



# GOVERNANCE MANAGEMENT POLICY

Quality Area 7: Governance and Leadership

## POLICY STATEMENT

The Governance Policy provides the overall direction, effectiveness, supervision, and accountability of a Service. Management are responsible for guiding the direction of the service, ensuring that its goals and objectives are met in line with the philosophy, and all legal and regulatory requirements governing the operation of the service.

This Policy outlines the way Orchard Early Learning Centre ensures its practices comply with all relevant legislation, standards and codes of practice, and how it plans to continuously improve its leadership and management practices.

## STRATEGIES AND PRACTICES

Governance is the process that directs and controls our Service, ensuring accountability, and supporting decision making.

### The Approved Provider of the Service:

- Accepts the legal responsibilities associated with establishing, administering, and maintaining the Service.
- Ensuring compliance with the Education and Care Services National Law and Education and Care Services National Regulations.
- Complying with family assistance law.
- Appointing a Nominated Supervisor, an Educational Leader and a Director/coordinator for the Service.
- Supporting the Nominated Supervisor [Responsible Persons] in their role, providing adequate resources to ensure effective administration of the Service.
- Developing a clear and agreed philosophy, which guides business decisions and the work of Management and staff.
- Acting honestly and with due diligence.
- Ensuring there is a sound foundation of policies and procedures that complies with all legislative and regulatory requirements, and that enables the daily operation of the Service to be in line with the Service's philosophy and goals.
- Reviewing the Service's budget and monitoring financial performance and management to ensure the Service is always solvent and has sound financial strength.
- Approving annual financial statements and providing required reports to government bodies and maintaining appropriate delegations and internal controls.
- Complying with funding agreements where appropriate.
- Establishing clearly defined roles and responsibilities for the members of the Management and staff, individually and as a collective, and clearly articulating the relationship between all stakeholders.
- Complying with all other NSW and Australian governments' legislation that impacts upon the management and operations of a Service.

### The Nominated supervisor is responsible for:

- Adhering to the National Education and Care Service Regulations and National Law.





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- Developing ethical standards and a code of conduct which guide actions and decisions in a way that is consistent and reflective of the Service's expectations.
- Undertaking periodical planning and risk assessments and having appropriate risk management strategies in place to manage risks faced by the Service.
- Ensuring that actions taken, and decisions made are clear and consistent and will help build confidence in all stakeholders.
- The day to day management of Orchard Early Learning Centre.
- Maintaining up to date and current policies and procedures for compliance by all Educators.
- Being an employer, including all legal and ethical responsibilities that this entails.
- Appointing staff and monitoring their performance.
- Ensuring all Educators and staff have a clear understanding of the hierarchy of management.
- Providing clear and direct written and verbal feedback and instruction that is suitable and appropriate to the task.
- Ensuring the Service remains financially viable and can meet its debts and other obligations as they fall due.
- Managing control and accountability systems.
- Producing outcomes together with Educators and Staff. Educators must agree on their responsibilities and work according to current policies and procedures.
- Providing educators with training, resources and support.
- Identifying and reporting if something significant occurs.
- Identifying work required for completion and delegate to the appropriate Educator/staff
- Ensuring Educators and Staff do not delegate responsibilities for which they are accountable for or have been delegated to them by Management.
- Delegate all tasks in writing with a clear due date.
- Ensuring Educators are adhering to service policies and procedures.
- Reviewing the work process regularly.
- Completing a Quality Improvement Plan for the Service and updating it at least annually.
- Developing coherent aims and goals that reflect the interests, values and beliefs of all stakeholders of the Service.

### 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.
- All documents will be dated and include nominated review dates.

### Confidentiality

All members of the Management along with the Nominated Supervisor, Educators, and Staff who gain access to confidential information, whether in the course of their work or otherwise, shall not





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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. 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.

### Ethical decision-making

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

### Review and evaluation of 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

- Orchard Early Learning Centre will adhere to record keeping requirements outlined in the National Regulations (177).
- 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 time line 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:
  - Australian Tax Office (ATO),
  - Family Assistance Office (FAO).

### Grievances and Complaints

- The Service follows clear processes to ensure all grievances and complaints are addressed, investigated fairly and documented promptly. If relevant, changes are made to the Service's Policies and Procedures.





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## Notifications

- The Approved Provider and Nominated Supervisor notify, within the stated time, the Regulatory Authority of circumstances and provide it with information as detailed in Regulations 174, 175 and 176 of the Early

## RESPONSIBILITY OF PARENTS

- To be aware of the way the Service operates and to know the appropriate person to contact and how to contact them when they have any suggestions to improve the Service or any concerns about the Service's practices.

## LINKS TO EDUCATION AND CARE SERVICES NATIONAL REGULATIONS, NATIONAL QUALITY STANDARD

Regs	14	Application for provider approval by individual
	15	Application for provider approval by person other than an individual
	16	Matters relating to criminal history
	31	Condition on service approval – quality improvement plan
	46	Application for supervisor certificate
	55	Quality improvement plans
	56	Review and revision of quality improvement plans
	173	Prescribed information to be displayed
	174	Time to notify certain circumstances to Regulatory Authority
	175	Prescribed information to be notified to Regulatory Authority
	176	Time to notify certain information to Regulatory Authority
	177	Prescribed enrolment and other documents to be kept by approved provider
	180	Evidence of prescribed insurance
	181	Confidentiality of records kept by approved provider
	183	Storage of records and other documents
	185	Law and regulation to be available

QA	7.1.1	Appropriate governance arrangements are in place to manage the service
	7.1.2	The induction of educators, co-ordinators and staff members, including relief educators, is comprehensive
	7.1.4	Provision is made to ensure a suitably qualified and experienced educator or co-ordinator leads the development of the curriculum and ensures the establishment of clear goals and expectations for teaching and learning
	7.1.5	Adults working with children and those engaged in management of the service or residing on the premises are fit and proper
	7.2.1	A statement of philosophy is developed and guides all aspects of the service's operations





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7.2.2	The performance of educators, co-ordinators and staff members is evaluated and individual development plans are in place to support performance improvement
7.2.3	An effective self-assessment and quality improvement process is in place
7.3.1	Records and information are stored appropriately to ensure confidentiality, are available from the service and are maintained in accordance with legislative requirements
7.3.2	Administrative systems are established and maintained to ensure the effective operation of the service
7.3.3	The Regulatory Authority is notified of any relevant changes to the operation of the service, of serious incidents and of any complaints which allege a breach of legislation
7.3.4	Processes are in place to ensure that all grievances and complaints are addressed, investigated fairly and documented in a timely manner
7.3.5	Service practices are based on effectively documented policies and procedures that are available at the service and reviewed regularly

## SOURCES/RESOURCES / USEFUL LINKS

### Sources

- A Directors Manual – Managing an early education and care service in NSW: <http://cccncsw.org.au/wp-content/uploads/a-directors-manual-sample.pdf>
- Australian Children's Education & Care Quality Authority. (2014).
- Child Care Service Handbook (CCMS).
- Confidentiality Policy.
- ECA Code of Ethics.
- Guide to the Education and Care Services National Law and the Education and Care Services National Regulations 2015.
- Guide to the National Quality Standard.
- Revised National Quality Standards.
- Work Health and Safety Act

### Further reading

- Byrne, S. (2009). Governance and management interaction in a childcare setting. <https://eprints.usq.edu.au/6446/>
- Community Child Care Co-operative. (2013). So now you are on the committee. <http://cccncsw.org.au/resources/management>

## POLICY REVIEW

The Service encourages staff and parents to be actively involved in the annual review of each of its policies and procedures. In addition, the Service will accommodate any new legislative changes as they occur and any issues identified as part the Service's commitment to quality improvement. The Service consults with relevant recognised authorities as part of the annual review to ensure the policy contents are consistent with current research and contemporary views on best practice.





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Date(s) reviewed: April 2019 / April 2020 / January 2021 / February 2022.

