
**Investigation report template – complaint**

***When the Ministry of Education has reclassified a service’s licence as provisional under regulation 15(1)(c), the service is required to provide the Ministry with a satisfactory investigation report into the complaint.***

***You can use this report template. It is designed to support you with your investigation, providing useful prompts consider. You should attach any supporting documents with this report. Please note we may request additional information/ documents as evidence from you.***

***It is not compulsory to use it. You don’t have to complete every field, just what is relevant to the complaint.***

***Further information is available on our website (provide link)***

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| **Service number:** | [*insert service number]* | **Service name** | *[insert service name]* |
| **Report prepared by**: | [*insert name and title]* | **Date report prepared**: | *[date]* |

**Planning your investigation**

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| **Summary of complaint** |
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| **Date the complaint was received** |  |  |
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| **How did you become aware of the complaint?**  |  |  |
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| **What occurred/allegedly occurred? Include dates and times as relevant** |  |  |
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| **Provide any additional context or background to this complaint as relevant** | *For example:** *Are there any past interactions/events that led to this complaint?*
* *Have you had any other similar complaints?*
* *What was happening at the service on the day? Eg group size, adult:child ratios, number of permanent staff/relievers, junior/senior staff, qualified/unqualified staff on site*
* *What has happened at the service recently? Eg changes to staff and/or management.*
* *Is there anything happening in the community?*
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| **List of names of those involved in the complaint, including their role** | *For example:** *the child affected by the event*
* *the person the complaint is about*
* *witnesses who saw or heard anything eg, teacher, parent*
* *others eg, qualified/unqualified teachers, ESWs, student teachers, cook, whānau*
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| **The impact and severity of the complaint, and why** |  |  |

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| **Actions immediately taken following notification of the complaint** |
| List the actions taken immediately following notification of the complaint. Some examples are provided below – delete any irrelevant information in the table and add in your own.

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| **Date and time** |  | **Action taken** |  | **Who** |
|  |  | *Immediate care for the child/children* |  |  |
|  |  | *Parents/whānau informed* |  |  |
|  |  | *Policies/procedures consulted* |  |  |
|  |  | *Specified agencies notified (see licensing criteria* [*HS34*](https://www.education.govt.nz/early-childhood/licensing-and-regulations/the-regulatory-framework-for-ece/licensing-criteria/centre-based-ece-services/health-and-safety/notification/hs34-incident-notification-to-the-ministry-of-education/) *(centre-based),* [*HS33*](https://www.education.govt.nz/early-childhood/licensing-and-regulations/the-regulatory-framework-for-ece/licensing-criteria/home-based-ece-services/health-and-safety-practices/notification/hs33-incident-notification-to-the-ministry-of-education/) *(home-based),* [*HS34*](https://www.education.govt.nz/early-childhood/licensing-and-regulations/the-regulatory-framework-for-ece/licensing-criteria/nga-kohanga-reo/health-and-safety/hs34-notification/) *(kōhanga reo). Provide a copy of the notification sent to the specified agency.* |  |  |
|  |  | *Teacher/educator/person excluded from coming into contact with children or excluded from the service (see* [*regulation 56*](https://www.legislation.govt.nz/regulation/public/2008/0204/latest/DLM1412631.html?search=sw_096be8ed81b4aa2d_56_25_se&p=1&sr=1)*)*  |  |  |
|  |  | *Immediate programme/environment changes made.* |  |  |

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| **Risks and mitigations** |
| Identify any emerging risks to the situation. Some examples are provided below as a starting point – delete any irrelevant information in the table and add in your own.

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| **Risks** |  | **Mitigation** |
| *Harm to others* |  | *The steps you have taken/will take to prevent further harm* |
| *Potential media coverage* |  | *Prepare a media statement and nominate a spokesperson* |
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| **Persons involved in the investigation** |
| List the people who will be involved in the investigation, including their role. Are there any conflicts of interest that need to be managed?

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| *For example:* * *the person undertaking the investigation - this may be someone from the service, someone from the service provider eg, HR manager, or a third party*
* *the person the complaint is about*
* *witnesses who saw or heard the event*
* *external teams/organisations/agencies*
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**Evidence gathering**

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| **Information to be gathered** |
| To ensure you gather enough evidence, list all of the information/documents that might be relevant to your investigation:

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| *For example (note these are a starting point, add specific details as applicable):* * *information from interviews*
* *policies and procedures - child protection policy, HR*
* *food records, accident/incident records etc*
* *staff rosters*
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| **Actions taken** |
| List the actions taken throughout the investigation. Some examples are provided below – delete any irrelevant information in the table and add in your own.

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| **Date** |  | **Action taken** |  | **Who** |
|  |  | *Initial meeting with child’s whānau* |  |  |
|  |  | *Consulted relevant policies and procedures*  |  |  |
|  |  | *Obtained a written statement from witnesses A* |  |  |
|  |  | *Interviewed the person the complaint is about*  |  |  |
|  |  | *Reviewed CCTV footage* |  |  |
|  |  | *Updated whānau on investigation progress* |  |  |
|  |  | *Sought external professional support/advice* |  |  |
|  |  | *Review information collected* |  |  |

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**Evaluation of evidence gathered**

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| **Summary of evidence gathered** |
| List the evidence that you actually gathered from the investigation.

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| *For example (note these are a starting point, add specific details as applicable):* * *child protection policy*
* *HR policies and procedures*
* *food records, accident/incident records etc*
* *information from interviews*
* *staff rosters*
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| **Investigation findings** |
| State what the findings of the investigation are, and the thinking/reasons for the findings. Have a clear link back to the information that you’ve gathered from the interviews and documentation.

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| *For example:* * *Is the allegation substantiated?*
* *What conclusions did you reach? Why?*
* *Policies/ procedures/supervision plans followed/not followed*
* *Risk management not completed/not completed/not completed to standard*
* *What are the contributing environmental issues? Why?*
* *Do you have any staff practice concerns? Why?*
* *How does this impact children? Why?*
* *Were there any breach/es to regulations/licensing criteria?*
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| **Actions taken/proposed to be taken** |
| State the actions taken to ensure the complaint is resolved and the event that led to the complaint does not happen again.

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| *For example (note these are a starting point, add specific details as applicable):* * *Supported child/whānau/staff*
* *Reviewed and updated policies and procedures – list the ones here that have been reviewed. How have parents had input on this?*
* *Reviewed and updated risk management system*
* *Initiated self-review or internal evaluation process*
* *Advice and guidance programmes introduced*
* *Discussions at team meetings or PLD programmes introduced*
* *Teacher/educator excluded from coming into contact with children or excluded from the service (see* [*regulation 56*](https://www.legislation.govt.nz/regulation/public/2008/0204/latest/DLM1412631.html?search=sw_096be8ed81b4aa2d_56_25_se&p=1&sr=1)*)*
* *Disciplinary actions eg performance management/plan, dismissal*
* *Notified specified agencies*
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**Investigation conclusion**

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| **Follow up** |
| The following internal people have been informed of the outcome of the investigation:

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| **Person** |  | **Date** |  | **How they were informed** eg phone/ email/ in person meeting etc |
| Complainant |  |  |  |  |
| Whānau of child/children affected |  |  |  |
| Person/people the complaint is about |  |  |  |

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The following external organisations have been informed of the outcome of the investigation:

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| **Organisation** |  | **Date** |  | **How they were informed** eg phone/ email/ in person meeting etc |
| [ ]  Ministry of Education |  |  |  |  |
| [ ]  Teaching Council  |  |  |  |  |
| [ ]  WorkSafe |  |  |  |  |
| [ ]  Oranga Tamariki |  |  |  |  |
| [ ]  Police |  |  |  |  |
| [ ]  Public Health |  |  |  |  |
| [ ]  Other: [*please specify]* |  |  |  |  |

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| **Attachments** |
| The following attachments are included with this report:

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| *For example:* [ ]  *Initial Complaint Report* [ ]  *Statements* [ ]  *Interviews – questions and answers*[ ]  *Service documents (records, policies, procedures, team meeting minutes etc.)*[ ]  *Photos* [ ]  *Notification to specified agencies*[ ]  *Action Plan*  |

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