to the case under review are obliged to refrain from participating in the review.

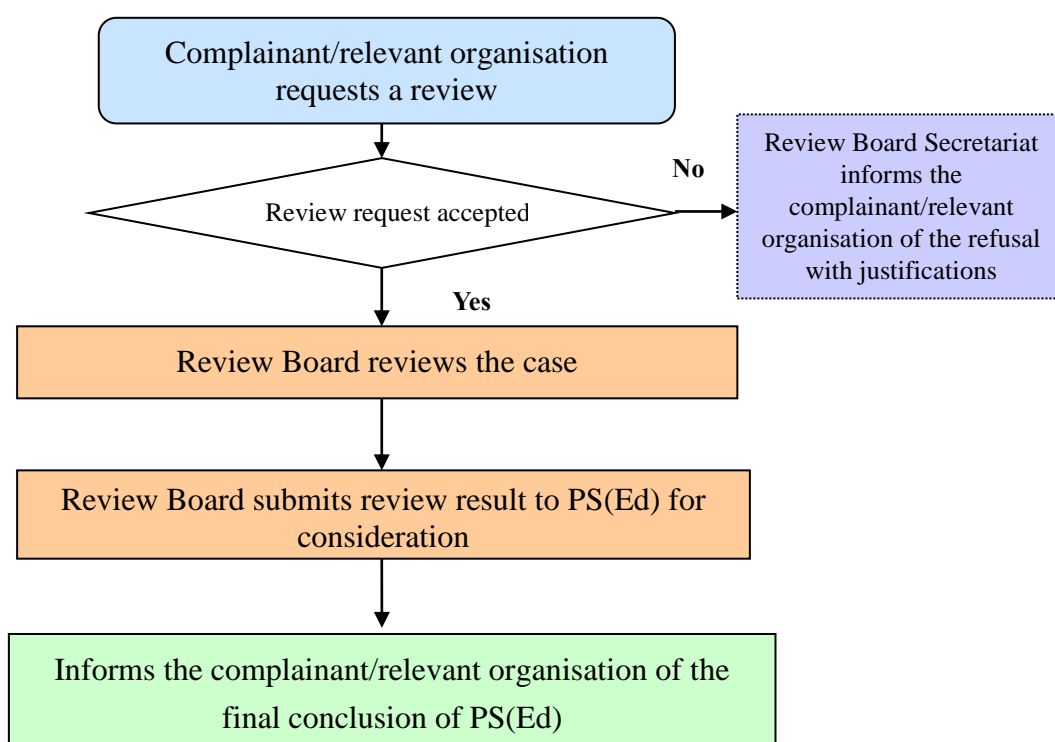
¹ The EDB set up the Panel of Review Boards on School Complaints in January 2013. The independent review arrangement will only be applicable to those schools which have implemented the “Enhanced School Complaint Management Arrangements”. The complaints seeking review should have gone through the investigation and appeal procedures recommended in the GS Guidelines.

² Applicable to complaints directly handled by staff of REO or other division(s)/section(s) of the EDB.

Functions and powers of the Review Board

- 5.5 The Review Board is responsible for reviewing school-related complaint cases that have been handled by schools or relevant division(s)/section(s) of the EDB through the investigation and appeal stages. The review results and recommendations will be submitted to the PS(Ed) for consideration.
- 5.6 Please see Diagram 2 for the review procedures.

Diagram 2: Review Stage



- 5.7 The school will inform complainants in their reply after the appeal that if they do not accept the result of their appeal or the way the appeal has been handled, they may apply in writing to the Review Board for a review within 14 days from the date of the school's reply. In requesting a review, the complainant should state explicitly in the application the reasons for his/her discontent (e.g. the case has not been handled according to proper procedures or the investigation result is prejudiced) and provide substantial justifications or new evidence. The case will be forwarded to the Panel to decide whether a review should be conducted.
- 5.8 If the review application is accepted, the Panel will set up a Review Board to handle it. If the application is unsuccessful, the Review Board will inform the applicant/school/EDB in writing of the reasons for refusal.

- 5.9 The person who requests a review is required to sign a letter of consent, authorising the Review Board to forward information regarding the complaint to the school and/or other relevant organisation(s)/person(s). The Review Board also has the right to obtain information related to the complaint/review from the complainant, the school and/or other relevant organisation(s)/ person(s).
- 5.10 The review process mainly involves examination of investigation reports and related documents. Taking into account the subject matter and nature of the case, the Panel may:
- ◆ scrutinise the information provided by the complainant, subject of the complaint, school and/or relevant division(s)/section(s) of EDB, as well as the files and records associated with the case;
 - ◆ require the complainant, subject of the complaint, school and/or relevant division(s)/section(s) of EDB to clarify information and/or provide new evidence;
 - ◆ meet with the complainant, the subject of the complaint and/or other persons concerned respectively to collect further information.; and
 - ◆ invite the complainant, subject of the complaint, representative(s) of the school, and/or representative(s) of the relevant division(s)/section(s) of EDB to attend case meetings.
- 5.11 To protect personal privacy, the Review Board/EDB may not disclose to anyone any personal information related to the complaint without the consent of the relevant parties (including the complainant, subject of the complaint and the school).
- 5.12 If the Review Board wishes to interview specific persons or convene a meeting on the case, it will make the following arrangements:
- ◆ The persons to be present at the interview or case meeting must be involved in the complaint and have obtained the approval of attendance from the Chairperson of the Review Board.
 - ◆ During the interview or case meeting, the complainant is not allowed to question the subject of the complaint or other witnesses, and vice versa.
 - ◆ Audio/video recording is prohibited during the interview or case meeting.

Result of review

- 5.13 The Review Board will examine whether the case has been handled properly according to the complaint handling procedures and whether the result of investigation by relevant party is fair and reasonable. It will then make recommendations on whether to close the case, settle the disputes through mediation, implement follow-up/remedial measures, or conduct a

re-investigation. The review results and recommendations will be submitted to the Permanent Secretary for Education for consideration.

- 5.14 The PS(Ed) will draw a final conclusion with reference to the review result and recommendations of the Review Board. The complainant(s)/school will be informed in writing of the outcome within three months after receipt of the request for review. If the PS(Ed) accepts closure of the case as recommended by the Review Board, EDB will cease to handle the complaint. If the complainant(s) requesting the review consider the result unacceptable, they may appeal via other channels outside EDB.
- 5.15 If the Review Board recommends that the case be re-investigated by EDB, the Bureau should assign staff at least one rank higher than those who handled the case previously to conduct the re-investigation. The re-investigation should be completed within two months and the result submitted in writing to the Review Board. Upon the Board's endorsement, the Bureau should issue a written reply to the complainant and copy it to the Review Board. If the Bureau cannot complete the investigation within two months, it should notify the complainant in writing of the reasons and the time needed for a definite reply.

Chapter VI Handling of Unreasonable Behaviour

6.1 Understanding that appropriate communication and mediation are conducive to removing misunderstanding and enhancing mutual trust, under general circumstances, the school will not put any restrictions on complainants making contact with the school. However, sometimes certain unreasonable behaviour of complainants may have a negative impact on schools, e.g. draining a considerable amount of the schools' human resources, interrupting their operations or services, as well as threatening the safety of staff and other stakeholders. The school will therefore institute appropriate policies and measures to handle this kind of unreasonable behaviour to ensure that its operation would not be affected.

Definition of unreasonable behaviour

6.2 Complainants' unreasonable behaviour can generally be classified into the following three types:

- (i) Unreasonable attitude or behaviour, such as:
 - ◆ Acts of violence or intimidation
 - ◆ Making complaints with abusive language or in an insulting and discriminatory tone
 - ◆ Providing false data or deliberately concealing facts
- (ii) Unreasonable demands, such as:
 - ◆ Requesting a huge amount of information or demanding special treatment
 - ◆ Making telephone calls incessantly to ask for a dialogue or an interview, or to command a certain staff member to reply
 - ◆ Commanding a certain staff member to meet at a specific time and place
- (iii) Unreasonable persistent complaints, such as:
 - ◆ Insisting on rejecting the explanations and findings of the school/EDB, and/or requiring the school/EDB to discipline certain person(s), even after appropriate investigation procedures have been taken
 - ◆ In respect of the same case, repeatedly making the same complaints or presenting similar justifications as before without providing any new evidence
 - ◆ In respect of the same case, persistently bringing in new allegations or new complaint targets, but failing to present concrete evidence
 - ◆ Interpreting things in an unreasonable or irrational manner, or wrangling over trivial details

Formulating school-based policy

6.3 The school will consider instituting appropriate policies and measures to deal with unreasonable behaviour of complainants:

- ◆ The school will designate suitable staff members to ascertain whether a complainant's behaviour is reasonable, and decide what measures should be taken. Generally speaking, the principal can make such decisions. However, if the complaint is lodged against the principal/SMC, such decisions will be made by the designated staff of REO.
- ◆ The school will integrate its policies regarding unreasonable behaviour of complainants into the school-based complaint handling mechanism and consult stakeholders' views.
- ◆ All stakeholders should be informed of the school's policy regarding unreasonable behaviour of complainants.

Handling of unreasonable behaviours

6.4 While developing policies and measures to deal with unreasonable behaviour of complainants, the school will consider the following suggestions:

(i) Unreasonable attitude or behaviour

- ◆ Any unreasonable attitude or behaviour, including acts of violence, intimidation, and abusive/offensive conduct or language, whether performed face-to-face, by phone, or in writing are unacceptable. The staff member handling the complaint should convey this message clearly to the complainant and demand that he/she stop acting in such a way. If the complainant refuses to comply after the warning, the staff member may terminate the meeting or conversation with him/her.
- ◆ The school will develop contingency measures and guidelines to remind staff responsible for handling complaints to stay alert and take suitable action to protect their own safety. The school will empower the staff member to make decision, depending on the situation, on whether to terminate the interview or dialogue with the complainant and ask the complainant to leave, if his/her behaviour poses an immediate threat to the staff's personal safety or damages their personal interests. In an emergency or if it is deemed necessary, the school will take appropriate and decisive action, such as reporting to the police or taking legal action.

(ii) Unreasonable demands

- ◆ If a complainant makes unreasonable demands which have an adverse impact on the school, e.g. interrupting its operation/services or other

stakeholders are affected by the unreasonable behaviour of the complainant, the school may consider suggesting to the complainant(s) alternative communication methods (e.g. make appointment before visiting the school, submit his/her views in writing, contact only the staff designated by the school, contact the school staff according to the time, frequency, date, duration and modes of communication specified by the school). The complainant will be informed of such arrangements and handling procedures by the school formally in writing.

- ◆ If the complainant's behaviour improves, the school may consider whether the restrictions should be lifted. If the school decides to keep the restrictions, it will regularly review the conditions for imposing them.

(iii) Unreasonable persistent complaints

- ◆ Faced with these complaints, if the school has carefully examined the case and handled it properly under the prescribed investigation and appeal procedures, and sent a detailed and unbiased written explanation regarding the outcome to the complainant, the school may escalate the case via REO to a senior directorate ranked no less than D2 level for a decision on whether any further correspondence or action on the complaint should be discontinued.
- ◆ Upon agreement by the above senior management to cease handling the case, the school will communicate with the complainant in a firm manner that a final decision has been made regarding the case and that the decision is irreversible in order to avoid any unrealistic expectations on the part of the complainant.
- ◆ If repeated complaints are received from the complainant subsequently, the school may send a "Reply Card" to the complainant, referring him/her to the replies previously given. (*A sample "Reply Card" is provided in Appendix VIII.*)

Chapter VII Conclusion

Effective school-based mechanism

- 7.1 To ensure that public inquiries/complaints are properly handled, the school is committed to establishing a school-based complaint handling mechanism and procedures relevant to its own circumstances and the needs of stakeholders. It fulfils the following criteria:
- ◆ Clear and unambiguous
 - ◆ Open and transparent
 - ◆ Concise and easy to follow
 - ◆ Fair and just
 - ◆ Able to protect confidentiality of information
 - ◆ Under continuous review and improvement
- 7.2 The school upholds the belief that an effective school-based complaint handling mechanism not only increases public confidence in school governance, but also prevents public opinions/inquiries from evolving into formal complaints or unnecessarily escalating to the other division(s)/sections(s) of EDB or other government departments/organisations.

Maintaining good communication

- 7.3 In addition to formulating an effective complaint handling mechanism, the school will continue to maintain a close partnership with parents and staff by enhancing communication with them. The school will work closely with members of the Parent-Teacher Association of the school who serve as a bridge of communication by helping to explain the school policies to parents, relieving their sentiments of dissatisfaction, and playing the role of mediator when necessary. At the same time, to enhance the standards of the professional services it provides, the school will always assume an open attitude and listen to the views of the stakeholders to identify room for improvement regarding its school-based inquiry/complaint handling mechanism and procedures.

Appendix I

Examples of Complaints Relating to Daily Operation and Internal Affairs of Schools*

Domain	Examples
Management and Organisation	<ul style="list-style-type: none"> • School accounts (e.g. accounting records) • Other charges (e.g. extra-curricular activities charges and registration fees) • School policies (e.g. system of reward and penalty, arrangements regarding students' suspension from school) • Standards of contractors' services (e.g. school bus services, supply of meal boxes) • Service contracts (e.g. tendering procedures) • School environment and hygiene (e.g. noise pollution, mosquitoes problems)
Learning and Teaching	<ul style="list-style-type: none"> • School-based curriculum (e.g. subject lesson time) • Selection of subjects and class allocation (e.g. arrangements for students' choice of subjects) • Homework (e.g. amount of homework , school-based assessment criteria) • Students assessment (e.g. assessment criteria) • Staff performance (e.g. behaviour/attitudes of teaching staff, job performance)
School Ethos and Student Support	<ul style="list-style-type: none"> • School ethos (e.g. uniform and other aspects of appearance) • Home-school cooperation (e.g. consultation mechanism, communication channels) • Student support (e.g. support for students with special educational needs) • Extra-curricular activities (e.g. arrangements for interest groups and other student activities)
Student Performance	<ul style="list-style-type: none"> • Students' overall performance (e.g. academic results, conduct) • Student discipline (e.g. foul and abusive language, smoking, fighting, bullying)

* Schools should handle complaints related to their daily operation and internal affairs in accordance with the relevant EDB internal circulars and EDB circulars, guidelines and codes of practice listed in paragraph 1.2(i) of the GS Guidelines to ensure compliance with the respective requirements.

Sample Record Sheet of Cases Handled by Informal Procedures

Date of enquiry/complaint: _____ *Time :* _____ am/pm

Mode : Call the General Office Call the Principal / Assistant Principal / Class Teacher / Responsible Teacher*

In person By e-mail/ fax* Others (Please specify: _____)

Name of the Enquirer/Complainant : _____

Role of Enquirer/Complainant : Parent Student Other (Please specify: _____)

Contact information (by telephone/fax/e-mail) :* _____

Enquiries/Concern(s) : _____

Information/Document attached : No Yes (Please specify: _____)

Action Taken : Contacted by phone Interview Others (Please specify: _____)

Result : Enquirer/Complainant accepted the reply. No further action is required.

Others (Please specify: _____)

Signature of
Senior Teacher/Responsible Person : _____ *Date :* _____

(Name/ Post)

* Please delete where inappropriate

Appendix III

Sample Acknowledgement Letter (1)

[Applicable to complaints handled by school]

DD MM YYYY

Name of the complainant

Address of the complainant

Dear Mr/Ms *XX,

We received your written/verbal* complaint on DD MM YYYY. The case is being investigated and a reply will be sent to you within XX days/as soon as possible.

If you have any inquiries, please contact Mr/Ms X (Teacher/Panel Chairperson/Assistant Principal*) at XXXXXXXX (telephone number).

(Signature)

Principal of King's College/

Name and post

of the designated staff*

* Please delete where inappropriate

Sample Acknowledgement Letter (2)

[Applicable to cases where referral of the complaint to a third party (e.g. government departments or contractors of school services) is needed.]

DD MM YYYY

Name of the complainant

Address of the complainant

Dear Mr/Ms* XX,

We received your written/verbal* complaint on DD MM YYYY. To facilitate our investigation and follow-up, please fill in the **reply form** attached and send it to us before DD MM YYYY. We will notify you of the outcome when the investigation is completed.

If you have any inquiries, please contact Mr/Ms X (Teacher/Panel Chairperson/Assistant Principal*) at XXXXXXXX (telephone number).

(Signature)

Principal of King's College /
Name and post
of the designated staff*

* Please delete where inappropriate

[Note:

- The information, including the personal data, submitted by you to King's College, Education Bureau in this reply form will be used for the purpose of handling your complaint only.
- The provision of any requested information, including personal data, in the reply form is voluntary. However, it may not be possible to process your complaint if the requested information provided by you, including personal data, is not in sufficient detail.
- Any information, including personal data, submitted by you may be disclosed to other government departments, persons, organizations or agencies for the purpose of handling your complaint.
- Having submitted your personal data, you have the right to request access to and correction of your personal data held by us. Request for access to or correction of personal data should be made directly to the above-signed staff by mail to 63A, Bonham Road, Hong Kong. For more information about the privacy policy, please visit EDB website: "<http://www.edb.gov.hk/en/privacy-policy.html>".]

Sample Acknowledgement Letter (2)
Reply Form

To: King's College

File No.: (if applicable)

Name of the complainant: Mr./Ms. _____

Correspondence Address: _____

Telephone No.: _____

I understand that the personal information provided above will only be used for investigating the complaint.

To assist the school in handling this complaint, I consent/object* to:

1. the school's reproduction of this complaint and any materials submitted and the transfer of copies of such materials to relevant persons/organisations for processing my complaint.
2. the school's obtaining my personal data kept by relevant persons/organisations that are considered relevant and necessary for the purpose of processing my complaint.

Date

Signature of the complainant

* Please delete where inappropriate

Appendix V

Sample Interim Reply

[Applicable to complicated complaint cases handled by school]

DD MM YYYY

Name of the complainant

Address of the complainant

Dear Mr/Ms *XX,

We received your written/verbal* complaint on DD MM YYYY. We are in the process of investigating the case. However, due to _____, we still need _____ days/weeks* before we can conclude the investigation. We will send you a reply as soon as possible/before DDMMYYYY*.

If you have any inquiries, please contact Mr/Ms X (Teacher/Panel Chairperson/Assistant Principal*) at XXXXXXXX (telephone number).

(Signature)

Principal of King's College /
Name and post
of the designated staff*

* Please delete where inappropriate

Appendix VI

Sample Reply to Complainant about the School's Follow-up Action if the Appeal Result is not accepted

[Applicable to complaints handled by school]

DD MM YYYY

Name of the complainant

Address of the complainant

Dear Mr/Ms *XX,

We received your written/verbal* complaint on DD MM YYYY. An investigation has been done in the period _____ and a written reply has been sent to you. Upon receiving your request for appeal on _____, we had conducted a further investigation in the period _____ and the result was sent to you in writing on _____.

We understand that you do not accept the appeal result/the way the school handled the appeal*. We will review the appeal process and procedures and will write to you if we have taken any follow up action after the review.

If you have any inquiries, please contact Mr/Ms X (Teacher/Panel Chairperson/Assistant Principal*) at XXXXXXXX (telephone number).

(Signature)

Principal of King's College /
Name and post
of the designated staff*

* Please delete where inappropriate

Sample Complaint Record

Date received _____

Source: Directly lodged to the school
 Referred by EDB
 Referred by other organisations: _____

Mode: Phone Letter Email Fax In person
 Others: _____

Personal information of the complainant:

Name: Mr./Ms./Mrs. _____

Identity: Parent Councillor Public
 Organisation _____
 Others _____
 Authorised representative of the complainant (please state the name, address and contact telephone number of the representative and his/her relation with the complainant): _____

Tel: _____ Fax: _____ Email: _____

Address: _____

Subject(s) of complaint:

Name of person being complained against: _____

Rank / Position of person being complained against:

Principal SEO EO / AEO* SAM / AM / CM*
 NCSC Teacher Non-teaching Staff
 Others: _____ (please specify)

* Please delete where inappropriate

Areas of Complaint:

- Management and Organisation Learning and Teaching
 School Ethos and Student Support Student Performance
 Others: _____ (please specify)

Summary of complaint:

Investigation stage

Person-in-charge of Investigation: _____

Rank / Position of Person-in-charge of Investigation:

- Principal SEO EO / AEO* SAM / AM*
 Others: _____ (please specify)

Issue of Notice of Acknowledgement, if applicable (date: _____)

Telephone contact (date: _____)

Interview with the complainant (date: _____)

Issue of written reply (date: _____)

Actions taken:

- Interview with person being complained against (date: _____)
 Lesson observation Meeting with students Exercise book inspection
 Others: _____ (please specify)

Summary of investigation findings:

Signature of person-in-charge: _____
(date: _____)

Appeal stage (if applicable)

Date of appeal: _____

Person-in-charge of Appeal: _____

Rank / Position of Person-in-charge of Appeal:

Principal SEO EO SAM

Issue of Notice of Acknowledgement (date : _____)

Telephone contact (date : _____)

Interview with the complainant (date: _____)

Issue of written reply (date: _____)

Summary of appeal result:

Appeal result accepted by the complainant

Appeal result rejected by the complainant

Follow-up actions or recommendations (if applicable)

Signature of person-in-charge: _____
(date: _____)

Sample Reply Card

DD MM YYYY

Name of the complainant

Address of the complainant

Dear Mr/Ms* XX,

This is to acknowledge receipt of your letter dated DD MM YYYY. For our stance on the relevant issue, please refer to our reply/replies dated DD MM YYYY (and dates of other replies [if applicable]).

(Signature)

Principal of King's College/
Name and post of the designated staff*

* Please delete where inappropriate