



YMCA NSW

Cook + Phillip Park Aquatic & Fitness Centre
Ian Thorpe Aquatic Centre

Child Protection & Culture Internal Audit Review
June 2015



1. Executive summary

Focus of the Internal Audit review

This review was planned and conducted by YMCA NSW Internal Audit in response to the findings of the BDO and Academy Network reviews engaged by the City of Sydney in early 2014 to determine if Child Protection framework and Culture concerns have been satisfactorily addressed. The City of Sydney will conduct a follow-up review in June 2015.

Key findings

Good controls in place

Our review of YMCA NSW Child Protection framework and Culture highlighted that improvements have been made within the organisation through:

- **Revised Child Protection Policies and related Procedures** aligned with Child Protection regulations;
- **Widespread comprehension** of Policies and Procedures and reporting;
- **Compliance with training requirements**;
- **Improved employee record keeping**;
- **Good cultural feedback** from employees across both CoS sites.

The key findings are summarised as follows:

1. **Minor instances of non-conformance** in relation to inductions, Code of Conduct and Child Protection Policy training.
2. **Minor instances of a lack of full comprehension** of mandatory reporting obligations in relation to allegations of inappropriate conduct toward children, young people and vulnerable adults.
3. Opportunity for management at ITAC to **increase their level of presence and for management at both sites to improve the consistency of the messages** communicated to employees.
4. Opportunity to **enhance the promotion of learning and development opportunities**.

Key Management Actions

Management have committed to the following actions to the findings noted above:

1. The employee with outstanding Induction, Code of Conduct and Child Protection Policy training will complete these requirements. **Timing: 1 July 2015**
2. Management have already committed to quarterly Child Protection training, however this will be tailored to address the requirement for a stronger focus on mandatory reporting obligations. **Timing: Ongoing (quarterly)**
3. Review and revise the clarity and consistency of key internal management communications. **Timing: Ongoing**
4. Develop and implement a Performance Management system that utilises a Balanced Scorecard approach and a coaching methodology to assist managers with engaging and developing their staff. **Timing: 31 December 2015**
5. Conduct recruitment workshops which will include revising the recruitment and screening framework to drive optimal recruitment decision making. **Timing: Complete**

Responsibility: Jackie Bolger, Centre Manager Cook + Phillip; Dean McElroy, Centre Manager ITAC; Elisa Bland, Communications Manager.

Executive Responsibility: Matt Phelan, GM Recreation & Camping; Karen Twitchett, GM Human resources; Carolynne Lepp, Chief Risk Officer.



2. Results and findings

YMCA NSW Internal Audit conducted a review of the YMCA NSW City of Sydney (CoS) sites to determine if certain Child Protection Framework, Human Resources (HR) employee documentation record keeping and Cultural concerns from the 2014 CoS Audit have been addressed.

The objective of this review is to independently assess the YMCA NSW compliance with **child protection measures** required under the **management agreement** (Agreement) between the CoS and the YMCA NSW in relation to the Cook + Phillip Park Aquatic & Fitness Centre (Cook + Phillip) and Ian Thorpe Aquatic Centre (ITAC) sites.

For comparative purposes and to determine if any of the gaps identified in the 2014 CoS Audit have been addressed (where possible), this review has included testing of a sample of employees appointed prior to 1 June 2014. The results of this sample could not change but was included for completeness.

The Internal Audit review identified that **YMCA NSW has enhanced their Child Protection framework and general culture and has made progress** in relation to the findings identified in the 2014 CoS Audit and Culture Review of the Cook + Phillip and ITAC sites.

Cook + Phillip and ITAC have almost achieved complete compliance across all areas reviewed including Inductions and Child Protection training, HR employee documentation record keeping (applications, resume, reference checks, contracts), Working With Children Checks prior to starting work, and National Police Checks prior to starting work. Furthermore, employees report a **cultural environment that has improved a lot over the past 12 months**, driven by a highly capable management team that is open, honest and supportive.

A full summary of the results is provided below.

2.1 Induction, Code of Conduct and Child Protection Policy training

YMCA NSW Internal Audit conducted a desk top review at Support Services Parramatta of the YMCA NSW to determine evidence of:

- Operational **Child Protection Policies and Procedures** that reflect legislative requirements;
- An operational **Induction Program** that covers all aspects of Child Protection and the Code of Conduct and CoS requirements; and
- **Adequate training and knowledge** in Child Protection Policies and Procedure.

The testing involved a sample of 50 randomly selected employees with 25 employees from Cook + Phillip and 25 employees from ITAC.

Of all sampled employees who were appointed after 1 June 2014:

- **Induction**:
Both sites – **100% of all sampled employees** complied with the requirement to complete and sign off on an Induction program.
- **Code of Conduct**:
Cook + Phillip – **92% of all sampled employees** complied with the requirement to sign off on the YMCA NSW Code of Conduct. One (1) employee had not completed the training at the



time of testing but this has now been addressed by management. The employee had been out of the country and has since been terminated and removed from MACY.

ITAC – **100% of all sampled employees** complied with the requirement to sign off on the YMCA NSW Code of Conduct.

- **Child Protection Policy training:**

Cook + Phillip – **92% of all sampled employees** complied with the requirement to complete all Child Protection Policy training. One (1) employee had not completed the training at the time of testing but this has now been addressed by management. The employee had been out of the country and has since been terminated and removed from MACY.

ITAC – **100% of all sampled employees** complied with the requirement to complete all Child Protection Policy training.

Of all sampled employees who were appointed prior to 1 June 2014:

- **Induction:**

Cook + Phillip – **92% of all sampled employees** complied with the requirement to complete and sign off on an Induction program. One (1) employee had not signed off on this at the time of testing but this has now been addressed by management.

ITAC – **100% of all sampled employees** complied with the requirement to complete and sign off on an Induction program.

- **Code of Conduct:**

Cook + Phillip – **92% of all sampled employees** complied with the requirement to sign off on the YMCA NSW Code of Conduct. One (1) employee had not signed off on this at the time of testing but this has now been addressed by management.

ITAC – **100% of all sampled employees** complied with the requirement to sign off on the YMCA NSW Code of Conduct.

- **Child Protection Policy training:**

Cook + Phillip – **85% of all sampled employees** complied with the requirement to complete all Child Protection Policy training. Two (2) employees had incomplete training records at the time of testing. This is currently being addressed by management with one employee having now completed all training and one in progress.

ITAC – **100% of all sampled employees** complied with the requirement to complete all Child Protection Policy training.

See **Appendix A** for full Cook + Phillip test results and **Appendix B** for full ITAC test results.

2.2 Human Resources employee documentation record keeping

YMCA NSW Internal Audit conducted a desk top review at Support Services Parramatta of the YMCA NSW to determine evidence of:

- A **rigid record keeping system** that encompasses application forms, resumes, screening, reference checks, recruitment, and associated records.



The testing involved a sample of 50 randomly selected employees with 25 employees from Cook + Phillip and 25 employees from ITAC.

Of all sampled employees who were appointed after 1 June 2014:

- Both sites – **100% of all sampled employees complied with all HR employee documentation requirements** including application, resume, two reference checks with completed notes (signed and dated), and a contract of employment (signed and dated).
- Both sites – **100% of all sampled employees complied with the requirement for a valid Working With Children Check (WWCC) and National Police Check (NPC)** issued prior to the date of their first shift.

Of all sampled employees who were appointed prior to 1 June 2014:

- Both sites – **minimal compliance** with the following HR employee documentation requirements:
 - Application (Cook + Phillip 15%, ITAC 8%);
 - Resume (Cook + Phillip 15%, ITAC 42%); and
 - Reference checks (Cook + Phillip 8%, ITAC 0%).

NOTE: All employees with missing application, resume, reference checks and contracts were required to complete a 'Staff Disclosure Agreement' (a survey) through MACY in June 2014, where YMCA NSW HR collected details of all existing employee's previous employers. The Staff Disclosure Agreement also requested employees to provide explanations for any gaps in employment etc. As a result of this, these employees should now be considered as compliant.

- **100% compliance with the requirement for a valid and current WWCC.** However, only 15% of sampled Cook + Phillip employees and 17% of sampled ITAC employees had a valid WWCC prior to the date of their first shift.
- **100% compliance with the requirement for a valid and current NPC.** However, none of the sampled employees across both sites had a valid WWCC prior to the date of their first shift.

See **Appendix A** for full Cook + Phillip test results and **Appendix B** for full ITAC test results.

2.2 Culture Review

YMCA NSW Internal Audit conducted a site based Culture Review at both Cook + Phillip and ITAC to determine evidence of a **culture which has improved** in relation to the findings of the 2014 Culture Review conducted by the Academy Network.

A sample of 30 randomly selected employees were interviewed face-to-face, 15 employees from Cook + Phillip and 15 employees from ITAC, representing 11% of the current employee population across both sites.

Employees were interviewed to determine their:

1. Comprehension of YMCA NSW Child Protection policies and procedures;
2. Comprehension of YMCA NSW Code of Conduct;



3. Comprehension of Child Protection reporting obligations; and
4. Satisfaction with centre resourcing, leadership, learning & development opportunities and communication.

The key findings in relation to points 1 – 3 above are summarised below:

- Sampled employees were able to demonstrate a **good understanding that there are Policies and Procedures governing their behaviour in relation to safeguarding children, young people and vulnerable adults**. Furthermore, they were able to show a **practical understanding of the Policies and Procedures by providing examples of safe behaviours** in relation to Child Protection (83% of sampled employees) and YMCA NSW Code of Conduct (77% of sampled employees).
- Across both sites there was **100% compliance with the requirement to complete Child Protection Policy training**.
- **Most sampled employees (97%) understand their obligation to report Child Protection related concerns** with an awareness of the appropriate reporting lines to their direct supervisor, unless a child is in immediate danger then they are obligated to call the Police.
- **100% of employees sampled reported knowledge of an obligation to report allegations of inappropriate conduct toward children, young people and vulnerable adults**, however, some employees reported that they would approach the alleged perpetrator in the first instance rather than immediately report the incident.

The key findings in relation to point 4 above are summarised below:

Staffing levels

- **74% of sampled employees reported that they are satisfied** with the level of staffing at their centre (80% at Cook + Phillip and 67% at ITAC).
- Employees report that **staffing / resourcing has markedly improved over the past 6 months** as a result of filling vacant positions, engaging new supervisors and management, and the implementation of an accessible online roster that reduces the incidence of 'no-shows'. These initiatives have mitigated the challenges posed by a highly casualised workforce that experiences high turnover rates.

Leadership

- **84% of sampled employees report that they are satisfied** with the leadership at their centre (100% at Cook + Phillip and 67% at ITAC).
- Employees at both sites reported extreme satisfaction with the management at their centre – that managers are accessible, open, approachable, honest and supportive.
- 33% of sampled employees at ITAC reported an **opportunity for management to be more 'seen'** amongst the other employees.

Learning & development

- **74% of sampled employees report that they are satisfied** with the learning and development opportunities at their centre (87% at Cook + Phillip and 60% at ITAC).
- **Employees at both sites reported satisfaction with the learning and development opportunities at their centre**; that courses and opportunities to move throughout the organisation are easily accessible and supported by management.



- 13% of sampled employees at Cook + Phillip, and 40% of sampled employees at ITAC reported an **opportunity to improve the promotion of learning and development opportunities** as they are not always apparent and must be 'searched for' if the need or interest arises.

Communication

- **70% of sampled employees report that they are satisfied** with communication at their centre (80% at Cook + Phillip and 60% at ITAC).
- Employees at both sites reported that **communication has improved notwithstanding the high incidence of employee turnover and new recruits**. This is evidenced by reports that management foster open discussions in relation to employee obligations and responsibilities and learnings from incidents. Email communications are utilised to disseminate information quickly.
- Employees reported that **communication from Support Services has improved** and that the relationship between Support Services and the centres is now more open and productive.
- 13% of sampled employees at Cook + Phillip, and 33% of sampled employees at ITAC reported an **opportunity to improve communications** in the form of the consistency of messages relayed from senior management to their employees, and the promptness of responding to queries sent between employees.

See **Appendix C** for a summary of employee interview results.

3. Key findings

The key findings are summarised as follows:

Induction, Child Protection Policy training and Code of Conduct

- At Cook + Phillip there was **one (1) non-conformance** in relation to having a **signed Induction**, **two (2) non-conformances** in relation to having a **signed Code of Conduct**, and **two (2) non-conformances** in relation to **incomplete Child Protection Policy training**. All instances have now been appropriately addressed by management.

Culture review

- **15% of sampled employees did not fully comprehend their mandatory reporting obligations** in relation to allegations of inappropriate conduct toward children, young people and vulnerable adults.
- Opportunity for management at ITAC to **increase their level of presence and for management at both sites to improve the consistency of the messages** communicated to employees.
- Opportunity to **enhance the promotion of learning and development opportunities**.



4. Agreed management actions

The following key management actions have been identified to address the key findings identified above:

1. All employees with outstanding Inductions, Code of Conduct and Child Protection Policy training will complete these requirements.

Responsibility: Jackie Bolger, Centre Manager Cook + Phillip; Dean McElroy, Centre Manager ITAC.

Executive Responsibility: Matt Phelan, General Manager Recreation & Camping.

Timing: 1 July 2015

2. Management have already committed to quarterly Child Protection training, however this will be tailored to address the requirement for a stronger focus on mandatory reporting obligations.

Responsibility: Jackie Bolger, Centre Manager Cook + Phillip; Dean McElroy, Centre Manager ITAC; Liz Durrell, Policy Manager.

Executive Responsibility: Matt Phelan, General Manager Recreation & Camping; Carolynne Lepp, Chief Risk Officer.

Timing: Ongoing (quarterly)

3. Enhance management employee relations by reviewing and revising the clarity and consistency of key internal management communications.

Responsibility: Jackie Bolger, Centre Manager Cook + Phillip; Dean McElroy, Centre Manager ITAC; Elisa Bland, Communications Manager.

Executive Responsibility: Matt Phelan, General Manager Recreation & Camping.

Timing: Ongoing

4. Enhance the promotion of learning and development opportunities by implementing a Performance Management system that utilises a Balanced Scorecard approach, and a coaching methodology to assist managers with engaging and developing their staff.

Responsibility: Jackie Bolger, Centre Manager Cook + Phillip; Dean McElroy, Centre Manager ITAC.

Executive Responsibility: Karen Twitchett, General Manager Human Resources.

Timing: 31 December 2015

5. Conduct Recruitment Skills workshops for Human Resources staff members to enhance their skills and drive optimal recruitment and screening decision making.

Responsibility: Jackie Bolger, Centre Manager Cook + Phillip; Dean McElroy, Centre Manager ITAC.

Executive Responsibility: Karen Twitchett, General Manager Human Resources.

Timing: Complete



5. Distribution list

Key Stakeholders	Title
Leisa Hart	Chief Executive Officer (YMCA NSW)
Carolynne Lepp	Chief Risk Officer (YMCA NSW)
Dean McElroy	Centre Manager ITAC (YMCA NSW)
Jackie Bolger	Centre Manager Cook + Phillip (YMCA NSW)
Gary Harding	Director City Operations (City of Sydney)
Joel Johnson	Manager City Greening & Leisure (City of Sydney)
Petra Koziollek	Manager Internal Audit (City of Sydney)
David Burns	Aquatics and Leisure Contract Coordinator (City of Sydney)

6. Approval:

This report has been approved by the following persons:

Carolynne Lepp, Chief Risk Officer (YMCA NSW)

Leisa Hart, Chief Executive Officer (YMCA NSW)

Petra Koziollek, Manager Internal Audit (City of Sydney)



Appendix A

1. Cook + Phillip HR employee documentation, WWCC, NPC, Induction and training summary

The following table contains the results of the desk-top review for the 25 sampled employees from Cook + Phillip representing 19% of the currently employed population of 134.

NOTE in relation to sampled employees appointed prior to 1 June 2014:

All employees with missing application, resume, reference checks and contract have since signed a Staff Disclosure Agreement to rectify this non-conformance and should now be considered as compliant. These instances were identified in the 2014 CoS Audit and are shown for comparative purposes only.

In relation to employees who did not have a valid WWCC and NPC prior to the start of work, it was not a YMCA NSW Policy at the time for employees to have these if they did not work directly with children. **All employees now have a valid WWCC and NPC and should be considered as compliant.**

	No.	Application Form on File	Resume on File	Evidence Reference Checks on File (with responses)	Signed Employment Contract on File	WWCC (completed prior to starting)	National Police Check (completed prior to starting)	Evidence Child Protection Policies Were Covered in Induction	Evidence Employee Had Child Protection Policy Training	ACF Safeguarding Children Online Training	Signed Code of Conduct on File	Induction Checklist Signed and Dated by Employee (online since 3/3/15)	
		HR Documentation				WWCC / NPC		Induction and Training					
Sample of employees appointed prior 1 June 2014	13	2	2	1	13	2	0	12	11	13	12	12	Results
		13	13	13	13	13	13	13	13	13	13	13	Sample Set
		15%	15%	8%	100%	15%	0%	92%	85%	100%	92%	92%	% of Sample Set
Sample of employees appointed after 1 June 2014	12	12	12	12	12	12	12	11	11	12	11	12	Results
		12	12	12	12	12	12	12	12	12	12	12	Sample Set
		100%	100%	100%	100%	100%	100%	92%	92%	100%	92%	100%	% of Sample Set



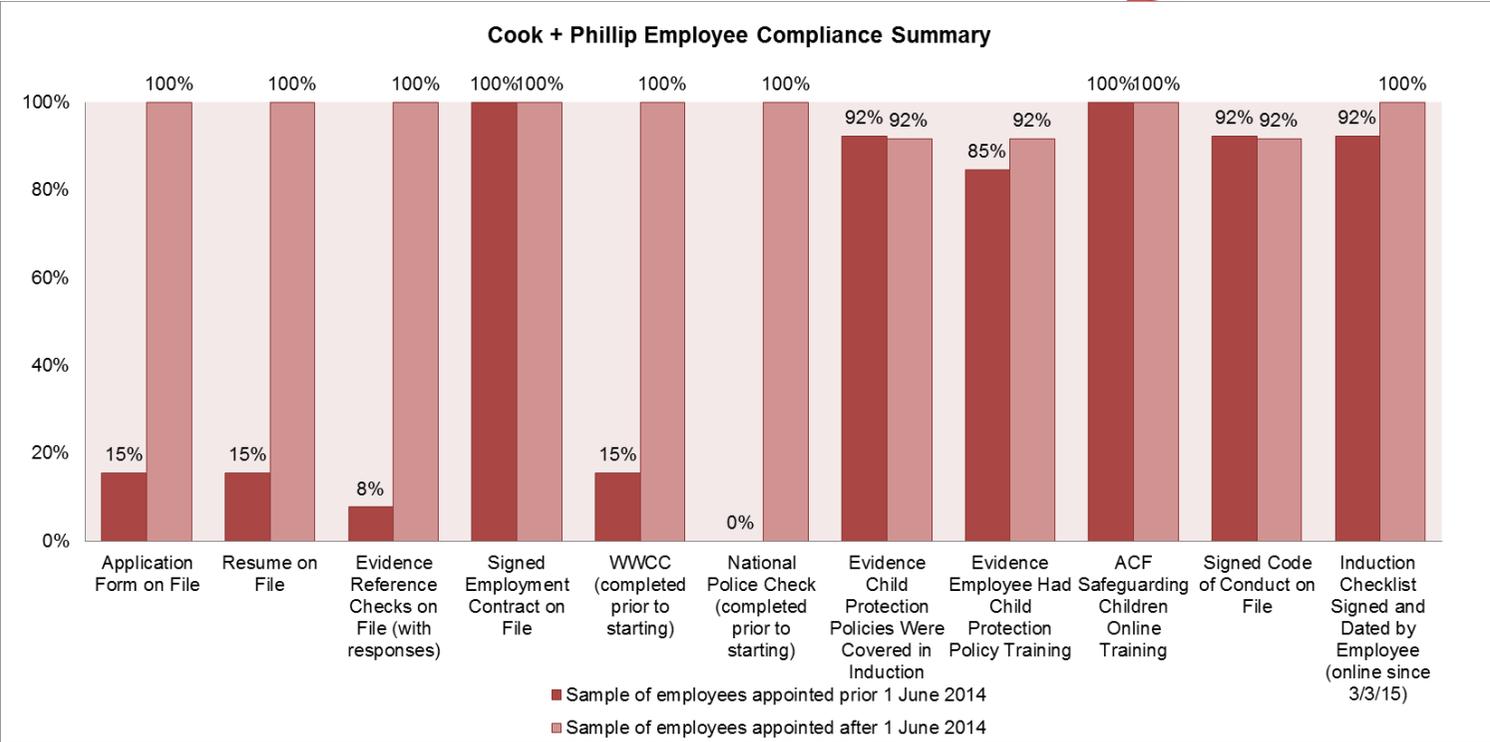
2. Cook + Phillip HR employee documentation, WWCC, NPC, Induction and training summary

The following graph contains the results of the desk-top review for the 25 sampled employees from Cook + Phillip representing 19% of the currently employed population of 134.

NOTE in relation to sampled employees appointed prior to 1 June 2014:

All employees with missing application, resume, reference checks and contract have since signed a Staff Disclosure Agreement to rectify this non-conformance and should now be considered as compliant. All employees now have a valid WWCC and NPC and should be considered as compliant.

These instances are shown for comparative purposes to illustrate the work YMCA NSW has done to address findings from the 2014 CoS Audit.





Appendix B

1. Ian Thorpe Aquatic Centre HR employee documentation, WWCC, NPC, Induction and training summary

The following table contains the results of the desk-top review for the 25 sampled employees from ITAC representing 17% of the currently employed population of 145.

NOTE in relation to sampled employees appointed prior to 1 June 2014:

All employees with missing application, resume, reference checks and contract have since signed a Staff Disclosure Agreement to rectify this non-conformance and should now be considered as compliant. These instances were identified in the 2014 CoS Audit and are shown for comparative purposes only.

In relation to employees who did not have a valid WWCC and NPC prior to the start of work, it was not a YMCA NSW Policy at the time for employees to have these if they did not work directly with children. **All employees now have a valid WWCC and NPC and should be considered as compliant.**

	No.	Application Form on File	Resume on File	Evidence Reference Checks on File (with responses)	Signed Employment Contract on File	WWCC (completed prior to starting)	National Police Check (completed prior to starting)	Evidence Child Protection Policies Were Covered in Induction	Evidence Employee Had Child Protection Policy Training	ACF Safeguarding Children Online Training	Signed Code of Conduct on File	Induction Checklist Signed and Dated by Employee	
		HR Documentation				WWCC / NPC		Induction and Training					
Sample of employees appointed prior 1 June 2014	12	1	5	0	12	2	0	12	12	12	12	12	Results
		12	12	12	12	12	12	12	12	12	12	12	Sample Set
		8%	42%	0%	100%	17%	0%	100%	100%	100%	100%	100%	% of Sample Set
Sample of employees appointed after 1 June 2014	13	13	13	13	13	13	13	13	13	13	13	13	Results
		13	13	13	13	13	13	13	13	13	13	13	Sample Set
		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	% of Sample Set



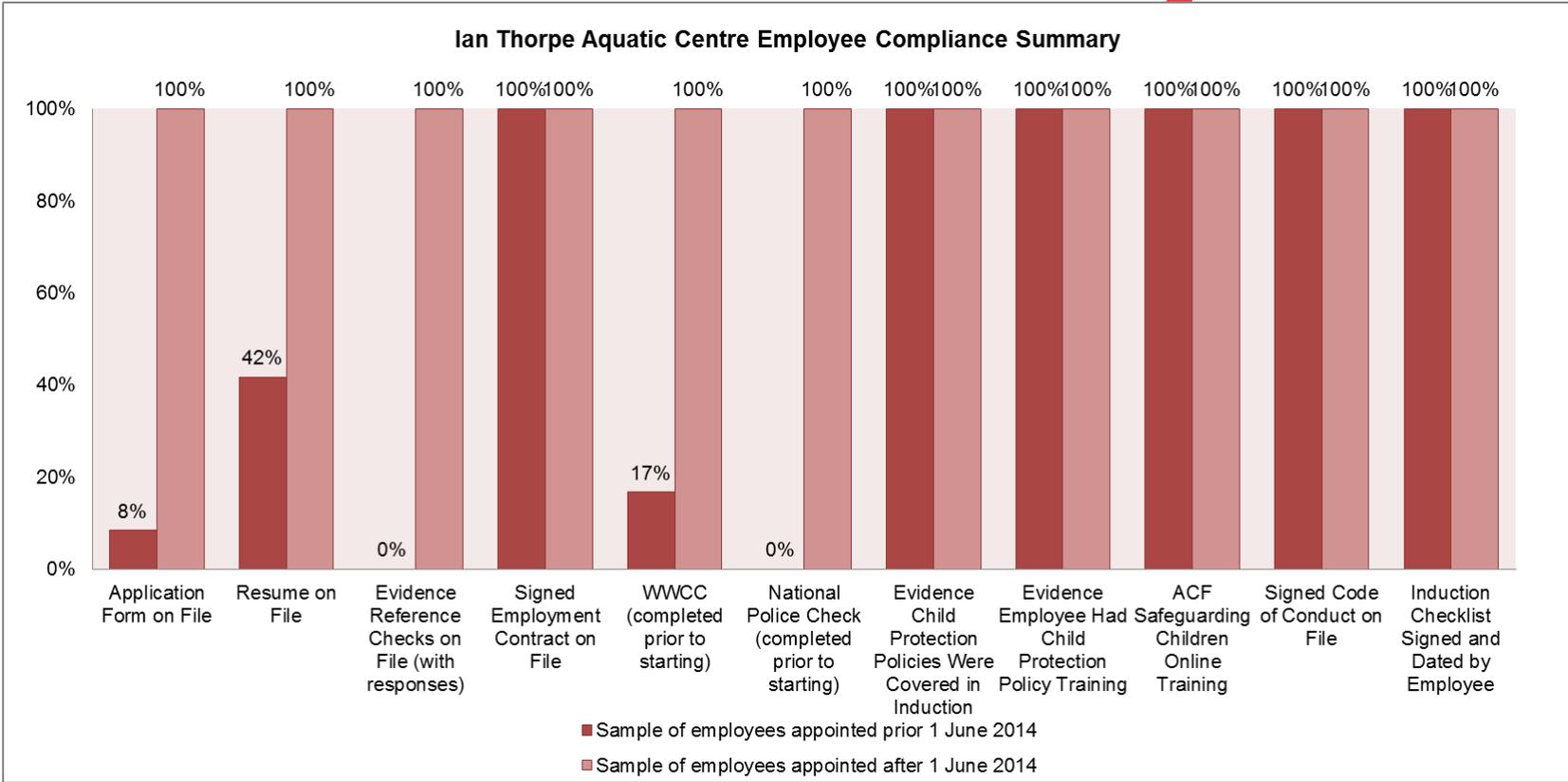
2. Ian Thorpe Aquatic Centre HR employee documentation, WWCC, NPC, Induction and training summary

The following graph contains the results of the desk-top review for the 25 sampled employees from ITAC representing 17% of the currently employed population of 145.

NOTE in relation to sampled employees appointed prior to 1 June 2014:

All employees with missing application, resume, reference checks and contract have since signed a Staff Disclosure Agreement to rectify this non-conformance and should now be considered as compliant. All employees now have a valid WWCC and NPC and should be considered as compliant.

These instances are shown for comparative purposes to illustrate the work YMCA NSW has done to address findings from the 2014 CoS Audit.





Appendix C

1. YMCA NSW Culture Review results – Knowledge of Child Protection Policies and Procedures and Code of Conduct

The following table contains the results of the Culture Review achieved by conducting 30 face-to face employee interviews representing 11% of the currently employed population of 279. Employees were asked questions to test their comprehension of YMCA NSW Child Protection Policies and Procedures, Code of Conduct and reporting obligations.

	No.	Does YMCA NSW have Policies and Procedures which relate to Child Protection?	Can you name the Principal Child Protection Policy?	Have you completed training on the Policies and associated Procedures?	What are 2 key points from the Policies?	What do you do if you suspect a YMCA employee is acting inappropriately toward Children, Young People or Vulnerable Adults?	Do you know who to report your allegations to?	What do you do if you suspect a fellow employee, is acting inappropriately to Children, Young People or Vulnerable Adults?	What are your obligations to report your allegations?	Is there a policy that governs how you conduct yourself at work?	What is the name of that Policy?	Can you name some areas of your conduct at work that the policy covers?
Cook + Phillip Employees	15	15	4	15	11	12	15	14	15	15	6	14
		15	15	15	15	15	15	15	15	15	15	15
		100%	27%	100%	73%	80%	100%	93%	100%	100%	40%	93%
ITAC Employees	15	15	0	15	14	12	15	13	15	15	4	9
		15	15	15	15	15	15	15	15	15	15	15
		100%	0%	100%	93%	80%	100%	87%	100%	100%	27%	60%
Total Sample Set (11% of population)	30	30	4	30	25	24	30	27	30	30	10	23
		30	30	30	30	30	30	30	30	30	30	30
		100%	13%	100%	83%	80%	100%	90%	100%	100%	33%	77%



2. YMCA NSW Culture Review results – Satisfaction with centre resourcing, leadership, learning & development and communication

The following table contains the results of the Culture Review achieved by conducting 30 face-to face employee interviews representing 11% of the currently employed population of 279 across both sites. Employees were asked questions to determine their satisfaction with centre resourcing, leadership, learning & development and communication.

	No.	Level of Satisfaction	Describe your level of satisfaction with staffing levels at your centre:	Describe your level of satisfaction with the leadership at your centre:	Describe your level of satisfaction with the learning & development opportunities at your centre:	Describe your level of satisfaction with communication at your centre:
Cook + Phillip Employees	15	Happy	80%	100%	87%	80%
		Improvement required	20%	0%	13%	13%
		Unhappy	0%	0%	0%	7%
ITAC Employees	15	Happy	67%	67%	60%	60%
		Improvement required	33%	33%	40%	33%
		Unhappy	0%	0%	0%	7%
Total Sample Set (11% of population)	30	Happy	74%	84%	74%	70%
		Improvement required	26%	16%	26%	23%
		Unhappy	0%	0%	0%	7%



END