



Background

The day-to-day operations of early education and care services must comply with all relevant legislation, standards and codes of practice. Services cannot achieve this without effective governance and management. Quality Area 7 of the Guide to the National Quality Standard contains the elements of effective leadership and management that result in a well-functioning, compliant service. Quality Area 7 also assists services in improving their skills in governance and management.

The terms 'governance' and 'management' have different meanings. 'Governance' refers to the service's future direction and goals, and how it will achieve these. It also ensures the service meets its regulatory requirements and that members of its governing organisation follow that organisation's constitution. 'Management' is about the service's day-to-day operation, such as children having sufficient toys and resources, parents' fees being up-to-date, and staff and educators following the service's policies and procedures.

Policy statement

This Policy outlines the way the Service 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

Approved Provider and Nominated Supervisor

- Tania Wilson is the Approved Provider of the Service, and holds the legal responsibility for operating the Service.
- The Approved Provider will have processes in place that are fair and transparent regarding governance and compliance.
- The Approved Provider is responsible for identifying organisational risks and legal obligations and managing these.
- The name and contact details of the Approved Provider are displayed in the foyer and included in the Service Handbook given to parents at enrolment. OR
- The name of the Approved Provider and the name and contact details of the person(s) nominated to speak for the Approved Provider are displayed in the foyer and included in the Service Handbook given to parents at enrolment.
- The Approved Provider is the employer of all staff of the Service and therefore is responsible for management and control of all staff and the Service under the Education and Care Services National Law and National Regulations.
- A Nominated Supervisor, approved as a suitable, fit and qualified person by the Regulatory Authority and appointed by the Approved Provider, is in charge of the day-to-day operations of the Service. Refer to the Service's *Staffing Policy*.

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- The Nominated Supervisor is also the Responsible Person whenever on the premises. Refer to the Service's *Staffing Policy*.
- At any time the Nominated Supervisor is not on the premises, a substitute Responsible Person who is physically present is placed in charge of the Service's day-to-day operations. Refer to the Service's *Staffing Policy*.
- The details of the Nominated Supervisor and the Responsible Person are clearly displayed in the main entrance of the Service.
- The Nominated Supervisor ensures that the Service's staffing arrangements meet regulatory requirements at all times. Particular attention is given to the Responsible Person and Educational Leader. Refer to the Service's *Staffing Policy*.
- Induction for staff, educators is comprehensive so that all know the Service's goals (plans for the future), how it will go about achieving these, and the policies and procedures which guide the Services' day-to-day practices

Information Displayed

- All information required by Regulation 173 of the Early Education and Care Services Regulations 2011 is displayed in the main entrance of the Service.

Philosophy, Policies and Procedures

- The Service has a written Philosophy which reflects the principles of the Education and Care National Regulations 2011, the Early Years Learning Framework 2009 and My Time, Our Place 2009. This Philosophy was developed by the Approved Provider, Nominated Supervisor, staff, educators and parents and, as such, reflects their shared understanding of the role of the Service with children, families and the community.
- The Philosophy informs the Service's policies and procedures as well as the decisions and day-to-day practices of the staff/educators.
- The Service maintains up-to-date policies and procedures on all topics required by Section 168 of the Education and Care Services National Regulations 2011. The way these policies and procedures are communicated to parents, educators and staff, the process by which these policies and procedures are reviewed, and how changes are communicated to parents, educators and staff are detailed in the Service's *Policy and Procedure Review Policy*.

Record Keeping

- The Service keeps records according to Sections 177-184 of the Education and Care Services National Regulations 2011. Refer to the Service's *Privacy and Confidentiality Policy*.

Privacy and Confidentiality

- The Service maintains the privacy and confidentiality of all records and information about individual children, families, parents, staff/educators, students and volunteers. Refer to the Service's *Privacy and Confidentiality Policy*.

Continuous Improvement

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- The Service is committed to continuous improvement. It has processes in place to evaluate the extent to which it meets or exceeds the National Quality Standard 2009. The findings of the evaluation are used to develop the Services Quality Improvement Plan (QIP).
- Leadership and Educators within the Service will hold regular meetings to discuss quality improvement and other quality related information. Someone will be responsible for taking down meeting minutes which can be used to inform best practice and the QIP.
- Educators within the service will receive required professional development which will provide ongoing learning and growing as a team.
- Educators and families are encouraged to actively participate in the development of policies and procedures within the service.

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. Refer to the Service's *Grievance and Complaint Policy*.

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 Education and Care National Regulations 2011.

Responsibilities 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.

Procedures and forms

- N/A

Links to other policies

- Grievance and Complaint Policy
- Enrolment and Orientation Policy
- Privacy and Confidentiality Policy
- Staffing Policy
- Policy and Procedure Review Policy

Links Education and Care Services National Regulations 2011, National Quality Standard 2011

Regulation	14	Application for provider approval by individual
Regulation	15	Application for provider approval by person other than an individual
Regulation	16	Matters relating to criminal history

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

NQS	QA7.1.1	Appropriate governance arrangements are in place to manage the service
NQS	QA 7.1.2	The induction of educators, co-ordinators and staff members, including relief educators, is comprehensive
NQS	QA 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
NQS	QA 7.1.5	Adults working with children and those engaged in management of the service or residing on the premises are fit and proper
NQS	QA 7.2.1	A statement of philosophy is developed and guides all aspects of the service's operations
NQS	QA 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
NQS	QA 7.2.3	An effective self-assessment and quality improvement process is in place
NQS	QA 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
NQS	QA 7.3.2	Administrative systems are established and maintained to ensure the effective operation of the service
NQS	QA 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
NQS	QA7.3.4	Processes are in place to ensure that all grievances and complaints are addressed, investigated fairly and documented in a timely manner
NQS	QA7.3.5	Service practices are based on effectively documented policies and procedures that are available at the service and reviewed regularly

Sources

- Early Years Learning Framework 2009
- Education and Care Services National Regulations 2011
- Guide to the National Quality Framework 2018 (September 2020 Update): Section 4 – Operational Requirements <https://www.acecqa.gov.au/sites/default/files/2020-09/Guide-to-the-NQF-September-2020.pdf> accessed 20 December 2020
- ACECQA Newsletter - <https://www.acecqa.gov.au/newsletters/acecqa-newsletter-issue-6-2018>

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Further reading and useful websites *(Consistent with the approach of the National Quality Framework, the following references have prioritised efficacy and appropriateness to inform best practice, and legislative compliance over state or territory preferences.)*

- Byrne, S. (2009). *Governance and management interaction in a childcare setting*. <https://eprints.usq.edu.au/6446/> accessed 30 November 2020

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.

Version Control

Version	Date Reviewed	Approved By	Comments/Amendments	Next Review Date
1	8 January 2018	Dr Brenda Abbey (Author)	Updated to changed NQF requirements 1 February 2018. Service to modify policies to its specific needs.	
2	6 September 2019	Dr Brenda Abbey (Author)	Updated references.	
3	29 November 2020	Dr Brenda Abbey (Author)	Updated references.	
4	30 December 2020	Dr Brenda Abbey (Author)	Updated references.	
5	May 2022	ACA NSW	Updated References	December 2023