

GOVERNANCE AND MANAGEMENT POLICY

The Governance Policy provides the overall direction, effectiveness, supervision and accountability of a Service. Dalas Family Day Care is the Approved Provider and holds the legal responsibilities for operating the service. is 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 FDC service.

NATIONAL QUALITY STANDARD (NQS)

QUALITY AREA 7: GOVERNANCE AND LEADERSHIP		
7.1	Governance	Governance supports the operation of a quality service.
7.1.2	Management Systems	Systems are in place to manage risk and enable the effective management and operation of a quality service.
7.1.3	Roles and Responsibilities	Roles and responsibilities are clearly defined and understood and support effective decision-making and operation of the service.
7.2	Leadership	Effective leadership builds and promotes a positive organisational culture and professional learning community.
7.2.1	Continuous improvement	There is an effective self-assessment and quality improvement process In place.
7.2.2	Educational leadership	The educational leader is supported and leads the development and implementation of the educational program and assessment and planning cycle.
7.2.3	Development of professionals	Educators, co-ordinations and staff members performance is regularly evaluated and individual plans are in place to support learning and development.

EDUCATION AND CARE SERVICES NATIONAL LAW AND REGULATIONS	
Sec. 13	Matters to be taken into account in assessing whether fit and proper person
Sec. 14	Regulatory Authority may seek further information
Sec. 21	Reassessment of fitness and propriety
Sec. 51	Conditions on service approval
Sec. 162	Offence to operate education and care service unless responsible person is present
Sec. 164	Offence relating to assistance to family day care educators
Sec.172	Offence to fail to display prescribed information

Sec. 173	Offence to fail to notify certain circumstances to Regulatory Authority
Sec. 174	Offence to fail to notify certain information to Regulatory Authority
Sec. 175	Offence relating to requirement to keep enrolment and other documents
Sec.188	Offence to engage person to whom prohibition notice applies
29	Condition on service approval-insurance
31	Condition on service approval-quality improvement plan
55	Quality improvement plan
56	Review and revision of quality improvement plans
73	Educational program
74	Record of child assessments or evaluations for delivery of educational program
84	Awareness of child protection law
117A	Placing a person in day-to-day charge
117B	Minimum requirements for person in day-to-day charge
117C	Minimum requirements for a nominated supervisor
157	Access for parents
158	Children's attendance record to kept by approved provider
161	Authorisations to be kept in enrolment record
162	Health information to be kept in enrolment record
165	Record of visitors
167	Record of service's compliance
168	Education and care services must have policies and procedures
170	Policies and procedures to be followed
171	Policies and procedures to be kept available
172	Notification of change to policies and procedures
173	Prescribed information to be displayed
174	Time to notify certain circumstances 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

181-184	Confidentiality and storage of records
185	Law and regulations to be available

Victorian Child Safe Standards	
Standard 1	Organisations establish a culturally safe environment in which the diverse and unique identities and experiences of Aboriginal children and young people are respected and valued
Standard 2	Child safety and wellbeing is embedded in organisational leadership, governance and culture
Standard 3	Children and young people are empowered about their rights, participate in decisions affecting them and are taken seriously
Standard 4	Families and communities are informed, and involved in promoting child safety and wellbeing
Standard 5	Equity is upheld and diverse needs respected in policy and practice
Standard 6	People working with children and young people are suitable and supported to reflect child safety and wellbeing values in practice
Standard 7	Processes for complaints and concerns are child focused
Standard 8	Staff and volunteers are equipped with the knowledge, skills and awareness to keep children and young people safe through ongoing education and training
Standard 9	Physical and online environments promote safety and wellbeing while minimising the opportunity for children and young people to be harmed
Standard 10	Implementation of the Child Safe Standards is regularly reviewed and improved
Standard 11	Implementation of the Child Safe Standards is regularly reviewed and improved

RELATED POLICIES

Acceptance and Refusal Authorisation Policy Administration of First Aid Policy Assessment of FDC educators, educator assistants and persons residing at FDC care residence Assessment, Approval and Re-assessment of FDC residence and/or venue CCS Governance Policy Code of Conduct Policy Child Protection Policy Child Safe Environment Policy Control of Infectious Diseases Policy Dealing with Complaints Policy Delivery of Children to, and collection from EEC Service Policy Emergency and Evacuation Policy Engagement and Registration of Family Day Care Educators Enrolment Policy	Interactions with Children, Staff and Families Policy Keeping a Register of FDC educators, co-ordinators and educator assistants Policy Medical Conditions Policy Nutrition Food Safety Policy Payment of Fees Policy Privacy and Confidentiality Policy Probation and Induction Orientation Policy Record Keeping and Retention Policy Safe Transportation Policy Sleep and Rest Policy Staffing Arrangements Policy Student and Volunteer Policy Sun Safety Policy Technology policy Visitors to Family Day Care Residence Policy Water Safety Policy
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	Safe Use of Digital Technologies and Online Environments Policy
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PURPOSE

Dalas Family Day Care aims to ensure all legal and financial requirements are implemented and recognised through appropriate governance practices, providing quality education and care, meeting the principles, practices and elements of the Early Years Learning Framework and the National Quality Standard.

SCOPE

This policy applies to children, families, staff, and visitors of the Service.

IMPLEMENTATION

Under the Education and Care Services National Regulations, the approved provider must ensure that policies and procedures are in place in relation to the governance and management of the service (Reg. 168) and that they take reasonable steps to ensure those policies and procedures are followed (Reg.170). (ACECQA, 2021.)

Governance is the process that directs and controls our FDC Service, ensuring accountability, and supporting decision making. The approved provider, nominated supervisor, coordinator and educators of the Service accept the legal responsibilities associated with establishing, administering, and maintaining the Service. Management may include Persons with Management or Control of the Service (PMC) as defined by ACECQA. Persons with Management or Control may *participate in executive or financial decision-making or have authority or responsibility for, or significant influence over, the planning, direction or control of the activities or the delivery of the education and care service* (ACECQA 2023).

Our Service has the following established positions:

Approved Provider	Shamsa Hassan
Nominated Supervisor	
Educational Leader	
Responsible Persons	

THE APPROVED PROVIDER IS LEGALLY RESPONSIBLE FOR:

- 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 for the Service
- displaying the prescribed information as listed in Regulation 173 including the current rating levels for each quality area stated in the National Quality Standard
- ensuring background checks, including criminal history and Working with Children Checks/ Clearance, are completed for all staff, educators and educator assistants
- determining whether or not a person working in the service is a 'fit and proper person'
- provide information to the regulatory authority upon request in relation to being a 'fit and proper person'
- implementing a probation and induction orientation program to ensure Educator's, Educator assistants, and Coordinators are aware of their roles and responsibilities, understanding of the values and organisational culture of the Service, policies and procedures, child protection law and other legislation
- 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 that families of enrolled children have access to enter the educator's residences (regulation 157)
- 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
- maintaining up to date and current policies and procedures for compliance by all educators
- ensuring the health, safety and wellbeing of children and taking every reasonable precaution to protect children from harm or hazard
- confirming incident, injury, illness or trauma records are stored in a kept in a safe and secure place until the child is 25 years of age. In the event of a death of child while being cared for by the service or may have occurred as a result of an incident, the records must be kept until 7 (seven) years after the death.
- being an employer, including all legal and ethical responsibilities that this entails
- appointing staff, educators, educator's assistants and monitoring their performance
- ensuring educator qualification requirements are current
- ensuring all educators and staff have a clear understanding of the hierarchy of the Service

- 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
- ensuring the Service holds a current insurance policy for public liability with a minimum cover of \$10, 000, 000 or public liability.
- managing control and accountability systems
- reviewing the Service's budget and monitoring financial performance and management to ensure the Service is solvent at all times 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
- reviewing the work process regularly
- completing a Quality Improvement Plan (QIP) 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
- establishing clearly defined roles and responsibilities for staff, individually and as a collective, and clearly articulating the relationship between all stakeholders
- evaluating and improving the performance of staff and educators
- ensuring the educational program is based on an approved learning framework (EYLF) and contributes to each child's sense of identity and wellbeing
- complying with all other Victorian and Australian governments' legislation that impacts upon the management and operations of a Service
- ensuring all notification and reporting requirements are met regarding the National Quality Framework and other legislation (see Record keeping, Notification and Retention Policy)
- ensuring that requirements relating to the physical environment, space, equipment and facilities are met
- notifying families at least 14 days before changes to policy or procedures that:
 - affect the fees charged or the way they are collected
 - significantly impact the service's education and care of children, or
 - significantly impact the family's ability to utilise the service.

THE NOMINATED SUPERVISOR IS RESPONSIBLE FOR:

- adhering to the Education and Care Services National Law and National Regulations

- 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 the Service
- ensuring all notification and reporting requirements are met regarding the National Quality Framework and other legislation (see Record keeping, Notification and Retention Policy)
- the effectiveness of the Service's well-defined partnership between Approved Provider and Nominated Supervisor. The partnership requires clear understanding of roles and responsibilities, and regular and open communication.
- 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 (for example: Work Health and Safety; Fraud Prevention; Complaint handling)
- identifying work required for completion and delegate to the appropriate Coordinator
- ensuring educators and staff do not delegate responsibilities for which they are accountable for or have been delegated to them by the Approved Provider
- delegate all tasks in writing with a clear due date
- ensuring educators are adhering to service policies and procedures.

SERVICE PHILOSOPHY (E7.1.1)

- 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.

CODE OF CONDUCT

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

CONFIDENTIALITY

The family day care educator will keep confidential matters of each child in their care and of the child's family and shall not disclose any information to a third party other than the family day care service or as legally required to do so.

Confidential conversations will be conducted in a quiet area away from other children and parents, such conversations in relation to the health and wellbeing of the child will be documented and filed in a confidential manner.

- Reports, notes and observations in relation to family day care educators, family day care service staff and children must be objective, accurate and free from bias and negative comments including use of labels.
- Students, volunteers and/or visitors to the family day care educator's residence and/or venue will ensure that information in regard to family day care educators, family day care service staff, children and families is not discussed outside of the context in which it was heard.
- Any information received or transmitted via mobile telephone (including text/SMS) or any other electronic device (example email) shall be treated with the same confidentiality as any other written form of communication and must be stored confidentially.

The Approved Provider, Nominated Supervisor and Responsible Persons, educators, educators' assistants 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 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 Approved Provider, Nominated Supervisor, Responsible Persons, educator and educator's assistant shall continue even after the individual has completed their term and is no longer contracted to Dalas Family Day Care. The obligation to maintain confidentiality also applies to any person who is involved with Dalas Family Day Care.

(see Privacy and Confidentiality Policy)

DIGITAL TECHNOLOGIES AND ONLINE ENVIRONMENT

As part of our governance responsibilities, our Service ensures that the Safe Use of Digital Technologies and Online Environments Policy is fully embedded into practice. This includes:

- Maintaining a Device Register for all service-issued or educator-purchased business devices used for Family Day Care.
- Overseeing compliance with the Statement of Regulatory Expectations – National Model Code (SRE-NMC) for capturing, storing, and sharing children's images and videos.
- Ensuring CCTV use, where applicable, is governed by clear service rules, including parent authorisation, privacy protections, and secure storage.
- Monitoring risks associated with digital technologies, online platforms, and electronic communications to protect children, educators, and families.
- Reviewing and updating digital safety practices regularly as part of service-wide governance and risk management.

Our FDC Service will:

- Operate with integrity, accountability, and transparency in all decision-making.
- Ensure that systems are in place to manage risk, monitor compliance, and maintain accurate records, including those relating to the use of digital technologies.
- Provide regular professional development and compliance training for educators, staff, and coordinators, including training on safe digital practices.
- Promote open communication with families, respecting their rights to information, consultation, and feedback, including on matters relating to digital safety.
- Review governance practices annually or sooner if required by legislative or regulatory changes.

(See more in Safe Use of Digital Technologies and Online Environments Policy and Technology Policy)

ETHICAL DECISION-MAKING

Dalas Family Day Care 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.
- Service will do self-assessment against of quality standards and compliance using self-assessment tool
- 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

- Dalas Family Day Care 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)
- Dalas Family Day Care will adhere to the storage of confidential records outlined in the National Regulations (181-184)
- Dalas Family Day Care has a responsibility to keep sufficient records about staff, families, and children in order to operate dependably and lawfully
- Dalas Family Day Care will safeguard the interests of all children, their families, and educators, 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
- Dalas Family Day Care orientation and induction processes will include the provision of significant information to Nominated Supervisors', Coordinators, educators, educator's assistants' 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
- National Law and Regulations

(See Record Keeping, Notifications and Rotation Policy)

MANAGING CONFLICTS OF INTEREST

- Conflict of interest, whether actual, potential or perceived, must be declared by all members of the Service Nominated Supervisor/Coordinators/ Educators and Educator's Assistants are 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 where the matter is being discussed, or participate in any decisions made on that matter. The member concerned must provide the Approved Provider 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 staff, educators and educator assistants 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.

SOURCE

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).

