

# Dealing with Complaints Policy (Families)

Feedback from families, educators, staff and the wider community is fundamental in creating an evolving Childcare Service working towards the highest standard of care and education.

It is foreseeable that feedback will include divergent views, which may result in complaints. This Policy details our Service’s procedures for receiving and managing informal and formal complaints. Parents can lodge a grievance or complaint with management in the understanding that it will be managed conscientiously and confidentially.

## National Quality Standard (NQS)

Quality Area 6: Collaborative Partnerships		
6.1	<b>Supportive relationships with families</b>	Respectful relationships with families are developed and maintained and families are supported in their parenting role
6.1.2	<b>Parent views are respected</b>	The expertise, culture, values and beliefs of families are respected and families share in decision-making about their child’s learning and wellbeing.
6.2	<b>Collaborative partnerships</b>	Collaborative partnerships enhance children’s inclusion, learning and wellbeing.

QUALITY AREA 7: GOVERNANCE AND LEADERSHIPS		
7.1.2	Management Systems	Systems are in place to manage risk and enable the effective management and operation of a quality Service
7.2.1	Continuous Improvement	There is an effective self-assessment and quality improvement process in place.

LEGISLATIVE REQUIREMENTS / EDUCATION AND CARE SERVICES NATIONAL REGULATIONS	
<b>Sec. 172</b>	Offence to fail to display prescribed information
<b>Sec. 174</b>	Offence to fail to notify certain information to Regulatory Authority
<b>12</b>	Meaning of serious incident
<b>168 (2) (o)</b>	Education and care service must have policies and procedures... for dealing with complaints
<b>170</b>	Policies and procedures must be followed
<b>171</b>	Policies and procedures to be kept available
<b>173 (2)(b)</b>	Requires an approved provider to make the name and telephone number of the person to whom complaints may be addressed clearly visible at the service



176	Time to notify certain information to Regulatory Authority
183	Storage of records and other documents

RELATED LEGISLATION	
Child Care Subsidy Secretary's Rules 2017	Family Law Act 1975
A New Tax System (Family Assistance) Act 1999	Family Assistance Law – Incorporating all related legislation for Child Care Provider Handbook in Appendix G <a href="https://www.education.gov.au/early-childhood/resources/child-care-provider-handbook">https://www.education.gov.au/early-childhood/resources/child-care-provider-handbook</a>

## RELATED POLICIES

Child Protection Policy	Payment of Fees Policy
Code of Conduct Policy	Privacy and Confidentiality Policy
Dealing with Complaints Policy (Staff)	Record Keeping and Retention Policy
Dealing with Complaints Policy (General)	Respect for Children Policy
Enrolment Policy	Responsible Person Policy
Family Communication Policy	Student and Volunteer Workers Policy
Interactions with Children, Family and Staff Policy	

## PURPOSE

The Education and Care Services National Regulations requires approved providers to ensure their services have policies and procedures in place for dealing with complaints (regulation 168) and take reasonable steps to ensure those policies and procedures are followed (regulation 170).

We aim to investigate all complaints and grievances with a high standard of equity and fairness. We will ensure that all persons making a complaint are guided by the following policy values:

- Procedural fairness and natural justice
- Code of ethics and conduct
- Culture free from discrimination and harassment
- Transparent policies and procedures
- Opportunities for further investigation
- Adhering to our Service philosophy

Our Service believes in procedural fairness and natural justice that govern the strategies and practices, which include:



- The right to be heard fairly
- The right to an unbiased decision made by an objective decision maker
- The right to have the decision based on relevant evidence.

## SCOPE

This policy applies to management, the approved provider, nominated supervisor, students, staff, families, visitors (including contactors) and children of the Service.

## IMPLEMENTATION

Grievances and complaints can transpire in any workplace. Handling them appropriately is imperative for sustaining a safe, healthy, harmonious and productive work environment. Our Dealing with Complaints Policy ensures that all persons are presented with procedures that:

- Value the opportunity to be heard
- Promote conflict resolution
- Encourage the development of harmonious partnerships
- Ensure that conflicts and grievances are mediated fairly
- Are transparent and equitable

## Definitions

**Complaint:** Expression of dissatisfaction made to or about an organization related to its products, services, staff or the handling of a complaint where a response or resolution is explicitly or implicitly expected or legally required. (AS/NZS 10002:2014 Complaint Management Standard).

**Complaints and Grievances Management Register:** Records information about complaints and grievances received at the Service, along with the outcomes. This register must be kept in a secure file, accessible only to educators and the Regulatory Authority. The register can provide valuable information to the Approved Provider and Nominated Supervisor of the Service to ensure children and family's needs are being met.

**Grievance:** A grievance is a formal statement of complaint that cannot be addressed immediately and involves matters of a more serious nature. A workplace grievance is a complaint raised towards and employer by an employee due to a violation of legalities (workplace policies, employment contract, national standards).

**Mediator:** A person who attempts to assist and support people involved in a conflict come to an agreement.



**Mediation:** An attempt to bring about a peaceful settlement or compromise between disputants through the objective intervention of a neutral party.

**Notifiable complaint:** A complaint that alleges a breach of the Education and Care Services National Law and Regulations, National Quality Standard or alleges that the health, safety or wellbeing of a child at the Service may have been compromised. Any complaint of this nature must be reported by the Approved Provider or Nominated Supervisor to the Department of Early Childhood Education and Care within 24 hours of the complaint being made – (Section 174[2] [b], Regulation 176[2][b]).

If the Director/Approved Provider is unsure whether the matter is a notifiable complaint, it is good practice to contact The Regulatory Authority for confirmation. Written reports must include:

- Details of the event or incident
- The name of the person who initially made the complaint
- If appropriate, the name of the child concerned and the condition of the child, including a medical or incident report (where relevant)
- Contact details of a nominated member of the Grievances Subcommittee (or Nominated Supervisor)
- Any other relevant information

Written notification of complaints must be submitted using the appropriate forms, which can be found on the ACECQA website: [www.acecqa.gov.au](http://www.acecqa.gov.au) and logged using NQA ITS (National Quality Agenda IT System).

**Serious incident:** An incident resulting in the death of a child, or an injury, trauma or illness for which the attention of a registered medical practitioner, emergency services or hospital is sought or should have been sought. This also includes an incident in which a child appears to be missing, cannot be accounted for, is removed from the Service in contravention of the Regulations or is mistakenly locked in/out of the Service premises (Regulation 12).

A serious incident should be documented in an Incident, Injury, Trauma and Illness Record as soon as possible and within 24 hours of the incident. The Regulatory Authority must be notified within 24 hours of a serious incident occurring at the Service (Regulation 176(2) (a)). These records are required to be retained for the periods specified in Regulation 183. The Approved Provider will notify the regulatory authority of any incident where there is a reasonable belief that physical and/or sexual abuse of a child has occurred or is occurring at the service, or any allegation that sexual or physical abuse of a child has occurred or is occurring at the service.

### **Privacy and Confidentiality**

Management and Educators will adhere to our Privacy and Confidentiality Policy when dealing with grievances. However, if a grievance involves a staff member or child protection issues, a relevant government agency will need to be informed. (see: Reportable Conduct Scheme in our Child Protection Policy). [Responding to incidents, disclosures and suspicions of child abuse or harm NSW](#)



### Conflict of Interest

It is important for the complainant to feel confident in:

- Being heard fairly
- An unbiased decision-making process

Should a conflict of interest arise during a grievance or complaint that involve the Approved Provider, or Nominated Supervisor, other Management will be nominated as an alternative mediator.

Our Service may also engage the resources of an Independent Conflict Resolution Service to assist with the mediation of a dispute. We will ensure that throughout the conflict resolution process the services Code of Conduct is be adhered to.

The Approved Provider / Nominated Supervisor / Responsible Person will:

- Ensure the name and telephone number of the person to whom complaints can be made is clearly visible at the service.
- Ensure information about our *Dealing with Complaints Policy* is easily accessible to all families
- Treat all grievances and complaints seriously and as a priority
- Ensure grievances and complaints remain confidential
- Ensure grievances and complaints reflect procedural fairness and natural justice
- Discuss the issue with the complainant within 24 hours of receiving the verbal or written complaint
- Investigate and document the grievance or complaint fairly and impartially.

The investigation will consist of:

- Reviewing the circumstances and facts of the complaint (or breach) and inviting all affected parties to provide information where appropriate and pertinent.
- Discussing the nature of the complaint (or breach) and giving the accused educator, staff member, volunteer or visitor an opportunity to respond.
- Permitting the accused person to have a support person present during the consultation (for example: Union Representative or family member, however this does not include a lawyer acting in a professional capacity)
- Providing the employee with a clear written statement outlining the outcome of the investigation.
- Advise the complainant and all affected parties of the outcome within 7 working days of receiving the verbal or written complaint.
  - Management will provide a written response outlining the outcome and provide a copy to all parties involved.
  - If a written agreement about the resolution of the complaint is prepared, all parties will ensure the outcomes accurately reflect the resolution.



- Should management decide not to proceed with the investigation after initial enquiries, a written notification outlining the reasoning will be provided to the complainant.
- Keep appropriate records of the investigation and outcome, and store these records in accordance with our Privacy and Confidentiality Policy and Record Keeping and Retention Policy.
- Monitor ongoing behaviour and provide support as required.
- Ensure the parties are protected from victimisation and bullying.
- Request feedback on the grievance process using a feedback form.
- Track complaints to identify recurring issues within the Service.
- Notify the Regulatory Authority within 24 hours if a complaint alleges the safety, health or wellbeing of a child is being compromised. Notification must include any incident where there is a reasonable belief that physical and/or sexual abuse of a child has occurred or is occurring at the service or any allegation that sexual or physical abuse of a child has occurred or is occurring at the service.

#### The Educators will:

- Listen to the family's view of what has happened.
- Clarify and confirm the grievance or complaint, documenting all the facts prior to the investigation.
- Encourage and support the family to seek a balanced understanding of the issue.
- Discuss possible resolutions available to the family. These would include external support options.
- Encourage and assist the family to determine a preferred way of solving the issue.
- Record the meeting, confirming the details with the family at the end of the meeting.
- Maintain confidentiality at all times.
- Refer families (as necessary) to Service policies that may assist in resolving the grievance or complaint.

#### **If the grievance cannot be resolved, it is to be referred to the Nominated Supervisor who will investigate further:**

- If appropriate, collect relevant written evidence. This evidence will be treated in strict confidence and will be held in a secure place.
- Involve the Approved Provider or Director in the conflict resolution as required.
- Should it be necessary to interview relevant people concerning the grievance, their involvement should be kept to the minimum necessary to establish the facts.
- Third parties providing evidence must also be made aware that the matter is to be kept confidential.

Should the grievance or complaint be lodged against another person(s), these person(s) will be interviewed separately and impartially. Individuals must be given the opportunity to respond fully to the allegations and may have another person present, as a support person, if they wish. If after investigation, it is concluded that the grievance is substantiated:



- Both parties will be told of the decision and the reason for it.
- Immediate and appropriate steps will be taken to prevent the grievance from recurring.
- If after investigation, it is concluded that the grievance is not substantiated both parties will be notified of the decision and the reason.
- The family will be informed that if they are not satisfied with any decision relating to the grievance procedure that they should consult with an external body for further advice such as the Regulatory Authority.
- If the grievance or complaint is of a serious nature, the Nominated Supervisor is responsible to inform the Regulatory Authority. Early Childhood Education Directorate, NSW Department of Education 1800 619 113 (toll free)

#### Families will:

- Be informed of our duty of care to ensure that all persons are provided with a high level of equity and fairness in relation to the management of complaints. The complaints procedure for families ensures a fair opportunity for all stakeholders to be heard and promotes effective conflict resolution within our Service.
- Attempt to discuss their complaints with the relevant Educator associated with a particular child and/or family as the first step to resolving the issue.
- Communicate any concerns they may have in writing addressed to the Approved Provider or Nominated Supervisor (see: Complaints/Grievance Form)
- Raise any unresolved concerns with the Approved Provider or Nominated Supervisor.
- Maintain confidentiality at all times.

#### Complaints relating to the administration of Child Care Subsidy

Families who wish to raise concerns regarding the management of Child Care Subsidy should speak with the Nominated Supervisor in the first instance. The Nominated Supervisor will follow the steps as outlined in this policy, including advising the Approved Provider of all grievances.

Families can raise concerns regarding management of the Child Care Subsidy to the dedicated Child Care Tip-Off Line either via phone or email:

Phone: 1800 664 231

Email: [tipoffline@education.gov.au](mailto:tipoffline@education.gov.au)

#### CONTINUOUS IMPROVEMENT

Complaints provide our Service with opportunities for learning and improvement. We encourage regular and ongoing feedback from staff, children and families and the community. Our Service is committed to resolving complaints through prompt investigation, open communication, and transparent processes. Our Dealing with Complaints (Families) Policy will be updated and reviewed annually in consultation with families, staff, educators and management.



To ensure complaints and grievances are handled appropriately, the Nominated Supervisor will

- Evaluate each individual complaint and grievance as recorded in the Complaints and Grievance Management Register to assess that a satisfactory resolution that has been achieved.
- Review complaints and grievances as recorded in the Complaints and Grievance Management Register to ensure a pattern of similar grievances is not occurring.
- Review the effectiveness of the Service policy and procedures to ensure all complaints and grievances have been handled fairly and professionally.
- Consider feedback from Staff, Educators and Families regarding the policy and procedure.

#### SOURCE

- Australian Children’s Education & Care Quality Authority. (2014).
- ACECQA-[Using Complaints to support continuous improvement](#). (2018).
- Australian Government Department of Education. *Child Care Provider Handbook (2022)*
- <https://www.education.gov.au/early-childhood/resources/child-care-provider-handbook>
- Australian Human Rights Commission: <https://www.humanrights.gov.au>
- Commonwealth Ombudsman. (2009). Better practice guide to complaint handling <https://www.ombudsman.gov.au/publications/better-practice-guides>
- Education and Care Services National Law Act 2010. (Amended 2018).
- [Education and Care Services National Regulations](#). (2011).
- Fair Work Australia: <https://www.fairwork.gov.au/>
- National Quality Standard. (2017).
- Queensland Government- Guide for effective complaints management <https://earlychildhood.qld.gov.au/legislationAndGuidelines/Documents/effective-complaints-management-guide.pdf>
- Revised National Quality Standard. (2018).





## REVIEW

Date Reviewed	Modifications	Next Policy Review Date
August 2017	Changes made with the addition to <ul style="list-style-type: none"> <li>- Definitions of terminology to ensure a clear understanding when dealing with a complaint and grievance.</li> <li>- Families Responsibilities</li> <li>- Evaluation of complaints and grievances</li> </ul>	August 2018
October 2017	Updated the references to comply with the revised National Quality Standard	August 2018
August 2018	Minor terminology amendments made	August 2019
August 2019	<ul style="list-style-type: none"> <li>• Grammar, punctuation and spelling edited</li> <li>• Sentences reworded/refined</li> <li>• Points added.</li> <li>• Related policies alphabetised.</li> <li>• Sources checked &amp; corrected.</li> </ul>	August 2020
August 2020	<ul style="list-style-type: none"> <li>• Minor editing</li> <li>• Additional related policies</li> <li>• Reference to Reportable Conduct Scheme added</li> <li>• Link to Regulatory Authority added</li> </ul>	August 2021
October 2021	<ul style="list-style-type: none"> <li>• Policy name changed to meet ACECQA guidelines – Dealing with Complaints Policy (Families)</li> <li>• Additional related legislation added</li> <li>• Definition of complaint amended to align with ACECQA’s definition guidelines</li> <li>• Sources checked for currency and updated where required</li> </ul>	September 2022
September 2022	<ul style="list-style-type: none"> <li>• Minor formatting edits within text</li> <li>• Hyperlinks checked and repaired as required</li> <li>• Links with sources updated to education.gov.au</li> <li>• Continuous improvement section added</li> </ul>	September 2023

Signature of Director: \_\_\_\_\_

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