



## Governance and Management Policy

### Relevant Legislation

Education and Care Services National Law and Regulations: 168,169,170,171 and 172.

Children (Education and Care Services National Law Application) Act 2010.

National Quality Standard for Early Childhood Education and Care and School Age Care: Standard 7.1; Element 7.2.7; Standard 7.3.

### Introduction

Governance is the system or process by which organisations are directed, controlled and held accountable to ensure that the right decisions are made. With this in mind this policy recognises the importance of having a framework of rules, relationships, systems and processes within and by which authority is exercised and controlled within our preschool organisation. We view good governance and management as essential to our provision of quality education.

A philosophy of collaboration provides the framework for this policy and associated procedures. Our volunteer committee plays a central role in the governance of our community based preschool. We value our volunteer committee, striving to sustain and develop their knowledge, skills and enthusiasm for early childhood education. As an organisation we make every effort to reflect the unique nature of our community and welcome family input which takes into account the needs of families, children and educators/staff in the operation of our preschool.

### Policy Goals

To ensure our preschool has good governance we will:

- ❖ Conduct our affairs legally, ethically and with integrity;
- ❖ Identify organisational risks and legal obligations and manage these through policies and relevant processes; and
- ❖ Ensure that mechanisms are in place for fair and transparent governance.
- ❖ Ensure the long term viability of our preschool service for our community.

## Strategies: What will we do?

### Management

The management of our preschool is overseen by the Management Committee. The Management Committee is accountable .

### Management Committee Roles

The Management Committee will

- Have overall responsibility to members for the sustainability and relevance of our preschool.
- Be responsible for the long term viability of our
- Direct its activities towards implementing the preschool's Quality Improvement Plan which reflects the preschool's goals and the National Quality Framework.
- Be responsible for guiding and monitoring the preschool's business and affairs in line with the objects as set out in the organisation's rules and in line with the preschool's philosophy.

The Management Committee

- Undertakes to maximise the value and contribution of the preschool to the community.
- Understands its collective and individual responsibility to serve the interests of the preschool members, employees and families and children using the service.
- Will ensure the rights of the child are paramount in all decision making.

The Management Committee is

- the employer of all staff in our preschool organisation
- is responsible for the management and control of the Preschool as the Approved Provider of education and care under the ***Children (Education and Care Services National Law Application) Act 2010 and the Education and Care Services National Regulations.***

### Policies

The Management Committee will:

- Ensure that a comprehensive set of policies are in place as required under *Education and Care Service Regulations* and other Regulations and laws that the service must comply with;
- Ensure that these policies comply with relevant legislation;
- Update these policies every 5 years and on a needs basis.

## Compliance Measures

### The Nominated Supervisor will provide the Management Committee with:

- The preschools Compliance tool Checklist and compliance calendar to assess that the preschool organisation's policies are implemented;
- The Committee Checklist to assist each new committee.

## Constitution

### The Management Committee will:

- Ensure that Tathra Preschool's Articles of Association are followed at all times,
- Ensure that the Articles of Association are reviewed at least every three years; and
- Ensure that each new member of the Management Committee is provided with a copy of the organisation's constitution and *Quality Improvement Plan* on their appointment to the Management Committee.

## Management Committee Powers

### The Management Committee

- Sets the strategic direction and monitors performance of the organisation.
- Will provide effective governance to ensure excellent overall management of the organisation's business and financial objectives.
- May delegate any of their powers (with the exception of the power of delegation and responsibilities as Approved Provider) to a committee of directors, a director, an employee or any other person.
- Delegates the responsibility of implementing the strategic plan and day-to-day management of the organisation to the Nominated Supervisor. Is bound by the Associations Act/Corporations Act, the Constitution and all policies of the organisation.

### The Board's/Management Committee's authority includes:

- Overseeing the organisation including its control and accountability systems;
- Appointing and removing the Director;
- Ratifying the appointment of all staff members;
- Developing organisational strategy and performance objectives;
- Reviewing, ratifying and monitoring systems of risk management and internal control, codes of conduct, and legal compliance;
- Monitoring the Directors performance and implementation of the National Quality Framework, with reference to Tathra Preschool's Philosophy, Quality Improvement Plan and Business Strategic Plan.
- Approving and monitoring financial and other reporting;
- Authorising appropriate delegations within the preschool;

- Ensuring appropriate resources are available to carry out the preschool's functions; and
- Approving and monitoring the progress of major capital expenditure.

## **Risk Management**

### **The Management Committee will:**

- Ensure the Preschool operates with and to a valid Constitution/Articles of Association and that all governance and management practices of the Management Committee and staff align with the Constitution/Articles of Association;
- Demonstrate achievement of this through accessible meeting minutes and Management Committee self-assessments; and
- Assist Board members to receive ongoing support and professional development in the implementation of effective and evidence based governance practice.

## **Code of Conduct**

### **With respect to their role the Management Committee members will:**

- Commit themselves to ethical, businesslike, and lawful conduct, including proper use of authority and professional decorum.
- Demonstrate un-conflicted loyalty to the interests of the organisation.
- Avoid conflicts of interest.
- Annually disclose their involvement with other organisations or companies that currently do business or may do business with the organisation;
- Immediately disclose any and all impending conflicts of interest. That member shall absent herself or himself without comment from both the deliberation and final decision-making;
- Not use information for personal gain and will respect the confidentiality of all information obtained.
- Respect the confidentiality appropriate to issues of a sensitive nature.

## **Management Committee Meeting Procedures**

The nominated supervisor will participate in an ex officio capacity in the meetings of the management committee. At these meetings the nominated supervisor will present a progress report including any concerns or different aspects of education and care, details of incidents, accidents and outstanding debts, and provide information to assist the management committee in its decision making tasks.

An educator/staff representative may be invited to attend the management committee meeting or appointed in an ex-officio capacity to the management committee. The role of this member will be to provide an educator/staff perspective, raise issues decided at staff meetings on behalf of the staff body and feedback information to other staff members at staff meetings. It may be useful for the educator/staff member to provide a short written report for the committee.

Communication between the management committee and staff in relation to their work or the operation of the service will be via the nominated supervisor and/or educator/staff representative, or the staff liaison officer (nominated from the management committee). Individual committee members, when they are at the service, will only have direct contact with educators/staff members

- As a parent/guardian in relation to their child's participation at the service;
- At social functions;
- Whilst accompanied by the nominated supervisor.

Committee members will have due regard for the harmonious operation of the service when requesting access to the service's resources, records etc for the purpose of fulfilling their committee responsibilities. All requests for access will be made through the nominated supervisor who will determine a mutually convenient time. The service policy on Confidentiality and Privacy will be strictly observed.

All members of the Association are welcome to attend General Meetings. If an ordinary Association member, who is not on the management committee, wishes to attend a management committee meeting to raise an issue for discussion they must write to the management committee to ask that their issue be included on the agenda. They will then be invited to attend the meeting to speak to their agenda item only. As much of the work of the management committee is of a confidential nature the ordinary Association member will not be permitted to stay for the remainder of the meeting. The minutes of all meetings are available to members of the Association and will available in a folder in the parent library.

Association members may call a special General Meeting in accordance with the Association's Constitution to address specific issues or grievances.

Much of the work of the committee will be achieved through sub-committees. Membership of subcommittees will be open to all members of the Association and invited professionals. Families will be actively encouraged to participate. Sub-committees must present their recommendations to the management committee for endorsement prior to any action. Sub-committees cannot make decisions or act on behalf of the service without management committee endorsement.

Management committee members will be asked to identify their training needs and encouraged to attend relevant training to enhance their skills and participation in committee tasks. The management committee will ensure provisions for committee member training and development is included in the annual budget.

All management committee members should be aware of the grievance policy and should conflict arise the grievance procedure should be set in place and all steps adhered to. Where parties cannot resolve issues a mediator may be contracted to assist in resolving

the conflict. If after mediation the conflict is still unresolved the committee member in dispute will be required to stand down. Matters must not be left unresolved for longer than 2 months.

## **Evaluation**

Tathra preschool as an organisation is recognised for effective governance management practices. The organisation's philosophy is adhered to, its goals are reached and the collective preschool community continues its quality improvement journey. Organisational risks and legal obligations are identified and managed through policies and relevant processes.

## **Schedule of Delegations**

We believe that a clear schedule or chart of delegations is one of the components of good governance. The following table outlines a schedule which will support committee members in their roles and responsibilities.

## Financial Management

FUNCTION	RESPONSIBILITY	PROCESS	APPROVAL
Annual Audit Report	Treasurer	Treasurer, Director and Administration Assistant liaise with Auditor	Management Committee
Annual Audit Report	Treasurer	Treasurer, Director and Administration Assistant liaise with Auditor	Management Committee
Acquittals	Director	Management Committee	Management Committee
Annual Budget	Management Committee / Treasurer	Prepared by Treasurer, Director and Administration Assistant	Management Committee
Bad Debt Write-off	Management Committee	As recommended by Director	Management Committee
Client Fee Schedule	Management Committee	Fee Schedules developed by Director and Admin Assistant	Management Committee
Funding Applications	Director	Director to prepare applications, Management Committee to assist in identifying funding where possible	Management Committee
Funding Agreements and variations	Management Committee	Reviewed by Director	Management Committee
Financial Reports	Administration Assistant	Reviewed by Treasurer and presented to Management Committee Meeting	Management Committee
Monthly Schedule of payments	Administration Assistant	Checked by Director	Management Committee in accordance with expense delegations
Opening/closing of bank accounts	Accounts signatories	Recommended by Director & Administration Assistant	Management Committee
Payroll Approval & Payment: - Up to \$30,000	Administration Assistant	Pay run generated by Administration Assistant and payment authorised via on-line banking	Director
Payroll Approval &	Director	Pay run generated by Administration	Treasurer

Payment: - over \$30,000		Assistant and payment authorised via on-line banking	Management Committee & Director
Superannuation Approval & Payment	Administration Assistant	Report generated by Administration Assistant and payment authorised via on-line banking	Director
Insurance Premiums: Up to \$5000 pa. eg. Workers' Compensation	Administration Assistant.	Policy renewals reviewed by Director & reported to the Management Committee	Director.
Insurance Premiums: Over \$5000 pa. eg. Public Liability	Director.	Policy renewals reviewed by Director & reported to the Management Committee	Director
Purchase Approvals for supplies and equipment: - Up to \$3000.	Administration Assistant.	Purchase Requisition from employees	Director
Purchase Approvals for supplies and equipment: - Over \$3000.	Administration Assistant.	Purchase Requisition from employees	Management Committee
Purchase Approvals for Assets & Repairs: Under \$3000	Administration Assistant.	Purchase Requisition from employees	Director
Purchase Approvals for Assets & Repairs: Over \$3000	Administration Assistant.	Purchase Requisition from employees and in accordance with strategic plan	Management Committee

## Planning and Reporting

FUNCTION	PREPARATION	PROCESS	APPROVAL
Monthly Report to Management Committee	Director	Director provides monthly report summarising key activities of Preschool	Management Committee
Management Committee Meeting Agendas	Chairperson	In consultation with Director submitted to the Management Committee prior to meeting	Management Committee
Staff Meetings	Director	Director prepares agenda & facilitates staff meetings. Minutes of to be presented to the Management Committee	Staff



## Procedures and Forms

- Tathra preschool Committee Handbook
- Committee Checklist for new Management Committee
- Compliance Tool Checklist
- Compliance and Maintenance Schedule
- Appraisal Policy:
  - Appendix A Performance Appraisal Procedure and Forms.
- Committee Minutes Proforma
- Attendance record
- Authority to Administer Self-administer medication Form
- Enrolment Form
- Enrolment Handbook
- Grievance Procedures

## Links to other Policies

- Accidents, Emergencies and First Aid
- Confidentiality and Privacy policy
- Enrolment and Orientation
- Excursions
- Grievances and Complaints Policy
- Health Hygiene and Infection Control
- Medication and Medical Conditions
- Payment of fees
- Guiding Children's Behaviour Policy
- Staff Induction Policy
- Staff Appraisal Policy
- Confidentiality and Privacy Policy
- Staff Immunisation Policy
- Grievances and Complaints Policy
- Interaction with Children Policy
- Arrivals and Departures Policy
- First Aid Policy
- Emergency Procedures Policy
- Sun Protection Policy
- Water Safety Policy
- Health Hygiene and Infection Control
- Incident, Injury, Trauma, Illness Policy
- Medication and Medical Conditions
- Work Health and Safety Policy
- Nutrition Policy
- Staff ,Student, Volunteer Induction Policy
- Child Protection Policy

## Sources and References

Privacy Law. Access website [www.privacy.gov.au/law](http://www.privacy.gov.au/law)

Early Childhood Australia (ECA). Code of Ethics. Access website: [www.earlychildhoodaustralia.or.au/codeofethics](http://www.earlychildhoodaustralia.or.au/codeofethics)

DEEWR (2009). Belonging Being and Becoming: The Early Years Learning Framework for Australia. [www.deewr.gov.au](http://www.deewr.gov.au).

DEEWR child Care Services Handbook 2011-2012. (Department of Education, Employment and Workplace Relations). Website : [www.deewr.gov.au](http://www.deewr.gov.au)

- *Section 4.1 - Legal responsibilities for operating a service*
- *Section 4.2 - Business type and provision of documentation*
- *Section 5.1 - Compliance monitoring*
- *Section 5.2 - Approved child care services*
- *Section 5.3 - Sanctions, offences and financial penalties*
- *Section 5.4 - Eligibility rules*
- *Section 5.5 - Key obligations imposed on approved child care services under family assistance law*
- *Section 5.6 - Cooperation with authorised officers under the Act - inspection of records and monitoring of compliance*
- *Section 5.7 - Compliance with all applicable laws imposed by the Australian Government and the state and territory where the service is located*
- *Section 5.8 - Allocation of child care places not to be exceeded*
- *Section 5.9 - Some other things services should know about the family assistance law and associated rule*
- *Section 5.11 - Responsibilities under funding agreements*

Tathra Preschool Enrolment Handbook.

Community Child Care (2010) *So Now You are On the Committee: A handbook for committee members of children's services*

Community child Care Co-operative : NQF in a Box: [www.cccnsw.org.au](http://www.cccnsw.org.au)

National PSC Alliance : [www.pscalliance.org.au](http://www.pscalliance.org.au)

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