



# **London Borough of Waltham Forest**

**Draft**

## **COMPLAINT / INCIDENT / ALLEGATION RECORD TEMPLATE**

**Early Years, Childcare & Business Development Service**

## COMPLAINT / INCIDENT / ALLEGATION RECORD TEMPLATE

**Text in red is to assist you in completing the complaint/incident/allegation record and should be removed from the completed document**

Where the complaint/incident/allegation meets the threshold for reporting to the Council's Local Authority Designated Officer (LADO), Investigations **should not be carried out** before being instructed to do so by the LADO, as this could impact any subsequent LADO, Ofsted or Police investigation.

If at the point of commencing the investigation the LADO threshold was not met, but at any point during the investigation it becomes apparent that the LADO threshold has been met, the investigation should be **suspended**, and a referral to the LADO should be made. The investigation **should not be restarted** before being instructed to do so by the LADO, as this could impact any subsequent LADO, Ofsted or Police investigation.

Further information regarding the LADO role and thresholds can be found below

[LADO](#)

[Introduction letter](#) from Gill Nash (Designated Officer) – The Hub registration is required to view this

[Waltham Forest Safeguarding Children Board \(WFSCB\)](#)

Ofsted registered providers must investigate all written complaints relating to their fulfilment of the EYFS requirements and Requirements for the Childcare Register. They must notify complainants of the outcome of the investigation within 28 days of receiving the complaint – see Statutory Framework for the Early Years Foundation Stage <https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2> & Childcare Register Requirements [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/650103/EY\\_and\\_childcare\\_reg\\_handbook.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/650103/EY_and_childcare_reg_handbook.pdf) (Annex C)

When completing the record you should bear in mind it must be shared with Ofsted when requested.

## PROVIDER COMPLAINT / INCIDENT / ALLEGATION RECORD

We shall investigate all complaints notified to us, in writing, by a parent of a child attending the setting. We shall give an account of the findings of the investigation into the complaint and any action taken to the parent who made the complaint, within 28 days of the date of the complaint.

<b>Date of Complaint:</b>			
<b>Source of Complaint</b> (please tick as appropriate)			
Parent (in writing, including email)	<input type="checkbox"/>	Anonymous	<input type="checkbox"/>
Parent (in person)	<input type="checkbox"/>	OFSTED Complaint No (if known):	<input type="checkbox"/>
Parent (phone call)	<input type="checkbox"/>		
Staff member	<input type="checkbox"/>	Other (please state)	<input type="checkbox"/>
<p>You need to record here who made the complaint. Where people complain to Ofsted, they will normally refer all such complainants to you in the first instance. Where Ofsted carries out an investigation into your continued suitability to provide childcare following a complaint, they will tell you of the outcome of their investigation. Where they do this, you should enter Ofsted as the source and the Ofsted complaint number, if known.</p>			
<b>Nature of Complaint</b> (please tick the requirements that the complaint relates to)			
Early Years Register Complaint	<input type="checkbox"/>	Childcare Register Complaint	<input type="checkbox"/>
Child Protection/Safeguarding <span style="color: red;">Consider if MASH referral required</span>		Allegation against a staff member <span style="color: red;">Must be reported to LADO</span>	
Missing/Lost Child		Premises and security	
Special Educational Needs		Medication, illness or infection	
Accident or injury		Information & Records	
Behaviour management/Physical Intervention		Child's learning, development or progress	
Food and drink		Complaints Procedure	
Other (Please specify)		Fees and charges	

**Please give details of the complaint:**

**Nature of complaint** - You must record the legal requirements to which the complaint refers. If you are unsure you should refer to The Early Years Foundation Stage and the accompanying guidance or the Requirements for the Childcare Register factsheet, whichever is relevant. You must record all details associated with the complaint, taking care not to name individuals. For example, use 'child A', 'staff member B'.

Attach a copy of complaint, or include text from e-mail outlining complaint

**How it was dealt with** (please tick as appropriate and attach relevant reporting documentation)

Reported to childcare settings Ofsted Registered Person   
Or Schools Chair of Governors

Internal investigation  Reported to Ofsted

Reported to LADO  Reported to MASH

investigation by other agencies (please state)  Reported to Police

**Please give details of any internal and/or external investigation:**

**How it was dealt with** - You must provide information on how you investigated the complaint. You will need to record:

- the process that you took to ensure that the complaint was fully investigated, such as interviews, reviews of records.
- who was involved in the investigation without identifying any individuals named in the complaint including staff or any child
- any referrals you made to an external agency, for example local authority environmental health departments or Safeguarding Children Board.

*The LBWF Complaint/Allegation Investigation Report Template can be used to assist with the investigation process*

**Actions and outcomes** (please tick as appropriate)

Internal actions	<input type="checkbox"/>	Other action taken by OFSTED	<input type="checkbox"/>
Actions agreed with OFSTED	<input type="checkbox"/>	No action	<input type="checkbox"/>
Changes to conditions of registration	<input type="checkbox"/>	Actions imposed or agreed with other agencies (state agency)	<input type="checkbox"/>

**Please give details of internal and/or external actions and outcomes:**

**Actions and outcomes** - You must provide details about the outcome of your investigation. You will need to record:

- any action(s) identified by you
- any actions set or taken by Ofsted, LADO, MASH the Police or other agencies
- any action taken by another external agency, where you have their permission to do so
- the outcome of your investigation, identifying any areas where you feel you could make improvement to your provision
- If you dismissed any members of staff following the investigation and if so, under what circumstances. *Where the LADO or police are involved in the investigation please contact the LADO for advice as to whether undertaking any employment/disciplinary action would impact on any investigation*
- If you have dismissed a member of staff for misconduct, because they placed a child at risk of significant harm, you may need to refer the individual for inclusion onto the Protection of Children Act (POCA) list. You can find out how to do this by ringing Ofsted on **0300 123 1231**.

You must share an account of the findings of your investigation and the action, if any, that you took or you intend to take as a result of your investigations with parents at the setting. You must do this within 28 days from the date the complaint was made. You can do this by sharing this record. If they ask you to do so, or if you think it is appropriate, you should send a separate letter to the parent who made the complaint giving more detail. The record of complaints must be kept for at least 3 years

<b>Print name of person completing complaint/incident/allegation/record:</b>	
<b>Signature:</b>	
<b>Position:</b>	
<b>Date completed:</b>	

<b>Outcome of complaint agreed by Ofsted registered person</b>	<b>Yes or No</b>
<b>Print name of Ofsted Registered Person:</b>	
<b>Signature of Ofsted Registered Person:</b>	
<b>Date:</b>	

<b>Outcome notified to parent:</b>	<b>Yes or No</b>
<b>Has a copy of this record been shared with parents?</b> Ensure personal information is redacted/anonymised in any version given to parents/carers	<b>Yes or No</b>
<b>Print name of parent/carer this record was shared with</b>	
<b>Signature of parent/carer this record was shared with</b>	
<b>Date this record was shared with parent/carer</b>	