



Wangaratta Children's Services Centre

Governance and Management of the Service Policy and Procedures

Document Type	Corporate Policy
Department	Children's Services
Date of Council Endorsement	27 September 2023
Date for Review	September 2027
Responsible Officer	Family & Early Childhood Services Coordinator
Authorising Officer	Director Community and Infrastructure
Version Reference Number	1.0
SIM Reference Number	TBC

National Quality Standard

7.1	Governance supports the operation of a quality service.
7.1.2	Systems are in place to manage risk and enable the effective management and operation of a quality service.
7.1.3	Roles and responsibilities are clearly defined and understood and support effective decision-making and operation of the service.
7.2	Effective leadership builds and promotes a positive organisational culture and professional learning community.
7.2.1	There is an effective self-assessment and quality improvement process in place.
7.2.2	The educational leader is supported and leads the development and implementation of the educational program and assessment and planning cycle.
7.2.3	Educators, co-ordinations and staff members performance is regularly evaluated and individual plans are in place to support learning and development.

National Regulations

Section/Regulations	Description
Section 13	Matters to be taken into account in assessing whether fit and proper person

Section 14	Regulatory Authority may seek further information
Section 21	Reassessment of fitness and propriety
Section 51	Conditions on service approval
Section 162	Offence to operate education and care service unless responsible person is present
Section 172	Offence to fail to display prescribed information
Section 173	Offence to fail to notify certain circumstances to Regulatory Authority
Section 174	Offence to fail to notify certain information to Regulatory Authority
Section 175	Offence relating to requirement to keep enrolment and other documents
Section 188	Offence to engage person to whom prohibition notice applies
Section 269	Register of family day care educators, co-ordinators and assistants
Regulation 29	Condition on service approval – insurance
Regulation 30	Condition on service approval – family day care educator insurance
Regulation 31	Condition on service approval – quality improvement plan
Regulation 55	Quality improvement plans
Regulation 56	Review and revision of quality improvement plans
Regulation 84	Awareness of child protection law
Regulation 104	Fencing
Regulation 106	Laundry and hygiene facilities
Regulation 107	Space requirements – indoor space
Regulation 108	Space requirements – outdoor space
Regulation 109	Toilet and hygiene facilities
Regulation 110	Ventilation and natural light

Regulation 116	Assessments of family day care residences and approved family day care venues
Regulation 117	Glass
Regulation 117B	Minimum requirements for a person in day-to-day charge
Regulation 153	Register of family day care educators, co-ordinators and educator assistants
Regulation 154	Record of staff engaged or employed by family day care service
Regulation 157	Access for parents
Regulation 158	Children's attendance record to be kept by approved provider
Regulation 159	Children's attendance record to be kept by family day care educator
Regulation 160	Child enrolment records to be kept by approved provider and family day care educator
Regulation 161	Child enrolment records to be kept by approved provider and family day care educator
Regulation 162	Health information to be kept in enrolment record
Regulation 165	Record of visitors
Regulation 167	Record of service's compliance
Regulation 168	Education and care services must have policies and procedures
Regulation 169	Additional policies and procedures – family day care service
Regulation 170	Policies and procedures to be followed
Regulation 171	Policies and procedures to be kept available
Regulation 172	Notification of change to policies or procedures
Regulation 173	Prescribed information to be displayed

Regulation 174	Time to notify certain circumstances to Regulatory Authority
Regulation 174A	Prescribed information to accompany notice
Regulation 175	Prescribed information to be notified to Regulatory Authority
Regulation 176	Time to notify certain information to Regulatory Authority
Regulation 176A	Prescribed information to be notified to approved provider by family day care educator
Regulation 177	Prescribed enrolment and other documents to be kept by approved provider
Regulation 178	Prescribed enrolment and other documents to be kept by family day care educator
Regulation 179	Family day care educator to provide documents on leaving service
Regulation 180	Evidence of prescribed insurance
Regulation 181	Confidentiality of records kept by approved provider
Regulation 182	Confidentiality of records kept by family day care educator
Regulation 183	Storage of records and other documents
Regulation 184	Storage of records after service approval transferred
Regulation 185	Law and regulations to be available

Statement and Purpose

We are committed to robust governance and management systems, ensuring the effective, transparent, and competent operation of service.

The Education and Care Services National Regulations require policies and procedures to be in place in relation to governance and management. ACECQA's Occasional Paper 5, 'Quality Area 7: Leadership and management in education and care services', found that 'effective leadership and service management are important in guiding and supporting the delivery of quality education and care programs and the impact is felt across all areas of the National Quality Standard. It is through good governance and management that the effective functioning of the service can be ensured across all seven quality areas, enabling quality outcomes for children and their families.

Policy and Procedures

Governance is the process that directs and controls our Service, ensuring accountability, and supporting decision making. The Approved Provider and Nominated Supervisor of the Service accept the legal responsibilities associated with establishing, administering, and maintaining the Service. Our Service has the following established positions:

Approved Provider (Director Community Wellbeing)	Ben Thomas
Family and Early Childhood Service Coordinator	Rebecca Sacco
Childcare Centre Coordinator	Zoe Konkoly
Family Day-Care Officer	Kaitlin Mills
Educational Leader	Stephanie Lloyd
Children's Services Administration Team Leader	Peta Cooke

The Approved Provider is legally responsible for:

- Ensure that obligations under the Education and Care Services National Law and National Regulations are met, as well as all other laws relevant to governance and management of the service.
- Display the prescribed information in section 172
- Provide information to the regulatory authority upon request in relation to being a fit and proper person
- Ensure that the number of children at the service does not exceed the maximum in the service approval
- Ensure that the service is insured and keep evidence of this
- Ensure that the family of a child at the service is allowed to enter the premises
- Adopt quality governance and management processes, procedures and practices, in line with the National Quality Standard, especially Quality Area 7 – Governance and leadership
- Establish systems of risk management, financial and internal control, and performance reporting. Monitor management and financial performance to ensure the solvency, financial strength and good performance of the service
- Develop, review and approve the service philosophy and purpose, strategic direction and initiatives
- Take reasonable steps to ensure that nominated supervisors, educators, staff, and volunteers follow the Governance and management policy and procedures.
- Ensure that copies of the policy and procedures are readily accessible to nominated supervisors, co-ordinators, educators, staff, volunteers and families, and available for inspection • notify families at least 14 days before changing the policy or procedures if the changes will:
 - affect the fees charged or the way they are collected or
- Ensure that copies of the policy and procedures are readily accessible to nominated supervisors, co-ordinators, educators, staff, volunteers and families, and available for inspection.
- notify families at least 14 days before changing the policy or procedures if the changes will:
 - Affect the fees charged or the way they are collected.
 - Significantly impact the service's education and care of children.

- Significantly impact the family's ability to utilise the service.

Notifications and reporting

- Ensure that all reporting and reporting requirements are met regarding the National Quality Framework, family assistance, taxation, child protection, and other relevant laws.
- notify the regulatory authority about the approved provider and operational changes, and changes in relation to the nominated supervisor, as detailed in section 173
- notify the regulatory authority about changes to the 'fit and proper' status of the approved provider, any serious incidents, and complaints relating to a serious incident or that the Law has been contravened.

Health, safety, and wellbeing

- ensure the health, safety and wellbeing of children in the service and take every reasonable precaution to protect children from harm and hazard

Quality Improvement Plan (QIP)

- ensure there is an effective self-assessment and quality improvement process in place, including a QIP that is kept at the premises or FDC principal office and is made available for inspection and to families
- Ensure that the QIP is reviewed at least annually

Space, equipment, facilities

- ensure that requirements relating to the physical environment, space, equipment and facilities are met, including regulations 104, 106, 107, 108, 109, 110, 116, 117 (Quality Area 3)

Educational needs and program

- Ensure that children's educational and developmental needs are met

Educators and staff

- Ensure that requirements relating to staffing are met, including implementing the Staffing policy and procedures (including regulation 84)
- Ensure that roles and responsibilities are clearly defined, understood, and support effective decision-making and operation of the service
- Ensure that the performance of educators, staff and co-ordinators is regularly evaluated, and individual plans are in place to support learning and development
- Ensure that a nominated supervisor, educators, staff, volunteers and contractors to whom a prohibition notice applies are not engaged by the service
- ensure the educational leader is supported to lead the development and implementation of the educational program and assessment and planning cycle

Nominated Supervisor and Responsible Person

- Ensure that requirements relating to the nominated supervisor and responsible person are met, including implementing the Staffing policy and procedures.

Records and confidentiality

- Keep a record of the services compliance with the information listed in regulation 167
- keep a record of enrolment and other documents listed in section 175 at the service or FDC residence or venue and be available for inspection by an authorised officer.
- ensure that records are kept confidential and not divulged except as permitted under regulations 181 and 182
- ensure that records are stored safely and securely for the period set out in regulation 183

- keep enrolment and attendance records and other documents listed in regulations 160, 177 and 178, ensure they are accurate and available to families on request. If a service approval is transferred, the documents must be transferred to the receiving approved provider.
- Ensure requirements relating to monitoring, support and supervision of FDC educators are met, including implementing the Monitoring, support and supervision of FDC educators' policy and procedures.
- Ensure that requirements relating to assessments of FDC residences and approved FDC venues are met, including implementing the Assessment and reassessment of residences and venues for FDC policy and procedures.
- ensure that a record is kept of visitors.
- ensure that requirements relating to FDC educators meeting minimum requirements are met, including implementing the Engagement or registration of FDC educators' policy and procedures.
- ensure that requirements relating to staff records are met.
- ensure that FDC educator documents are provided to the approved provider when the educator ceases to be engaged or registered with the service.
- take reasonable steps to ensure that nominated supervisors, educators, staff and volunteers follow the Governance and management policy and procedures.
- ensure that copies of the policy and procedures are readily accessible to nominated supervisors, co-ordinators, educators and staff, and available for inspection.
- Notify families at least 14 days before changing the policy or procedures if the changes will:
 - affect the fees charged or the way they are collected or
 - significantly impact the service's education and care of children or
 - significantly impact the family's ability to utilise the service.

Nominated Supervisor will ensure:

- ensure that regulatory obligations are met in relation to governance and management
- adopt quality governance and management processes, procedures and practices, in line with the National Quality Standard, especially Quality Area 7 – Governance and leadership
- implement systems of risk management, financial and internal control, and performance reporting. Monitor management and financial performance to ensure the solvency, financial strength and good performance of the service
- develop and review the service philosophy and purpose, strategic direction and initiatives
- ensure that the family of a child at the service is allowed to enter the premises when the child is being educated and cared for (regulation 157). Notifications and reporting
- ensure that all notification and reporting requirements are met regarding the National Quality Framework and other relevant laws. Health, safety and wellbeing
- ensure the health, safety and wellbeing of children in the service and take every reasonable precaution to protect children from harm and hazard.

Quality Improvement Plan (QIP)

- ensure there is an effective self-assessment and quality improvement process in place. Educational needs and program
- ensure that children's educational and developmental needs are met.

Educators and staff

- ensure that roles and responsibilities are clearly defined, understood, and support effective decision making and operation of the service.

- ensure that the performance of educators, staff and co-ordinators is regularly evaluated and individual plans are in place to support learning and development
- ensure that requirements relating to staffing are met, including implementing the Staffing policy and procedures.
- ensure that the educational leader is supported to lead the development and implementation of the educational program and assessment and planning cycle.

Records and confidentiality

- Ensure that requirements relating to records and confidentiality are met.

Family Day-Care

- ensure that requirements relating to monitoring, support and supervision of FDC educators are met, including implementing the Monitoring, support and supervision of FDC educators' policy and procedures.
- ensure that requirements relating to assessments of FDC residences and approved FDC venues are met, including implementing the Assessment and reassessment of residences and venues for FDC policy and procedures.
- ensure that requirements relating to FDC educators meeting minimum requirements are met, including implementing the Engagement or registration of FDC educators' policy and procedures.

Service Philosophy

- The development and review of the philosophy and policies will be a continuous process on an annual basis or when required.
- The philosophy and associated statement of purpose will reinforce all other documentation and the practices of the Service. The philosophy will reflect the principles of the approved national framework "Belonging, Being and Becoming: The Early Years Learning Framework for Australia" and "My Time, Our Place: Framework for School Age Care in Australia"
- There will be a collaborative and consultative process to support the development and maintenance of the philosophy that will include children, parents, and educators.

Code Of Conduct

The standards of behaviour outlined in our Code of Conduct Policy provide guidance for all staff to make personal and ethical decisions related to confidentiality, recruitment, duty of care, record keeping, professional relationships and appropriate use of resources within the Service.

Confidentiality

All members of the Management Committee along with the Nominated Supervisor, Responsible Person, educators, and staff who gain access to confidential information, whether in the course of their work or otherwise, shall not disclose information to anyone unless the disclosure of such information is required by law and will respect the confidentiality of all documents and meetings that occur. Child Information Sharing may be mandated to promote children's wellbeing and safety under state/territory legislation. This also includes:

- using information acquired for their personal or financial benefit, or for the benefit of any other person.
- permitting any unauthorised person to inspect or have access to any confidential documents or other information.

- any information received or transmitted via mobile telephone (including text/SMS) or any other electronic device (e.g. email) shall be treated with the same confidentiality as any other written form of communication and must be stored confidentially.

This obligation, placed on a member of the Committee of Management, Nominated Supervisor, Responsible Person, educator, and staff shall continue even after the individual has completed their term and is no longer on the Management Committee or employed by the Service. The obligation to maintain confidentiality also applies to any person who is invited to any meetings of the Management Committee.

Ethical Decision-Making

Our Service will make decisions which are consistent with our policies and procedures and that work in conjunction with the Education and Care Services National Law and National Regulations, our approved learning framework (EYLF), and the ethical standards within the ECA Code of Ethics.

Review and Evaluation of The Service

- Ongoing review and evaluation will support the continuing development of the Service. We will ensure that the evaluation involves all stakeholders.
- The development of a Quality Improvement Plan (QIP) will form part of the reflection procedure. Reflection on what works within the Service and what needs additional development will be included in the QIP.

Maintenance Of Records

- The Service will adhere to record keeping requirements outlined in the National Regulations (177)
- Records will be kept of all visitors to the Service while children as outlined in the National Regulations (165)
- The Service will adhere to the storage of confidential records outlined in the National Regulations (181-184)
- The Service has a responsibility to keep sufficient records about staff, families, and children in order to operate dependably and lawfully
- The Service will safeguard the interests of all children, their families, and the staff, using procedures to ensure appropriate privacy and confidentiality practices are upheld
- The Approved Provider assists in determining the process, storage location, and timeline for storage of records, using the National Regulations as a minimum standard
- The Service's orientation and induction processes will include the provision of significant information to managers, educators, children, and families to comply with National Regulations and Standards
- The Approved Provider will ensure that the record retention procedure meets the requirements of the following government departments and laws:
 - Australian Tax Office (ATO)
 - Family Assistance Office (FAO)
 - Family Assistance Law o National Law and Regulations

Managing Conflicts of Interest

Conflict of interest, whether actual, potential or perceived, must be declared by all members of the Management Committee/Nominated Supervisor, Senior Staff and managed effectively to ensure integrity.

- Every stakeholder that is in a position of management has a responsibility to ensure their transactions, external business interests and relationships will not cause potential conflicts and to make such disclosures in a timely manner as they arise.
- The following process will be followed to manage any conflicts of interest:
 1. Whenever there is a conflict of interest, the member concerned must notify the Approved Provider about the conflict.
 2. The member with a conflict of interest must not be present during the meeting of the Management meeting where the matter is being discussed, or participate in any decisions made on that matter. The member concerned must provide the Licensee with any and all relevant information they possess on the particular matter.
 3. The minutes of the meeting must reflect that the conflict of interest was disclosed, and appropriate processes followed to manage the conflict.
 4. A Conflict-of-interest disclosure statement must be completed by each member of the Management Committee / Staff member upon his or her appointment and annually thereafter. If the information in this statement changes during the year, the member shall disclose the change to the Approved Provider/ and revise the disclosure statement accordingly.

References

Australian Children’s Education & Care Quality Authority. (2014).
 ACECQA. (2021). Policy and procedure guidelines. Governance and Management Guidelines.
 Australian Government.
 Department of Education.
 Child Care Provider Handbook. (2019). <https://www.dese.gov.au/child-care-package/ccp-resources-providers/child-care-provider-handbook>
 Early Childhood Australia Code of Ethics. (2016).
 Early Learning Association Australia (ELLA) Employee management and development kit (2014)
<https://elaa.org.au/resources/free-resources/employee-management-development-kit/>
 Education and Care Services National Law Act 2010. (Amended 2018).
 Education and Care Services National Regulations. (2011).
 Guide to the National Quality Framework. (2017). (Amended 2020).
 Revised National Quality Standard. (2018). Work Health and Safety Act 2011 (Cth).

Definitions

Term	Definition	Source
Approved Provider	A person who holds a provider approval (National Law). A provider approval authorises a person to apply for one or more service approvals and is valid in all jurisdictions.	Guide to the NQF
Continuous improvement	Ongoing improvement in the provision of quality education and care services.	Guide to the NQF

Governance	Refers to the systems in place to support effective management and operation of the service, consistent with the service’s statement of philosophy. Good governance requires effective management systems and clearly delineated roles and responsibilities to support the effective operation of a quality service.	Guide to the NQF
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Link to other policies

- Nutrition, food and beverages, dietary requirements
- Sleep and rest for children
- Dealing with medical conditions in children
- Incident, injury, trauma and illness
- Dealing with infectious diseases
- Emergency and evacuation
- Excursions
- Interactions with children
- Acceptance and refusal of authorisations
- Payment of service fees and provision of a statement of fees charged by the service
- Dealing with complaints
- Water safety
- Sun protection
- Providing a child safe environment
- Enrolment and orientation
- The administration of first aid
- Delivery of children to, and collection from, education and care service premises