



Australian Children's
Education & Care
Quality Authority

These guidelines are part of a series intended to assist in the development of your service's policies and procedures required under regulations 168 and 169. They set out the main components to be included in your policies and procedures, and considerations for each component.

They should guide how you develop your policies and procedures, and are not an exact format to be followed.

GOVERNANCE AND MANAGEMENT

POLICY GUIDELINES

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

Approved providers must meet a wide range of requirements and quality processes, procedures and practices for governance and management such as:

- systems of risk management
- performance reporting
- space, equipment and facilities
- notifications and reporting
- the self-assessment and quality improvement process
- confidentiality of records.

Your policy and procedures should address these requirements, as well as quality practices relating to governance and management that align with the National Quality Standard such as those described in Quality Area 7 – Governance and leadership.

Every service is different so it is not sufficient to apply generic policies and procedures to multiple services. You will need to contextualise your policies and procedures to your service's operations and its unique context.

1. Title

Governance and management policy

2. Policy statement

The policy statement will reflect your service's philosophy and approach to governance and management.

For example:

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

3. Background

Your policy needs to include a statement of why this policy is in place.

For example:

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.

4. Legislative requirements

Your policy must be consistent with, and refer to, legislative requirements for governance and management.

Examples include, but are not limited to:

Section/regulation	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

Section/regulation	Description
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	Authorisations to be kept in enrolment record
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

When writing your policy, you will need to break down what is required under each regulation and how your service will meet these requirements. How these work in practice will be contained in your procedures.

As you reflect on your **Governance and management policy**, it might highlight the need to split its various areas into different policies and procedures that can be readily accessed by all educators and staff members to follow. For example, you may wish to have separate policies for *Service record keeping, confidentiality and storage, Service self-assessment and continuous improvement, Management systems, Management and decision-making structure, Service administration and registers, and Financial and internal control.*

5. Principles to inform your policy

All decision-making should be carried out in accordance with the principles of your service's **Governance and management policy**. Examples of principles could include, but are not limited to:

- We are accountable and transparent in all that we do. This includes the implementation of robust and effective governance and management policies and procedures.
- We seek to strengthen the service's effective operation. We have effective systems of risk management, financial and internal control, and performance reporting.
- We value the important role played by our service leaders, educators and staff. They are provided with the necessary training and support to ensure they are familiar with our policies and procedures.

6. Key terms

To make it easier for your audience, provide definitions of key terms that may not be used every day. For example:

Term	Meaning	Source
ACECQA – Australian Children's Education and Care Quality Authority	The independent national authority that works with all regulatory authorities to administer the National Quality Framework, including the provision of guidance, resources and services to support the sector to improve outcomes for children.	acecqa.gov.au
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 (Glossary)
Authorised person	Means: (a) a person who holds a current working with children check (WWCC), or equivalent; or (b) a family member of a child who is being educated and cared for by the service or the family day care (FDC) educator; or (c) an authorised nominee of a family member of a child who is being educated and cared for by the service or the FDC educator; or (d) in the case of an emergency, medical personnel or emergency service personnel; or (e) a person who is permitted under the jurisdictional working with children law to remain at the service without holding a working with children check (WWCC), or equivalent.	National Law (Section 170)
Continuous improvement	Ongoing improvement in the provision of quality education and care services. The National Quality Framework aims to raise quality and drive continuous improvement through the National Quality Standard and quality rating processes. Quality rating encourages continuous improvement and engages the approved provider and their service teams in self-assessment and documenting their performance against the National Quality Standard. Providers of high quality services regularly monitor and review their performance to guide planning and make improvements.	Guide to the NQF (Glossary)
Development of professionals	A system of regular performance review, individual learning and development plans for educators, staff and co-ordinators. Performance planning and review ensures that the knowledge, skills and practices of educators and other staff members are current, and that areas requiring further development are addressed.	Guide to the NQF (Element 7.2.3 – Development of professionals)

Term	Meaning	Source
Educational leader	<p>The educational leader is an appropriately qualified and experienced educator, co-ordinator or other individual designated in writing by the approved provider under regulation 118 to lead the development and implementation of educational programs in the service.</p> <p>For more information about the role of the educational leader, see: acecqa.gov.au/media/26531</p>	Guide to the NQF (Glossary)
Educational program	<p>A program that:</p> <ul style="list-style-type: none"> • is based on an approved learning framework • is delivered in a manner that accords with the approved learning framework • is based on the developmental needs, interests and experiences of each child; and • is designed to take into account the individual differences of each child. 	National Law (Section 168)
Fit and proper person (to be an approved provider)	<p>The regulatory authority assesses whether an approved provider or a person with management or control of a service is a fit and proper person to be involved in the provision of an education and care service.</p> <p>In determining whether they are a fit and proper person, the regulatory authority will consider:</p> <ul style="list-style-type: none"> • the person’s history of compliance with any education and care services, children’s services or education law, and any decision under one of those laws to refuse, refuse to renew, suspend or cancel a licence, approval, registration or certification issued to the person under that law • their criminal history, to the extent that it may affect their suitability for the role of provider (including working with children clearance, such as a WWCC, or teacher registration details, jurisdiction dependant) • whether they are bankrupt or insolvent • whether they have the financial circumstances to enable them to sustain ongoing operation of a service • whether they have a medical condition that may cause them to be incapable of being responsible for the service • whether they have the management capability to operate a service • actions taken under Commonwealth Family Assistance Law, including sanctions and suspensions. 	<p>National Law (Section 12)</p> <p>Guide to the NQF (Provider and service approvals – Considering an application for fitness and propriety)</p>
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 (Quality Area 7 – Governance and leadership)
Inappropriate person	<p>Means a person:</p> <p>(a) who may pose a risk to the safety, health or wellbeing of any child or children being educated and cared for by the education and care service; or</p> <p>(b) whose behaviour or state of mind or whose pattern of behaviour or common state of mind is such that it would be inappropriate for him or her to be on the education and care service premises while children are being educated and cared for by the education and care service.</p>	National Law (Section 171)

Term	Meaning	Source
Management system	A system to manage organisational risks and enable the effective management and operation of a quality service.	Guide to the NQF (Element 7.1.2 – Management systems)
Quality Improvement Plan (QIP)	<p>A document created by an approved provider to help self-assess service performance in delivering quality education and care and to plan future improvements.</p> <p>Regulatory authorities consider the service’s QIP as part of the quality assessment and rating process. The QIP does not have to be provided in any specific format, but must include:</p> <ol style="list-style-type: none"> 1. an assessment of the quality of service practices against the National Quality Standard and the National Regulations 2. identified areas for improvement 3. a statement of the service’s philosophy. 	National Regulations (Regulation 55)
Service philosophy	<p>A statement the approved provider must develop and include in their QIP that outlines the purpose and principles under which the service operates. It:</p> <ul style="list-style-type: none"> • underpins the decisions, policies and daily practices of the service • reflects a shared understanding of the role of the service among staff, children, families and the community • guides educators’ pedagogy, planning and practice when delivering the educational program. 	Guide to the NQF (Element 7.1.1 – Service philosophy and purpose)
Working with children check (WWCC)	<p>A notice, certificate or other document granted to, or with respect to, a person under a working with children law to the effect that:</p> <ul style="list-style-type: none"> • the person has been assessed as suitable to work with children; or • there has been no information that if the person worked with children the person would pose a risk to the children; or • the person is not prohibited from attempting to obtain, undertake or remain in child-related employment. 	National Law (Definitions)

7. Links to other policies

Refer to related policies and procedures, noting that all policies and procedures are relevant to the governance of a service. For example:

- 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
- Staffing
- 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
- Monitoring, support and supervision of FDC educators
- Assessment and reassessment of residences and venues for FDC
- Assessment of FDC educators, FDC educator assistants and persons residing at FDC residences
- Engagement or registration of FDC educators
- Safe transportation of children
- Water safety
- Sun protection
- Providing a child safe environment
- Enrolment and orientation
- The administration of first aid
- Engagement or registration of family day care educator assistants
- Delivery of children to, and collection from, education and care service premises
- Provision of information, assistance and training to FDC educators
- Keeping a register of FDC educators, co-ordinators and educator assistants
- Visitors to FDC residences and venues while education and care is being provided to children

8. Induction and ongoing training

State information about induction training and frequency of ongoing training and information sharing to assist managers, co-ordinators, educators and other staff to fulfil their roles effectively.

9. Policy created/reviewed

Include the date the policy was created, reviewed or changes were made.

10. Monitoring, evaluation and review

State when the policy will be reviewed and who will be responsible for this.

11. Checklist

- Have you referenced the relevant regulations and are these reflected in the policy?
- Does the title provide a clear and concise statement identifying the intent of the policy?
- Have you checked the policy requirements and referenced related legislation that applies to your service type?
- Does your policy statement provide a framework for decision-making and ensure consistent practice?
- Does your policy statement reflect your service's philosophy?
- Is it clear why this policy exists?

PROCEDURES GUIDELINES

Under the *Education and Care Services National Regulations*, an approved provider must ensure policies and procedures are in place in relation to the governance and management of the service. These guidelines are part of a series and are intended to assist in the development of your policies and procedures required under regulations 168 and 169. They are to guide you to develop your policies and procedures, and are not an exact format to be followed.

Your procedures should be written in clear and concise language, making them easy to read and understand.

The steps and guidelines you document in your procedures will not only guide your practice, but also inform regulatory authorities of educator and staff expectations and responsibilities at the service.

When thinking about your procedures for governance and management, they also need to be practical and achievable. For example, if your procedures require there to be appropriate risk management systems in place, you will need to consider the practical steps to take in different scenarios to implement this requirement.

1. Title

Governance and management procedures

2. Reference to policy and philosophy

Here you refer to your ***Governance and management policy*** as seen in your policy documents. You can reference where you will find the policy to help those looking for it.

Your procedures will also reflect your service's overall philosophy and evidence-based quality practice guidelines for governance and management.

3. Procedures

This is where you detail the way you will implement the ***Governance and management policy***.

It is the 'How to' in your service and includes specific step-by-step procedures for governance and management.

Some areas that will be outlined here will include:

- where the procedures will be kept
- when they were last reviewed
- templates and documents that might be required and/or used as a part of the procedures
- systems to monitor the implementation of the procedures.

As you reflect on your ***Governance and management policy***, it might highlight the need to split its various areas into different procedures, which will be displayed or accessed by all staff to follow in relation to their required actions. For example, you may wish to have separate procedures for *Service record keeping, confidentiality and storage, Service self-assessment and continuous improvement, Management systems, Management and decision-making structure and Service administration and registers*.

4. Roles and responsibilities

This is where you will designate specific roles and responsibilities for the people who hold different positions within your service. This needs to align with the *Education and Care Services National Regulations* (see pp. 12–14 below).

It is important to note that it is the legal responsibility of approved providers to ensure systems are in place to minimise risk and ensure health and safety procedures are implemented by the responsible people in services including FDC environments (if applicable). Ultimate responsibility lies with the approved provider to ensure their service/s are meeting the requirements under the *Education and Care Services National Law*.

When developing this section consider:

- What are the roles and responsibilities of the approved provider, responsible person, nominated supervisor, educators, other staff, volunteers, students and families in your service in relation to governance and management?
- How will you clearly define these roles and expectations and where will it be documented?
- Why are clear and robust procedures for governance and management important for children’s safety and wellbeing?
- How will you learn from the administration of these procedures to improve your practices?
- How will you ensure that the necessary tools are available so the approved provider, nominated supervisor, educators and other staff members can follow the procedures? How will they be made aware of the procedures?
- Do the roles and responsibilities reflect your service type?

An example of roles and responsibilities could include, but is not limited to:

Roles	Responsibilities
Approved provider	<ul style="list-style-type: none"> • ensure that obligations under the <i>Education and Care Services National Law</i> and <i>National Regulations</i> are met, as well as all other laws relevant to governance and management of the service • display the prescribed information in section 172 (regulation 173) • provide information to the regulatory authority upon request in relation to being a fit and proper person (sections 13, 14, 21) • ensure that the service is insured and keep evidence of this (section 51; regulations 29, 180) • ensure that the number of children at the service does not exceed the maximum in the service approval (section 51) • ensure that the family of a child at the service is allowed to enter the premises (regulation 157) • 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 (Element 7.1.1) • take reasonable steps to ensure that nominated supervisors, educators, staff and volunteers follow the <i>Governance and management policy</i> and <i>procedures</i> • 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: <ul style="list-style-type: none"> • 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. <p>Notifications and reporting</p> <ul style="list-style-type: none"> • 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 (regulations 174, 174A) • 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 (section 174; regulations 175, 176, 176A). <p>Health, safety and wellbeing</p> <ul style="list-style-type: none"> • ensure the health, safety and wellbeing of children in the service and take every reasonable precaution to protect children from harm and hazard (section 51; Quality Area 2). <p>Quality Improvement Plan (QIP)</p> <ul style="list-style-type: none"> • 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 (regulations 31, 55; Element 7.2.1) • ensure that the QIP is reviewed at least annually (regulation 56).

Roles	Responsibilities
Approved provider (cont.)	<p>Space, equipment, facilities</p> <ul style="list-style-type: none"> 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). <p>Educational needs and program</p> <ul style="list-style-type: none"> ensure that children’s educational and developmental needs are met (section 51; Quality Area 1). <p>Educators and staff</p> <ul style="list-style-type: none"> ensure that requirements relating to staffing are met, including implementing the <i>Staffing policy and procedures</i> (including regulation 84) ensure that roles and responsibilities are clearly defined, understood, and support effective decision-making and operation of the service (Element 7.1.3) ensure that the performance of educators, staff and co-ordinators is regularly evaluated and individual plans are in place to support learning and development (Element 7.2.3) ensure that a nominated supervisor, educators, staff, volunteers and contractors to whom a prohibition notice applies are not engaged by the service (section 188) ensure the educational leader is supported to lead the development and implementation of the educational program and assessment and planning cycle (Element 7.2.2). <p>Nominated supervisors and responsible person</p> <ul style="list-style-type: none"> ensure that requirements relating to the nominated supervisor and responsible person are met, including implementing the <i>Staffing policy and procedures</i> (including section 162, section 162A; regulation 117B). <p>Records and confidentiality</p> <ul style="list-style-type: none"> keep a record of the service’s 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 (regulations 158, 159, 160, 161, 162) and other documents listed in regulations 160, 177 and 178, ensure they are accurate and available to families on request (section 175). If a service approval is transferred, the documents must be transferred to the receiving approved provider (regulation 184). <p>Family Day Care</p> <ul style="list-style-type: none"> ensure requirements relating to monitoring, support and supervision of FDC educators are met, including implementing the <i>Monitoring, support and supervision of FDC educators policy and procedures</i> (section 51) ensure that requirements relating to assessments of FDC residences and approved FDC venues are met, including implementing the <i>Assessment and reassessment of residences and venues for FDC policy and procedures</i> (regulation 116) ensure that a record is kept of visitors (regulation 165) ensure that requirements relating to FDC educators meeting minimum requirements are met, including implementing the <i>Engagement or registration of FDC educators policy and procedures</i> (section 269, regulations 30, 153) ensure that requirements relating to staff records are met (regulations 153, 154) ensure that FDC educator documents are provided to the approved provider when the educator ceases to be engaged or registered with the service (regulation 179) take reasonable steps to ensure that nominated supervisors, educators, staff and volunteers follow the <i>Governance and management policy and procedures</i> 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: <ul style="list-style-type: none"> 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.

Roles	Responsibilities
Nominated supervisor/ Responsible person	<ul style="list-style-type: none"> • 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 (Element 7.1.1) • 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). <p>Notifications and reporting</p> <ul style="list-style-type: none"> • ensure that all notification and reporting requirements are met regarding the National Quality Framework and other relevant laws. <p>Health, safety and wellbeing</p> <ul style="list-style-type: none"> • ensure the health, safety and wellbeing of children in the service and take every reasonable precaution to protect children from harm and hazard (Quality Area 2). <p>Quality Improvement Plan (QIP)</p> <ul style="list-style-type: none"> • ensure there is an effective self-assessment and quality improvement process in place (Element 7.2.1). <p>Educational needs and program</p> <ul style="list-style-type: none"> • ensure that children’s educational and developmental needs are met (Quality Area 1). <p>Educators and staff</p> <ul style="list-style-type: none"> • ensure that roles and responsibilities are clearly defined, understood, and support effective decision-making and operation of the service (Element 7.1.2) • ensure that the performance of educators, staff and co-ordinators is regularly evaluated and individual plans are in place to support learning and development (Element 7.2.3) • ensure that requirements relating to staffing are met, including implementing the <i>Staffing policy and procedures</i> (Quality Area 4) • ensure that the educational leader is supported to lead the development and implementation of the educational program and assessment and planning cycle (Element 7.2.2). <p>Records and confidentiality</p> <ul style="list-style-type: none"> • ensure that requirements relating to records and confidentiality are met. <p>Family Day Care</p> <ul style="list-style-type: none"> • ensure that requirements relating to monitoring, support and supervision of FDC educators are met, including implementing the <i>Monitoring, support and supervision of FDC educators policy and procedures</i> • ensure that requirements relating to assessments of FDC residences and approved FDC venues are met, including implementing the <i>Assessment and reassessment of residences and venues for FDC policy and procedures</i> • ensure that requirements relating to FDC educators meeting minimum requirements are met, including implementing the <i>Engagement or registration of FDC educators policy and procedures</i>.
Educators	<ul style="list-style-type: none"> • must be aware of and follow the Governance and management policy and procedures • must be familiar with and implement the service’s policies and procedures, philosophy, QIP and code of conduct • ensure that requirements relating to records and confidentiality are met.
Families	<ul style="list-style-type: none"> • be aware of the Governance and management policy and procedures and address any questions to the approved provider or nominated supervisor/responsible person.

The following table will assist you in developing procedures specific to your service’s needs and context. Referring to the *Education and Care Services National Regulations* when you are writing your procedures will assist you to ensure that you are meeting your obligations.

Areas to include in your procedures	Things to consider and outline in each area (this will be specific to the context of your service)	Strategies for monitoring and implementing procedures	Related policy and/or procedures
<p>General governance and management</p> <p>Act: 13, 14, 21, 51, 172</p> <p>Regs: 29, 31, 55, 56, 104, 106–110, 116, 117, 157, 168–173, 180</p> <p>QA1</p> <p>QA2</p> <p>QA3</p> <p>QA4</p> <p>QA5</p> <p>QA6</p> <p>QA7</p>	<ul style="list-style-type: none"> • How and where to display the prescribed information in section 172 (regulation 173). • Processes for providing information to the regulatory authority upon request in relation to being a fit and proper person (sections 13, 14, 21). • How to ensure that the service remains insured and evidence of this is kept (section 51; regulations 29, 180). • Ways to ensure that the number of children at the service does not exceed the maximum in the service approval (section 51). • Processes to 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). • What quality governance and management processes, procedures and practices (in line with the National Quality Standard, especially Quality Area 7 – Governance and leadership) should be implemented. • What systems of risk management, internal control, and performance reporting are in place to ensure the viability of the service and that all financial and other obligations are able to be met. • The management structure of the service with respect to accountability and processes for monitoring risk and viability. • Developing, reviewing and approving the service philosophy and purpose, strategic direction and initiatives. • Ensuring there is an effective self-assessment and continuous quality improvement process in place, including a QIP that is kept at the premises or FDC principal office, is made available for inspection and to families (regulations 31, 55; Element 7.2.1), and is reviewed at least annually (regulation 56). • What processes are required to ensure the health, safety and wellbeing of children in the service and that every reasonable precaution is taken to protect children from harm and hazard (section 51; Element 2.1.2), and that there are relevant policies and procedures for this. • How to ensure that requirements relating to the physical environment, space, equipment and facilities are met, including regulations 104, 106, 107, 108, 109, 110, 116, 117 and Quality Area 3. • How to ensure that children’s educational and developmental needs are met (section 51; Quality Area 1). 	<ul style="list-style-type: none"> • Make sure your policy and procedures are available for all to access. • Appoint an appropriately trained and experienced leadership team. • Develop and adhere to a service budget and other systems of financial control. • Document the service process for ongoing self-assessment, planning and review against the National Quality Framework. • Align program delivery with continuous quality improvement planning. • Provide management, educator and staff training and regular updates and reviews on risk management and accountability. • Develop systems, templates or documents as needed for the individual policies and procedures. 	<p>Nutrition, food and beverages, dietary requirements</p> <p>Sleep and rest</p> <p>Dealing with medical conditions in children</p> <p>Dealing with infectious diseases</p> <p>Incident, injury, trauma and illness</p> <p>Emergency and evacuation</p> <p>Excursions</p> <p>Interactions with children</p>

Areas to include in your procedures	Things to consider and outline in each area (this will be specific to the context of your service)	Strategies for monitoring and implementing procedures	Related policy and/or procedures
<p>Records and confidentiality</p> <p>Act: 175</p> <p>Regs: 158, 159, 160, 167–172, 177, 178, 181, 182, 183, 184</p> <p>QA1</p> <p>QA2</p> <p>QA3</p> <p>QA4: 4.1</p> <p>QA6: 6.1.1</p> <p>QA7: 7.1.2</p>	<ul style="list-style-type: none"> Where you will keep a record of the service’s compliance with the information listed in regulation 167. The process for ensuring that enrolment and other documents listed in section 175 will be kept at the service or FDC residence or venue and be available for inspection by an authorised officer (section 175). How you will ensure that records are kept confidential and not divulged except as permitted under regulations 181 and 182. How you will ensure that records are stored safely and securely for the period set out in regulation 183, and how they will be disposed of after that time. Where you will keep enrolment and attendance records (regulations 158, 159, 160, 161, 162) and other documents listed in regulations 160, 177 and 178, and how you will ensure they are accurate and available to families on request (section 175). If your service approval is transferred, the process for ensuring the documents will be transferred to the receiving approved provider (regulation 184). 	<ul style="list-style-type: none"> Have a dedicated physical space for the secure storage of paper records and an up-to-date, protected computer system and software for the secure storage of electronic records. Regularly review the systems used to store, retain and dispose of records. Process to regularly update relevant records. 	<p>Enrolment and orientation</p>
<p>Notifications and reporting</p> <p>Act: 173, 174</p> <p>Regs: 168–172, 174, 174A, 175, 176, 176A</p> <p>QA2: 2.2.2, 2.2.3</p> <p>QA6: 6.1</p> <p>QA7: 7.1.2</p>	<ul style="list-style-type: none"> Systems for ensuring notification and reporting requirements are met for the National Quality Framework, family assistance, taxation, child protection (Element 2.2.3), and other relevant laws. How to ensure that the regulatory authority is notified about the approved provider and operational changes, and changes in relation to the nominated supervisor, as detailed in section 173 (regulations 174, 174A). How to ensure that the regulatory authority is notified 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 National Law has been contravened (section 174; regulations 175, 176, 176A). How educators and staff will be supported to understand the different types of incidents and which would require notification to the regulatory authority (Element 2.2.2). How you will develop and appropriately store records of notifications. 	<ul style="list-style-type: none"> Create a timeline of reporting requirement dates. Develop reporting templates where relevant. Provide educator and staff induction training, standalone training sessions, and regular updates and reviews at team meetings on incidents and notifications. 	<p>Dealing with medical conditions in children</p> <p>Incident, injury, trauma and illness</p> <p>Dealing with complaints</p>

Areas to include in your procedures	Things to consider and outline in each area (this will be specific to the context of your service)	Strategies for monitoring and implementing procedures	Related policy and/or procedures
<p>Nominated supervisor/responsible person, educators and staff</p> <p>Act: 161, 188</p> <p>Regs: 83, 84, 117A, 117B, 126, 127, 128, 136, 168–172</p> <p>QA1</p> <p>QA2</p> <p>QA4</p> <p>QA5</p> <p>QA6</p> <p>QA7</p>	<ul style="list-style-type: none"> How you will ensure that any requirements relating to the nominated supervisor, responsible person and staffing are met, including implementing the <i>Staffing policy and procedures</i> (section 162; regulations 84, 117B; Quality Area 4; Element 7.1.3). How you will ensure that roles and responsibilities are clearly defined, understood, and support effective decision-making and operation of the service (Element 7.1.3). The most effective approach for regularly evaluating the performance of educators, staff and co-ordinators and to develop individual plans to support learning and development (Element 7.2.3). What recruitment processes will be needed so that a nominated supervisor, educators, staff, volunteers and contractors to whom a prohibition notice applies are not engaged by the service (section 188). How best to support the educational leader to lead the development and implementation of the educational program and assessment and planning cycle (Element 7.2.2), e.g. opportunities for discussions with educators, mentoring, leading reflective practice. 	<ul style="list-style-type: none"> Develop systems, templates or documents as needed for the individual policies and procedures. Develop clearly defined position descriptions, responsibility statements and accountability systems to be included in the induction process. Develop clear procedures for recruitment and selection. Create a checklist for the engagement or recruitment process to ensure all aspects are addressed and that the nominated supervisor, educational leader, educators, staff, volunteers and contractors meet requirements. 	<p>Staffing</p> <p>Interactions with children</p>
<p>FDC-specific</p> <p>Act: 51, 269</p> <p>Regs: 30, 116, 153, 154, 165, 168–172, 179</p> <p>QA2</p> <p>QA3</p> <p>QA4</p> <p>QA7</p>	<ul style="list-style-type: none"> What processes will be needed to ensure that requirements relating to monitoring, support and supervision of FDC educators are met, including implementing the <i>Monitoring, support and supervision of FDC educators policy and procedures</i> (section 51). How to ensure that any requirements relating to assessments of FDC residences and approved FDC venues are met, including implementing the <i>Assessment and reassessment of residences and venues for FDC policy and procedures</i> (regulation 116). Processes to ensure that a record is kept of visitors (regulation 165). How to ensure that any requirements relating to FDC educators meeting minimum requirements are met, including implementing the <i>Engagement or registration of FDC educators policy and procedures</i> (section 269; regulations 30, 153). How to ensure that requirements relating to FDC educator assistants and staff records are met (regulations 153, 154). Processes to ensure that FDC educator documents are provided to the approved provider when the educator ceases to be engaged or registered with the service (regulation 179). 	<ul style="list-style-type: none"> Develop systems, templates or documents as needed for the individual policies and procedures. 	<p>Staffing</p> <p>Monitoring, support and supervision of FDC educators</p> <p>Assessment and reassessment of residences and venues for FDC</p> <p>Assessment of FDC educators, FDC educator assistants and persons residing at FDC residences</p> <p>Engagement or registration of FDC educators</p>

5. Procedures created/reviewed

Include the date the procedures were created or reviewed.

6. Monitoring, evaluation and review

Your service, in consultation with educators and other key staff, families and other stakeholders, should review the effectiveness of these procedures within a set timeframe or earlier if there is a change in relevant legislation.

State when the procedures will be reviewed and who will be responsible for this.

7. Checklist

- Do the **Governance and management procedures** align with your **Governance and management policy**?
- Have your procedures been written in plain English and can they be easily implemented by an educator or staff new to your service?
- Is it clear who is responsible for the implementation of the procedures?
- Are all educators and staff aware of the procedures and can implement them if required?
- Do you need to develop any resources to monitor and record the procedures?

USEFUL RESOURCES

Include links to useful resources that have helped inform the development of your policy. Be mindful of any state or territory specific content.

Some examples include, but are not limited to:

- ACECQA – FDC approved provider compliance responsibilities
[acecqa.gov.au/media/22851](https://www.acecqa.gov.au/media/22851)
- ACECQA – Guide to the National Quality Framework
[acecqa.gov.au/nqf/about/guide](https://www.acecqa.gov.au/nqf/about/guide)
- ACECQA – Meeting the NQS
[acecqa.gov.au/resources/research/meeting-nqs](https://www.acecqa.gov.au/resources/research/meeting-nqs)
- ACECQA – Occasional Paper 5: Quality Area 7: Leadership and management in education and care services
[acecqa.gov.au/media/25871](https://www.acecqa.gov.au/media/25871)
- ACECQA – Opening a new service
[acecqa.gov.au/resources/opening-a-new-service](https://www.acecqa.gov.au/resources/opening-a-new-service)
- ACECQA – Quality Area 7 resources
[acecqa.gov.au/nqf/national-quality-standard/quality-area-7-governance-and-leadership](https://www.acecqa.gov.au/nqf/national-quality-standard/quality-area-7-governance-and-leadership)
- Australian Government – My business health
[asbfeo.gov.au/my-business-health/home](https://www.asbfeo.gov.au/my-business-health/home)