



## GOVERNANCE & MANAGEMENT POLICY

### AIM

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

### PROCEDURE:

#### The Approved Provider will –

- Ensure the safety health and wellbeing of all children within the service. (National Law Section 51)
- Ensure a program meets the educational and developmental needs of the children within the service. (see Program Policy) (National Law Section 51)
- Hold a current policy of insurance and maintain evidence of these policies (Regulation 29, 180)
- Ensure the service has policies and procedures as set out in the National Regulations (Regulation 168)
- Ensure the Nominated Supervisor, a person with management or control OR a person in day-to-day charge is always present at the service. (National Law Section 162)(Regulation 117B)
- Ensure the prescribed information is displayed as per the National Law and Regulations (National Law 172)
- Ensure the Regulatory Authority is notified of the removal and/or change of the Approved Provider, Nominated Supervisor and/or person with management or control and any other matters under section 173 of the National Law.
- Ensure the Regulatory Authority is notified of any serious incidents, complaints alleging that a serious incident has occurred, complaints that the National Laws have been contravened and information relating to any other prescribed matters. (National Law 174)
- Ensure all staff, student, volunteers and visitors hold a current and approved Working with Children Check. (Law 188)
- Ensure all persons identified in Regulation 84 (2) are advised of the existence and application of current child protection law and any obligations under that law. (Staff Policy and Student/Volunteer Policy)
- Ensure that all notifications made to the Regulatory Authority are made within the prescribed timeframes. (Regulation 174, 176)
- Ensure the prescribed documentations are kept for the period they are required as per their relevant Regulations (Section 175; Regulations 158, 159, 160, 161, 162, 167, 177, 178, 181, 182, 183, 184)
- In the case of any conflicts of interest the Approved Provider will make any decisions or directions with the interests, rights and wellbeing of the child as the paramount consideration. The rights and wellbeing of the child will always prevail.

#### The Nominated Supervisor will

- Report any conflicts of interest to the Approved provider immediately
- Ensure the maximum number of children enrolled does not exceed the maximum number in the service approval. (Section 51)
- Maintain the Quality Improvement Plan in collaboration with the Management, Educators, Families and Children. This will be available for inspection by the Regulatory Authority and any families who are enrolled or are intending to enrol their child. (Regulation 31)

- Ensure that requirements relating to the physical environment, space, equipment and facilities are met (Regulations 104-110, 116, 117)
- Ensure all records are maintained, kept and disposed of as per the National Laws and Regulations. (Regulations 158-167)
- Ensure all service policies and procedures are maintained and followed.
- Ensure the confidentiality of records being kept is maintained (Regulation 181)
- Ensure that Educator and Staff roles and responsibilities are clearly defined and understood.
- Ensure the performance of Educators and Staff are regularly evaluated and individual plans support professional learning.
- Ensure all management volunteers complete a prohibited person's check before commencing at the preschool.
- Ensure all management members have signed a confidentiality and code of conduct agreement when accepting their position.
- Ensure systems are in place to ensure the financial solvency, financial strength and good performance of the service. (annual budget, ongoing monitoring and performance reporting to the management at meetings)
- Ensure all WH&S issues are included in the service report to the management at the monthly meetings.
- Ensure all reporting obligations are met annually (Attached)
- Ensure that two Staff authorise all payments and two Management signatures sign off on all bank transactions.
- Ensure all NSW Health orders and Department of Education directives are adhered to and shared with all stakeholders.

#### Attachments

#### **Reporting Obligations**

#### **Prescribed Timeframes for record keeping.**

(Reviewed annually with NQF and QIP)

**Date last amended** May 2026

## Attachment: Prescribed Timeframes for Record Keeping

Records and documents required to be kept at the service (Regulation 183)			
Type of record	Responsibility	Timeframe	Reference
Evidence of current public liability insurance  Note: Does not apply if the insurance is provided by a state or territory government	Approved provider  Family day care educator	Ongoing  Available for inspection at service premises or family day care office	Regulations 29, 30, 180
Quality improvement plan	Approved provider	Ongoing, to be revised annually	Regulations 31, 55, 56
Child assessments or evaluations for delivery of the educational program	Approved provider (Centre-based services)  Family day care educator	Until the end of 3 years after the child's last attendance	Regulations 74, 183, 177(1)(a)  Regulation 178(1)(a)
Incident, injury, trauma and illness record	Approved provider  Family day care educator	Until the child is 25 years old	Regulations 87, 183, 177(1)(b)  Regulation 178(1)(b)
Medication record	Approved provider  Family day care educator	Until the end of 3 years after the child's last attendance	Regulations 92, 183, 177(1)(c)  Regulation 178(1)(c)
Child attendance record	Approved provider  Family day care educator	Until the end of 3 years after the last date on which the child was educated and cared for by the service	Regulations 158, 183, 177(1)(k)  Regulation 159; Regulation 178(1)(d)
Child enrolment record	Approved provider  Family day care educator	Until the end of 3 years after the child's last attendance	Regulations 160, 183, 177(1)(l)  Regulation 178(1)(e)
Death of a child while being educated and cared for by the service	Approved provider	Until the end of 7 years after the death	Regulations 12, 183(2)(c)
Record of service's compliance history	Approved provider	Until the end of 3 years after the approved provider operated the service	Regulations 167, 183(2)(e)

## Records and documents required to be kept at the service (Regulation 183)

Type of record	Responsibility	Timeframe	Reference
<b>For centre-based services only</b>			
Staff record	Approved provider	Until the end of 3 years after the staff member works for the service	Regulations 145, 183(2)(g)
Record of access to early childhood teachers	Approved provider	Until the end of 3 years after the staff member works for the service	Regulations 152, 183(2)(f)
Record of educators working directly with children	Approved provider	Until the end of 3 years after the staff member works for the service	Regulations 151, 183(2)(f)
Record of volunteers and students, contact details and days in attendance	Approved provider	Until the end of 3 years after the volunteer or student attended the service	Regulations 149, 183(2)(f)
Record of responsible person in day-to-day charge including nominated supervisors placed in day-to-day charge	Approved provider	Until the end of 3 years after the staff member works for the service	Section 162 Regulations 145, 150, 177