



CHCECE044, CHCECE049, CHCECE053 Assessor Guide

# Compliance in Childhood Services

Assessment 3 of 3

Role play



## Assessment Details

### Task overview

This assessment has two (2) role-plays:

Part 1:

- Step 1.1: Role-play – Responding to systemic problems to improve practice
- Step 1.2: Written questions

Part 2:

- Step 2.1: Role-play – Respond to a complaint effectively
- Step 2.2: Written questions


As part of the assessment, you will need to manage two (2) complaints. To complete this assessment, you will need access to an electronic device such as a computer or tablet and have internet connection to access various sources of information, such as Little.ly policies and procedures using digital media.

You are required to read the scenario provided.

- Part 1 of the assessment includes a role play where you will manage a complaint that arises from a systemic issue. You will need **one (1)** additional participant to play the role of the father, Peter. Detailed instructions are provided in Part 1, Step 1.1 of this assessment. You must record the role-plays and then upload the recorded role-play to the LMS. In Part 1, Step 1.2, you are also required to answer some questions about complaint management for systemic complaints.
- Part 2 of this assessment includes a role-play where you will manage a complaint from an emotional parent effectively. You will need **one (1)** additional participant to play the role of the mother. Detailed instructions are provided in Part 2, Step 2.1 of this assessment. You must record the role-plays and then upload them to the LMS. In Part 2, Step 2.2, you are required to answer some questions about complaint management for a complaint from an emotive family member.

### Supporting information:

To complete Part 1, Step 1.1 and Part 2, Step 2.1, you will need to access 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 <a href="#">website</a> with the following credentials:</p> <ul style="list-style-type: none"><li>• Username: SOE</li><li>• Password: earlychildhood</li></ul>
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## 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.



## Part 1: Responding to systemic problems to improve practice

### Scenario

You are working at Little.ly Early Learning Centre as a room team leader and the environmental responsibility officer for the service. You receive a phone call from a father, Peter, concerned about using plastic bags. Currently, the service sends all soiled clothes home in plastic bags, and the parent is concerned about the environmental impact of this practice. The father works for the government in environments and wildlife and sees this as a systemic issue for the service to resolve. He seeks an alternative resolution to this process for all children in care.

Peter has two children enrolled in the centre and has received numerous plastic bags of soiled clothing for his children over the past few weeks. Peter does not want to make a formal complaint in writing but would like to be heard and for a resolution to this issue to be found that is more environmentally friendly.

Before this role-play, you must read the policies from the Little.ly service. You will reference these policies to guide your response to the parent and inform decisions regarding improvement planning.

- CR1 – Interactions with children and families
- ML3 - Grievances and Complaints
- Quality Improvement Plan

#### Step 1.1: Role-play – Phone call from the parent (Peter):

You will be taking the role of the team leader. You receive a phone call from Peter, the father of two children using the service, who is concerned about a systemic problem and requests the centre improve their practice on the use of plastic bags. You will demonstrate your ability to actively listen and respond to the parent, you will also be aware of the need to gather sufficient information to be used in a Quality Improvement Plan (QIP).

**Step 1.2: Written questions** - You are required to answer questions to demonstrate your ability to respond appropriately to this complaint.

#### Instructions

The role play must include yourself and **one (1)** participant, must not exceed **15 minutes** in duration and must address all elements of the Observation Checklist below. The role play should be organised where participants can have a phone call pretending to be the educator and parent.

In this role play, you will participate in receiving a phone call from **one (1)** other person. This person will be acting as the concerned parent, Peter. The person to play this role may be resourced using one of the following options:

1. Peers who you are already working within the industry your qualification relates to.
2. Fellow students: Please contact your fellow students via the Discussion Forum and coordinate your role-play with them directly.
3. Family/friends

If you cannot find a participant to play the role of the other team member, contact your assessor via the Discussion Forum, who will discuss options for pairing up with other students to complete this task.

#### Option 1: Peer participants

Should you complete this task with your Peers, you must fully brief all participants, providing them with the context to the role-play telephone call, a role outline to play and a copy of the observation checklist so they can prepare for the recording.

Peers will need to state their name and job title at the start of the recording to inform consent.

### **Option 2: Fellow student participants**

Fellow students participating in the recording must be provided with the context of their role and responsibilities in the session and have reviewed the assessment activity and observation checklist to prepare for the recording.

The student will need to state their name and that they are a student (as their job title) at the start of the recording to inform consent.

### **Option 3: Friend/s or family member/s**

Should you complete this task with friends or family members, you must fully brief each participant, providing them with the context of the role play, a role outline to play and the 'Key Observation Criteria' so that they can prepare for the recording.

Each friend or family member participant will need to state their name and the role they are playing at the start of the recording to provide their consent.

### **Role Play Characters**

- There are two roles:
  - The parent, Peter: This role is played by a peer/fellow student. There may be opportunities for a creative licence to add details that assist in managing the environmental issue.
  - The Team Leader: This role is played by the student. You must play the role of the team Leader receiving a phone call from a concerned parent who is worried about the service using practices that are not environmentally friendly and in line with sustainability principles. You must display your knowledge of how to discuss a systemic issue with a parent.

### **Step 1.1: Role-play - A phone call from a parent**

During Step 1.1 role-play, your assessor will be observing you for the following:

- Respond using appropriate communication strategies such as active listening, assertiveness, open-ended questions, and negotiation
- Clarify the concern promptly
- Identify key issues
- Openly discuss possible resolutions to the issue using respectful listening and collaborative decision-making
- Confirm the next steps in the resolution process and clarify the agreement with the parent
- Identify and discuss underlying grievances/complaint
- Generate options and facilitate a resolution to the issue
- Obtain an agreement for the resolution with the parent.

### **Instructions to Participants**

**Participant 1 (Student as the Educator):** As the educator, your role is to manage the conversation with Peter, the parent. You should aim to be professional, empathetic, and clear in your communication. Here's what to include:

- Greet Peter warmly and thank him for taking the time to raise his concerns.
- Listen attentively as Peter explains his concern about the centre's environmental practices, specifically the use of plastic bags for soiled clothing.
- Acknowledge his knowledge of environmental issues and express appreciation for his input.
- Reassure Peter that his concerns are valid and that you are committed to working with him to find a solution.
- Ask an open-ended question like, "Can you share more about the alternatives you'd suggest for reducing plastic use at the centre?"

- Ask a closed question like, "Would you feel comfortable if we trialed a reusable bag system for soiled clothes?"
- During the discussion, Peter may mention, "I have raised environmental issues before, and nothing has occurred. So, I hope this time is different, and we are all on the same page." Acknowledge this underlying grievance and use assertiveness to discuss how the centre can move forward.
- Invite Peter to share more about his suggestions and what changes he would like to see.
- Discuss any potential alternatives (e.g., using reusable, waterproof bags that last the duration of a child's attendance), while considering the centre's capacity for change.
- Reassure Peter that the centre is committed to being environmentally responsible and will take his feedback seriously in future planning.
- Ask, "Is there anything else you'd like us to consider as we make these changes?"
- Negotiate how the suggested solution could work and outline the potential benefits of making the centre's practices more sustainable.
- Confirm next steps, clarify the agreed-upon solutions, and confirm with Peter that an agreement has been reached.

During the conversation, you must use active listening techniques and ask at least one open and one closed question to engage with the parent, clarify the key issues, and confirm understanding.

**Participant 2 (Peer/Fellow Student as Peter the Parent):** As the parent, Peter, your role is to raise concerns with the educator about the centre's environmental practices. You should aim to express your concerns clearly, assertively, and with the intent to work together on a solution. Here's what to include:

- Greet the educator and explain that your call is about an environmental issue you're concerned about.
- Mention that you work for the government in environments and wildlife, which has made you particularly aware of sustainability practices.
- Express your specific concern: "I've noticed the centre uses plastic bags to send home soiled clothing. Is there a more environmentally friendly alternative we could consider? Even supermarkets have banned single-use plastics, so shouldn't we do our part to help the environment?"
- Ask the educator, "What steps can the centre take to reduce plastic use?"
- Share your disappointment with past environmental concerns not being addressed: "I've raised environmental issues before, and nothing has happened. I hope this time we can find a solution together."
- Suggest a potential solution: "Could the centre use reusable waterproof bags that last for the time children are attending? This would be a great step forward."
- During the discussion, be open to negotiation, listen to the educator's suggestions, and express your willingness to work together on the solution.
- Ask, "How will we ensure that changes will be implemented this time?"
- Ensure that the conversation leads to a resolution, confirming what actions will be taken and how you can support the process.
- Be clear about your expectations moving forward and agree on the next steps, ensuring that both parties are on the same page.

Throughout the conversation, you should use active listening, ask at least one open and one closed question, and ensure the discussion remains collaborative.

### Recording instructions

Your role-play must be recorded with all participant/s captured in a virtual room using a system such as Zoom, Skype or Teams. This recording must be clearly labelled *Compliance cluster\_03\_Part 1\_Role play <<Student Name>>* and submitted with your assessment for marking.



"This session/presentation is being recorded for assessment purposes for my course with Swinburne Open Education. This session will be recorded and submitted through my course online learning platform to my assessor for grading. All participant/s in this session indicate their consent to be included in this recording by stating their name and job title."

The time taken to capture consent at the start of the recording does not count towards the recording time limit.

Include this recording as part of your assessment submission.

### Step 1.2: Written questions

Following the role-play, you are to respond to the listed questions regarding the effective management of a systemic complaint.

#### Question 1.1

Identify the relevant parties involved in the resolution of this systemic issue.

(Approximate word count: 10-20 words)

**Assessor instructions:** The response must list possible stakeholders who would be involved in resolving this systemic issue. Responses will vary and the student will use their own words. Responses will demonstrate an understanding of possible stakeholders to the complaint.

A sample answer is provided below.

The parent, the centre leadership, and educators. Other relevant parties are children, the community, and suppliers.

#### Question 1.2

Outline the steps you would take to investigate, discuss, and obtain an agreement with the relevant parties. Ensure you outline other procedures or forums you can refer to whilst addressing the grievance.

(Approximate word count: 100-110 words)

**Assessor instructions:** The response must describe the steps that can be taken to investigate, discuss and obtain agreement from the relevant parties. The response also includes procedures and forums to which the complainant can be referred in seeking a resolution. Responses will vary and the student will use their own words. Responses will demonstrate an understanding of the use of effective communication, reference to the Complaints policy and details of forums. See benchmark for options.

A sample answer is provided below.

The investigation would involve implementing appropriate communication strategies such as active listening and negotiation to understand the issue and seek feedback about an agreed solution to the complaint. The complainant can be referred to the Complaints procedure about the process that will be taken to gain resolution.

The complainant can also be referred to the Little.Ly policy on complaint management and other resources such as the publication by the Victoria State Government Department of Education and Training *Make a complaint about early childhood services*. The complainant can also be referred to appropriate forums, such as the service director, management committee/board, the centre owner, or the regulatory body, to escalate the complaint if it cannot be resolved at the local level.

### Question 1.3

What would you add to the Quality Improvement Plan to support this agreed practice change?

(Approximate word count: 20-30 words)

**Assessor instructions:** The response must describe the information that would be recorded in the QIP to support the agreed practice change. Responses will vary and the student will use their own words. Responses will link to the agreed resolutions made by the student during the role play and will include documenting these in the QIP.

A sample answer is provided below.

The agreed resolution of the complaint would be recorded in the QIP, including purchasing reusable and washable waterproof bags for children's clothing.

### Question 1.4

What level of urgency would you rate this issue and why? What processes would you use to seek feedback from relevant parties about the complaint resolution once actions are taken?

(Approximate word count: 50-60 words)

**Assessor instructions:** The response must describe the complaint's urgency level and explain why they provided this rating. The student will identify the priority as low as the issue does not pose immediate risks to children or the environment. The response must list processes that would be used to seek feedback from stakeholders once resolution actions have been taken. Responses will vary and the student will use their own words. Responses will demonstrate an understanding of methods that can obtain feedback from the parent about resolutions taken.

A sample answer is provided below.

Priority level:

The level of urgency is rated as low as it does not pose immediate risks to children or the environment.

Feedback on resolution:

Provide information about a conducted risk assessment and the outcome of a trial of the new approach using a newsletter and displayed in the foyer on a parent's notice board. Hold a meeting with stakeholders to provide feedback and invite input. Conduct a survey to plan the wider implementation after completing the trial.

### Question 1.5

How would the service involve the local community in resolving this complaint and preparing the Quality Improvement Plan?

(Approximate word count: 40-60 words)

**Assessor instructions:** The response must include an explanation of how the service would involve the community in their planning process and resolution process. Responses will vary and the student will use their own words. Suggestions will demonstrate methods to involve the community in finding solutions to the environmental concern.

A sample answer is provided below.

The service would seek advice from other local Early Childhood services to gather insight to possible solutions and what might work with other approaches/options to plastic bags and soiled clothing. The local council and environment protection services could be invited to give advice and suggestions to support planning. They would seek advice from the suppliers in the community for reusable waterproof bags.



### Question 1.6

Reflect on how your knowledge of the following policies influences your interaction with families and your decision-making for changes and improvement planning.

- Interactions with children and families
- Grievances and complaints procedure
- Quality improvement planning

(Approximate word count: 100-150 words)

**Assessor instructions:** The response must demonstrate that the student had read the policies and reflected on how these policies contributed to the resolution of the grievance, including engaging collaboratively with families, managing the complaint, and using the information to inform the QIP. Responses will vary and will be in the student's own words. The Assessor must be satisfied that reflection would be expected by a reasonable person to improve practice in relation to the area being explored.

A sample answer is provided below.

I used the collaborative partnerships policy to implement positive and respectful techniques to work with parents to resolve issues, hear their feedback, and take it on board. I followed the procedure for managing a grievance by implementing the steps in the policy. I listened, acknowledged the parents' concerns, discussed solutions, managed the complaint within 24 hours, investigated the matter and kept records of the investigation. I used the grievance results to add an action into the services QIP. I think I applied these policies well and the father received my feedback favourably. I am glad I networked with other services as they had some teething problems with water proof bags smelling that we can learn from.

### Question 1.7

Explain why you think it is important to take feedback from families and use this to inform the Quality Improvement Plan.

(Approximate word count: 70-90 words)

**Assessor instructions:** The response must provide an opinion of why they believe it is important to use feedback from families to inform the QIP. Responses will vary and the student will use their own words. Responses will demonstrate an understanding of collaborative partnerships, valuing families input and using the QIP to implement suggestions.

A sample answer is provided below.

Parents are our partners, and we aim to be in a collaborative relationship with them. As Parents are the child's first educator, we need to welcome their input and ideas. Families are our customers and are closely associated with our practices. If families are unhappy, then we lose customers. We welcome their ideas to improve our practices and ensure they we responsive to their needs. Families are well placed to suggest improvements as they use the service daily. Adding these improvements to our QIP demonstrates respect for our families input.

### Question 1.8

What potential ethical dilemmas might you find with the suggested resolution to this systemic complaint that Peter had brought up?

(Approximate word count: 70-90 words)

**Assessor instructions:** The response must outline possible ethical dilemmas arising from the systemic complaint's proposed solution. Responses will vary and the student will use their own words. Responses will demonstrate an understanding of issues that can pose ethical dilemmas for a service.

A sample answer is provided below.

The cost of purchasing waterproof bags and the burden to wash and return them may be an additional burden on busy families. Families may forget to return the washed bags, and the system may fail to resolve the issue, as single-use plastic bags would be needed to cover the shortfall. There may be health and safety issues with soiled clothing in reused bags if parents do not pay careful attention during washing or send back bags that have not been washed.

## Part 2: Respond to a complaint effectively

### Scenario

You are working at Little.ly Early Learning Centre as the Team Leader of the 3-year-old room. A parent arrives at the service very upset and angry. The mother, Jessica, asks to speak with you about her child, Sarah. The child, Sarah, is three years old and is wearing a sling. You come to the office and speak with her.

The mother, Jessica, angrily informs you that Sarah came home last night unhappy and irritable. Jessica just thought Sarah was tired, but then she kept crying and holding her shoulder and arm. Jessica explained that she took her to the hospital and had an X-ray and that Sarah's collarbone was broken.

There were you and two other educators for the day. Nobody noticed Sarah having a fall or being injured. She did not complain or display any signs of distress during the day.

Jessica wants to understand how she was not informed of any injury to her daughter and why she was not notified of anything when she collected her child.

She is very angry. She uses words such as neglect and threatening to report the matter to the regulator. Firstly, she demands to know what went on yesterday in the room.

Prior to this role-play, you must read policies from the Little.ly service. You will use these policies to inform your response to the parent and improvement planning decision-making.

- CR1 – Interactions with children and families
- ML3 - Grievances and Complaints
- ML6 – Educational Program and Practice Policy and Procedure
- Quality Improvement Plan
- Health and Safety
- Physical environments

You will also conduct research for non-government and government resources that can support you in maintaining compliance as you manage this complaint arising from a serious incident of an injured child.

**Step 2.1: Role-play – Meeting with concerned parent:** You will be taking the role of the team leader dealing with a complaint from a mother, Jessica, after her daughter, Sarah, has been treated for a dislocated shoulder. You will also be aware of gathering sufficient information to be used in a Quality Improvement Plan.

**Step 2.2: Written questions:** You are required to answer questions to demonstrate your ability to respond appropriately to the complaint about the serious issue.

### Instructions

The role play must include yourself and **one (1)** participant, must not exceed **15 minutes** in duration and must address all elements of the Observation Checklist below. The role play should be organised in a location where the participants can have a conversation in privacy.

In this role play, you will have a meeting with **one (1)** other person. This person acting at the angry mother, Jessica, may be resourced using one of the following options:

- Peers who you are already working within the industry your qualification relates to.
- Fellow students: Please contact your fellow students via the Discussion Forum and coordinate your role-play with them directly.
- Family/friends

If you cannot find a participant to play the role of the other team member, contact your assessor via the Discussion Forum, who will discuss options for pairing up with other students to complete this task.

### **Option 1: Peer participants**

Should you complete this task with your peers, you must fully brief all participants, providing them with the context to the role-play meeting, a role outline to play and a copy of the observation checklist so they can prepare for the recording.

Peers will need to state their name and job title at the start of the recording to inform consent.

### **Option 2: Fellow student participants**

Fellow students participating in the recording must be provided with the context of their role and responsibilities in the session and have reviewed the assessment activity and observation checklist to prepare for the recording.

The student will need to state their name and that they are a student (as their job title) at the start of the recording to inform consent.

### **Option 3: Friend/s or family member/s**

Should you complete this task with friends or family members, you must fully brief each participant, providing them with the context of the role play, a role outline to play and the 'Key Observation Criteria' so that they can prepare for the recording.

Each friend or family member participant will need to state their name and the role they are playing at the start of the recording to provide their consent.

### **Role Play Characters**

- There are two roles.
  - **The mother, Jessica: This role is played by a peer/fellow student.** There may be opportunities for creative licence regarding details of the complaint and the daughter's injury where information has not been provided in the scenario.
  - **The Team Leader: This role is played by the student.** You must play the role of the Team Leader who meets with an upset parent, Jessica. You must display your knowledge of how to hold a discussion with an emotional parent and policies to manage the complaint process.

### **Step 2.1: Meeting with the concerned parent**

Before the role play, ensure that you read the policies and procedures and research forums related to the complaint and use them to guide your practice.

During Step 2.1 role-play, your assessor will be observing you for the following:

- Respond using appropriate communication strategies such as active listening, respectful listening, assertiveness, and questioning

- Use effective non-verbal communication, including your non-verbal signs and recognising signs of the parent's emotions.
- Clarify the concern promptly and identify the key issues
- Explain the reporting process to the parent and inform them of the next steps, including what can and cannot be expected from the process.
- Direct the parent to appropriate procedures and forums aligned with the complaint's procedure.
- Facilitate mediation between the parent and the educators involved to resolve the complaint

### **Participant 1: Student as Team Leader**

Your role is to manage the conversation with Jessica, the emotional and upset mother of Sarah. You must remain professional, empathetic, and clear throughout the conversation. Here's what to include:

- Greet Jessica and acknowledge her concern with empathy: "I can see you're very upset, and I want to make sure we understand what happened so we can resolve this together."
- Listen attentively as Jessica expresses her frustration and concern about Sarah's injury and the lack of communication regarding the incident.
- Acknowledge Jessica's feelings, using phrases like, "I completely understand how distressing this must be for you, and I am truly sorry that you weren't informed."
- Use active listening and assertiveness to clarify the key issues. Ask open questions such as, "Can you tell me more about how you discovered Sarah's injury?"
- Explain the centre's reporting process in a clear and calm manner. For example, "We take incidents like this seriously, and our policy is to immediately inform parents about any injuries. Let me explain what will happen next in terms of investigating this incident."
- Use effective non-verbal communication, such as maintaining eye contact and a calm tone, to show Jessica that you are actively engaged in addressing her concerns.
- If Jessica remains upset, work to de-escalate the situation. Say something like, "I can see this is incredibly upsetting, and we are here to make sure we get to the bottom of this together."
- Offer mediation between Jessica and the educators on duty when the incident occurred, ensuring a resolution is sought.
- Inform Jessica of the next steps and what she can expect, saying, "We will speak to the educators involved, and I will personally follow up with you to make sure you are kept informed of any developments."
- Direct Jessica to appropriate forums if needed, aligning with the complaint procedure.

### **Participant 2: Peer/Fellow Student as Jessica, Sarah's Mum**

Your role is to play Jessica, an emotional and upset mother of Sarah, her three-year-old daughter, who has a broken collarbone that was not reported by the centre. You should express your frustration and anger clearly throughout the conversation. Here's what to include:

- Arrive upset and angry, stating clearly that you are concerned: "I'm really upset that no one can tell me what happened to Sarah. I need to know what's going on."
- Express your anger about the lack of communication from the centre, saying, "I can't believe that no one informed me when I picked her up. This is neglect!"
- Maintain an angry persona, expressing that you are considering reporting the issue to a higher authority: "I have a good mind to take this higher and report it to the regulator!"
- When the team leader attempts to de-escalate the situation, remain firm: "This isn't the first time something's gone wrong. I need to know how you're going to fix this."
- Respond to the team leader's explanations with frustration: "I want answers now, not later!"
- When the team leader offers mediation with the educators involved, remain upset but open to the idea.

- Continue to demand clear next steps and express disappointment, saying, "I just want to make sure that this is taken seriously and it doesn't happen to any other child."

**Recording instructions**

Your role-play must be recorded with all participant/s captured in a virtual room using a system such as Zoom, Skype or Teams. This recording must be clearly labelled *Compliance cluster\_03\_Part 2\_Role play <<Student Name>>* and submitted with your assessment for marking.

Consent to participate in the recording must be captured for all participants at the start of the meeting. This is achieved by the student reading the following statement at the start of the recording, with all participants replying with their name and job title to inform consent.

*"This session/presentation is being recorded for assessment purposes for my course with Swinburne Open Education. This session will be recorded and submitted through my course online learning platform to my assessor for grading. All participant/s in this session indicate their consent to be included in this recording by stating their name and job title."*

The time taken to capture consent at the start of the recording does not count towards the recording time limit.

Include this recording as part of your assessment submission.

**Step 2.2: Written questions**

Following the role-play, you are to respond to the listed questions regarding the effective management of a systemic complaint.

**Question 2.1**

Identify how you would adjust your response to the complaint to support a different cultural and social group.

(Approximate word count: 60-70 words)

**Assessor instructions:** The response must demonstrate their knowledge of how to modify responses to the complaint according to the needs of a complainant from another cultural and social group. Responses will vary and the student will use their own words. Responses will demonstrate an understanding of respect and diversity, as well as inclusion by facilitating options for people from other cultures to be heard and understood.

A sample answer is provided below.

**Question 2.2**

Explain the steps you would take to investigate and report this incident.

(Approximate word count: 110-120 words)

**Assessor instructions:** The response must describe the steps that would be taken to investigate and report a serious incident. Responses will vary and the student will use their own words. Responses will be consistent with complaint management processes of the service.

A sample answer is provided below.

The process to investigate and report a serious incident would include the following:

- Investigate with team members on duty in the three-year-old room and educators on duty in the old door areas during lunch and recess
- Obtain witness statements from all team members to understand what occurred during the day. The statements will include if there were any times the child was injured, distressed, or favouring their other arm during the day, both within the room and in outdoor spaces.
- Inform relevant parties of the complaint, such as the Director. Ensure that a serious incident that involves an injury and hospital treatment of a child is reported to the regulator.
- Complete a complaint investigation report.

### Question 2.3

What government and non-government agencies/services would you use to support the service to remain compliant as it moves through the investigation and complaints management process?

(Approximate word count: 60-70 words)

**Assessor instructions:** The response must outline government and non-government resources they would access to support compliant management of the serious complaint. Responses will vary and the student will use their own words. Responses will provide a list of reliable and authoritative sources of support.

A sample answer is provided below.

- Australian and state and territory governments departments such as the Department of Education, Department of Health, Department of Social Services and Department of Human Services
- ACECQA and the regulatory authority in each state/territory
- Non-government services that can provide assistance and compliance support resources, including:
  - Community Connections Solutions Australia
  - Early Childhood Australia (ECA)
  - Early Childhood Association Australia
  - Australian Childcare Alliance

### Question 2.4

Provide a list of four (4) actions you would take immediately following the conversation with the parent.

(Approximate word count: 50-60 words)

**Assessor instructions:** The response must provide a prioritised list of actions to be taken immediately following the conversation with the parent. Responses will vary and the student will use their own words. Responses will be consistent with the complaint management processes of the service.

A sample answer is provided below.

1. Assess the environment and conduct a risk assessment of the indoor and outdoor spaces

2. Review yesterday's program and timelines to identify when an incident may have occurred
3. Follow up with the child to support their well-being and ensure their comfort
4. Complete an incident report.

### Question 2.5

What actions would you put in place to ensure the parent is informed of the complaint process, ensuring they understand any limitations to the process?

(Approximate word count: 40-60 words)

**Assessor instructions:** The response must explain how the service would ensure that the parents are informed of the complaint management process, including an outline of limitations to the process. The student will respond in their own words and responses will vary but will demonstrate an understanding of actions the student can take to inform parents of the complaint process and limitations, such as not all information can be shared due to privacy considerations.

A sample answer is provided below.

- Offer to share a copy of the Complaint policy and procedure with the family
- Provide the family with a copy of the incident and complaint report, ensuring the parent is advised that not all information in the investigation can be shared with them due to privacy and confidentiality limitations.
- Check on the health and welfare of the child

### Question 2.6

Outline the actions you would take to seek feedback from the relevant parties about the outcome of the grievance or complaint.

(Approximate word count: 100-120 words)

**Assessor instructions:** The response must include the actions that the student would take to seek feedback from the stakeholders about the outcome of the complaint. Responses will vary and be in the students own words but will demonstrate that the student makes opportunities to ensure the family, child and staff are informed of outcomes and can provide feedback about them.

A sample answer is provided below.

- Arrange a follow-up meeting with the family to advise them on the progress and outcomes of the investigation and complaint management process and to seek their feedback about how they feel about the management of the complaint and if they are satisfied.
- Have a conversation to check in with the child to ensure they feel supported and are comfortable with the outcomes. Invite the child to express if there is more that is required so they feel safe.
- Follow up with staff to brief them on the outcomes and invite their feedback to the process and outcomes. This can occur at a team meeting or during a group reflection session.



**Question 2.7**

Reflect on how you managed the complaint and identify any misunderstandings or concerns that you may have regarding your role in this process. Include how you would clarify the identified areas to improve your work practice.

(Approximate word count: 100-120 words)

**Assessor instructions:** The response must include a genuine reflection on how they managed the complaint process and will identify any misunderstanding about the process or their role. The response will also include strategies to clarify the identified deficit areas to improve the educator's practice and conduct. Responses will vary but the Assessor must be satisfied that reflection would be expected by a reasonable person to improve work practice or conduct in relation to the topic of the reflection.

A sample answer is provided below.

I referred to the complaints procedure and this provided clarity to me about my role and the process. I am hesitant about what cannot be devolved to the parent once I discovered that staff were distracted and not keeping children in their line of sight in the play area, and this may be where the injury occurred. I feel bad that I cannot tell the parent this information. But I know I must follow the service's privacy policy about other's rights to have information remain confidential. So, I will seek advice from a senior educator with more experience and my supervisor, so I don't accidentally say the wrong thing to the parent or show the service in a bad light.

**Assessor instructions:**  
The assessor must watch the recording and complete the below Observation Checklist to ensure the student has met all requirements. Throughout the role-play, the student will provide information and receive feedback relating to the role-play that has been provided to the participant.  
Below is a table for the assessor to use to assess the student to determine if they have demonstrated competency in the tasks.

Observation Checklist		
<i>To be completed by the assessor</i>		
Part 1: Responding to Systemic Problems to Improve Practice		
During the Role Play, the student must demonstrate the following:	Observed	Assessor Comments
<b>Step 1.1: Role-play – Phone call with parents</b>		
1 Responded to the parent using appropriate communication strategies to clarify the concern promptly and identify the key issues.  Look for:  The student's actions will vary but will include the student responding promptly and using communication strategies such as active listening, assertiveness, and negotiation during the 'telephone call' with the parent to	<input type="checkbox"/> Yes  <input type="checkbox"/> No	

	<p>seek information and confirming that they had understood the issue and concerns correctly.</p> <p>The student must demonstrate effective communication strategies, actions will vary but will include</p> <ul style="list-style-type: none"> <li>• listening carefully and not interrupting</li> <li>• giving full attention to the speaker</li> <li>• providing positive affirmation to demonstrate understanding and confirmation of concerns</li> <li>• paraphrasing content to confirm understanding</li> <li>• using assertive communication to enable an open and frank discussion where ideas are shared</li> <li>• acknowledged the parent's concerns about service practices</li> <li>• used negotiation skills to bring parties together to agree on possible solutions.</li> </ul>		
2	<p>Used one (1) open and one (1) closed question to seek information and confirm understanding.</p> <p>Look for:</p> <p>The student asked any one (1) open-ended and any one (1) closed question during the discussion to obtain information and clarify understanding.</p> <p>Questions used will vary, for example:</p> <ul style="list-style-type: none"> <li>• Open question – <i>'Tell me more about your sustainability idea.'</i></li> <li>• Closed questions - <i>'Have I understood you correctly?'</i></li> </ul>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
3	<p>Openly discussed possible ideas and negotiated a resolution to the issue raised by the concerned parent using collaborative decision-making.</p> <p>Look for:</p> <p>The student's actions and words will vary but will include welcoming feedback from the parent and openly discussing the issue.</p> <p>The discussion will aim to understand the parent's concerns and the student will use collaborative decision-making to find solutions that meet the parent's concerns but are manageable by the service.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
4	<p>Confirmed the next steps in the resolution process and obtained agreement from the concerned parent.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	

	<p>Look for:</p> <p>The student's responses will vary and will be observed using communication techniques such as paraphrasing and restating feedback to confirm the next steps in the resolution process.</p> <p>Examples could include, "<i>now I have clarity about the issue, we will discuss some ideas to resolve it and agree on a plan to implement it. Once we agree, I will write the complaint and the resolution in a complaint report and share it with my supervisor. They can then add it to the QIP and plan the roll-out of the idea.</i>"</p> <p>The student uses questioning and listening to confirm the parent is comfortable and agrees to the process.</p>		
5	<p>Identified and discussed underlying grievance/complaint with the parent</p> <p>Look for:</p> <p>The student's responses will vary and will be observed asking the parent to share any underlying issues or grievances.</p> <p>The student will respond respectfully and use communication strategies to acknowledge the parent's feedback, such as paraphrasing, re-stating, and questioning to confirm understanding.</p> <p>For example:</p> <ul style="list-style-type: none"> <li>• accept where lack of actions previously have contributed to the parent's frustration</li> <li>• reassure the parent that they will act on the complaint and resolution.</li> </ul>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
6	<p>Generated options and facilitated a resolution of the complaint with the parent.</p> <p>Look for:</p> <p>The student's responses will vary and will be observed using collaborative decision-making with the parent to negotiate options that could resolve the complaint. For example:</p> <ul style="list-style-type: none"> <li>• allowing the parent to make the suggestions first</li> <li>• asking questions and using active listening to discuss several options in the negotiation and agree on options/decisions.</li> </ul>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	

	<ul style="list-style-type: none"> <li>asking questions about the suggestion for reusable waterproof bags.</li> </ul>		
7	<p>Obtained agreement from the parent on the resolution to the complaint.</p> <p><b>Look for:</b></p> <p>The student's responses will vary and will be observed confirming the agreed resolution with the parent by paraphrasing and re-stating the agreed resolution.</p> <p>The student is observed allowing the parent to respond and confirm their agreement.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
<b>Step 1.2: Written questions</b>			
1	<p>Answered eight (8) written questions</p> <p><b>Benchmark answers provided</b></p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
<b>Part 2: Respond to Complaint Effectively</b>			
<b>During the Role Play, the student must demonstrate the following:</b>			
<b>Step 2.1: Role-play – Meeting with the concerned parent</b>			
1	<p>Responded using appropriate communication strategies during the meeting with the parent, such as active listening, respectful listening, assertiveness, and questioning.</p> <p><b>Look for:</b></p> <p>The student's responses will vary and will be observed demonstrating active listening skills, respectful listening, assertiveness and questioning when receiving the complaint from the parent about their injured child.</p> <p><b>Active listening skills, including:</b></p> <ul style="list-style-type: none"> <li>giving full attention to the parent</li> <li>maintaining eye contact to show interest and attention</li> <li>providing non-verbal signs of attention, e.g., nodding, reinforcing smile, tilting head to show listening</li> <li>positive reinforcement, e.g., vocalisations such as 'mmm, I see, yes, do go on to' encourage discussion and sharing</li> <li>paraphrasing and rephrasing feedback to confirm understanding.</li> </ul>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	

2	<p>Used effective non-verbal communication, was aware of and managed their own non-verbal signs and recognised signs of the parent's emotions.</p> <p><b>Look for:</b></p> <p>The student's responses will vary and will be observed using effective non-verbal communication, such as:</p> <ul style="list-style-type: none"> <li>• appropriate eye contact</li> <li>• open and empathetic body positioning</li> <li>• managing their own facial expressions when confronted with an angry parent</li> <li>• monitored the parent's level of distress and anger.</li> </ul> <p>The student could call a break in the meeting, such as offering the parent a glass of water or tissues if the exchange was becoming heated or the level of distress by the parent rendered the discussion ineffective.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
3	<p>Used communication strategies to clarify the concern promptly and identify the key issues.</p> <p><b>Look for:</b></p> <p>The student student's responses will vary and will be observed responding promptly to the parent's request to meet and to the key issues raised by the parent.</p> <p>The student was observed using communication strategies such as active and respectful listening, questioning, and paraphrasing to seek information and confirm they had understood the key issues and concerns correctly.</p> <p>The student was observed using reassurance and empathy with the parent about the injury to their daughter and strategies such as acknowledging how challenging the situation was for the family.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
4	<p>Explained the reporting process to the parent and informed them of the next steps, including what can and cannot be expected from the process.</p> <p><b>Look for:</b></p> <p>The student's responses will vary and will be observed referring to the Grievance and Complaints policy to outline the reporting process of reporting the matter to</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	

	<p>the regulator within 24 hours due to a child being injured and medical treatment being required.</p> <p>The student was observed outlining the process for managing the complaint by explaining the next steps, such as a risk assessment will be conducted in the centre (indoor and outdoor areas), an investigation will be conducted, staff will be interviewed, statements will be taken, and a complaint report will be completed.</p>		
5	<p>Direct the parent to appropriate procedures and forums aligned with the complaint's procedure.</p> <p>Look for:</p> <p>The student's responses will vary and will be observed providing information to the parent about resources and forums that they could use to support complaint resolution. Services listed will vary but could include, for example:</p> <ul style="list-style-type: none"> <li>Referral to the Director/Owner/Management Committee to escalate the complaint</li> <li>Access to ACECQA and the regulatory authority in each state/territory to gain advice and information about complaint management.</li> </ul>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
6	<p>Facilitate mediation between the parent and the educators involved to resolve the complaint</p> <p>Look for:</p> <p>The student's responses will vary and will be observed offering to facilitate mediation between the emotional parent and the educators on duty the day her daughter was injured to seek a resolution to the complaint.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
<b>Step 2.2 Written Questions</b>			
1	<p>Answered six (6) written questions</p> <p>Benchmark answers provided</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No	

## Assessment Checklist

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

<b>Part 1 – Responding to Systemic Problems to Improve Practice</b>	
Step 1.1 Record and submit a role-play video	<input type="checkbox"/>
Step 1.2 Eight (8) written questions	<input type="checkbox"/>
<b>Part 2 - Respond to Complaint Effectively</b>	
Step 2.1 Record and submit a role-play video	<input type="checkbox"/>
Step 2.2 Seven (7) written questions	<input type="checkbox"/>



**Congratulations, you have reached the end of Assessment 3!**

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