

Annex: Provider complaints record and how to complete the complaints record

Provider complaints record

Date of complaint:			
A: Source of complaint			
Parent (in writing, including email) ⁵	<input type="checkbox"/>	Staff member	<input type="checkbox"/>
Parent (in person)	<input type="checkbox"/>	Anonymous	<input type="checkbox"/>
Parent (phone call)	<input type="checkbox"/>	Ofsted (include complaint number if known)	<input type="checkbox"/>
		Other (please state)	<input type="checkbox"/>
B: Nature of complaint			
(please tick all boxes that the complaint relates to)			
EY Register		Organisation	<input type="checkbox"/>
Safeguarding and promoting children's welfare	<input type="checkbox"/>	Documentation	<input type="checkbox"/>
Suitable people	<input type="checkbox"/>	Learning and Development	<input type="checkbox"/>
Suitable premises, environment and equipment	<input type="checkbox"/>	Compulsory Register	<input type="checkbox"/>
		Voluntary Register	<input type="checkbox"/>
Please give details of the complaint:			

⁵ Regulations require providers to investigate all complaints notified to them, in writing, by a parent of a child attending the setting.

C: How it was dealt with		
Internal investigation	<input type="checkbox"/>	
Investigation by Ofsted	<input type="checkbox"/>	
Investigation by other agencies (please state)	<input type="checkbox"/>	
Please give details of any internal investigation or attach any outcome letter from Ofsted:		
D: Actions and outcomes		
Internal actions	<input type="checkbox"/>	
Actions agreed with Ofsted	<input type="checkbox"/>	
Changes to conditions of registration	<input type="checkbox"/>	
Other action taken by Ofsted	<input type="checkbox"/>	
No action	<input type="checkbox"/>	
Actions imposed or agreed with other agencies	<input type="checkbox"/>	
Please give details:		
Has a copy of this record been shared with parents?		Yes / No
Name of recorder:	Outcome notified to parent: Yes (within 28 days for EY Register) ⁶ (within 20 days for Voluntary/Compulsory Register) ⁷	
	Date:	
Position:	Date Completed:	
Name:		
Signature:		

⁶ Regulations require providers to 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 for the Early Years Register and ⁷within 20 days of the date of the complaint for the Voluntary and Compulsory Childcare Register.

How to complete the complaints record

You are not required to use this complaints record. If you wish to use a different form it must include all of the information held in this record. Ofsted will check your complaints record at all inspections from October 2005.

When completing the record you should bear in mind it must be shared with any parent who asks to see it as well as with Ofsted. It is important to maintain appropriate confidentiality when filling in the record. This means that you should not name the person making the complaint or any persons (adults and children) that relate to the complaint.

A. Source of complaint

You need to record here who made the complaint. Where people complain to Ofsted, we 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, we will tell you of the outcome of our investigation. Where we do this, you should enter Ofsted as the source and the Ofsted complaint number, if known.

B. Nature of complaint

The record is intended only for complaints relating to the Early Years Foundation Stage. You must record here one or more of the welfare requirements to which the complaint refers. If you are unsure, you should refer to your EYFS pack. You must record all details associated with the complaint, taking care not to name individuals. For example, use 'child A', staff member B'.

C. 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 names in the complaint, including staff or any child.
- any referrals you made to an external agency, for example local authority environmental health departments or social services.

D. 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.
- 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. 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 08456 404040.

You must share an account of the findings of your investigation and the actions, if any, that you took or you intend to take as a result of your investigations with the parents who made the complaint, and at the request of any parent of a child in your care at the setting. You must do this within 20 or 28 days from the date the complaint was made, dependent upon under which register the child sits. 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.