



Complaints Handling

QUALITY AREA 7: GOVERNANCE AND LEADERSHIP

Policy Statement

Our Education and Care Service affirms that people have a right to question and influence decisions made and services provided. We take complaints seriously and manage them in a confidential, timely, transparent and meaningful way. We achieve this by:

- < Maintaining the confidentiality of all parties in line with policy and legislative requirements.
- < Acknowledging that the common goal is to achieve an outcome acceptable to all parties.
- < Acting in good faith and in a calm and courteous manner.
- < Showing respect and understanding of each other's point of view and value difference, rather than judge and blame.
- < Recognising that all parties have rights and responsibilities which must be balanced.
- < Complaints will be handled objectively and complainants will not suffer any reprisals from making a complaint.

Background

The Education and Care Services National Regulations require Approved Providers to ensure their services have policies and procedures in place for dealing with complaints. Our policy ensures the feedback of children, educators, staff, families and the wider community is a mechanism to support the continuous improvement of our service.

Strategies / How will it be done?

Making a Complaint

- < Written guidelines detailing complaint procedures are available in our services family handbook.
- < Families may make a complaint directly to the Nominated Supervisor, the Director, the Approved Provider or the child's educator.

Responsiveness

All complaints will be acknowledged and responded to as soon as practicable. Complaints will be dealt with in a timely manner and complainants will be kept informed about the progress of their complaint and anticipated timeframes. Allegations of suspected harm or risk of harm to a child or possible victims of crime, will be actioned immediately by urgent referral or reporting to the relevant agency.

Refer to ACECQA for relevant timeframes: <https://www.acecqa.gov.au/resources/applications/notification-types-and-timeframes>

Managing a Complaint

Where possible, complaints will be dealt with immediately, by child's Educator as this is usually the person with the closest relationship with the family. If the complaint is about an issue that the Educators considers to be outside their control, or the family does not feel they wish to share it with the Educator, the complainant will be directed to the appropriate person for their complaint to be resolved.

Alternatively, the complaint can be directly handed to the Director or mailed to The Director, Tottenham War Memorial Early Childhood Centre, PO Box 88, Tottenham NSW 2873

Where the person handling the complaint believes they will have to share in confidence with another person in order to resolve an issue, or if the nature of a complaint requires that a third party has to be informed in order to meet legislative requirements, they will inform the family of the need prior to any further discussions on the matter.

◁ The complaint will be documented and any legal requirements in relation to the complaint considered, such as the need to notify regulatory authorities.

◁ The educator will attempt to diffuse emotions by acknowledging what they are feeling, and state positively that you wish to seek a solution to the issue that is causing concern.

» Ask questions to help identify or clarify their concerns. For example, the statement, "I never know what is happening with my child" may be further clarified by asking questions such as, "What things would you like our service to share with you about your child's day?"

» Ask the complainant if they have any strategies or solutions that they feel could be put in place to resolve their issues.

◁ The complainant will be asked to provide information regarding how the situation could be rectified to their satisfaction.

◁ If possible, the problem will be resolved immediately. If this is not possible, the complainant will be advised that the issue will be given high priority and dealt with as soon as possible.

◁ If the issues are complex the complainant will be asked to put their concerns in writing.

◁ Where mediation is required all parties will have the right to agree to the appointment of the mediator.

Notifiable Complaint

Complaints alleging that the safety, health or wellbeing of a child was or is being compromised, or that the law has been breached must be reported by the Approved Provider to the Regulatory Authority within 24 hours of the complaint being made (Section 174(2)(b), Regulation 176(2)(b)).

Refer to the service Child Protection Policy and Procedure.

Complaints, incidents and serious incidents must be notified to the regulatory authority through the National Quality Agenda IT System (NQA IT System). Log in to access the portal where you can select the incident or complaint type and enter the required information.

Approved Providers are required to notify the regulatory authority of a complaint that alleges:

◁ A serious incident has occurred or is occurring while a child is being educated and cared for by a service.

◁ The National Law and/or National Regulations have been contravened.

A serious incident can include:

- ◁ Any incident where you reasonably believe that physical and/or sexual abuse of a child has occurred or is occurring while the child is being educated and cared for by the service.
- ◁ Any allegation that sexual or physical abuse of a child has occurred or is occurring while the child is being educated and cared for by the service
- ◁ The death of a child while that child is being educated and cared for at the service or following an incident while that child was being cared for by the service.
- ◁ A serious injury or trauma while the child is being educated and cared for, which:
 - » Required urgent medical attention from a registered medical practitioner; or
 - » The child attended or should have attended a hospital.
- ◁ Any incident involving serious illness at the service, where the child attended, or should have attended a hospital (e.g. severe asthma attack, seizure or anaphylaxis).
- ◁ Any circumstance where a child appears to be missing or cannot be accounted for.
- ◁ Any circumstance where a child appears to have been taken or removed from the service premises by someone not authorised to do this.
- ◁ Any circumstance where a child is mistakenly locked in or locked out of the service premises or any part of the premises.
- ◁ Any emergency for which emergency services attended. NOTE: It does not mean an incident where emergency services attended as a precaution.

A serious injury, illness or trauma includes but is not limited to:

- ◁ Amputation
- ◁ Anaphylactic reaction requiring hospitalisation
- ◁ Asthma requiring hospitalisation
- ◁ Broken bone/Fractures
- ◁ Bronchiolitis
- ◁ Burns
- ◁ Diarrhoea requiring hospitalisation
- ◁ Epileptic seizures
- ◁ Head injuries
- ◁ Measles
- ◁ Meningococcal infection
- ◁ Sexual assault
- ◁ Witnessing violence or a frightening event

Direct Complaints

Families can make a complaint directly to the Regulator Authority where the complaint alleges that:

- ◁ The safety, health or wellbeing of a child or children was or is being compromised while that child or children is or are being educated and cared for by the approved education and care service.
- ◁ The relevant legislation has been contravened.
- ◁ Contact details are available in the family handbook and displayed in the foyer of the service.

Follow-Up and Review

Each complaint will be viewed as an opportunity for improvement. After the complaint or grievance has been dealt with, we will:

- ◁ Analyse the complaint to determine if any policy or procedural changes need to be implemented.
- ◁ The Approved Provider will follow through to determine that complaints and grievances have been successfully resolved to everyone's satisfaction. Families will be contacted to determine if they were satisfied with the way the issue was resolved, and educators' will be consulted about the outcome from an operational viewpoint.

Roles and Responsibilities

Role	Authority/Responsibility For
Approved Provider	<ul style="list-style-type: none">◁ When a complaint or grievance has been assessed as 'notifiable', the Approved Provider must notify Regulatory Authority within 24 hours.◁ In instances where the complainant reports directly to the Regulatory Authority, the Approved Provider will still have responsibility for investigating and dealing with the complaint or grievance as outlined in this policy, in addition to co-operating with any investigation by the Regulatory Authority.◁ Identifying, preventing and addressing potential concerns before they become formal complaints/grievances.◁ Ensuring that the name and telephone number of the person to whom complaints and grievances may be addressed are displayed prominently at the main entrance of the service.◁ Ensuring that the address and telephone number of the Regulatory Authority displayed prominently at the main entrance of the service.◁ Advising parents/guardians and any other new members of the TWMECC of the complaints and grievances policy and procedures upon enrolment.◁ Ensuring that this policy is available for inspection at the service at all times.◁ Providing a Complaints and Grievances Register.

<p>Nominated Supervisor</p>	<ul style="list-style-type: none"> < Responding to and resolving issues as they arise where practicable. < Discussing minor complaints directly with the party involved as a first step towards resolution. < Informing complainants of the service’s complaints and grievances policy recording all complaints and grievances in the complaints and grievances register. < Notifying the approved provider if the complaint escalates or is unable to be resolved appropriately in a timely manner. < Providing information as requested by the approved provider e.g. Written reports relating to the grievance. < Complying with the service’s privacy and confidentiality policy and maintaining confidentiality at all times. < Working co-operatively with the approved provider, in any investigations related to a complaint made.
<p>Early Childhood Educators</p>	<ul style="list-style-type: none"> < Ensure that grievances and complaints are dealt with in accordance with this policy. < Listen to and aim to resolve complaints and grievances in a positive way. < Report any grievances and complaints to the Nominated Supervisor and maintain all relevant documentation. < As requested, support the nominated Supervisor and Approved Provider in the above roles.
<p>Families</p>	<ul style="list-style-type: none"> < Raising a complaint directly with the person involved, in an attempt to resolve the matter without recourse to the complaints and grievances procedures. < Communicating any concerns relating to the management or operation of the service as soon as is practicable. < Raising any unresolved issues or serious concerns directly with the approved provider, via the Nominated Supervisor, Director or staff. < Maintaining complete confidentiality at all times. < Co-operating with requests to provide relevant information when requested in relation to complaints and grievances.

Staff Disciplinary action:

All staff should understand the procedure involved if disciplinary action is required. In the instance of unsatisfactory work performance or conduct, which involves the neglect of duties, breach of discipline, absenteeism and non-compliance with safety standards, disciplinary action may be taken.

Such action will be as follows:

<The employee will be informed in the first instance by the Director, of the nature of the unsatisfactory performance or conduct and of the required standard to be achieved.

<A written report shall be kept on the employee's file of the initial warning, to which the employee may add notations regarding the contents of the record and shall be entitled to sight and sign the same.

<If unsatisfactory performance/conduct continues, a formal warning made in writing will be given and the employee counselled and/or offered professional training.

<A final warning in writing will be given outlining possible disciplinary action which will be taken should the unsatisfactory work performance/conduct not cease immediately.

<Disciplinary action may be taken under terms of the relevant Award / Employment Agreement.

<The relevant Union representative may be present, if so requested by either committee or the employee, at any stage of the above procedure.

Procedures to consider when dealing with formal staff disciplinary action:

<Clear warnings should be given to the staff member and any problems should be clearly stated.

<Failure to adhere to any policies should be pointed out.

<Changes required should be discussed and help offered where necessary, including in-Centre and professional development.

<A clear review of the person's performance should be organised.

<The problem and any action taken should be carefully documented.

<The worker should be informed and understand the processes and procedures.

Monitoring, Evaluation and Review

This policy will be monitored to ensure compliance with legislative requirements and unless deemed necessary through the identification of practice gaps, the service will review this Policy every two years.

Families and staff are essential stakeholders in the policy review process and will be given opportunity and encouragement to be actively involved.

In accordance with R. 172 of the Education and Care Services National Regulations, the service will ensure that families of children enrolled at the service are notified at least 14 days before making any change to a policy or procedure that may have significant impact on the provision of education and care to any child enrolled at the service; a family's ability to utilise the service; the fees charged or the way in which fees are collected.

RELATED GUIDELINES, STANDARDS, FRAMEWORKS

◁ National Quality Standard, Quality Area 7: Governance and Leadership – Standard 7.1

SOURCES

◁ ACECQA – www.acecqa.gov.au

◁ NSW Ombudsman (2004) 'Effective Complaint Handling'. NSW Ombudsman 3rd Edition 28 February 2017

◁ Complaints Management Framework June 2015 –

www.ombo.nsw.gov.au/_data/assets/pdf_file/0004/25375/Complaintmanagement-framework-June-2015.pdf

◁ Complaint Handling Toolkit for Community Services Organisations –

www.ombo.nsw.gov.au/_data/assets/pdf_file/0017/5813/BR_ComplaintHandling-Kit-CS-CRAMA-Brochure-2013-web.pdf

◁ CELA Sample Policy – Reviewed Sep 2018

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