

Including Confidentiality of Records

POLICY AIM

To ensure the accuracy and secure record-keeping of information relating to childcare enrolments, attendances, and CCS payments by detailing the procedures relating to roles in the organisation, background checks, access to third party software, training, compliance and reporting.

RATIONALE

Governance is the process by which organisations are directed, controlled and held to account. It encompasses authority, accountability, stewardship, leadership, directions and control exercised in the organisation (Australian National Audit Office, 1999).

The governance of an organisation is concerned with the systems and processes that ensure the overall direction, effectiveness, supervision and accountability of a service. Under the *National Law* and *National Regulations*, early childhood services are required to have policies and procedures in place relating to the governance and management of the service.

An approved provider under *Family Assistance Law* must accept the legal responsibilities associated with operating a childcare service (or services) and passing fee reductions on to eligible parents (or guardians) if childcare payments are paid by the Commonwealth for those parents' benefit. All administrative processes in place in Sweetpeas services must support the integrity of data supplied to the Australian Government.

Sweetpeas will manage CCS payments and any data relating to childcare service management securely and accurately to ensure compliance with the expectations of the Australian Government.

SCOPE - WHO IS AFFECTED BY THIS POLICY?

- Owners/Management
- Educators
- Staff
- Families

NATIONAL QUALITY STANDARD

QUALITY AREA 7 - GOVERNANCE AND LEADERSHIP

- Standard 7.1 (Governance) - *Governance supports the operation of a quality service.*
- Element 7.1.2 (Management Systems) - *Systems are in place to manage risk and enable the effective management and operation of a quality service.*
- Element 7.1.3 (Roles and responsibilities) - *Roles and responsibilities are clearly defined, and understood, and support effective decision making and operation of the service.*

RELATED POLICIES & LEGISLATION

RELATED SWEETPEAS POLICIES:

- Confidentiality Policy
- Determining Responsible Person Policy
- Ethical Code of Conduct Policy
- Enrolment and Orientation Policy
- Fees Policy
- Handling Grievances and Complaints Policy
- Staff Recruitment Policy

RELATED EDUCATION AND CARE SERVICES NATIONAL LAW AND REGULATIONS:

- Law Part 2 - Provider Approval
- Law Part 3 - Service Approval

- Law Part 6 - Operating an Education and Care Service
- Regulations Part 2.1: Provider Approvals
- Regulations Part 2.2: Service Approvals
 - Division 1 - Applications for service approvals
 - Division 3 - Transfer of service approval

RELATED LEGISLATION:

- A New Tax System (Family Assistance) (Administration) Act 1999
- A New Tax System (Family Assistance) Act 1999
- Family Assistance Legislation Amendment (Jobs for Families Child Care Package) Act 2017

TERMINOLOGY

- **Additional Child Care Subsidy (ACCS)** - An addition to the CCS, which aims to assist families and children facing barriers in accessing affordable childcare, and provide additional fee assistance to families and children who are genuinely disadvantaged including:
- **Approved Provider** - The approved provider is the legal entity that has the approval for running a service and is legally responsible for managing the service.
 - authorise data submission transactions to the Child Care Subsidy System
- **CCS Personnel** - Persons with designated roles to manage
- **Child Care Subsidy (CCS)** - Child Care Subsidy (CCS) is the regular payment that assists eligible families with the costs of childcare. CCS is paid directly to Sweetpeas to be passed on to families as a fee reduction. It reduces the fees that a family pays to Sweetpeas for the care of their child.
- **Child Care Subsidy System (CCSS)** - the online system used to administer the CCS
 - childcare bookings and scheduling data submission through the CCS software
 - children at risk of serious abuse or neglect - ACCS (child wellbeing)
 - families experiencing temporary financial hardship - ACCS (temporary financial hardship)
- **Family Assistance Law** - Reference to one of the Acts related to the provision and regulation of the Child Care Subsidy, including the three listed above.
 - grandparents on income support who are the principal carer of their grandchildren - ACCS (grandparent)
- **Hubworks!/HubHello** - The registered CCS software utilised by all Sweetpeas Kindergarten and Long Day Care Centres. The Hubworks! program sits on the HubHello platform.
 - low income families transitioning to work from income support - ACCS (transition to work)
 - manage complying written agreements
 - manage enrolments and electronic sign in sign out systems on site
- **National Law** - Education and Care Services National Law 2010
- **National Regulations** - Education and Care Services National Regulations 2011
- **Nominated Supervisor** - A Nominated Supervisor is approved as a suitable, fit and qualified person by the Regulatory Authority and appointed by the Approved Provider to oversee the day-to-day operations of the service.
- **Responsible Person** - A person, nominated by the Approved Provider and/or Nominated Supervisor, to be designated a responsible person in day-to-day charge of the service when the above are not in attendance.

GLOSSARY OF ABBREVIATIONS

- ACCS - Additional Child Care (see above for description)
- CCS - Child Care Subsidy (see above for description)
- CCSS - Child Care Subsidy System (see above for description)
- DESE - The outgoing Federal Department of Education, Skills and Employment succeeded in July 2022 by the new Department of Education.
- WWCC - Working With Children Check

BACKGROUND

Sweetpeas Group Pty Ltd, trading as Sweetpeas Kindergarten and Long Day Care Centre - St Clair has been operating since January 2021 and is the Approved Provider of the St Clair service.

Operating hours are 7.00AM-6.00PM, Monday-Friday.

Organisational Structure

THE APPROVED PROVIDER IS:

Sweetpeas Group PTY LTD (PR-40021333).

PERSONS WITH MANAGEMENT OR CONTROL OF THE APPROVED PROVIDER ARE:

- Damian Busst,
- Michelle Collins, who holds a *Certificate III in Early Childhood Education and Care* with 6 years' experience,
- Janine Evans, who holds an *Associate Diploma in Social Science (Child Studies)* and has had 29 years' experience (over 13 years of directing a service).

These are people who participate directly or indirectly in the decision making or management of childcare services operated by the Approved Provider.

These people may:

- change bank account details and other information regarding the childcare service
- add and remove other persons, such as persons responsible for the day-to-day operation of the service from the CCSS
- authorise data submission transactions to the CCSS
- notify the NSW Department of Education and Training of the cessation of operations
- submit an application to add or remove a service.

PERSON OR PERSONS RESPONSIBLE FOR THE DAY-TO-DAY OPERATION OF THE CHILDCARE SERVICE (CCS PERSONNEL):

- Nominated by the persons with management or control of the approved provider (see *Determining Responsible Person Policy*) are educators fulfilling the role of Responsible Person. These educators include service Assistant Directors, St Marys Director, and most fit and proper educators qualified with a Diploma or above.
 - *At this time no one at Sweetpeas, other than those persons with management or control of the approved provider, has been nominated as both Responsible Person and CCS Personnel.*
 - In the future selected Responsible Persons may be nominated as CCS Personnel with designated roles to manage enrolments and electronic sign in sign out systems on site
- Administration Staff with designated roles and functions related to the CCS (e.g., managing childcare bookings, scheduling and data submission) may in the future be nominated as CCS Personnel.

These people may:

- add and remove persons responsible for the day-to-day operation of the service in the CCSS software,
- authorise data submission transactions to the CCSS,
- manage enrolments, scheduling of hours and complying written agreements,
- notify the NSW Department of Education and Training of changes in respect of the service for which they are responsible (excluding bank account details and cessation of operations).

Current persons nominated as Responsible Persons at Sweetpeas St Marys (but NOT as CCS Personnel) are:

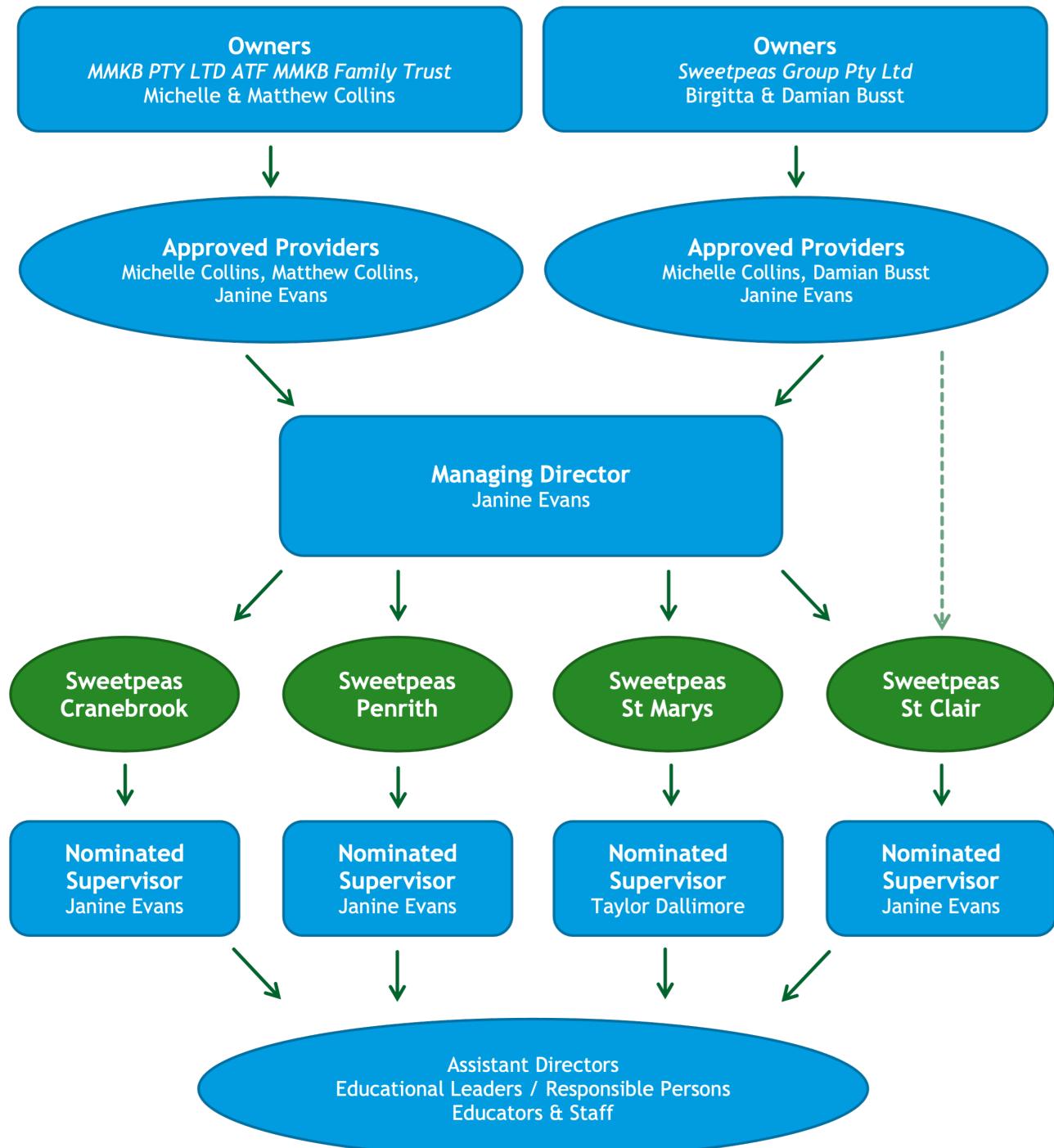
- Cassandra Way (ECT) - Assistant Manager
- Cassandra Irvine-Dixon (ECT) - Assistant Director
- Sarah Williamson - Assistant Director
- Nadine Payne - Educator (2IC)
- Linda Lind - Educator
- Zali Dolan - Educator

CCS Governance & Management Policy

These persons can view each day's attendance list in the HubHello system, and sign children in or out when families fail to record their attendance, however they **do not** have the required permissions to submit attendances or other information via the CCSS software (see below - *Access to Software*).

- HubHello records which staff member as recorded a child's attendance.
- Families must confirm accurate sign in/out times when they next log in
- Only Managing Director, Janine Evans has the required permissions to submit attendance records and any other information via the CCSS software (see below - *Access to Software*)
- For the audit process regarding these records, see below - *Data Quality*.

DIAGRAM [DECISION MAKING HIERARCHY]



CCS PROCEDURES

Sweetpeas and its staff will adhere to the following procedures and respond in a timely manner to a breach of this policy and procedure.

Sweetpeas uses Hubworks! software to manage all administrative systems pertaining to the Sweetpeas services and the CCS system, including:

- recording attendance and absences,
- providing Statements of Entitlement,
- invoices, and
- receipts.

BACKGROUND CHECKS

The Approved Provider and/or Nominated Supervisor will ensure any person with management or control of the provider provide the following checks to be considered **fit and proper persons** to be involved in the administration of CCS and ACCS:

- A copy of the results of a bankruptcy search conducted through the Australian Financial Security Authority (AFSA) website.
- A copy of the results of a National Police Check obtained from the NSW police service or an agency accredited by the Australian Criminal Intelligence Commission (ACIC).
- A current and historical personal name extract obtained through the Australian Securities and Investments Commission (ASIC) website.
- Evidence that the person does not appear on the banned and disqualified register held by the ASIC (in the form of a computer printout of the results of the search).
- Details of their NSW Working With Children Check (WWCC).

Persons with responsibility for day-to-day operation of the service, who have been nominated as CCS Personnel must provide:

- A copy of the results of a National Police Check obtained from the NSW police service or an agency accredited by the ACIC,
- Details of their NSW WWCC,
- Their PRODA RA number (where applicable).

Employees are provided access to Hubworks! software on the HubHello platform only after obtaining a satisfactory National Police Check, passing their WWCC, registering with PRODA and completing training with a member of Management (see Staff Induction and Training below).

THIRD-PARTY SOFTWARE SECURITY

Sweetpeas maintains a contract with Hubworks! who provides the enrolment/booking processes but also the CCMS submission system to manage session reports/submission, report absences and electronic submission requirements. Hubworks! boasts high standards in Government compliance, including:

- Data sovereignty - all data is hosted onshore on Amazon Web Services in Sydney.
- Disaster recovery - Deployed across multiple AWS availability zones within the Sydney region.
- Backups created using streaming replication. Encrypted and stored offsite using AWS S3 / Glacier.
- HubWorks! is registered by the Federal Department of Education, Skills and Employment and abides with the CCSS and CCMS IT Security and Development Principles for Software Providers.
- 256-bit encryption and SSH used for all communication between nodes.
- HubHello platform supports over 6,000 active early childhood education and care services.
- Abides with the Australian Government's 13 Australian Privacy Principles.
- Approved against Department of Services Australia's 'Secure Cloud Strategy for Integrated Third-Party Software' aligned with the Digital Transformation Agency's Secure Cloud Strategy.

Hubworks! ensures that a family/guardian's details are handled with maximum security.

ACCESS TO SOFTWARE AND ROLES

- The Managing Director, Janine Evans, will have secure access to Hubworks! to oversee all functions, including

- the enrolment process (arrangement for care of a child, submission of enrolment notice, ceasing enrolment) and submission of weekly session reports to the CCSS
- the financial components of Hubworks to complete Statement of Entitlement and invoices family for fees, less reduction amounts
- Responsible Persons will have access to enrolment and attendance information for verification purposes to ensure accuracy of the session reports via the HubHello platform.
- Educators at each childcare service will assist to identify children who require extra support through the Additional Child Care Subsidy (ACCS) (child wellbeing).
- Parents and guardians are given secure access to third-party software (HubHello platform) for the purposes of signing children in/out in real time and confirming attendances/absences, but only for their listed children.
- Each employee of Sweetpeas is issued their own username and password for the HubHello platform upon completing their induction to the service.
- Usernames and passwords are only issued to the persons for whom they are created and only retained by the Managing Director.
- Management can allocate privileges in HubHello to control what staff and educators see or access in HubWorks!
- Management can also see who has actioned what and when via the detailed audit log. The audit log details any and all actions, including the updating of attendance information and contains a filter function for ease of monitoring certain actions, people or periods of time.

STAFF INDUCTION AND TRAINING

1. All staff working for Sweetpeas are required to have a current WWCC, the details of which are retained by the service. (see *Staff Recruitment Policy*)
2. Relevant 1:1 training and induction (e.g. webinars, FAQs) will be provided for each party who will be using the Hubworks software.
3. All staff will be provided with access to a copy of the *Child Care Provider Handbook*,
4. All staff will be given a position description outlining their role in the management of the CCS, including training and support to fulfil the role and tasks within the position description.
5. All staff will be provided training as to their responsibilities under *Family Assistance Law*.
6. Staff will be provided ongoing training and support and informed of any changes to the *Family Assistance Law* or CCS.

EVALUATION TO ENSURE STAFF TRAINING HAS BEEN EFFECTIVE

- The Managing Director conducts bi-annual performance reviews to ensure all staff are meeting department key performance indicators.
- Any updates to service or Government policy are shared via group messaging to ensure thorough and consistent communication.
- Individual progress meetings are held at regular intervals.
- The Managing Director consistently reviews and reflects on the business practices to ensure all regulatory requirements are met in an accurate and reduced risk manner.
- A full audit process is in place within the software package that allows any entry to be traced to whom completed the action.
- Any concerns in relation to fraud or adverse risk are identified, documented and investigated as a matter of urgency.
- The provider of the data management system, HubHello, may be contacted by telephone with follow up emails in the case of suspected errors or fraud. This ensures a documented history of the investigation process.
- The Managing Director will determine the investigation path and who should be involved to ensure a timely resolution and notification requirements are met.
- Once commenced, this investigation process will be shared with the Approved Provider and, depending on the investigation, may involve Responsible Persons to ensure a quick and thorough investigation.
- Should fraud be detected, the relevant Manager will notify the required authorities.

DATA QUALITY

Random data checks are carried out a minimum of twice per month by persons with management and control (see *Organisation Structure* above) through the internal audit checking process to ensure accuracy of data

records and reports. Session reports must include information as outlined in the Child Care Provider Handbook.

The Hubworks! system includes the Quarantine function, which catches errors services make before they go to Government. This gives the service a chance to fix and resubmit in a very timely manner without needing to make adjustments to data sent to the Government.

The Customer Service Manager provides feedback to the Hubworks! in relation to any data reports that may not be accurate. Hubworks! responds to Sweetpeas in a timely manner to ensure data reports meet regulatory requirements and business needs. Enquiry reference numbers are maintained to ensure a trace of enquiries is possible if required.

FRAUD PREVENTION OR DETECTION/RISK/AUDIT PROCESS

The internal audit checking process includes:

1. Random data checks carried out by persons with management and control a minimum of twice per month, including checks on:
 - a. CWA's,
 - b. schedules,
 - c. session reports,
 - d. statements of entitlement, and
 - e. fees.
2. Biannual internal audit check by the Managing Director.
3. The Approved Provider completes the external audit process once per year. The Nominated Supervisor provides to the Approved Provider:
 - a. copies of all Complying Written Agreements,
 - b. a copy of weekly schedules of all children to compare CWA's,
 - c. as well as reconciliations of individual parent accounts with CCS payments received and Bank Statements.
4. If an issue is identified, an investigation will be triggered, advice sought if necessary and reporting of any substantiated breach to appropriate authority. Depending on the situation, staff discipline procedures may have to be implemented (see *Ethical Code of Conduct Policy*).

RECORD KEEPING

Sweetpeas keeps and maintains records of the following:

- complaints made relating to compliance with Family Assistance Law,
- a record of attendance for each child for whom care is provided (regardless of eligibility for CCS), including records of any absences from care,
- statements or documents demonstrating that additional absence days in excess of the 42 allowable absence days satisfy requirements,
- copies of invoices and receipts issued for the payment of childcare fees,
- copies of all Statements of Entitlement issued, and any statements issued to advise that there was a change of entitlement,
- any notice given to a state or territory body about a child at risk of abuse or neglect,
- copies of the evidence and information provided with an application for approval about persons with management or control of a provider and persons responsible for the day-to-day operation of a service,
- any evidence or information produced to obtain police checks and working with children checks for personnel and to support any statements about these checks in an application for provider or service approval,
- written records of all required background checks for specified personnel (incl. persons with management or control of the provider, persons responsible for the day-to-day operation of the service, service contacts)

As per requirements, Sweetpeas written records may include records that are made and stored electronically, as long as they are stored safely and any changes, apart from incidental changes related to their storage and display, are also recorded.

Records are to be kept for seven years.

NOTIFICATIONS

Sweetpeas will notify the Department of Education of any of the following changes to our service(s) via our CCSS software, within the timeframe specified:

Matters to be notified	Timeframe for notification
Any change to the fee information.	Within 14 days of any of the following: <ul style="list-style-type: none"> • commencement of the service • notice of approval of the service • any change.
Any change to the operating hours.	Within 14 days of: <ul style="list-style-type: none"> • commencement of the service • notice of approval of the service • any change.
The number of anticipated full-day vacancies for each day of the following week (beginning on a Monday).	By 8.00 pm (AEST) each Friday.
Ceasing to operate an approved childcare service	Within 24 hours after ceasing to operate the service.
Change of physical or postal address of: <ul style="list-style-type: none"> • the provider • the premises from which any of the provider's approved childcare services operate. 	No later than 30 days before the change or, if the change was not foreseeable at that time, as soon as practicable.
Change to the name of the provider or service	Within 14 days after the change.
Change of any of the following contact details of the provider or of any of the provider's approved childcare services: <ul style="list-style-type: none"> • email address • website • telephone number • fax number. 	Within 14 days after the change.
Information about any new person: <ul style="list-style-type: none"> • with management or control of the provider (including any person who becomes responsible for the day-to-day operation of any Sweetpeas approved childcare services) <p>The information must include:</p> <ul style="list-style-type: none"> • the name and contact details of the new person • a declaration that Sweetpeas has undertaken all background checks required for the new person, together with details of the new person's WWCC, if applicable. 	Within seven days after the new person becomes a person with management or control of the provider.
Change of the name or contact details for any of the following persons: <ul style="list-style-type: none"> • a person with management or control of the provider • any person who is responsible for the day-to-day operation of any of the provider's approved services 	Within seven days after the provider becomes aware of the change.
The provider becomes aware, because of a background check undertaken for a specified person, that the person: <ul style="list-style-type: none"> • has a serious conviction or finding of guilt for any of the following offences under a law of Australia or of a foreign country 	Within seven days after the provider receives a record of the check.

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<ul style="list-style-type: none"> ○ an indictable offence punishable by a maximum of two years imprisonment or 40 penalty units ○ an offence involving violence or a sexual offence ○ an offence involving fraud, stealing or dishonesty <ul style="list-style-type: none"> • is an undischarged bankrupt, or • was a director or secretary of a corporation when the corporation went into administration, receivership or liquidation, or at any time during the 12 months beforehand. 	
<p>An event or circumstance in relation to a person with management or control of the provider (including a person responsible for the day-to-day operation of any of the provider's approved childcare services) that reasonably indicates that the person is not likely to be a fit and proper person to be involved in the administration of Child Care Subsidy.</p>	<p>Within seven days after the provider becomes aware of the event or circumstance.</p>
<p>A person stops having management or control of the provider (including when a person stops having day-to-day responsibility for the operation of any of the provider's approved child care services).</p> <p>The provider must also notify the Secretary of the Department of Education of when, and the reason, the person stopped having management or control of the provider.</p>	<p>Within seven days after the person stops having management or control of the provider.</p>
<p>An educator obtains a childcare qualification from a registered training organisation and:</p> <ul style="list-style-type: none"> • the provider or person with management or control has an interest in that registered training organisation by virtue of which the provider or person owns, operates, controls or carries out the registered training organisation, and either • it appears that the educator has not obtained the qualification solely on her or his own merit • the qualification has otherwise been obtained in circumstances that might be perceived as demonstrating a conflict of interest. 	<p>Within seven days after the provider becomes aware of the matter.</p>
<p>A provider or a person with management or control of the provider obtains an interest, or is likely to obtain an interest, in a business which may affect their ability to comply with Family Assistance Law, where the approval may benefit the business or where a conflict of interest might reasonably be perceived to exist.</p>	<p>Within seven days of the provider becoming aware of the matter.</p>
<p>Change in the WWCC for anyone who is required to have such a card under section 195D of the A New Tax System (Family Assistance) (Administration) Act 1999—for example, if the card is amended, suspended or revoked.</p>	<p>Within 24 hours after the provider becomes aware of the change of status.</p>
<p>The provider enters into administration, receivership, liquidation or bankruptcy, and the details of this event.</p>	<p>Within 24 hours after the event.</p>
<p>Unexpected closure of any of Sweetpeas approved childcare services due to unforeseen circumstances.</p>	<p>Within 24 hours after the closure.</p>
<p>A serious conviction or finding of guilt of:</p> <ul style="list-style-type: none"> • a person with management or control of the provider (including a person who becomes responsible for the day-to-day operation of any of the provider's approved child care services). 	<p>Within 24 hours after the provider becomes aware of the charging, conviction or finding of guilt.</p>

ENROLMENT PROCESS (SEE ALSO SWEETPEAS ENROLMENT AND ORIENTATION POLICY)

- Parents complete a bookings form with the days and hours they are seeking.

- Staff confirm with the family if the days and times are available and advise the parent to commence registration through MyGov.
- The enrolment is set up in Hubworks and a complying written agreement is generated from the software.
- Parents sign the CWA which is then filed in the child's record and an enrolment notice is generated.
- If a family asks to vary/change care arrangements, a new CWA is generated from Hubworks, schedules are altered, and parents sign the new CWA.

ADDITIONAL CHILDCARE SUBSIDY (ACCS) (SEE ALSO SWEETPEAS FEES POLICY)

- Applications for ACCS (child wellbeing) are submitted for the first 6 weeks through Hubworks, if a child is identified who meet the at-risk criteria.
- Subsequent applications for the same child are submitted after consultation with relevant persons/agencies or authorities with the appropriate information and letters of support provided.
- Staff continue to liaise with the parent/guardian and relevant agencies to assess if the child requires continued support through ACCS.

STATEMENT OF ENTITLEMENT

Statements of entitlement are issued fortnightly after the care has been provided. These are issued through the Hubworks software by email or mail depending on the parent's preference.

BREACH OF POLICY

In the case of a breach of this policy and procedure, the following process will be followed:

- All information is to be documented and stored securely including details of the breach, name of parties involved, time and date of breach.
- Details of the breach to be discussed with relevant parties and investigated by Sweetpeas Management.
- Sweetpeas Management will make recommendations to prevent a similar breach and to initiate disciplinary procedures.

COMPLAINTS

If parents, carers, volunteers, or employees have a complaints or concerns about practices relating to the administration of subsidies, they are advised to contact:

- The Department of Education and Training Child Care Tip-Off Line:
 - Phone: 1800 664 231
 - Email: tipoffline@education.gov.au.

REGULATORY PROCEDURES

IN RELATION TO POLICIES:

The Approved Provider and/or Nominated Supervisor will:

- Ensure that a comprehensive set of policies are in place, as required under **Regulation 168** and other Regulations and Laws that the service must comply with.
- Ensure that policies are in place to fulfil the service's obligations and responsibilities under **Family Assistance Law**.
- Ensure that these policies comply with any other relevant legislation.
- Update these policies on a regular basis; particularly when there is a change to legislation.
- Will involve staff and families in the development and or review of policies wherever required.

COMPLIANCE MEASURES

- Any time the Nominated Supervisor is not on the premises, a substitute Responsible Person who is physically present is placed in charge of the service's day-to-day operations.
- The details of the Nominated Supervisor and the Responsible Person are clearly displayed in the main entrance of the service (**National Law 172, Regulation 173**).

- The Nominated Supervisor ensures that the service's staffing arrangements meet regulatory requirements, including ratios, at all times.
- Ensure that the service is meeting requirements by doing regular checks of procedures throughout the service.
- Ensure that the Quality Improvement Plan is regularly updated to outline areas of improvement and ensuring compliance at all times as outlined in **Regulation 55**.
- Whenever uncertain about compliance in any area the Nominated Supervisor will contact relevant authorities to get clarification.

RISK MANAGEMENT

The Approved Provider and/or Nominated Supervisor will:

- Ensure risk assessments are conducted on the service whenever necessary, including excursions as required in **Regulation 100**.
- All educators are required to hold a WWCC and be cleared for the service before commencement.
- Uphold **Regulation 84** of the National Regulations, regarding maintaining awareness of the existence of child protection laws and the obligations of educators and other employees in NSW.
- Ensure that all staffing arrangements meet requirements and premises layouts are designed for effective supervision purposes thus eliminating many risks posed to children in the education and care setting **Regulation 120, 122, 123, 130, 131, 132, 242, and 271**. (Note the modification to **Regulation 123** in that NSW Educator to Child ratios are different. Refer to **Regulation 271**).

PRACTICES

In order to achieve and maintain the service's aims and philosophy, Management will monitor the financial viability and accountability of the centre while also ensuring that:

- Funds are expended appropriately according to any funding and budgets.
- The program is operating within budget.
- Required paperwork is submitted to the relevant funding agencies.
- Any additional financial requirements are completed (e.g. Taxation office).

Management will also:

- Develop with staff and the community an overall philosophy for the centre, and policies and practices in line with that philosophy.
- Consult with staff and the community on policies and management decisions, and enable staff to implement them in order to maintain quality education and care.
- Provide avenues for effective communication between staff and the Directors.
- Employ and support staff in their roles, and ensure the relevant awards and conditions of employment are complied with.
- Encourage training and development of staff in their roles,
- Facilitate the participation of staff and management in budget planning to enable cost effective management of the service.
- Provide leadership, forward planning and guidance to the service, particularly in relation to developing a strategic culture and directions.
- Be responsible for overseeing legal functions and responsibilities.
- Ensure that Sweetpeas Kindergarten and Long Day Care Centre complies with the **Commonwealth Privacy Act 1988** and follows the standards of **Australian Privacy Principles** to regulate the way in which our service manages personal and sensitive information.

CODE OF CONDUCT (SEE ETHICAL CODE OF CONDUCT POLICY)

Staff and Management will:

- Commit themselves to ethical, and lawful conduct, including proper use of authority and professional decorum when acting as Approved Provider, Nominated Supervisor or Responsible Persons.
- Demonstrate un-conflicted loyalty to the interests of the organisation.
- Avoid conflicts of interest with respect to their role.
- Ensure confidentiality of all personal information of staff, educators, families, and children within the service.

- Upkeep a statement of philosophy for the service and ensure all others do as well.
- Not use information exclusive to Sweetpeas Kindergarten and Long Day Care Centres for personal gain and will respect the confidentiality of all information obtained during meetings or through their role.
- Respect the confidentiality appropriate to issues of a sensitive nature regarding families.
- Treat other persons fairly, courteously and without discrimination, harassment or bullying.
- Uphold the rights of children as set out in the **United Nations Convention on the Rights of the Child**.
- Be respectful of, and responsive to, persons of all ethnicities, cultures, values and beliefs.

The Approved Provider and/or Nominated Supervisor will monitor and handle any grievances within the service in a timely manner.

INFORMATION DISPLAYED

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

APPROVED PROVIDER DETAILS

To claim Child Care Subsidy, Sweetpeas must be approved by a delegate of the Secretary of the Department of Education by showing the required evidence and information to ensure ongoing compliance with the *Family Assistance Law*.

REQUIRED INFORMATION INCLUDES:

Provider & Service Approval Number	PR-40021333 SE-40018403		
Business Name	Sweetpeas Group PTY LTD		
Trading Name	Sweetpeas Kindergarten and Long Day Care Centre St Clair		
Contact Person	Janine Evans		
Telephone	(02) 9834 6011		
Mobile	0418 218 280		
Email	sweetpeaskindystclair@gmail.com		
Address	131 Explorers Way, St Clair NSW 2759		
NQA ITS Details	Are you registered? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>		
Provider Entity Name	Sweetpeas Kindergarten and Long Day Care Centre St Clair		
ABN	38		
Relevant Entity Documents (Financial Statements, signed partnership agreement etc) provided	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>		
PRODA RA Number and Contact Details	8411363072		
Working with Children Check	WWCC Number WWC0004424E	Expiry Date 27/06/2023	State/Territory NSW

Details in which the provider or their personnel have an interest	Managing Director, Janine Evans
External Management Organisation	Is your Service under the management of an external group? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>
Number of years of operation	1.5

The approved Service can only be operated by the Approved Provider and must continue to be delivered as the same type of service that was approved. If the Service is sold to another provider, that provider will need to obtain its own separate approval and continue to comply with any conditions of their approval.

SWEETPEAS BUSINESS STRUCTURE

The following information describes the type and size of our childcare service operation, including personnel, recruitment and professional development strategies, fee structure, philosophy and financial position.

Entity Type (Partnership, Private Company, Sole Trader, Public Company etc)	Family Trust
Information provided with application for provider approval	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
Number of Managers	3
Number of operation personnel	8
Structure of the business	See diagram page 7
Number of sites and locations	1
Service Type	Long Day Care

ST CLAIR OPERATIONAL STRUCTURE

Days of Operation	Monday to Friday	
Hours of Operation	7.00am - 6.00pm	
Weeks of Operation	50 weeks - closed 2 weeks Dec / January	
Fee Schedule	\$105 per day	
Number of Licensed Children	30	
Services Provided	All Meals, education, preschool program	
Current Employees & Qualification	Name	Qualifications
	Cassandra Way	ECT
	Cassandra Irvine-Dixon	ECT
	Janine Evans	Diploma
	Sarah Williamson	Diploma
	Nadine Payne	Diploma

	Linda Lind Jenny Koutsouras Zali Dolan	Diploma Diploma Certificate III (WT Dip)
Collection of Fees	<ul style="list-style-type: none"> Payment types accepted: EFTPOS (credit card, debit card) and electronic bank transfer Centrelink arrangements [Managed via Hubworks] Bond arrangements: Families pay one bond - one week full fees per day of enrolment. 	
Liabilities	n/a	

NON-COMPLIANCE RISK MANAGEMENT

To ensure our continued commercial, operational and financial viability Sweetpeas will maintain a current Quality Improvement Plan, Professional Development and Training Plan, Personnel files, Professional Indemnity and Public Liability Insurance and a Child Care Management System.

TYPE OF RISK	PREVENTION / STRATEGIES IN PLACE	ACTION TO BE TAKEN
CCS Compliance	Hubworks / HubHello	Weekly checks of attendance and corrections
Insurances	Building, liability, workers comp	Automatically renewed
Service Competition	<ul style="list-style-type: none"> Service uses educator's self-awareness Quest for quality cards as prompts and reflection of routines and teaching through the day We also use children's voices to ensure improvements are reflecting their wants and needs Parent input and complaints 	Continuous improvement is weekly for programming and routines it is also agenda item for critical reflection in meetings
Submission of attendees	Managed via Hubworks. Submit a statement to reflect this.	Ongoing
Submission of vacancies	Managed via Hubworks. Submit a statement to reflect this.	Ongoing
Staff Skills and Knowledge	<p>Goals are set evaluated, reset and evaluated.</p> <p>Staff evaluate knowledge and educational leader works to assist completion of goals through mentoring or professional development</p>	Quarterly or if needed
Accurate Data Reports	Managed via Hubworks. Submit a statement to reflect this.	Daily & weekly overall checks

CONFIDENTIALITY POLICIES

RESPONSIBILITIES FOR THE APPROVED PROVIDER

- Ensure that each family, staff, volunteers and student and committee member are provided with a privacy collection statement upon enrolment, that includes details about how they can access their personal information, have this corrected as needed, make a complaint about a breach of privacy, if one occurs. This can also be accessed on our website at <https://www.sweetpeaskindergarten.com/policies>
- Ensure each staff member, committee members, volunteers and student information is correct in personnel and other files. This includes information on qualifications, WWCC, criminal history checks, staff entitlements, contact and emergency information, health and immunisation information, and any relevant medical and legal information. This would include any other relevant information collected by the service.
- Ensure that information collected from families, educators, committee members and the community is maintained in a private and confidential manner at all times.
- Ensure that such information is not divulged or communicated (directly or indirectly) to another person other than the ways outlined as appropriate in the Education and Care Services National Regulations 181, which says information can be communicated:
 - To the extent necessary for the education, care or medical treatment of the child;
 - To the parent of the child to whom the information relates (except for information in staff records);
 - To the regulatory authority or an authorised officer;
 - As authorised, permitted or required to be given by or under any act or law; and
 - With written consent of the person who provided the information.
- Ensure families are informed upon enrolment how images/photographs of their children will be used on the Internet and/or publications.
- Provide families with information on the Complaints and Feedback procedure if any privacy or confidentiality procedure has been breached. Individuals can make a complaint to the Approved Provider if they believe there has been a breach of their privacy in relation to the Privacy principles. The breach will be assessed by the Approved Provider within 14 days. Where the information collected is incorrect, the information will be corrected. Where a serious breach of privacy is found, appropriate actions will be negotiated between the Approved Provider and the individual to resolve the situation, in line with the Complaints and Feedback procedure.
- Will ensure information provided by families, staff and committee members is only used for the purpose it was collected for.

RESPONSIBILITIES FOR THE NOMINATED SUPERVISOR

- Ensure each families' information is correct in enrolment records.
 - This includes information on immunisation updates, income and financial details (credit card or bank information), contact details of family and emergency contact information, children's developmental records, Family Assistance information, and any medical or legal information - such as family court documentation - required by our education and care service.
 - This would include any information required to be recorded under the National Law and Regulations, the Family Assistance Law other relevant information collected to support the enrolment of a child.
- Provide families with details on the collection of personal information. This information may include:
 - The types of information collected by our education and care service;
 - The purpose of collecting information;
 - What types of information will be disclosed to the public or other agencies; and when and why disclosure may occur;
 - How information is stored at the service;
 - Approaches used to keep information secure;
 - Who has access to the information;
 - The right of the individual to view their personal information;
 - The length of time information needs to be archived; and
 - How information is disposed.
- Ensure information provided by families and staff is only used for the purpose it was collected for.

STORAGE OF INFORMATION

Ensure that education and care service records, personnel records, CCS information and children's and families information is stored securely, reducing the chance of unauthorised access, use or disclosure and remains private and confidential within the education and care environment at all times.

ACCESS TO INFORMATION

- Ensure that information kept is not divulged or communicated, directly or indirectly, to anyone other than:
 - Medical and developmental information that is required to adequately provide education and care for the child;
 - The Department of Education and Communities, or an authorised officer; or
 - As permitted or required by any Act or Law.
- Individuals will be allowed access to their personal information as requested. Individuals must request this information in writing from the Nominated Supervisor. Authorised persons may request to view any information kept on their child.
- Information may be denied under the following conditions:
 - Access to information could compromise the privacy of another individual;
 - The request for information is frivolous or vexatious; and
 - The information relates to legal issues, or there are legal reasons not to divulge the information such as in cases of custody and legal guardianship

RESPONSIBILITIES FOR EDUCATORS

- Always maintain children's information and store documentation according to policy.
- Do not share information, without written permission or legislative authority, about
 - the education and care service,
 - management information,
 - other educators,
 - children and families.
- In keeping with the Early Childhood Australia (ECA) Code of Ethics (2008), the Education and Care Services National Regulations and the Privacy Legislation, educators and staff employed by our education and care service bound to respect the privacy rights of children enrolled and their families; educators and staff and their families and any other persons associated with the service.
- Educators will sign a Confidentiality Statement as it relates to privacy and confidentiality of information.

RELATED PHONE NUMBERS

Early Childhood Education and Care Directorate - 1800 619 113

The Department of Education and Training Child Care Tip-Off Line: 1800 664 231

REFERENCES

- Australian Children's Education and Care Quality Authority (ACECQA) - <https://www.acecqa.gov.au/>
- Australian Privacy Principles - www.oalc.gov.au
- Child Care Provider Handbook - <https://www.dese.gov.au/child-care-package/child-care-provider-handbook>
- Child Care Subsidy - <https://www.servicesaustralia.gov.au/child-care-subsidy>
- Children (Education and Care Services National Law Application) Act 2010 - <https://www.legislation.nsw.gov.au/acts/2010-104.pdf>
- Children and Young Persons (Care and Protection) Act 1998 - <https://www.legislation.nsw.gov.au/#/view/act/1998/157/full>
- Commonwealth Privacy Act 1988
- Early Childhood Australia (ECA) - <http://www.earlychildhoodaustralia.org.au/>
- Education and Care Services National Regulations - <https://legislation.nsw.gov.au/view/html/inforce/current/sl-2011-0653>

- Family Assistance Law - <https://www.dese.gov.au/child-care-package/compliance-child-care/family-assistance-law>
- Freedom of Information Act 1982
- List of registered child care software - <https://www.dese.gov.au/child-care-package/resources/list-registered-child-care-software>
- NSW Associations Incorporation Act 2009 - <https://www.legislation.nsw.gov.au/#/view/act/2009/7>

REVIEW AND AMENDMENTS

This policy will be updated regularly to ensure compliance with all relevant legal requirements. Appropriate consultation of all stakeholders (including staff and families) will be conducted on a timely basis. In accordance with *Regulation 172* of the National Regulations, families of children enrolled will be notified at least 14 days and their input considered prior to any amendment of policies and procedures that have any impact on their children or family.

Version	Amendment(s)	Review Date	Updated By
3.	<ul style="list-style-type: none"> • Regulations updated • Staff updated • Formatting • NQS & Regulations Added • Added new service 	June 2020	Janine Evans (Nominated Supervisor)
3.1.	<ul style="list-style-type: none"> • Updated to include current philosophy, current fees current staff 	July 2021	Janine Evans (Nominated Supervisor)
4.	<ul style="list-style-type: none"> • Staff • Formatting • NQS & Regulations added • Added new position - Managing Director • Current fees, current address 	July 2022	Janine Evans (Managing Director)
4.1.	<ul style="list-style-type: none"> • Added more information on CCS Procedures and Family Assistance Law responsibilities <ul style="list-style-type: none"> ◦ Background Checks ◦ Date Quality ◦ Audits ◦ Record Keeping • Added relevant terminology section • Rearranged order for better flow with new sections 	August 2022	Cassandra Way (Assistant Manager) and Janine Evans (Managing Director)
4.2.	<ul style="list-style-type: none"> • Added additional info on Responsible Persons • Added section titled “Third-party software security” • Added further clarification to Access Software section • Added clearer staff training evaluation • Added more info to Audit section and renamed it “Fraud Prevention or Detection/Risk/Audit Process” • Updated policy version numbering 	August 2022	Cassandra Way (Assistant Manager)