

## DEALING WITH COMPLAINTS POLICY

Feedback from families, educators, staff and the wider community is fundamental in creating an evolving Preschool 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 Preschool's procedures for receiving and managing informal and formal complaints. Families, parents, visitors, students and members of the community 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	Supportive relationships with families	Respectful relationships with families are developed and maintained and families are supported in their parenting role.
6.1.2	Parent views are respected	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	Collaborative partnerships	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	
Sec. 172	Offence to fail to display prescribed information
Sec.174	Offence to fail to notify certain information to Regulatory Authority
12	Meaning of serious incident
168(2)(o)	Education and care service must have policies and procedures... for dealing with complaints
170	Policies and procedures must be followed

171	Policies and procedures to be kept available
173(2)(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 POLICIES

<p>Child Protection Policy          Child Safe Environment Policy          Code of Conduct Policy          Dealing with Complaints Policy (Staff)          Enrolment Policy          Family Communication Policy          Governance Policy</p>	<p>Interactions with Children, Family and Staff Policy          Payment of Fees Policy          Privacy and Confidentiality Policy          Record Keeping and Retention Policy          Respect for Children Policy          Responsible Person Policy          Student and Volunteer Workers Policy</p>
---	---

## 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 Preschool philosophy

## PROCEDURAL FAIRNESS AND NATURAL JUSTICE

Our Preschool 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 the approved provider, nominated supervisor, students, staff, families, visitors (including contractors) and children of the Preschool.

## 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 and
- are transparent and equitable.

## DEFINITIONS

**Complaint:** Expression of dissatisfaction made to or about an organisation 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 Preschool, along with the outcomes. These documents must be securely stored, accessible only to management and the Regulatory Authority. They 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 an 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 Regulatory Authority within 24 hours of the complaint being made – (Section 174[2] [b], Regulation 176[2][b]).

If the Approved Provider/Nominated Supervisor 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 Preschool (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 preschool, or any allegation that sexual or physical abuse of a child has occurred or is occurring at the preschool.

## 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 involves the Approved Provider or Nominated Supervisor, other Management will be nominated as an alternative mediator.

Our Preschool 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 Preschools Code of Conduct is 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 preschool
- ensure information about our *Dealing with Complaints Policy* is easily accessible to all families, visitors and volunteers
- 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
- provide details of an outcome following an investigation if required.

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 or complaint process using a feedback form
- track complaints to identify recurring issues within the Preschool
- 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 preschool or any allegation that sexual or physical abuse of a child has occurred or is occurring at the preschool.

## 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 Preschool 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 persons, 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, or there is a reasonable belief the complaint is any allegation of sexual or physical abuse the Approved Provider is responsible to inform the Regulatory Authority. Email: [ececd@det.nsw.edu.au](mailto:ececd@det.nsw.edu.au) Phone: 1800619 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 Preschool.
- 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.

## CONTINUOUS IMPROVEMENT/EVALUATION

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

To ensure complaints and grievances are handled appropriately, the Approved Provider/ 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.

## RELATED RESOURCES

Complaints / Grievance Procedure Compliant / Grievance Investigation Guide and Form Complaints Grievance Form	Complaints / Grievance Management Form Complaints / Grievance Register
---	---

## SOURCE

Australian Children's Education & Care Quality Authority. (2014).  
 ACECQA-[Using Complaints to support continuous improvement](#). (2018).  
 Australian Human Rights Commission: <https://www.humanrights.gov.au>  
 Commonwealth Ombudsman. (2009). [Better practice guide to complaint handling](#)  
 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/>  
 Guide to the National Quality Framework. (2017). (Amended 2023).  
 Revised National Quality Standard. (2018).  
 Childcare Centre Desktop - [www.childcarecentredesktop.com.au](http://www.childcarecentredesktop.com.au)



## REVIEW

POLICY REVIEWED BY	Maxine Smith	Preschool Director	April 2023
POLICY REVIEWED	APRIL 2023	NEXT REVIEW DATE	AUGUST 2023
MODIFICATIONS	<ul style="list-style-type: none"> <li>merged Dealing with Complaints Policy (General) with Dealing with Complaints Policy (Family) for ease of management of policies</li> <li>sources checked</li> </ul>		
POLICY REVIEWED	PREVIOUS MODIFICATIONS		NEXT REVIEW DATE
AUGUST/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 within sources updated to education.gov.au</li> <li>Continuous Improvement section added</li> <li>Resource section added</li> </ul>		
AUGUST 2021	<ul style="list-style-type: none"> <li>Policy name changed to meet ACECQA guidelines- <i>Dealing with Complaints Policy (Families)</i></li> <li>additional related legislation added</li> <li>definition of '<i>complaint</i>' amended to align with ACECQA's definition guidelines</li> <li>notification requirement for physical or sexual abuse added</li> <li>sources checked for currency and updated where required</li> </ul>		AUGUST 2022