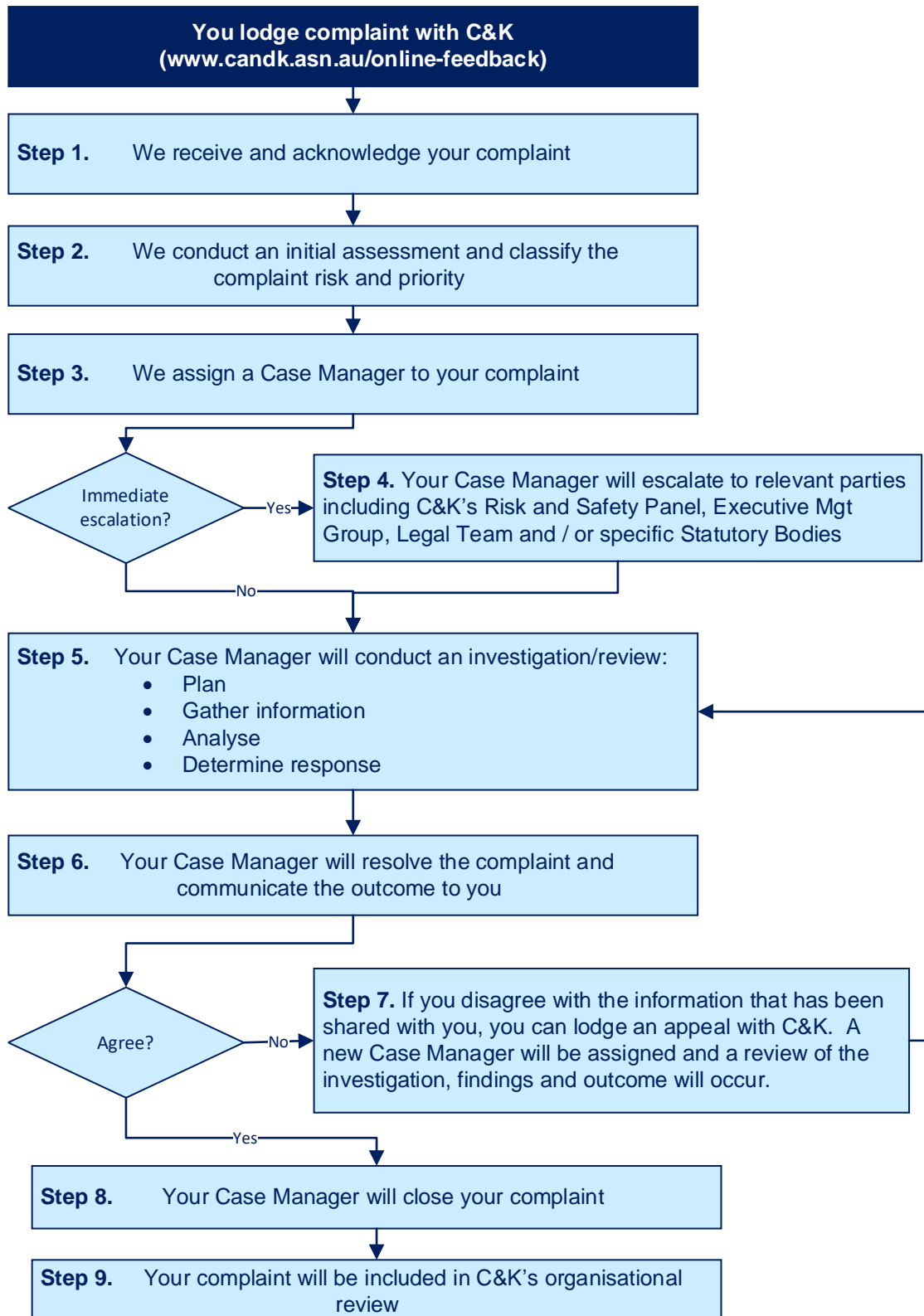


Complaint Management Process



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) • Phone • Verbal complaints received by Central staff must be entered into the Complaints Management System 	<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>
Acknowledge	<p>C&K will:</p> <ul style="list-style-type: none"> • acknowledge within 2 working 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 (if an email has been provided), including a complaint reference number and a contact email address (i.e. feedback@candk.asn.au) • 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>Centre Director or Incidents and Complaints Advisor</p> <p>Centre Director</p>
Notifying Statutory Bodies	<p>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 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> <p>Depending on complaint type and assessed risk level, external statutory bodies may need to be notified. The ECEC must be notified when the following complaints are received:</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 has occurred or is occurring while the child is being educated and cared for by the centre 	

Step	Actions	Who
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 An automated email will notify the 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 Manager
	<ul style="list-style-type: none"> 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) 	Case Manager
	<ul style="list-style-type: none"> If a conflict of interest arises at any stage during the investigation, immediately cease investigating and notify your line manager and the Incident and Complaints Advisor. A new case manager will be appointed 	Case Manager
	<ul style="list-style-type: none"> Where required, advise complainant of appointment of new case manager 	(New) Case Manager
	<ul style="list-style-type: none"> Conduct investigation 	(New) Case Manager
	<ul style="list-style-type: none"> Keep complainant and relevant stakeholders informed of investigation process 	(New) Case Manager
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 high with major or catastrophic consequences, an Information Brief is prepared and presented to the Risk and Safety Panel 	Case Manager
	<ul style="list-style-type: none"> Review investigation findings and proposed recommendations <ul style="list-style-type: none"> Approve Reject – request further actions or updates 	Line Manager Risk and Safety Panel (if required)
	<ul style="list-style-type: none"> 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 	Case Manager Legal, Risk and Governance Team

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Step	Actions	Who
Resolve (continued)	<ul style="list-style-type: none"> Once approved by the line manager and RSP (where escalated to RSP), contact the complainant to outline investigation findings and any decision/s reached 	Case Manager
	<ul style="list-style-type: none"> In most cases, provide a verbal response to the complainant documenting what was discussed 	Case Manager
	<ul style="list-style-type: none"> 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 	Case Manager Line Manager Legal, Risk and Governance Team
	<ul style="list-style-type: none"> Complainants have an opportunity to appeal the outcome if the resolution is not accepted 	Complainant
	<ul style="list-style-type: none"> 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 	Case Manager
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 	Line Manager and / or Risk and Safety Panel
	<ul style="list-style-type: none"> The relevant manager or RSP will conduct a review of the investigation process, findings and any recommendations / actions 	Line Manager and / or Risk and Safety Panel
	<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 	Line Manager and / or Risk and Safety Panel
	<ul style="list-style-type: none"> 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 	New Case Manager
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. 	Case Manager
	<ul style="list-style-type: none"> Ensure recommendations / actions are completed by the required timeframes 	Centre Director or Line Manager
	<ul style="list-style-type: none"> If required, follow-up with complainants to ascertain continued level of satisfaction with the resolution / response 	Case Manager

Step	Actions	Who
Close (continued)	<ul style="list-style-type: none"> Once all recommendations / actions are completed, 'close' the complaint outcome record on the C&K Online Feedback Register 	Case Manager
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

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

Consequence	Compliance	Environmental	External	Financial	Operational	Reputational	Safety	Technological
Catastrophic	Non compliance results in criminal charges or loss of accreditation / licence. Numerous litigations, termination of contract for default.	Widespread environmental damage leading to fines and significant resources to rectify.	Unable to meet all community's expectations (state wide) with significant ongoing consequences	> \$5M	Loss of service for 7 days or more. Affecting multiple services.	External reputation irrevocably destroyed or damaged. Extensive coverage in national media. Severe impact on staff turnover.	Loss of Life (notification to a regulating body)	Multiple Tier 1 system failures, whole of organisation cybersecurity breach, loss of data unable to recover without significant resources to rectify
Major	Non compliance results in termination of service or imposed penalties. Single major litigation, notice threatening contract termination.	Extensive environmental damage requiring significant resources to rectify.	Unable to meet a high number of community's expectations with significant ongoing consequences	> \$0.5M - < \$5M	Loss of service for more than 48 hours but less than 7 days. Major disruption, serious damage affecting multiple services.	External reputation damaged, considerable effort and expense required to recover. Coverage in state media. Major impact on staff turnover.	Life threatening or extensive, multiple injuries or claims (notification to a regulating body)	Single Tier 1 system failure, whole of business cybersecurity breach, loss of data unable to recover without some additional resources to rectify
Moderate	Short term non compliance but with significant regulatory conditions imposed. Single moderate litigation, threat of contract default notice.	Some environmental damage requiring some resources to rectify.	Unable to meet a cluster of local community's expectations with some ongoing consequences	> \$0.1M - < \$0.5M	Loss of service for more than 48 hours but less than 7 days. Noticeable disruption to multiple services, no serious damage.	External reputation damaged, some effort and expense required to recover. Coverage in local media. Moderate impact on staff turnover.	Violence, threat or serious injury or claim (notification to a regulating body)	System failure, moderate system interruption, localised cybersecurity breach, loss of data able to recover without some additional resources
Minor	Some temporary non compliance. Single minor litigation, mediation meeting between contractual parties.	Minor environmental damage rectification is funded from within existing budget.	Unable to meet a local community's expectations with some ongoing consequences	> \$25K - < \$0.1M	Loss of service for less than 48 hours. Noticeable disruption to multiple services, no serious damage.	External reputation minimally affected, little effort or expense required to recover. Minor impact on staff turnover.	Minor injury or claim	Minor system interruption, cybersecurity breach attempt, no loss of data able to recover with no additional resource
Insignificant	No regulatory or statutory impact. No threat of litigation or affect on contract performance.	No environmental damage.	Unable to meet a local community's expectations with no ongoing consequences	< \$25K	Insignificant disruption to services, no loss of service.	External reputation not affected. No impact on staff turnover.	No injury or claim	Brief loss of service, no business interruption or security breaches, no data loss

Appendix 2: Escalation Pathway

Risk level	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 A staff member's pay details are left on the photocopier An educator does not greet a parent on arrival after they defriend them on Facebook 	Centre Director / Manager 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 Inadvertently an external photographer takes inappropriate pictures of a child at a photo shoot A community member witnesses an educator smoking on C&K premises in full 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 in the carpark 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 given to another parent who is involved in a guardianship dispute No educators present with children when a parent arrives to collect their child. 	Regional Manager or Central Manager Recorded and tracked in C&K Online Feedback Register.	Risk and Safety Panel
Level 4 High risk with Major Consequence	<ul style="list-style-type: none"> A child discloses that an educator hurt them 	Regional Manager, Central Manager Decision brief prepared for RSP Recorded and tracked in C&K Online Feedback Register	Risk and Safety Panel Executive Management Group
Level 5 High risk with Catastrophic Consequence	<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 	Board, Executive Management Group Decision brief must be prepared for RSP Recorded and tracked in C&K Online Feedback Register	Risk and Safety Panel Executive Management Group Board Chair