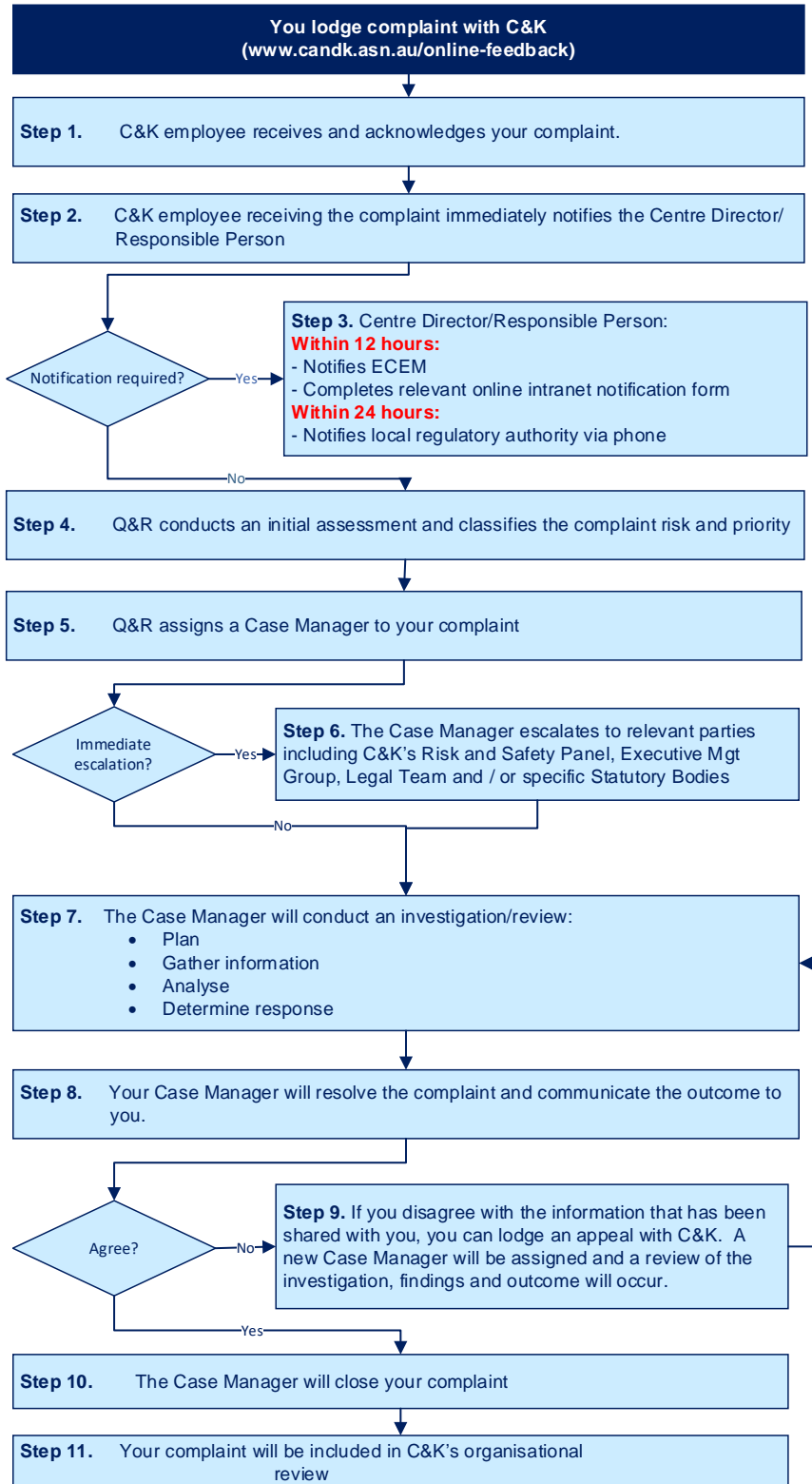


Complaint Management Process



Step	Actions	Who
Lodge Complaint	<p>Make complaint in writing:</p> <ul style="list-style-type: none"> • Completing our online Feedback Form • Emailing feedback@candk.asn.au • Emailing the relevant Centre or site • Completing a paper <i>Feedback Form</i> or writing a letter of complaint and providing/posting it to the relevant Centre or C&K Central (257 Gympie Road, Kedron QLD 4031) 	<p>Any person or organisation.</p> <p>You can choose to remain anonymous.</p> <p>Complainants who are hearing impaired are encouraged to utilise the National Relay Service to support the lodgement of their complaint.</p> <p>Complainants requiring translation are encouraged to access the Translating and Interpreting Service (TIS National) to support the lodgement of their complaint.</p>
Notification	<p>If complaint is a notifiable complaint i.e.</p> <ul style="list-style-type: none"> • A complaint alleging a serious incident has occurred or is occurring at a service. • A complaint alleging the Education and Care Services National Law/Regulations (2011) has been contravened. • A complaint alleging physical or sexual abuse of a child/ren has occurred or is occurring while the child is being educated and cared for by the centre <p>Within 12 hours from receiving the complaint:</p> <ul style="list-style-type: none"> → As soon as practical, notify Early Childhood Education Manager (ECEM). → Complete relevant online intranet notification form. <p>Within 24 hours from receiving the complaint:</p> <ul style="list-style-type: none"> → Notify your local regulatory authority via phone. → C&K Quality and Regulation Team will submit notification to the regulatory authority via the NQAITS on the centre's behalf. 	<p>Centre Director or Responsible Person in Charge</p> <p>C&K Quality and Regulation Team</p>
Acknowledge	<p>C&K will:</p> <ul style="list-style-type: none"> • acknowledge within 2 days of receipt • assess all complaints using C&K's risk matrix • complaints with a risk rating of moderate or high must be lodged on the C&K Online Feedback Form within one (1) working day of receipt and any information provided (e.g. letter, photographs, video etc) must be uploaded as an attachment on the online Feedback Form. • upon submission of the C&K Online Feedback Form, the complainant will receive an automated email acknowledgment, including a complaint reference number and a contact email address (i.e. feedback@candk.asn.au) 	<p>Centre Director or Incidents and Complaints Advisor</p>

Step	Actions	Who
	<ul style="list-style-type: none"> Centres will maintain a complaint register in a 'Centre Feedback' folder via the Form Complaint Outcome Record. The register will be available for inspection as required. Privacy obligations will be followed. <p>Notifying Statutory Bodies Depending on complaint type and assessed risk level, external statutory bodies may need to be notified. Complainants will be advised that, while C&K will take all reasonable efforts to ensure confidentiality, it may be necessary for C&K to make disclosures in circumstances where it is reasonably required in order to conduct a proper investigation or where C&K is required to make disclosure to the Early Childhood Education and Care (ECEC) regulatory office or any other statutory body.</p>	Centre Director
Initial Assessment	<ul style="list-style-type: none"> Assess each complaint received via the C&K Online Feedback Form against the C&K Risk Matrix (appendix 1) Assign Risk Rating Determine most appropriate Case Manager (in some cases the Risk and Safety Panel, Executive Management Group or Board may appoint an external case manager) Identify Escalation Path (appendix 2) Classify complaint as: <ul style="list-style-type: none"> Building and Facilities Children's health, safety and wellbeing Education program Employee conduct Enrolment/orientation Equipment and resources Policies and procedures Privacy Regulatory compliance Other health, safety and wellbeing Other 	Incidents and Complaints Advisor
Assign Case Manager	<ul style="list-style-type: none"> Check conflicts of interest, if known conflict, assign alternative Case Manager Notify Case Manager 	Incidents and Complaints Advisor
Escalation	<ul style="list-style-type: none"> All complaints rated as a moderate or high risk to be escalated as per the Escalation Path (Appendix 2) Case managers may access the National Relay Service and the Translating and Interpreting Service (TIS National) when undertaking a complaint investigation / review (if the complainant requires this) If a conflict of interest arises at any stage during the investigation, immediately cease investigating and notify your line manager and the Incident and 	Case Manager Case Manager Case Manager

Step	Actions	Who
	<p>Complaints Advisor. A new case manager will be appointed</p> <ul style="list-style-type: none"> Where required, advise complainant of appointment of new case manager Conduct investigation Keep complainant and relevant stakeholders informed of investigation process 	<p>(New) Case Manager</p> <p>(New) Case Manager</p> <p>(New) Case Manager</p>
Resolve	<ul style="list-style-type: none"> Upon completion of the investigation present the findings and proposed recommendations to their line manager as outlined on the C&K Online Feedback Register. For complaints assessed as risk level 4 and 5, an Information Brief is prepared and presented to the Risk and Safety Panel Review investigation findings and proposed recommendations <ul style="list-style-type: none"> Approve Reject – request further actions or updates Where escalated to RSP, obtain advice from Legal, Risk and Governance Team prior to speaking with the complainant, regarding information that can be shared with the complainant Once approved by the line manager and RSP (where escalated to RSP), contact the complainant to outline investigation findings and any decision/s reached In most cases, provide a verbal response to the complainant documenting what was discussed If the response is to be provided in writing, seek advice from your line manager and the Legal, Risk and Governance Team before providing the correspondence to the complainant. A response may include (but not be limited to): <ul style="list-style-type: none"> outline of the investigation process outline of the findings actions taken (e.g. a review of C&K policy or centre/site protocol) outline of next steps / future actions an apology Complainants have an opportunity to appeal the outcome if the resolution is not accepted Document the Complaint Outcome Record Form and update the C&K Online Feedback Register: <ul style="list-style-type: none"> investigation findings recommendations / actions, and the complainant's level of satisfaction of resolution 	<p>Case Manager</p> <p>Line Manager Risk and Safety Panel (if required)</p> <p>Case Manager Legal, Risk and Governance Team</p> <p>Case Manager</p> <p>Case Manager</p> <p>Case Manager Line Manager Legal, Risk and Governance Team</p> <p>Complainant</p> <p>Case Manager</p>
Appeal	<ul style="list-style-type: none"> Where a complainant requests an appeal, the matter is to be escalated to the next level of management or the RSP The relevant manager or RSP will conduct a review of the investigation process, findings and any recommendations / actions 	<p>Line Manager and / or Risk and Safety Panel</p> <p>Line Manager and / or Risk and Safety Panel</p>

Step	Actions	Who
	<ul style="list-style-type: none"> If the relevant manager or RSP supports the investigation process, findings and recommendations / actions they will contact the complainant to outline their decision / s reached If the relevant manager or RSP does not support the investigation process, findings and recommendations / actions the relevant manager or RSP will appoint a new / appropriate case manager to commence a new complaint investigation / review. The relevant manager or RSP will inform the complainant that a new complaint investigation / review will be completed 	<p>Line Manager and / or Risk and Safety Panel</p> <p>New Case Manager</p>
Close	<ul style="list-style-type: none"> The case manager to communicate (without breaching privacy / confidentiality) the following information to all relevant stakeholders: <ul style="list-style-type: none"> investigation / review findings recommendations / actions and the agreed timeframes for completion, and the complainant's level of satisfaction of resolution / response. Ensure recommendations / actions are completed by the required timeframes If required, follow-up with complainants to ascertain continued level of satisfaction with the resolution / response Once all recommendations / actions are completed, 'close' the complaint outcome record on the C&K Online Feedback Register 	<p>Case Manager</p> <p>Centre Director or Line Manager Case Manager</p> <p>Case Manager</p>
Review	<ul style="list-style-type: none"> Prepare Quarterly Report to identify possible complaint trends, summarise and analyse recommendations / actions. Present Quarterly Report to the Early Childhood team, Executive Management Group (EMG) and / or the C&K Board. 	Incidents and Complaints Advisor
Training	<ul style="list-style-type: none"> All C&K employees to undertake annual compliance training regarding complaints management policy and procedure. 	All Employees

Roles and Responsibilities

Role	Responsibilities
Complainant (if not anonymous)	<ul style="list-style-type: none"> Request translation and/or interpreting services if required Request National Relay Service support if required. Provide as much information as possible to assist C&K with understanding the complaint.
All C&K Employees	<ul style="list-style-type: none"> Familiarise themselves with this procedure and the Complaint Handling Tips information sheet. <p>If receiving a complaint:</p> <ul style="list-style-type: none"> Listen and thank person for raising their concerns. Provide reassurance the complaint will be addressed. Immediately notify Centre Director/Responsible Person.

Role	Responsibilities
Centre Director or Responsible Person	<ul style="list-style-type: none"> Undertake Complaint Management Procedure responsibilities Within 12hrs → Notify Early Childhood Education Manager (ECEM). Within 12hrs → Complete relevant online intranet notification form. Within 24hrs → Notify local regulatory authority via phone.
Q&R Team/ Incidents and Complaints Advisor	<ul style="list-style-type: none"> Add complaint to the online feedback register Conduct Initial Assessment Assign Case Manager Submit notification via NQAITS within notification timeframe
Case Manager	<ul style="list-style-type: none"> Escalate to relevant parties as required Conduct a review/investigation Ensure all information gathered including emails, files, photos etc is uploaded to the Incident Review Determine response and confirm with relevant C&K parties Communicate outcome to complainant Close complaint
COO	<ul style="list-style-type: none"> Review all notifications to Department of Education
Risk and Safety Panel	<ul style="list-style-type: none"> Escalation point for High Risk consequence complaints Provide advice as required
EMG	<ul style="list-style-type: none"> Escalation point for High Risk, Major/Catastrophic consequence complaints Provide advice as required Escalate to Board (if required)
Board	<ul style="list-style-type: none"> Escalation point for High Risk/Catastrophic consequence complaints Provide advice as required

Acknowledgements and references

- Standards Australia (2014). *Australian Standard AS/NZS 10002:2014 Guidelines for complaint management in organisations.*
- The State of Queensland (Office of the Ombudsman) (2006). *Guide to Developing Effective Complaints Management Policies and Procedures*

Appendix 1: Risk Matrix

		Consequence				
		Insignificant	Minor	Moderate	Major	Catastrophic
Likelihood	Almost Certain	Low	Moderate	Moderate	High	High
	Likely	Low	Low	Moderate	Moderate	High
	Possible	Low	Low	Low	Moderate	Moderate
	Unlikely	Low	Low	Low	Low	Low
	Rare	Low	Low	Low	Low	Low

Appendix 2: Escalation Pathway

Risk level	Complaint Example	Assigned Case Manager	Escalation Pathway
Level 1 Low risk	<ul style="list-style-type: none"> A parent requested their child not to be allowed to sleep. Their child is asleep when they arrive to collect their child Parent is unsatisfied with a fee increase An educator does not greet a parent on arrival. 	Centre Director / Responsible Person Managed at local level. Recorded in Centre Feedback Register	Early Childhood Education Manager, Central Manager or approved / appointed delegate
Level 2 Moderate risk	<ul style="list-style-type: none"> A child discloses to their parent that another child pulled down their shorts in the bathroom Parent withdraws enrolment because of poor customer service regarding their fee account An external photographer takes a picture of a child at a photo shoot and the parent/guardians have not provided consent A community member witnesses an educator smoking outside C&K premises in view of children. 	Early Childhood Education Manager, Central Manager or appointed delegate Recorded and tracked in C&K Online Feedback Register	Regional Manager or approved / appointed delegate
Level 3 High risk with Moderate Consequence	<ul style="list-style-type: none"> A service has failed to address / report a faulty gate. Child is found safely in the garden area by a parent Child's enrolment is suspended because of a significant fee debt. Kidsoft notes did not indicate the child was at risk. Parent email address is inadvertently disclosed to another parent. No educators present with children when a parent arrives to collect their child. 	Regional Manager or Central Manager or appointed delegate Recorded and tracked in C&K Online Feedback Register.	Risk and Safety Panel

<p>Level 4 High risk with Major Consequence</p>	<ul style="list-style-type: none"> A child discloses that an educator hurt them 	<p>Regional Manager, Central Manager or appointed delegate</p> <p>Decision brief prepared for RSP</p> <p>Recorded and tracked in C&K Online Feedback Register</p>	<p>Risk and Safety Panel</p> <p>Executive Management Group</p>
<p>Level 5 High risk with Catastrophic Consequence</p>	<ul style="list-style-type: none"> A child absconds from a service and is hit by a car An educator is arrested for allegedly possessing child pornography 	<p>Executive Management Group Member or appointed delegate</p> <p>Decision brief must be prepared for RSP</p> <p>Recorded and tracked in C&K Online Feedback Register</p>	<p>Risk and Safety Panel</p> <p>Executive Management Group</p> <p>Board Chair</p>