



CHCECE044, CHCECE049, CHCECE053 Assessor Guide

Compliance in Childhood Services

Assessment 2 of 3

Case study



Assessment Details

Task overview

For this task, you must read the case study, fill in the meeting agenda template, and answer all the questions. You will demonstrate your knowledge of

- National Quality Framework
- Assessment and Rating Process and Quality Improvement process
- Grievance procedure
- Collaborative relationships with families.



Assessment Information

Submission

You are entitled to three (3) attempts to complete this assessment satisfactorily. Incomplete assessments will not be marked and will count as one of your three attempts.

All questions must be responded to correctly to be assessed as satisfactory for this assessment.

Answers must be typed into the space provided and submitted electronically via the LMS. Hand-written assessments will not be accepted unless previously arranged with your assessor.

Reasonable adjustment

Students may request a reasonable adjustment for assessment tasks.

Reasonable adjustment usually involves varying:

- the processes for conducting the assessment (e.g., allowing additional time)
- the evidence gathering techniques (e.g., oral rather than written questioning, use of a scribe, modifications to equipment)

However, the evidence collected must allow the student to demonstrate all requirements of the unit.

Refer to the Student Handbook or contact your Trainer for further information.



Please consider the environment before printing this assessment.

Case study 1: Prepare the Service for Assessment and Rating

You are the Assistant Director at Little.ly Early Learning Centre, and you have just received notification from the Regulatory Authority that your service is beginning the assessment and ratings process. The letter explains that the Quality Improvement Plan is due in three weeks, and the rating visit will be conducted within the next six weeks.

You have been asked to assist with getting the team ready for assessment. This includes planning and facilitating a staff meeting/training about the National Quality Framework and assessment and rating process.

The service has been operating for one year, and the staff and educational team are new to the assessment process. Many team members have not previously worked in Early Education and Care, so they are not familiar with what is involved or the National Quality Framework and feel nervous.

The Quality Improvement Plan is not up to date. There must be an opportunity for staff to be involved in the self-assessment process during the staff meeting. This includes the staff identifying current strengths of the service and areas for improvement. Staff involvement in improvement planning will also ensure they are aware of the current goals of the service.

Case Study 1

You are to assist the team in preparing for the assessment and rating process. You will decide what information you will provide to the team in the meeting/training session about the National Quality Framework and the ACECQA Assessment and Rating Process to ensure they are prepared and knowledgeable.

Section 1

You will prepare a staff meeting agenda using the below template. You will need to cover all the points listed in the “agenda items” with the information you will share with the team in the meeting.

Staff Meeting Agenda			
Time of meeting	Time	Date of meeting	Today's date
Service name	Little.ly Early Learning Centre		
Agenda items	Relevant information		
National Quality Standard <ul style="list-style-type: none">List the five (5) levels of rating. (20-30 words)Outline the steps in the assessment and rating process. (180-200 words)List the relevant approved learning framework. (10-20 words)Provide a list of the Standard's Quality Areas).	<p>Student responses must list the five (5) rating levels as set out by ACECQA and listed in the benchmark answer.</p> <p>Levels of rating:</p> <ul style="list-style-type: none">Significant Improvement RequiredWorking towards National Quality StandardMeeting the standard National Quality StandardExceeding National Quality StandardExcellent (awarded by ACECQA) <p>Student responses must outline the steps in the assessment and rating process. Student will use their own words to outline ACECQA's information regarding the steps rating visit process.</p> <p>Self-assessment and quality improvement (ongoing)</p>		

<p>(40-50 words)</p> <ul style="list-style-type: none"> • Provide a detailed description of what Quality Area 3 covers. <p>(120-140 words)</p> <ul style="list-style-type: none"> • Outline how the service can meet Standard 3. <p>(40-60 words)</p> <ul style="list-style-type: none"> • Review Quality Area: 3.2 – environmental responsibility and outline how the service can meet this requirement. <p>(50-70 words)</p>	<ul style="list-style-type: none"> • Approved provider will self-assess the quality of the current practices against the National Quality Standard and regulatory requirements. • Approved provider identifies strengths and areas for improvement on an ongoing basis. Read more on self-assessment and quality improvement planning. <p>Notice of start of process (week 1)</p> <ul style="list-style-type: none"> • Regulatory authority provides written notice to an approved provider that the assessment and rating process has commenced. <p>Quality Improvement Plan (week 3-4)</p> <ul style="list-style-type: none"> • The quality improvement plan is submitted to the regulatory authority prior to the visit, along with any additional information requested by the regulatory authority <p>Visit (week 5 to 8)</p> <ul style="list-style-type: none"> • The regulatory authority visits the service. <p>Feedback on draft report (3-5 weeks after the visit)</p> <ul style="list-style-type: none"> • Regulatory authority provides the approved provider with a draft assessment and rating report. The provider can give feedback on any factual inaccuracies in the report and evidence to support feedback. <p>Final report and notice of final ratings issued to provider</p> <ul style="list-style-type: none"> • Feedback considered before final report is finalised and issued. Approved provider may choose to apply for a review of final ratings within the set review period. <p>Ratings published</p> <ul style="list-style-type: none"> • Once the review period has ended, the final ratings are published on the national registers. <p>Students must list the relevant approved learning framework. Responses will be either of the frameworks listed depending on the educator's sector of early childhood or school-aged care.</p> <ul style="list-style-type: none"> • For school-aged care - My Time Our Place • For children 0–5-year-olds - Belonging, Being and Becoming, The Early Years Learning Framework. <p>Students must provide a list of the seven (7) quality standards as set out by ACECQA:</p> <ul style="list-style-type: none"> • Quality Area 1 – Educational Program and practice • Quality Area 2 – Children's Health and Safety • Quality Area 3 – Physical Environments • Quality Area 4 – Staffing arrangements • Quality Area 5 – Relationships with children • Quality Area 6 – Collaborative partnerships with families and communities • Quality Area 7 – Governance and leadership
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Source: ACECQA, N.D., *National Quality Standards*,
<https://www.acecqa.gov.au/nqf/national-quality-standard>

Students must describe what Quality Area 3 covers and how it relates to the service. Student can use their own words or quote the elements from the ACECQA website:

Quality Area 3:

- **Standard 3.1: The design and location of the premises is appropriate for the operation of a service.**
 - 3.1.1: Outdoor and indoor spaces, buildings, fixtures, and fittings are suitable for their purpose, including supporting the access of every child.
 - 3.1.2: Premises, furniture and equipment are safe, clean, and well-maintained.
- **Standard 3.2: The service environment is inclusive, promotes competence and supports exploration and play-based learning.**
 - 3.2.1: Outdoor and indoor spaces are organised and adapted to support every child's participation and to engage every child in quality experiences in both built and natural environments.
 - 3.2.2: Resources, materials and equipment allow for multiple uses, are sufficient in number, and enable every child to engage in play-based learning.
 - 3.2.3: The service cares for the environment and supports children to become environmentally responsible.

Source: ACECQA, N.D., *Quality Area 3 – Physical Environment*,
<https://www.acecqa.gov.au/nqf/national-quality-standard/quality-area-3-physical-environment>

Students must include how the service can apply Standard 3. Student can use their own words and responses will vary, but the response must describe reasonable actions that a service can take to meet Standards 3.

For example:

Services will have policies and procedures to support health and safety related to using the physical environment, including safety audit checklists for indoor and outdoor spaces. Services will have policies about the set-up and use of the physical environment and educational programs and practices using physical environments.

Students must include how Quality Area: 3.2 can be met by the service. Students can use their own words and will vary depending on the focus of the student, but responses must provide reasonable examples of how a service can meet Quality Area 3.2.

For example:

To meet the requirements of **Quality Area: 3.2 – Environmental responsibility**, a service will have an environmental sustainability policy to set out its beliefs and actions to achieve this Quality Area. The policy will have a purpose statement outlining its commitment to the environment and sustainability practices. The policy will also include implementation actions that the service will take.

National Quality Framework

- List internal and external sources you would use to find information on the NQF.
(10-20 words)
- Outline four (4) sources you could use to seek assistance if you require clarification to interpret aspects of the framework. Include Government and non-government sources.
(20-30 words)
- Provide an overview of National Law and National Regulations, identifying which law and regulation relate to your state/territory.
(140-160 words)
- List three (3) items of legislation or regulations included in Quality Area 3 and describe how they relate to the service.
(160-180 words)
- Describe and detail which documents/handouts you would present to the staff team about the three (3) regulations or law items.
(20-30 words)

The student must list the sources they can access to find information on the NQF. Responses will vary but must internal and external sources that are reliable and authoritative.

For example:

- The service director and senior (experienced team leaders/educator)
- ACEQA website/helpline
- Government legislation websites

The student will identify four (4) sources they can access to seek clarification about the NQF, including government and non-government sources. Responses will vary but must internal and external sources that are reliable and authoritative.

For example:

- The service director and senior (experienced team leaders/educator)
- Department of Education
- Early Childhood Australia (ECA)
- Early Childhood Association Australia

The student must provide an overview of National Law and National Regulations. The student must refer to the national Law. They can use their own words to provide a summary of the Law. The student will identify and list the laws and regulations related to the state/territory where they live. A complete list of state/territory Acts is provided.

For example:

The National Quality Framework (NQF) operates under an applied law system, comprising the Education and Care Services National Law Act 2010 and the Education and Care Services National Regulations. The applied law system aims to set a national standard for children's education and care across Australia. In effect, it means the same law is applied in each state and territory but with some varied provisions applicable to the needs of each state or territory.

The Education and Care Services National Regulations (National Regulations) support the National Law by providing details on a range of operational requirements for an education and care service, including:

- the National Quality Standard
- application processes for provider and service approval
- setting out the rating scale
- the process for the rating and assessment of services against the National Quality Standard
- minimum requirements relating to the operation of education and care services organised around each of the seven quality areas
- staffing arrangements and qualifications
- fees for a range of transactions
- jurisdiction-specific provisions.

(Source: ACECAQ, N.D., *National Regulations*, <https://www.acecqa.gov.au>)

State or Territory	Legislation	Application Act
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Victoria	Education and Care Services National Law Act 2010	Victoria passed the National Education and Care Services National Law Act 2010 through an Application Act
New South Wales		Children (Education and Care Services National Law Application) Act 2010
Australian Capital Territory		Education and Care Services National Law (Act) Act 2011
Northern Territory		Education and Care Services (National Uniform Legislation) Act 2011
South Australia		Education and Early Childhood Services (Registration and Standards) Act 2011
Tasmania		Education and Care Services National Law (Application) Act 2011
Queensland		Education and Care Services National Law (Queensland) Act 2011
Western Australia	Education and Care Services National Law (WA) Act 2012	

Source: ACECQA, N.D., *Contact your State Regulatory Authority*, <https://www.acecqa.gov.au/help/contact-your-regulatory-authority>

Students must identify and include three (3) items of legislation and regulations in Quality Area 3 and how they relate to the service. Students can use the content from the Education and Care Services National Regulations (2011 SI 653) or use their own words to paraphrase the regulations.

The student will list any three (3) regulations from **Part 4.3 Physical environment**. Assessor can view the full list at: <https://legislation.nsw.gov.au/view/html/inforce/current/si-2011-0653#ch.4-pt.4.3>

- 103 Premises, furniture, and equipment to be safe, clean and in good repair

(1) The approved provider of an education and care service must ensure that the education and care service premises and all equipment and furniture used in providing the education and care service are safe, clean and in good repair.

- 104 Fencing

(1) The approved provider of an education and care service must ensure that any outdoor space used by children at the education and care service premises is enclosed by a fence or barrier that is of a height and

	<p>design that children preschool age or under cannot go through, over or under it.</p> <ul style="list-style-type: none"> • 107 Space requirements—indoor space <p>(1) This regulation does not apply in respect of a family day care residence.</p> <p>(2) The approved provider of an education and care service must ensure that, for each child being educated and cared for by the service, the education and care service premises has at least 3.25 square metres of unencumbered indoor space.</p> <p>Source: NSW Government Legislation, 2021, <i>Education and Care Services National Regulations (2011 SI 653)</i>, https://legislation.nsw.gov.au/view/html/inforce/current/sl-2011-0653</p> <p>The student's response to how the regulations relate to the service will be based on the three (3) items of legislation or regulations chosen by the student.</p> <p>For example:</p> <p>R.55: Quality improvement plans require the service to review the QIP annually.</p> <p>Students must describe and detail what documents/handouts they would present to the staff team about the three (3) regulations or law items that they identified above. Student will use their own words. Assessor will determine that the listed resources support the regulation identified by the student.</p> <p>For example:</p> <p>108 Space requirements – outdoor space:</p> <ul style="list-style-type: none"> • Policy and procedure for outdoor space. • Safety checklist for outdoor spaces • Sun protection guidelines.
<p>Assessment and Rating Visit</p> <ul style="list-style-type: none"> • Summarise what the team should expect during the Assessment and Rating Visit. (140-160 words) • Summarise how the team should prepare for the Assessment and Rating Visit by outlining five (5) actions (70-80 words) • Discuss two (2) pieces of advice you would give the team about the Assessment and Rating Visit. 	<p>Student responses must summarise what the team should expect during an Assessment and Rating Visit. The student will use their own words and will vary; however, the summarised information will be consistent with advice given by ACECQA to advice services about assessment visits.</p> <p>For example:</p> <ul style="list-style-type: none"> • The team can be briefed that the regulatory authority appoints authorised officers. They are responsible for conducting the assessment and rating visits. The officer receive training from AECECQA about their specific functions under the National Law and Regulations to assess, rate, monitor compliance and investigate incidents in early education and care services. Two assessors will observe practice in the rooms and then meet with the education leader and the leadership team. <p>When visiting the service, the authorised officer will collect evidence in the following ways:</p> <ul style="list-style-type: none"> • Observe – what children, families, educators, coordinators, and staff members are doing).

<p>(50-60 words)</p>	<ul style="list-style-type: none"> • Discuss – why and how practices occur in the service, with management including the approved provider, nominated supervisor, directors, coordinators and room leaders, and the staff such as educators and assistants or staff members. • Sight – documentation provided as evidence to support practices at the service. <p>Student response must outline any five (5) actions the team can take to prepare for the Assessment and Rating Visit. Responses will be in the student’s own words and will vary, however the response will relate to preparation actions that a service can take to prepare for the visit.</p> <p>For example:</p> <ul style="list-style-type: none"> • Ensuring stakeholders have adequate and timely advice about the assessment process and visit. • Holding meetings with staff and stakeholders in preparation for the visit. • Preparing needed documentation in an organised and orderly manner for ease of reference during the visit. • Checking all documentation to be used during the visit to ensure they are accurate and complete. This includes the self-assessment tool, the QIP, and other documents to support actions against each Standard. • Become familiar with the requirements of the process and visit. <p>Student responses must provide any two (2) pieces of advice to team members about the Assessment and Rating Visit. The student will use their own words and responses will demonstrate the student’s understanding of preparing a team for an assessment visit.</p> <p>For example:</p> <ul style="list-style-type: none"> • Ensure you have all information ready and have done the preparation to be confident and settle the team's nerves. • Try to build a collaborative partnership with the authorised officers to create open communication, seek clarity, ask questions whenever required (and practical), and provide additional information to highlight the service's strengths.
<p>Responsibilities and action tasks</p> <ul style="list-style-type: none"> • Explain the responsibilities and actions you would share with the team to support preparations. (20-30 words) • Explain responsibilities and actions you would share with individuals to support preparations. (20-30 words) 	<p>Student response must explain responsibilities and actions team members can do to support preparations. The student will use their own words and responses will vary but will demonstrate the student’s understanding of actions teams can undertake to prepare for an assessment visit.</p> <p>For example:</p> <ul style="list-style-type: none"> • Inform the team to tidy up their area and prepare their documents. • Listen to their lead educator and follow delegated instructions and tasks. <p>Student response must explain responsibilities and actions individual staff can do to support preparations. The student will use their own words and responses will vary but will demonstrate the student’s understanding of actions individuals can take to prepare for an assessment visit.</p>

	<p>For example:</p> <ul style="list-style-type: none"> Identify tasks for the education leader or room leaders to undertake, such as preparing organised files of evidence that can be presented to the assessor.
<p>Self-assessment</p> <ul style="list-style-type: none"> Describe one (1) team activity/ networking session you will facilitate to identify strengths and key improvements for the service. (20-30 words) Describe a method that you will use to collect information from each of the stakeholder groups to inform the self-assessment – <ul style="list-style-type: none"> children families the local community (60-80 words) 	<p>Student response must describe any one (1) self-assessment activity that the team can undertake to identify strengths and improvements. The student will use their own words and responses will vary but will demonstrate the student’s understanding of activities that can be used.</p> <p>Two (2) examples are provided below: For example:</p> <ul style="list-style-type: none"> Use the ACECQA game or a team activity that can be used to identify strengths and areas for improvement for the service. Allocate topics to team members on NQF, Regulations, and self-assessment tool and ask them to present the topic to the team. <p>Student responses must describe any one (1) method they will use to collect information from each stakeholder group, including children, families, and the local community. The student will use their own words and responses will vary but will demonstrate the student’s understanding of methods to collect information.</p> <p>For example:</p> <ul style="list-style-type: none"> Children – hold small group discussions about a specific aspect of the service to ask children to share ideas and feelings Families - Issue a survey to invite families to provide feedback on aspects of the service operations to inform the self-assessment. Community - Invite local community members to visit the service and provide feedback on the service practices against the NQS standard to inform the self-assessment.
<p>Quality Improvement Plan</p> <ul style="list-style-type: none"> Describe a plan to collaborate with stakeholders regularly to review the QIP. (20-40 words) 	<p>Student response must describe a plan for collaboration with stakeholders regularly to review the QIP. The student will use their own words and responses will vary but will demonstrate the student’s understanding of collaboration with stakeholders.</p> <p>For example:</p> <ul style="list-style-type: none"> Invite stakeholders to provide feedback on the service against actions from the QIP objectives, such as requesting feedback on one goal/objective per quarter. Issue an annual survey to invite families, community, and staff feedback on aspects of the service operations to inform the self-assessment.

Question 1.1

Outline three (3) steps you would take to facilitate a meeting or training session for the team to ensure they are well-prepared and confident for the Assessment and Rating Process.

(Approximate word count: 50-70 words)

Assessor instructions: The response must outline any three (3) actions the student would take when facilitating staff meetings/training to ensure the team is prepared and confident in the Assessment and Rating Process. Responses will be in the student’s own words and will vary but will demonstrate their understanding of action that can be taken to provide clear advice to staff.

A sample answer is provided below.

- I would provide the information in a PowerPoint presentation on key aspects of the process and encourage the team's engagement in learning about the process.
- I would provide feedback about what we are doing well and encourage them to trust their practice.
- I would ensure there are opportunities for discussion, asking questions, sharing ideas, making suggestions and reflecting on the teams' practices.

Question 1.2

After you have completed your initial meeting/training session with the team, it is still important to remain prepared by organising follow-up meetings and tasks. To complete this task, you will need to:

- Describe three (3) follow-up actions you would take with stakeholders to maintain proper preparation.
- Outline a meeting schedule and specify who would be involved.

(Approximate word count: 150-170 words)

Assessor instructions: The response must describe any three (3) actions the student will take to ensure the service continues to prepare for the assessment and rating visit following the team meeting/training. Responses for actions will be in the students own words and demonstrate an understanding of the provision of timely advice about preparations in readiness for the assessment visit. The student will outline a meeting schedule with stakeholders and staff to ensure adequate preparation. The student will list the stakeholders will be involved in the meetings and on what schedule. Responses should approximate the benchmark answer

A sample answer is provided below.

Actions to ensure the service continues to prepare for the assessment and rating visit:

- I would ensure that the team is prepared with all required documentation and that the environments are set up well by observing and providing feedback as I move around the service and spend time in the rooms.
- I would use the self-assessment data to ensure the Quality Improvement Plan is updated with our progress notes and strengths following the meeting/training session.
- I would provide information to stakeholders and invite their feedback

Who will be involved and how often:

- I would ensure that stakeholders continued to prepare for assessment by meeting with the following people on the following schedule:
 - the centre manager every week
 - staff every week
 - management (committee, board, or manager) every fortnight
 - children, families, and community stakeholders will receive updated information and invitations to meetings to input and feedback on preparations regularly
 - delegate tasks to relevant team members, such as action items from the Quality Improvement Plan and set due dates.

Case study 2: Respond to a Written Complaint

You are working as the Centre Manager of Little.ly, and you are the Nominated Supervisor of the service.

The Little.ly service uses an online programming platform to communicate with families and share information and photos.

You are checking your emails, and you read the one below. It is from the mother of one of the children in the Valley Oak Room.

Hello,

I am writing to share my absolute disgust that my child Elanoura was photographed picking her nose in a photo sent to all families last night.

Now I want to know what on earth went on when the staff chose to share a photo with her in the background, clearly having a private moment.

I am embarrassed for her and feel that you have let her down. How dare you!

Not only was she in the photo, but she was also tagged and named for all parents to know who she was. That's just not fair.

I want to know what you are planning to do about this. I am so rotable that I think I might even pull her out of the service. I expect you to respond today.

The email was received at 7:00 a.m.; however, you are only just reading it now at 10:00 a.m.

This family has been at the service for three years and has not previously complained about anything before this.

Case Study 2

You will need to investigate the complaint and plan how you will approach this situation. You decide to make some notes before responding via phone and arranging a face-to-face meeting with the mother.

Question 2.1

Identify two (2) concerns raised by the parent and list three (3) key issues you will need to consider when responding.

(Approximate word count: 60-80 words)

Assessor instructions: The response must identify the two (2) concerns raised by the parent and list the three (3) key issues recorded in the case study 2 email (above) that the student must consider when responding to the parent. The student can use the information contained in the email (or paraphrase into their own words) as the basis of their answer.

A sample answer is provided below.

The concerns are:

- A photo was sent to all families with a child picking their nose in the background
- The child's name was tagged in the photo

The key issues are:

- The parent is angry and has made a written complaint in an email.
- The parent is requiring a response on the same day to the sent email.
- The parent is threatening to remove the child from the service.

Question 2.2

Outline five (5) actions you will take to investigate the complaint and respond to the parent.

(Approximate word count: 120-140 words)

Assessor instructions: The response must identify any five (5) actions they will plan to take to investigate the complaint and respond to the parent. Responses will vary and will be in the student's own words. The response will demonstrate the student's understanding of complaint investigation and will form a logical list of actions for the student to take in planning their investigation.

A sample answer is provided below.

- I would investigate the uploaded photo to find out what had been sent and how many parents saw it.
- I would remove the photo from the platform.
- I would ask the team questions and investigate what had happened, such as the post's intent, who made the post, if they had authorisation to post, if their permissions were in place for children tagged, and if the social media policy followed etc.
- I would phone the parent as soon as possible to discuss the matter with them and apologise for this error and for how upset she was using empathy, active listening, and to listen respectfully to the concerns to resolve the complaint.
- I would arrange a face-to-face meeting with the parent to discuss the complaint and possible resolution in further detail.

Question 2.3

Describe three (3) actions you would take to follow up on your initial investigation of the complaint.

(Approximate word count: 30-50 words)

Assessor instructions: The response must identify any three (3) steps the student would take to follow up the initial investigation of the complaint. Responses will vary and will be in the student's own words. The response will demonstrate the student's understanding of complaint investigation and will form a logical list of actions for the student to take in an initial investigation.


A sample answer is provided below.

I would follow up on the complaint as follows:

- Review the Little.ly policies and procedures on Social Media, Complaint Management and Privacy and Confidentiality.
- Meet with the staff member(s) involved to gather information on what happened and how this occurred.
- I would ask the person(s) responsible to write a statement of what happened.

Question 2.4

You can review the policy and procedures in the Educator's Hub on the Little.ly Early Learning Centre website:

	<p>Little.ly Early Learning Centre, a simulated childcare centre. Access information and policy and procedure documents associated with Little.ly.</p> <p>This can be done by logging in to the Educator Hub on Little.ly's website with the following credentials:</p> <ul style="list-style-type: none">• Username: SOE• Password: earlychildhood
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Analyse and provide details of the Little.ly service policies and procedures concerning privacy and confidentiality, grievances and complaints, and how they relate to this complaint.

(Approximate word count: 150-170 words)

Assessor instructions: The student response must provide details of each policy and procedure and how they link to this incident. Responses will vary and will be copied or be a paraphrase of the Little.ly policies. The response will demonstrate the student's understanding of using policies to support complaint management.

A sample answer is provided below.

ML10 Privacy and Confidentiality Policy: the service policy on confidentiality states that the service will:

- Staff will be aware of confidential information on desks, stored on computers and unattended computer screens and placed on notice boards. They will ensure that confidential information is not seen by children, families, visitors, or unauthorised staff.
- The service will thoroughly investigate any alleged breach of privacy or confidentiality.

On review, the service has breached the policy and the child and parent's confidentiality by posting a picture and tagging in a child without keeping their information private and without consent to share the image and negatively display the child to other families.

ML3 Grievance and Complaint Policy: The service ensures that complaints are managed within 24 hours and conducts fair and respectful investigations. They will uphold the confidentiality and privacy policy concerning complaints and grievances and comply with a government agency when a grievance requires it. The parent has already written the complaint, so the service must respond within 24 hours and conduct an investigation.

Question 2.5

In your own words, summarise the process that will be followed to manage the complaint according to the Little.ly grievance and complaint procedure.

(Approximate word count: 140-160 words)

Assessor instructions: The student response must summarise the process for managing a complaint as set out in the Little.ly Grievance and Complaints Policy. An excerpt from the Little.ly policy is included below, and students will ensure they respond using their own words. Responses will vary but will demonstrate the student's understanding of using policies to support complaint management.

A sample answer is provided below.

ML3 Grievance and Complaint Policy:

The complaint has been received in writing, so the process to manage the complaint is as follows:

- Listen with the intent of understanding the complaint
- Acknowledge the complaint by summarising the concern back to the parent
- Provide parent information and discuss solutions that meet all needs.
- Ensure complaints are managed within 24 hours
- Ensure grievances are in writing and conduct fair and respectful investigations
- Uphold the confidentiality and privacy policy regarding complaints and grievances
- Comply with a government agency when a grievance requires it
- Keep appropriate records of the investigation.

The approved provider or nominated supervisor must:

Provide a report to the regulatory authority within a period of 24 hours when a complaint or grievance is received regarding the following:

- Breach of regulation and law
- Breach of National quality standards

- Alleged compromise of the safety or well-being of a child

Question 2.6

Write a staff memo summarising the privacy and confidentiality policy while also reminding the staff of the expectation to comply with this policy as part of resolving the complaint.

(Approximate word count: 160-180 words)

Assessor instructions: The student response must be a staff memo summarising the main points of the privacy and confidentiality policy and the expectations for abiding by this policy as part of the resolution to the complaint. Three (3) paragraphs should be provided by the student in their own words. The memo will be concise and professional and will instruct staff of their actions to abide with policies to minimise future complaints.

A sample answer is provided below.

Dear team,

We have been made aware of a photograph taken of a child which was inappropriate and was posted on the online platform. Upon investigation, it appears that the team members did not check and gain approval for the photo before posting it. This child's photo was posted to other parents in the room, and we have breached this child's privacy.

I am reminding you of your responsibilities concerning ML10 Privacy and Confidentiality Policy, which requires staff to be aware of confidential information on desks, stored on computers and unattended computer screens and placed on notice boards. You must ensure that confidential information is not seen by children, families, visitors, or unauthorised staff. We are also responsible for thoroughly investigating any alleged breach of confidentiality or privacy.

Please be mindful that all information shared, even on our platforms, must respect the privacy and confidentiality of the children and their families. We are responsible to children and their parents to ensure that their photos and information are kept confidential and private or are shared in line with the proper approvals.

Kind Regards,

Director

Question 2.7

After calling the mother and apologising for the situation, the next step is sending a follow-up email to organise a face-to-face meeting, ensure clear communication, and document the conversation. You will ensure that you use professional language but display empathy and care. In the email, you must include the following:

- Apologise and explain to the complainant how you are handling the process.
- Confirm the meeting time and date.
- Notify her that a report has been made to the Regulatory Authority.
- Explain what she can and cannot expect from the process.
- Thank her for the opportunity to resolve her concern. (Approximate word count: 130-150 words)

Assessor instructions: The student response must be a written email to the complainant that includes the following:

- Apologise and explain to the complainant how you are handling the process.
- Confirm the meeting time and date.
- Notify her that a report has been made to the Regulatory Authority.
- Explain what she can and cannot expect from the process.

- Thank her for the opportunity to resolve her concern

The response will be in the student’s own words and should demonstrate the student's ability to acknowledge the complaint and update the complainant using polite yet professional language that displays empathy and care towards them but clearly communicates agreed actions.

A sample answer is provided below.

Dear (parent's name),

As mentioned on the phone, I am very sorry this happened and am committed to ensuring that this does not occur again.

I am appreciative that you have agreed to meet with me and confirm our meeting for 9th at 11:00 a.m. I look forward to discussing your complaint further to fully understand the matter and its impact on your child and your family.

I am currently investigating further the details that led to this incident, and as required for a registered childcare service, I have notified the Regulatory Authority of the incident.

I cannot always share all the details from my investigation with you; however, I assure you I am strengthening measures to ensure the child's privacy is upheld before any photos are posted.

Thank you again

(Your name)

Section 2

- A. Complete the template “Complaints Notification Form” below advising the Regulatory Authority of the complaint. Ensure you complete all sections of the form.

Assessor instructions: The student response must answer all aspects of the Complaints Notification Form based on the complaint from the parent. The student will use their own words and responses will vary. The student will include sufficient detail that is concise and professional to demonstrate their ability to accurately record details to the complaint and actions taken.

A sample answer is provided below.

Complaints Notification Form			
Time complaint received	Time the complaint was received	Date complaint received	Date complaint received
Service name	Little.ly		
Details of complaint received by service (30-40 words)	<p>Student response must summarise the complaint for the parent in their own words based on the details in the case study. Responses will vary. For example:</p> <ul style="list-style-type: none"> • The child in the background of a photograph is picking their nose. • The photo was shared with a group of parents within the centre. • The child's parents have made a complaint via email. 		

<p>Details of actions taken to address the complaint (80-100 words)</p>	<p>Student responses should explain what they have done to address the concern of the parent in their own words based on the details in the case study. Some details the student will include, such as dates and actions, may need to be assumed, but based on the student's answer earlier in the case study. Responses will vary. For example:</p> <ul style="list-style-type: none"> • Reviewed the photo and investigated what had been sent and to how many parents. • Removed the photo from the platform. • Investigations have begun to understand how this situation occurred. • Phoned the parent as soon as possible to discuss the matter with them. Apologise for this error and for how upset she was. • A time had been arranged to meet with the parent face-to-face to discuss the complaint in further detail. • A review of the privacy policy occurred, and all staff have been reminded about maintaining privacy, particularly when using social media platforms.
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B. Complete the Quality Improvement Template Plan (QIP) below, using the complaint's details. You must:

- Identify the relevant National Quality Standard/Element
- Identify the issue and situation
- What outcome you are seeking to achieve
- Priority level
- The steps taken to achieve your identified outcome
- How you will identify success has been achieved
- Date you wish to have this achieved
- Any progress notes taken to address this complaint

Assessor instructions: The student response must ensure all areas of the template are completed. The content of the entry should relate directly to the complaint made in the case study. The student outlines an opportunity for improvement arising from complaint management. Some details the student will include, such as dates and actions, may need to be assumed, but based on the student's answer earlier in the case study. Responses will vary.

Quality Improvement Plan Template

National Quality Standard/ Element (10-20 words)	Issue identified during self-assessment (40-50 words)	What outcome or goal do we seek? (20-30 words)	Priority (L/M/H) (Identify level)	How will we get this outcome? What steps will be taken? (50-60 words)	Success measure (30-40 words)	By when? (Date)	Progress notes of actions taken to address the area (50-60 words)
5.1.2 The dignity and rights of every child are maintained	A complaint was made about a photo of a child being sent to families because it did not respect the child's privacy. It also did not respect the dignity and rights of the child. The photo was shared without permission to post.	For all children's dignity and rights to be maintained at all times, with a particular focus on the content provided on the shared parent platform.	High	Setting up a system where two people check all documentation before it is posted. Staff to be reminded of the services privacy policy. Staff to receive training in dignity and rights of children. Educational Leader to approve all photos before being sent.	No complaints All photos shared with families are respectful of children. All shared photos have the correct approvals in place before sharing. Consideration is given to the dignity and rights of children at all times.	November 20xx	March – a reminder of the privacy policy was issued to all staff in a memo. The meeting was held with staff to discuss the dignity and rights of children on our online platform and how to manage privacy considerations. March – a strengthened process was put in place to ensure that all posts on the platform are checked twice before posting.

Assessment checklist:

Students must have completed all tasks within this assessment before submitting. This includes:

Case Study 1	
Staff Meeting Agenda	<input type="checkbox"/>
Answer all two (2) questions related to the case study	<input type="checkbox"/>
Case Study 2	
Answer all seven (7) questions related to the case study	<input type="checkbox"/>
Complaints Notification Form	<input type="checkbox"/>
Quality Improvement Plan Template	<input type="checkbox"/>



Congratulations, you have reached the end of Assessment 2

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