

## Safeguarding and Welfare Requirement: Information and Records

Providers must put in place a written procedure for dealing with concerns and complaints from parents and/or carers.



### 10.11 Making a complaint

#### Policy statement

Our setting believes that children and parents are entitled to expect courtesy and prompt, careful attention to their needs and wishes. We welcome suggestions on how to improve our setting and will give prompt and serious attention to any concerns about the running of the setting. We anticipate that most concerns will be resolved quickly, by an informal approach to the appropriate member of staff. If this does not achieve the desired result, we have a set of procedures for dealing with concerns. We aim to bring all concerns about the running of our setting to a satisfactory conclusion for all of the parties involved. We believe that most complaints are made constructively and can be sorted out at an early stage. We also believe that it is in the best interests of the Playgroup and the parents that complaints should be taken seriously and dealt with fairly and in a way which respects confidentiality.

#### Procedures

All settings are required to keep a written record of any complaints that reach stage two and above, and their outcome. This is to be made available to parents, as well as to Ofsted inspectors on request. A full procedure is set out in the Pre-school Learning Alliance publication Complaint Investigation Record (2012) which acts as the 'summary log' for this purpose.

#### *Making a complaint*

##### Stage 1

- Any parent who has a concern about an aspect of the setting's provision talks over, first of all, his/her concerns with the setting leader.
- Most complaints should be resolved amicably and informally at this stage.

## Stage 2

- If this does not have a satisfactory outcome, or if the problem recurs, the parent moves to this stage of the procedure by putting the concerns or complaint in writing to the Playgroup Manager and the chair of the Management Committee.
- For parents who are not comfortable with making written complaints, there is a template form for recording complaints in the Complaint Investigation Record; the form may be completed with the person in charge and signed by the parent.
- The setting stores written complaints from parents in the child's personal file. However, if the complaint involves a detailed investigation, the Playgroup Manager may wish to store all information relating to the investigation in a separate file designated for this complaint.
- When the investigation into the complaint is completed, the Playgroup Manager meets with the parent to discuss the outcome.
- Parents must be informed of the outcome of the investigation within 28 days of making the complaint.
- When the complaint is resolved at this stage, the summative points are logged in the Complaint Investigation Record.

## Stage 3

- If the parent is not satisfied with the outcome of the investigation, he or she requests a meeting with the Playgroup Manager and the chair of the Management Committee. The parent may have a friend or partner present if they prefer and the manager should have the support of the chairperson of the Management Committee.
- An agreed written record of the discussion is made, as well as any decision or action to take as a result. All of the parties present at the meeting sign the record and receive a copy of it.
- This signed record signifies that the procedure has concluded. When the complaint is resolved at this stage, the summative points are logged in the Complaint Investigation Record.

## Stage 4

- If at the stage three meeting the parent and setting cannot reach agreement, an external mediator is invited to help to settle the complaint. This person should be acceptable to both parties, listen to both sides and offer advice. A mediator has no legal powers, but can help to define the problem, review the action so far and suggest further ways in which it might be resolved.
- Staff or volunteers within the Pre-school Learning Alliance are appropriate persons to be invited to act as mediators.

- The mediator keeps all discussions confidential. S/he can hold separate meetings with the setting personnel (Playgroup Manager and the chairperson of the Management Committee) and the parent, if this is decided to be helpful. The mediator keeps an agreed written record of any meetings that are held and of any advice s/he gives.

#### Stage 5

- When the mediator has concluded her/his investigations, a final meeting between the parent, the Playgroup Manager and the chairperson of the Management Committee is held. The purpose of this meeting is to reach a decision on the action to be taken to deal with the complaint. The mediator's advice is used to reach this conclusion. The mediator is present at the meeting if all parties think this will help a decision to be reached.
- A record of this meeting, including the decision on the action to be taken, is made. Everyone present at the meeting signs the record and receives a copy of it. This signed record signifies that the procedure has concluded.

#### *The role of the Office for Standards in Education, Children's Services and Skills (Ofsted) and the Local Safeguarding Children Board or local safeguarding partners and the Information Commissioner's Office*

- Parents may approach Ofsted directly at any stage of this complaints procedure. In addition, where there seems to be a possible breach of the setting's registration requirements, it is essential to involve Ofsted as the registering and inspection body with a duty to ensure the Safeguarding and Welfare Requirements of the Early Years Foundation Stage are adhered to.
  - Parents can complain to Ofsted by telephone or in writing at:  
  
Ofsted National Business Unit, Piccadilly Gate, Store Street, Manchester, M1 2WD.  
  
Telephone: [0300 123 1231](tel:03001231231)
  - These details are displayed on our setting's notice board.
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- If a child appears to be at risk, our setting follows the procedures of the Local Safeguarding Children Board or local safeguarding partners.
  - In these cases, both the parent and setting are informed and the Playgroup Manager works with Ofsted or the Local Safeguarding Children Board or local safeguarding partners to ensure a proper investigation of the complaint, followed by appropriate action.

## *Records*

- A record of complaints in relation to our setting, or the children or the adults working in our setting, is kept; including the date, the circumstances of the complaint and how the complaint was managed.
- The outcome of all complaints is recorded in the Complaint Investigation Record, which is available for parents and Ofsted inspectors on request.
- The Information Commissioner's Office (ICO) can be contacted if you have made a complaint about the way your data is being handled and remain dissatisfied after raising your concern with us. For further information about how we handle your data, please refer to the Privacy Notice given to you when you registered your child at our setting. The ICO can be contacted at Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF or [ico.org.uk](http://ico.org.uk)

## **Other useful Pre-school Learning Alliance publications**

- Complaint Investigation Record (2012)

This policy was adopted at a meeting of	Foundry Lane Community Playgroup Management Committee
Held On	15 <sup>th</sup> July 2009
To be reviewed	Annually
Signed for and on behalf of Foundry Lane Community Playgroup Management Committee	
Name of Signatory	K. Heath
Role of Signatory	Chairperson

Review Date	Reviewed By (Name)	Role	Signed
05/01/12	V. Whybrew	Chairperson	
19/06/12	B. Angel	Chairperson	
28.02.13	B. Angel	Chairperson	
31.01.15	C. Carstairs	Treasurer	
06.07.16	S. Andrade	Chair	
19.07.17	J. Tanner	Chair	
24.05.18	J. Tanner	Chair	
15.07.19	J. Stephens	Chair	
10.07.2020	J. Stephens	Chair	