

DEALING WITH COMPLAINTS POLICY

Feedback from families, children, educators, staff and the wider community is fundamental in creating an evolving Family Day Care (FDC) 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 FDC Service's procedures for receiving and managing informal and formal complaints.

Families, children, parents, visitors, students and members of the community can lodge a grievance or complaint with management with 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.

EDUCATION AND CARE SERVICES NATIONAL LAW AND NATIONAL REGULATIONS	
S. 172	Offence to fail to display prescribed information
S. 174	Offence to fail to notify certain information to Regulatory Authority
S.174(A)	Family day care educator to notify certain information to approved provider
12	Meaning of serious incident
84	Awareness of child protection law
149	Volunteers and students

143(B)	Ongoing management of family day care educators
168(2)(O)	Education and care service must have policies and procedures... for dealing with complaints
169	Additional policies and procedures- family day care
170	Policies and procedures must be followed
171	Policies and procedures to be kept available
172	Notification of change to policies or procedures
173(A)	Prescribed information to be displayed- family day care 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	Child Care Subsidy Minister's Rules 2017
Family Assistance Law – Incorporating all related legislation as identified within the Child Care Provider Handbook in https://www.education.gov.au/early-childhood/resources/child-care-provider-handbook	

RELATED POLICIES

CCS Accounts Policy CCS Governance Policy Child Protection Policy Child Safe Environment Policy Code of Conduct Policy Dealing with Complaints Policy (Staff) Enrolment Policy Family Communication Policy	Governance Policy 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 Policy Visitors to Family Day Care Residences Policy
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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 (Reg. 168) and take reasonable steps to ensure those policies and procedures are followed (Reg. 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 FDC Service philosophy

PROCEDURAL FAIRNESS AND NATURAL JUSTICE

Our FDC 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 children, families, the approved provider, nominated supervisor, coordinator, staff, educators, educator assistants, students, volunteers and visitors of the FDC Service.

IMPLEMENTATION

Grievances and complaints can transpire in any workplace. Addressing 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.
- appropriately handle children exhibiting harmful sexual behaviours
- promote children's rights, safety and wellbeing
- consider a child's age, cultural, developmental and additional needs

Our Service is committed to the National Principles for Child Safe Organisations and adopts a child safe approach to complaints involving a child or young person. As a child safe organisation, we will respond promptly and systematically to any concerns, disclosers, allegations or suspicions while fostering an environment where children feel confident that their safety and wellbeing are paramount.

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 FDC service, along with the outcomes. This register includes documents that 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 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 to 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 FDC 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 (S. 174(2)(b), Reg. 176(2)(b)).

If the approved provider/ nominated supervisor or FDC educator are 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 FDC employee
- 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 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 centre in contravention of the Regulations or is mistakenly locked in/out of the centre premises (Reg. 12).

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 FDC service, or any allegation that sexual or physical abuse of a child has occurred or is occurring at the FDC service.

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 centre (Reg. 176(2)(a)).

These records are required to be retained for the periods specified in Reg. 183.

PRIVACY AND CONFIDENTIALITY

The approved provider and educators will adhere to our *Privacy and Confidentiality Policy* when dealing with grievances and complaints. However, if a grievance or complaint involves a staff member or child protection issues, a government agency may 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 FDC 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 must be adhered to.

THE APPROVED PROVIDER/NOMINATED SUPERVISOR/COORDINATOR/RESPONSIBLE PERSON WILL:

- ensure that obligations under the Education and Care Services National Law and Regulations are met
- ensure educators, staff, students, visitors and volunteers have knowledge of and adhere to this policy and associated procedure
- ensure the name and telephone number of the person to whom complaints can be made is clearly visible at the FDC Service and each FDC residence or venue
- ensure information about our *Dealing with Complaints Policy* is easily accessible to all families, children, staff, educators, 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
- ensure people feel safe or comfortable when making a complaint, including children
- ensure educators, staff, volunteers and students are well informed about the different ways children may express concerns, distress and disclose harm as well as the process for responding to disclosures from children- including a complaint that alleges a child is exhibiting sexual behaviours that may be harmful to the child or another child. (ACECQA, 2023)
- ensure our complaint handling processes are child-focused providing support and guidance for children to know who to talk to if they are feeling unsafe
- conduct a review of policies and procedures, where required, following a complaint or grievance as part of our continuous improvement practices
- provide an induction program for new staff and educators that includes an overview of policies and procedures, including this *Dealing with Complaints Policy* and procedure

- ensure the approved provider is notified of all complaints and grievances
- acknowledge the complaint or grievance in writing within 2 working days of receipt
- 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, HR Representative, lawyer, colleague, friend or family member. ~~however, this does not include a lawyer acting in a professional capacity~~). A support person may provide support by taking notes during the meeting, clarifying questions and allegations made, help formulate responses, engage in discussions and are more than a passive observer, aid in understanding processes, request breaks and be an emotional support. A support person cannot represent the employer, speak on their behalf or advocate for the organisation
- 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
 - all written responses will need to cater for complainant to be able to understand such as spoken language and special needs regarding reading
- 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 FDC 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 FDC Service or any allegation that sexual or physical abuse of a child has occurred or is occurring at the FDC Service.
[insert details of your state/territory contact]

FAMILY DAY CARE EDUCATORS AND EDUCATOR ASSISTANTS WILL:

- ensure the name and contact number of the person to whom complaints can be made is clearly displayed at the FDC residence or approved venue
- report all complaints received to the nominated supervisors, and/or approved provider within required timeframes
- listen to the complainant'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 complainant to seek a balanced understanding of the issue
- discuss possible resolutions available to the complainant. These would include external support options
- encourage and assist the complainant 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 complainant's (as necessary) to FDC Service policies that may assist in resolving the grievance or complaint
- be informed about the different ways children can express concerns or distress and disclose harm
- be aware of child protection law and their individual responsibilities as mandatory reporters/notifiers
- ensure children know who to talk to if they are feeling unsafe and know the process that will happen to support them

If the grievance cannot be resolved, it is to be referred to the coordinator 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 nominated supervisor 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 complainant 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 Authorities
- 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 within 24 hours [insert details of your state/territory contact]

COMPLAINANTS 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 ensures a fair opportunity for all stakeholders to be heard and promotes effective conflict resolution within our FDC Service
- ensure children are able to express their concerns or allegations to either the management, educators, and/or families who are encouraged by management to complete the *Complaints Form* on the child's behalf
- attempt to discuss their grievances or complaints with the FDC educator as the first step to resolving the issue, unless it is a reportable offence to the regulatory authority is to be made with 24 hours of complaint
- 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, nominated supervisor or coordinator
- always maintain confidentiality
- be provided with details of external agencies to contact should they feel our Service has not resolved their concerns (e.g., regulatory authority)

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: <mailto:tipoffline@education.gov.au>

CONTINUOUS IMPROVEMENT/EVALUATION

Complaints provide our FDC Service with opportunities for learning and improvement. We encourage regular and ongoing feedback from staff, children and families and the community. Our FDC Service 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, children, staff, educators and management.

To ensure complaints and grievances are handled appropriately, the approved provider/ nominated supervisor/ coordinator 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 FDC Service policy and procedures to ensure all complaints and grievances have been handled fairly and professionally.
- Consider feedback from staff, FDC educators and families, children and community regarding the policy and procedure.

CHILDCARE CENTRE DESKTOP- RELATED RESOURCES

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

SOURCES

Australian Children's Education & Care Quality Authority. (2014).

Australia Children's Education & Care Quality Authority. (2024). [Guide to the National Quality Framework](#)

Australian Children's Education & Care Quality Authority. (2023). [Using Complaints to support continuous improvement.](#)

Australian Government Department of Education. *Child Care Provider Handbook* (Amended 2023)

<https://www.education.gov.au/early-childhood/resources/child-care-provider-handbook>

Australian Human Rights Commission: <https://www.humanrights.gov.au>

Education and Care Services National Law Act 2010. (Amended 2023).

[Education and Care Services National Regulations](#). (Amended 2023).

Fair Work Australia: <https://www.fairwork.gov.au/>

Queensland Government- Guide for effective complaints management

<https://earlychildhood.qld.gov.au/legislationAndGuidelines/Documents/effective-complaints-management-guide.pdf>

[Western Australian Legislation Education and Care Services National Law \(WA\) Act 2012](#)

[Western Australian Legislation Education and Care Services National Regulations \(WA\) Act 2012](#)

REVIEW

POLICY REVIEWED BY	[NAME]	[POSITION]	[DATE]
POLICY REVIEWED	AUGUST 2024	NEXT REVIEW DATE	AUGUST 2025
VERSION NUMBER	V12.08.24		
MODIFICATIONS	<ul style="list-style-type: none"> • policy maintenance - no major changes to policy • additional information added- support person • hyperlinks checked and repaired as required • updated sources 		
POLICY REVIEWED	PREVIOUS MODIFICATIONS	NEXT REVIEW DATE	
NOVEMBER/ AUGUST/ APRIL 2023	NOVEMBER <ul style="list-style-type: none"> • added information to ensure our complaint handling system is child focused and addresses complaints that alleges a child is exhibiting sexual behaviours • checked consistency of stakeholders throughout policy (family/complainant) • sources checked and links repaired as required AUGUST <ul style="list-style-type: none"> • updated related legislation • NQF changes effective 1 Oct 2023 APRIL <ul style="list-style-type: none"> • merged Dealing with Complaints Policy (General) with Dealing with Complaints Policy (Family) for ease of management of policies • sources checked • Childcare Centre Desktop Resources section added 	AUGUST 2024	