

COMPLIMENTS AND COMPLAINTS POLICY

Quality Area 7 (Mandatory) | Version 1.3

PURPOSE

This policy will provide guidelines for:

- receiving and dealing with compliments and complaints at Woodridge Pre-school
- procedures to be followed in investigating complaints

Note: This policy does not address complaints relating to staff grievances or employment matters. The relevant awards provide information on the management of such issues.

POLICY STATEMENT

The safety, health, wellbeing, rights and best interests of every child are the paramount consideration and must guide all decisions, actions and practices of educators within the education and care service.

VALUES

Woodridge Pre-school is committed to:

- providing an environment of mutual respect and open communication
- recognising excellence and gratitude
- complying with all legislative and statutory requirements
- dealing with disputes, complaints and complainants with fairness and equity
- establishing mechanisms to address complaints in a timely way
- treating information in relation to complaints with sensitivity

SCOPE

This policy applies to the Approved Provider, Persons with Management and Control, Nominated Supervisor, Persons in Day-to-Day Charge, educators, staff, students on placement, volunteers, parents/guardians, children and others attending the programs and activities of Woodridge Pre-school.

RESPONSIBILITIES

The approved provider and persons with management or control (PMC) is responsible for:

- being familiar with the *Education and Care Services National Law Act 2010* and the *Education and Care Services National Regulations 2011*, service policies and constitution, and complaints and grievances policy and procedures
- acknowledge compliments and thank complementor for their interest and feedback
- save compliments and sharing with relevant parties
- ensuring that compliments and complaints are monitored and used to continually improve the quality of the service
- identifying, preventing and addressing potential concerns before they become formal complaints/grievances
- ensuring that the name and telephone number of the Responsible Person (refer to *Staffing Policy*) to whom complaints and grievances may be addressed are displayed prominently at the main entrance of the service (Regulation 173(2)(b))

- Ensuring that the address and telephone number of the Authorised Officer at the Regulatory Authority regional office are displayed prominently at the main entrance of the service (Regulation 173(2)(e)) (Child Safe Standard 7 – 7.4)
- advising parents/guardians and any other new members of Woodridge Pre-school of the Compliments and Complaints policy and procedures upon enrolment
- ensuring that this policy is available for inspection at the service at all times (Regulation 171)
- ensuring the complaints processes is child focused, understood broadly (including by children, their families, staff and volunteers), culturally safe and compliant with privacy laws, reporting obligations and employment law
- Ensuring the complaints process is child-focused, culturally safe (including for Aboriginal children), trauma-informed, and compliant with privacy, information-sharing, reporting and employment law obligations (refer to Attachments 1, 2 and 4) (Child Safe Standard 1 – 1.1, 5 – 5.1, 7 – 7.1)
- Ensuring the complaints process is inclusive and responsive to children and families from culturally and linguistically diverse backgrounds, children with disability, children who have experienced trauma, and children with diverse communication needs (Child Safe Standard 5 – 5.3)
- Ensuring educators, staff, volunteers and students are well informed about their child protection responsibilities including mandatory reporting obligations, the Reportable Conduct Scheme, information-sharing obligation and privacy obligations (Child Safe Standard 6 – 6.3, 7 – 7.4)
- Ensuring that the management of a complaint that alleges a child is exhibiting harmful sexual behaviours is child focused, developmentally appropriate, culturally safe and compliant with privacy laws, reporting obligations and employment law (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)
- Ensuring that children have access to age appropriate inclusive and culturally safe information, support and complaints processes, and are supported to raise concerns in ways they understand (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)
- Ensuring barriers to making complaints are identified and removed for all children, including barriers related to disability, trauma, language, culture, gender or communication needs, and that reasonable adjustments are made (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)
- Ensuring children are never be punished, ignored, blamed or treated unfairly for raising a concern or making a complaint (Child Safe Standard 7 – 7.3)
- being aware of, and committed to, the principles of communicating and sharing information with service employees, members and volunteers
- Ensuring the complaint-handling system is clearly explained to children, families, staff and volunteers, is culturally safe, and incorporates feedback from children to support continuous improvement (refer to Attachment 1 and 4) (Child Safe Standard 3 – 3.1, 4 – 4.2, 5 – 5.2, 7 – 7.2)
- Ensuring multiple, child-friendly ways for children to raise concerns are available, including verbal, non-verbal, play-based, visual, informal and supported approaches, based on children's preferences (refer to Attachment 4) (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)
- treating all complainants fairly and equitably
- discussing minor complaints directly with the party involved as a first step towards resolution (the parties are encouraged to discuss the matter professionally and openly work together to achieve a desired outcome)
- Providing and maintaining a Complaints Register (refer to Definitions) that records complaints, outcomes and actions taken, including identification of child safety-related complaints and analysis of trends to inform risk management and continuous improvement (Child Safe Standard 2 – 2.3)
- Where appropriate, children are informed of the outcome of their complaint in an age-appropriate and sensitive way, so they understand that their concern has been heard and taken seriously (Child Safe Standard 7 – 7.2)
- complying with the service's *Privacy and Confidentiality Policy* and maintaining confidentiality at all times (Regulations 181, 183) establishing a Complaints Subcommittee or appointing an investigator to investigate and resolve complaints as required as determined through established processes. (refer to Attachment 1 & 2) referring notifiable complaints (refer to Definitions), or

complaints that are unable to be resolved appropriately and in a timely manner to the Complaints Subcommittee/investigator

- co-operating with requests to meet with the Complaints Subcommittee and/or provide relevant information when requested in relation to complaints
- Notifying the Regulatory Authority in writing within 24 hours of any complaints alleging that a serious incident (refer to Definitions) has occurred at the service or that the Education and Care Services National Law has been breached (National Law: Section 174, Regulation 176(2)(b)) (Child Safe Standard, 7 - 7.4)
- Notifying the Social Services Regulator in writing within 3 days when a complaint involves reportable conduct (Child Safe Standard 7 - 7.4)
- Working co-operatively with the approved provider and the Regulatory Authority in any investigations related to complaints about Woodridge Pre-school, its programs or staff (Child Safe Standard 7 - 7.4)
- working cooperatively with the approved provider and DET in any investigations related to complaints about Woodridge Pre-school, its programs or staff.
- receiving recommendations from the Complaints Subcommittee/investigator and taking appropriate action
- analysing complaints, concerns and safety incidents to identify causes and systemic failures to inform continuous improvement
- maintaining professionalism and integrity at all times (refer to Code of Conduct policy)
- Regularly reviewing the policy and procedures to ensure serious incidents and complaints are investigated promptly, fairly and thoroughly (Child Safe Standard 2 – 2.5)
- Seeking and valuing children's input in the design, implementation and ongoing review of the complaint-handling system, in ways that are safe, inclusive and meaningful to them (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 - 7.2)

The nominated supervisor and persons in day-to-day charge is responsible for:

- being familiar with the *Education and Care Services National Law Act 2010* and the *Education and Care Services National Regulations 2011*, service policies, constitution, and procedures
- acknowledge compliments and thank complementor for their interest and feedback
- save compliments and sharing with relevant parties
- ensuring that compliments and complaints are monitored and used to continually improve the quality of the service
- identifying, preventing and addressing potential concerns before they become formal complaint
- ensuring that the name and telephone number of the responsible person (*refer to Staffing Policy*) to whom complaints may be addressed are displayed prominently at the main entrance of the service (*National Law: Section 172, Regulation 173(2)(b)*)
- Ensuring that the address and telephone number of the Authorised Officer at the Regulatory Authority regional office are displayed prominently at the main entrance of the service (Regulation 173(2)(e)) (Child Safe Standard 7 – 7.4)
- advising parents/guardians and any other new members of Woodridge Pre-school of the *Compliment and Complaint policy* and procedures upon enrolment
- ensuring the complaints processes is child focused, understood broadly (including by children, their families, staff and volunteers), culturally safe and compliant with privacy laws, reporting obligations and employment law
- Ensuring the complaints process is child-focused, culturally safe (including for Aboriginal children), trauma-informed, and compliant with privacy, information-sharing, reporting and employment law obligations (refer to Attachments 1, 2 and 4) (Child Safe Standard 1 – 1.1, 5 – 5.1, 7 – 7.1)
- Ensuring the complaints process is inclusive and responsive to children and families from culturally and linguistically diverse backgrounds, children with disability, children who have experienced trauma, and children with diverse communication needs (Child Safe Standard 5 – 5.3)
- Ensuring educators, staff, volunteers and students are well informed about their child protection responsibilities including mandatory reporting obligations, the Reportable Conduct Scheme, information-sharing obligation and privacy obligations (Child Safe Standard 6 – 6.3, 7 – 7.4)

- ensuring that this policy is available for inspection at the service at all times (*Regulation 171*)
- Ensuring that the management of a complaint that alleges a child is exhibiting harmful sexual behaviours is child focused, developmentally appropriate, culturally safe and compliant with privacy laws, reporting obligations and employment law (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 - 7.2)
- Ensuring that children have access to age appropriate inclusive and culturally safe information, support and complaints processes, and are supported to raise concerns in ways they understand (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 - 7.2)
- Ensuring barriers to making complaints are identified and removed for all children, including barriers related to disability, trauma, language, culture, gender or communication needs, and that reasonable adjustments are made (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 - 7.2)
- Ensuring children are never be punished, ignored, blamed or treated unfairly for raising a concern or making a complaint (Child Safe Standard 7 - 7.3)
- being aware of, and committed to, the principles of communicating and sharing information with service employees, members and volunteers
- Ensuring the complaint-handling system is clearly explained to children, families, staff and volunteers, is culturally safe, and incorporates feedback from children to support continuous improvement (refer to Attachment 1 and 4) (Child Safe Standard 3 – 3.1, 4 – 4.2, 5 – 5.2, 7 - 7.2)
- Ensuring multiple, child-friendly ways for children to raise concerns are available, including verbal, non-verbal, play-based, visual, informal and supported approaches, based on children's preferences (refer to Attachment 4) (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 - 7.2)
- treating all complainants fairly and equitably
- maintaining professionalism and integrity at all times
- discussing minor complaints directly with the party involved as a first step towards resolution (the parties are encouraged to discuss the matter professionally and openly work together to achieve a desired outcome)
- communicating (preferably in writing) any concerns or compliments relating to the management or operation of the service as soon as is practicable
- Providing and maintaining a Complaints Register (refer to Definitions) that records complaints, outcomes and actions taken, including identification of child safety-related complaints and analysis of trends to inform risk management and continuous improvement (Child Safe Standard 2 – 2.3)
- informing complainants of the service's *Complaints and Grievances Policy*
- notify the president of all complaints and grievances.
- notifying the Approved Provider if the complaint escalates and becomes a grievance (refer to *Definitions*), is a notifiable complaint (refer to *Definitions*) or is unable to be resolved appropriately in a timely manner
- Where appropriate, children are informed of the outcome of their complaint in an age-appropriate and sensitive way, so they understand that their concern has been heard and taken seriously (Child Safe Standard 7 – 7.2)
- establishing a Complaints Subcommittee or appointing an investigator to investigate and resolve complaints as required as determined through established processes. (*refer to Attachment 1 & 2*)
- referring notifiable complaints (*refer to Definitions*), or complaints that are unable to be resolved appropriately and in a timely manner to the Complaints Subcommittee/investigator
- co-operating with requests to meet with the Complaints Subcommittee and/or provide relevant information when requested in relation to complaints
- Notifying the Regulatory Authority in writing within 24 hours of any complaints alleging that a serious incident (refer to Definitions) has occurred at the service or that the Education and Care Services National Law has been breached (National Law: Section 174, Regulation 176(2)(b)) (Child Safe Standard, 7 - 7.4)
- Notifying the Social Services Regulator in writing within 3 days when a complaint involves reportable conduct (Child Safe Standard 7 - 7.4)
- Working co-operatively with the approved provider and the Regulatory Authority in any investigations related to complaints about Woodridge Pre-school, its programs or staff (Child Safe Standard 7 - 7.4)

- working cooperatively with the approved provider and DET in any investigations related to complaints about Woodridge Pre-school, its programs or staff.
- receiving recommendations from the Complaints Subcommittee/investigator and taking appropriate action
- 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 (Regulations 181, 183) working cooperatively with the Approved Provider and DET in any investigations related to grievances about Woodridge Pre-school, its programs or staff.
- analysing complaints, concerns and safety incidents to identify causes and systemic failures to inform continuous improvement
- maintaining professionalism and integrity at all times (*refer to Code of Conduct policy*)
- Regularly reviewing the policy and procedures to ensure serious incidents and complaints are investigated promptly, fairly and thoroughly (Child Safe Standard 2 – 2.5)
- Seeking and valuing children's input in the design, implementation and ongoing review of the complaint-handling system, in ways that are safe, inclusive and meaningful to them (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)

Early childhood teachers, educators and all other staff are responsible for:

- being familiar with the *Education and Care Services National Law Act 2010* and the *Education and Care Services National Regulations 2011*, service policies, constitution, and procedures
- identifying, preventing and addressing potential concerns before they become formal complaint
- Ensuring educators, staff, volunteers and students are well informed about their child protection responsibilities including mandatory reporting obligations, the Reportable Conduct Scheme, information-sharing obligation and privacy obligations (Child Safe Standard 6 – 6.3, 7 – 7.4)
- Ensuring that children have access to age appropriate inclusive and culturally safe information, support and complaints processes, and are supported to raise concerns in ways they understand (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)
- Ensuring barriers to making complaints are identified and removed for all children, including barriers related to disability, trauma, language, culture, gender or communication needs, and that reasonable adjustments are made (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)
- Ensuring children are never be punished, ignored, blamed or treated unfairly for raising a concern or making a complaint (Child Safe Standard 7 - 7.3)
- Ensuring the complaint-handling system is clearly explained to children, families, staff and volunteers, is culturally safe, and incorporates feedback from children to support continuous improvement (refer to Attachment 1 and 4) (Child Safe Standard 3 – 3.1, 4 – 4.2, 5 – 5.2, 7 – 7.2)
- Ensuring multiple, child-friendly ways for children to raise concerns are available, including verbal, non-verbal, play-based, visual, informal and supported approaches, based on children's preferences (refer to Attachment 4) (Child Safe Standard 3 – 3.1, 5 – 5.2, 7 – 7.2)
- treating all complainants fairly and equitably
- discussing minor complaints directly with the party involved as a first step towards resolution (the parties are encouraged to discuss the matter professionally and openly work together to achieve a desired outcome)
- communicating (preferably in writing) any concerns or compliments relating to the management or operation of the service as soon as is practicable
- providing information as requested by the approved provider e.g. written reports relating to the complaint
- notifying the approved provider if the complaint is a notifiable complaint (*refer to Definitions*) or is unable to be resolved appropriately in a timely manner
- complying with the service's *Privacy and Confidentiality Policy* at all times (*Regulations 181, 183*)
- co-operating with requests to meet with the Complaints Subcommittee and/or provide relevant information when requested in relation to complaints
- Working co-operatively with the approved provider and the Regulatory Authority in any investigations related to complaints about Woodridge Pre-school, its programs or staff (Child Safe Standard 7 - 7.4)

- working cooperatively with the approved provider and DET in any investigations related to complaints about Woodridge Pre-school, its programs or staff.
- maintaining professionalism and integrity at all times (*refer to Code of Conduct policy*)
- Seeking and valuing children's input in the design, implementation and ongoing review of the complaint-handling system, in ways that are safe, inclusive and meaningful to them (*Child Safe Standard 3 – 3.1, 5 – 5.2, 7 - 7.2*)

Families are responsible for:

- being familiar with the *Education and Care Services National Law Act 2010* and the *Education and Care Services National Regulations 2011*, service policies, constitution, and procedures
- discussing minor complaints directly with the party involved as a first step towards resolution (the parties are encouraged to discuss the matter professionally and openly work together to achieve a desired outcome)
- communicating (preferably in writing) any concerns or compliments relating to the management or operation of the service as soon as is practicable
- providing information as requested by the approved provider e.g. written reports relating to the complaint
- notifying the approved provider if the complaint is a notifiable complaint (*refer to Definitions*) or is unable to be resolved appropriately in a timely manner
- complying with the service's *Privacy and Confidentiality Policy* at all times (*Regulations 181, 183*)
- co-operating with requests to meet with the Complaints Subcommittee and/or provide relevant information when requested in relation to complaints
- Working co-operatively with the approved provider and the Regulatory Authority in any investigations related to complaints about Woodridge Pre-school, its programs or staff (*Child Safe Standard 7 - 7.4*)
- working cooperatively with the approved provider and DET in any investigations related to complaints about Woodridge Pre-school, its programs or staff.

Contractors, Volunteers and students, while at the service, are responsible for:

- being familiar with the *Education and Care Services National Law Act 2010* and the *Education and Care Services National Regulations 2011*, service policies, constitution, and procedures
- identifying, preventing and addressing potential concerns before they become formal complaint
- Ensuring educators, staff, volunteers and students are well informed about their child protection responsibilities including mandatory reporting obligations, the Reportable Conduct Scheme, information-sharing obligation and privacy obligations (*Child Safe Standard 6 – 6.3, 7 – 7.4*)
- Ensuring that children have access to age appropriate inclusive and culturally safe information, support and complaints processes, and are supported to raise concerns in ways they understand (*Child Safe Standard 3 – 3.1, 5 – 5.2, 7 - 7.2*)
- Ensuring children are never be punished, ignored, blamed or treated unfairly for raising a concern or making a complaint (*Child Safe Standard 7 - 7.3*)
- responding to all complaints in the most appropriate manner and at the earliest opportunity
- communicating (preferably in writing) any concerns or compliments relating to the management or operation of the service as soon as is practicable
- providing information as requested by the approved provider e.g. written reports relating to the complaint
- notifying the approved provider if the complaint is a notifiable complaint (*refer to Definitions*) or is unable to be resolved appropriately in a timely manner
- complying with the service's *Privacy and Confidentiality Policy* at all times (*Regulations 181, 183*)
- co-operating with requests to meet with the Complaints Subcommittee and/or provide relevant information when requested in relation to complaints
- Working co-operatively with the approved provider and the Regulatory Authority in any investigations related to complaints about Woodridge Pre-school, its programs or staff (*Child Safe Standard 7 - 7.4*)

- working cooperatively with the approved provider and DET in any investigations related to complaints about Woodridge Pre-school, its programs or staff.
- maintaining professionalism and integrity at all times (*refer to Code of Conduct policy*)

BACKGROUND AND LEGISLATION

BACKGROUND

Compliments are expressions of praise, encouragement or gratitude about service, staff, management and program. Compliments provide valuable feedback about the level of satisfaction with service delivery and are a valuable indicator of the effectiveness of a service. Compliments impart useful insights about the aspects of service that are most meaningful to children, families and stakeholders, and provide an opportunity to recognise the efforts of staff, foster a culture of excellence and boost morale.

Complaints may be received from anyone who comes in contact with Woodridge Pre-school including families, volunteers, students, members of the local community and other agencies.

In most cases, dealing with complaints will be the responsibility of the Approved Provider. All complaints and, when lodged, need to be initially assessed to determine whether they are a general or a notifiable complaint (*refer to Definitions*).

When a complaint has been assessed as 'notifiable', the Approved Provider must notify the Regulatory Authority of the complaint. The Approved Provider will investigate the complaint and take any actions deemed necessary, in addition to responding to requests from and assisting with any investigation by Regulatory Authority.

There may be occasions when the complainant reports the complaint or directly to the Regulatory Authority. If the Regulatory Authority, then notifies the Approved Provider about a complaint they have received, the Approved Provider will still have responsibility for investigating and dealing with the complaint or grievance as outlined in this policy, in addition to cooperating with any investigation by the Regulatory Authority.

The Regulatory Authority will investigate all complaints it receives about a service, where it is alleged that the health, safety or wellbeing of any child within the service may have been compromised, or that there may have been a contravention of the *Education and Care Services National Law Act 2010* and the *Education and Care Services National Regulations 2011*.

LEGISLATION AND STANDARDS

Relevant legislation and standards include but are not limited to:

- Charter of Human Rights and Responsibilities Act 2006 (Vic)
- Children, Youth and Families Act 2005 (Vic)
- Education and Care Services National Law Act 2010: Section 174(2)(b)
- Education and Care Services National Regulations 2011: Regulations 168(2)(o) and 176(2)(b)
- Information Privacy Act 2000 (Vic)
- National Quality Standard, Quality Area 7: Governance and Leadership
- Privacy Act 1988 (Cth)
- Privacy Amendment (Enhancing Privacy Protection) Act 2012 (Cth)
- Privacy Amendment (Notifiable Data Breaches) Act 2017 (Cth)
- Privacy and Data Protection Act 2014 (Vic)
- Privacy Regulations 2013(Cth)

The most current amendments to listed legislation can be found at:

- Victorian Legislation – Victorian Law Today: www.legislation.vic.gov.au
- Commonwealth Legislation – Federal Register of Legislation: www.legislation.gov.au

DEFINITIONS

The terms defined in this section relate specifically to this policy. For regularly used terms e.g., approved provider, nominated supervisor, notifiable complaints, serious incidents, duty of care, etc. refer to the *Definitions file*.

Complaint: (In relation to this policy) a complaint is defined as an issue of a minor nature that can be resolved promptly or within 24 hours, and does not require a detailed investigation. Complaints include an expression of displeasure, such as poor service, and any verbal or written complaint directly related to the service (including general and notifiable complaints).

Complaints do not include staff, industrial or employment matters, occupational health and safety matters (unless related to the safety of the children) and issues related to the legal business entity, such as the incorporated association or co-operative.

Complaints Register: (In relation to this policy) records information about complaints received at the service, together with a record of the outcomes. This register must be kept in a secure file, accessible only to educators and Responsible Persons at the service. The register can provide valuable information to the Approved Provider on meeting the needs of children and families at the service.

Compliment: a compliment is an expression of praise, encouragement or gratitude. It may relate to an individual staff member, a team, the program or the service.

Dispute resolution procedure: The method used to resolve complaints, disputes or matters of concern through an agreed resolution process.

Mediator: A person (neutral party) who attempts to reconcile differences between disputants.

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 Act or Regulation, 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 to the secretary of DET within 24 hours of the complaint being made (Section 174(2) (b), Regulation 176(2) (b)). If the Approved Provider is unsure whether the matter is a notifiable complaint, it is good practice to contact DET for confirmation. Written reports to DET 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/investigator
- any other relevant information.

Written notification of notifiable complaints must be submitted using the appropriate forms, which can be found on the ACECQA website: www.acecqa.gov.au or submitted via ACECQA's online portal NQA-ITS

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* (sample form available on the ACECQA website) as soon as possible and within 24 hours of the incident. The Regulatory Authority (DET) must be notified within

24 hours of a serious incident occurring at the service (Regulation 176(2) (a)). Records are required to be retained for the periods specified in Regulation 183. SOURCES AND RELATED POLICIES

SOURCES

- ACECQA: www.acecqa.gov.au
- Commonwealth Ombudsman – [Better practice complaint handling guide](#)
- Department of Education: [Kindergarten Funding Guide](#)
- Victorian Government: [Make a complaint about an early childhood service](#)
- Victorian Ombudsman – [Good Practice Guides](#)

RELATED POLICIES

- Child Safe Environment and Wellbeing
- Code of Conduct
- Enrolment & Orientation
- Fee Free Kindergarten
- Governance & Management of the Service
- Incident, Injury, Trauma and Illness
- Inclusion and Equity
- Interactions with Children
- Privacy and Confidentiality
- Staffing
- Staff Grievance and Dispute Resolutions
- Supervision of Children

EVALUATION

In order to assess whether the values and purposes of the policy have been achieved, the approved provider will:

- regularly seek feedback from everyone affected by the policy regarding its effectiveness
- monitor the implementation, compliance, complaints and incidents in relation to this policy
- keep the policy up to date with current legislation, research, policy and best practice
- revise the policy and procedures as part of the service's policy review cycle, or as required
- notifying all stakeholders affected by this policy at least 14 days before making any significant changes to this policy or its procedures, unless a lesser period is necessary due to risk (Regulation 172 (2)).

ATTACHMENTS

- Attachment 1: Terms of reference for the Complaints Subcommittee
- Attachment 2: Dealing with complaints

AUTHORISATION

This policy was adopted by the Approved Provider of Woodridge Pre-school on 16 June 2026

Review date: July 2027

ATTACHMENT 1: TERMS OF REFERENCE FOR A COMPLAINTS SUBCOMMITTEE

DATE ESTABLISHED: January each year

PURPOSE

A Complaints Subcommittee has been established by the Approved Provider of Woodridge Pre-school to investigate and resolve grievances lodged with Woodridge Pre-school.

MEMBERSHIP

Three people are nominated by the Approved Provider, and membership must include a minimum of one Responsible Person (refer to *Definitions*).

TIME PERIOD NOMINATED

The Grievances Subcommittee shall be appointed for one year.

MEETING REQUIREMENTS

The subcommittee convenor is responsible for organising meetings as soon as is practicable after receiving a complaint or grievance.

DECISION-MAKING AUTHORITY

The subcommittee is required to fulfil only those tasks and functions as outlined in these terms of reference.

The Approved Provider may decide to alter the decision-making authority of the subcommittee at any time.

BUDGET ALLOCATION

All expenditure to be incurred by the subcommittee must be approved by the Approved Provider. A request in writing must be submitted by the subcommittee.

REPORTING REQUIREMENTS OF THE COMMITTEE

- The subcommittee is required to keep minutes of all meetings held. These are to be kept in a secure file.
- The convenor is required to present a written report to the Approved Provider about the grievance, ensuring that privacy and confidentiality are maintained according to the service's *Privacy and Confidentiality Policy*.

TASKS AND FUNCTIONS OF THE COMPLAINTS COMMITTEE

- Responding to complaints in a timely manner
- Investigating all complaints received in a discreet and responsible manner
- Implementing the procedures outlined in Attachment 2 – Dealing with complaints
- Acting fairly and equitably, and maintaining confidentiality at all times
- Informing the Approved Provider if a complaint is assessed as notifiable
- Keeping the Approved Provider informed about complaints that have been received and the outcomes of investigations
- Providing the Approved Provider with recommendations for action
- Ensuring decisions are based on the evidence that has been gathered

- Reviewing the terms of reference of the Complaints Subcommittee at commencement and on completion of their term. Suggestions for alterations are to be presented to and approved by the Approved Provider

ATTACHMENT 2 - DEALING WITH COMPLAINTS

DEALING WITH A COMPLAINT

When a complaint is received, the person to whom the complaint is addressed will:

- inform the complainant of the service's *Compliments and Complaint Policy*
- encourage the complainant to resolve the complaint with the person directly, or to submit their complaint in writing
- enter the complaint in the *Complaints Register* (refer to *Definitions*) together with the outcome
- comply with the service's *Privacy and Confidentiality Policy* with regard to all meetings/discussions in relation to a complaint
- the approved provider must inform the service's Complaints Subcommittee
- the Complaints Subcommittee will assess the complaint to determine if it is a notifiable complaint (refer to *Definitions*)

DEALING WITH A NOTIFIABLE COMPLAINT

When a formal complaint is lodged with the service:

- if the complaint is notifiable, the approved provider will be responsible for notifying the Regulatory Authority. This must be in writing within 24 hours of receiving the complaint (*Regulation 176(2)(b)*)
- the written report to the Regulatory Authority needs to be submitted using the appropriate forms from ACECQA and will 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 Complaints Subcommittee/investigator
 - any other relevant information
- if the approved provider is unsure if the complaint is a notifiable complaint, it is good practice to contact the Regulatory Authority for confirmation.

COMPLAINTS SUBCOMMITTEE/INVESTIGATOR RESPONSIBILITIES AND PROCEDURES

In the event of a complaint being lodged, the Complaints Subcommittee/investigator will:

- convene as soon as possible to deal with the complaint in a timely manner
- disclose any conflict of interest relating to any member of the subcommittee/panel of investigators. Such members must stand aside from the investigation and subsequent processes
- consider the nature and the details of the complaint
- identify which service policies (if any) the complaint involves
- inform the approved provider if their involvement is required under any other service policies
- if the complaint is a notifiable complaint (*refer to Definitions*), inform the complainant of the requirements to notify the Regulatory Authority of the complaint and explain the role that the Regulatory Authority may take in investigating the complaint
- maintain appropriate records of the information and data collected, including minutes of meetings, incident reports and copies of relevant documentation relating to the complaint

- respect the confidential nature of information relating to the complaint. The approved provider and the subcommittee/investigator must handle any complaint in a discreet and professional manner
- store all written information relating to complaint securely and in compliance with the service's *Privacy and Confidentiality Policy*.

INVESTIGATING THE GRIEVANCE AND GATHERING RELEVANT INFORMATION

When investigating the grievance and gathering relevant information, the Complaint Subcommittee/investigator will:

- meet with individual witnesses, and give right of reply to the person against whom the allegations are made in relation to any accusation or information relating to an alleged incident
- offer the complainant the opportunity of meeting with the subcommittee/investigator to discuss the complaint and provide additional information where relevant
- nominate a subcommittee member to inform the complainant of the procedures for dealing with the grievance if the complainant does not take up the opportunity to attend a meeting
- document the time, date and detail of meetings/discussions, and follow this up with a letter to the complainant outlining the information discussed
- be available to meet with the Regulatory Authority staff, if required, and provide additional information as requested
- review relevant information and documents
- obtain any other relevant information or documentation that will assist in resolving the grievance
- seek advice, where appropriate, from individuals and organisations that may be able to assist in resolving the grievance (any cost in seeking advice will require prior approval by the Approved Provider).

FOLLOWING THE INVESTIGATION

Once the investigation of the complaint is complete, the Complaints Subcommittee/investigator will:

- meet to discuss the information gathered and determine further action, including generating recommendations to be presented to the approved provider
- ensure that any recommendations or actions are in accordance with relevant legislation and funding requirements including, but not limited to:
 - *Education and Care Services National Law Act 2010*
 - *Education and Care Services National Regulations 2011*

The Kindergarten Guide (*refer to Sources*) report outcomes that may include relevant information gained in investigations and consultations to the approved provider and, where required, provide any recommendations for consideration by the approved provider

- inform the approved provider on the involvement of the Regulatory Authority and the outcomes of any investigation by the Regulatory Authority. The approved provider will review the report and any subcommittee/investigator recommendations and will be responsible for making decisions on the action to be taken (if any), including relevant review mechanisms
- advise the complainant and other relevant parties of any decisions made by the approved provider in relation to the complaint
- follow up to ensure the parties involved are satisfied with the outcome and monitor progress on any actions taken by the approved provider.