

RECORD KEEPING AND RETENTION POLICY

The Approved Provider and Management are responsible for overseeing and ensuring records are maintained and stored in accordance with relevant legislation contained in the National Law and National Regulations *and* National Quality Standard.

NATIONAL QUALITY STANDARD (NQS)

| QUALITY AREA 7: GOVERNANCE AND LEADERSHIP | | |
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| 7.1 | Governance | Governance supports the operation of a quality service. |
| 7.1.1 | Service philosophy and purposes | A statement of philosophy guides all aspects of the service's operations. |
| 7.1.2 | Management systems | Systems are in place to manage risk and enable the effective management and operation of a quality service. |
| 7.1.3 | Roles and responsibilities | Roles and responsibilities are clearly defined and understood and support effective decision making and operation of the service. |
| 7.2 | Leadership | Effective leadership builds and promotes a positive organisational culture and professional learning community. |
| 7.2.1 | Continuous improvement | There is an effective self-assessment and quality improvement process in place. |
| 7.2.2 | Educational leadership | The educational leader is supported and leads the development and implementation of the educational program and assessment and planning cycle. |
| 7.2.3 | Development of professionals | Educators, co-ordinations and staff members' performance is regularly evaluated, and individual plans are in place to support learning and development. |

| EDUCATION AND CARE SERVICES NATIONAL REGULATIONS AND NATIONAL LAW | |
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| 29 | Condition on service approval—insurance |
| 31 | Condition on service approval—quality improvement plan |
| 55 | Quality improvement plans |
| 56 | Review and revision of quality improvement plans |
| 74 | Documenting of child assessments or evaluations for delivery of educational program |
| 87 | Incident, injury, trauma and illness record |
| 92 | Medication record |
| 102 | Authorisations for excursions |

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| 102D | Authorisations for service to transport children |
| 102E | Children embarking a means of transport—centre-based service |
| 102F | Children disembarking a means of transport—centre-based service |
| 118 | Educational leader |
| 126 | Centre-based services – general educator qualifications |
| 145 | Staff record |
| 146 | Nominated Supervisor |
| 147 | Staff Members |
| 149 | Volunteers and students |
| 150 | Responsible person |
| 151 | Record of educators working directly with children |
| 152 | Record of access to early childhood teachers |
| 152A | Record of replacement of educator |
| 152B | Record of replacement of early childhood teacher or suitably qualified person |
| 158 | Children's attendance record is to be kept by approved provider |
| 160 | Child enrolment records to be kept by approved provider and family day care educator |
| 161 | Authorisations to be kept in enrolment record |
| 162 | Health information to be kept in enrolment record |
| 167 | Record of service's compliance |
| 168 | Education and care service must have policies and procedures |
| 170 | Policies and procedures are to be followed |
| 173 | Prescribed information to be displayed |
| 177 | Prescribed enrolment and other documents to be kept by approved provider |
| 180 | Evidence of prescribed insurance |
| 181 | Confidentiality of records kept by approved provider |
| 183 | Storage of records and other documents |
| 184 | Storage of records after service approval transferred |
| 185 | Law and regulations to be available |
| S162A | Persons in day-to-day charge and nominated supervisors to have child protection training |

RELATED POLICIES

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| Administration of First Aid Policy | Governance Policy |
| Administration of Medication Policy | Immunisation Policy |
| Child Protection Policy | Incident, Injury, Trauma and Illness Policy |
| Child Safe Environment Policy | Medical Conditions Policy |
| Dealing with Complaints Policy | Photograph Policy |
| Death of a Child at the Service Policy | Privacy and Confidentiality Policy |
| | Professional Development Policy |

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| Death of a Staff member at the Service Policy Delivery of Children to and from EEC Service Premises Policy Enrolment Policy Excursion/Incursion Policy | Responsible Person Policy Student and Volunteer Policy Supervision Policy |
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PURPOSE

We aim to maintain and manage appropriate records in a private and confidential manner, working in accordance with legislative requirements and best practice.

SCOPE

This policy applies to families, management, Approved Provider, Nominated Supervisor, visitors and educators of the Preschool.

IMPLEMENTATION

The Approved Provider is responsible for compliance with record keeping requirements in accordance with Education and Care Services National Law and National Regulations.

This policy encompasses requirements for National Law and National Regulations.

PRESCRIBED RECORDS TO BE KEPT BY APPROVED PROVIDER:

The following records are to be retained in a secure location at the Preschool:

- complaints made to the provider, relating to compliance
- children's attendance records (Regulation 158) to be kept until the end of 3 years after the child's last attendance [Regulation 183].
- copies of invoices and receipts issued for the payment of childcare fees (records must be kept for seven years)
- the identifying number and expiry date of a Working With Children Check (WWCC), current vulnerable people check or criminal history record of all staff to be kept until the end of 3 years after the last date the staff member provided education and care to children.
- 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 record of any notice given to a state body about a child at risk of abuse or neglect (records must be kept for seven years)
- 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 the Preschool (records must be kept for seven years)
- educational leader records (Regulation 118)
- child assessments or evaluations for delivery of the educational program (Regulation 74) (to be kept for 3 years after the child's last day of attendance [Regulation 183])
- an incident, injury, trauma and illness record (Regulation 87) (to be kept until child is 25 years [Regulation 183])
- medication records (Regulation 92) (Keep until the end of 3 years after the child's last attendance [Regulation 183])
- staff records (Regulation 145)
- record of volunteers and students (Regulation 149)
- records of the Responsible Person at the Service (Regulation 150 and National Law S162A)
- record of educators working directly with children (Regulation 151)
- record of access to early childhood teachers (Regulation 152)
- children's attendance records (Regulation 159) to be kept until the end of 3 years after the child's last attendance (Regulation 183)
- any record relating to the death of a child whilst being educated and cared for by the Service or as a result of an incident whilst being educated and cared for, until the end of 7 years after the death of a child
- child enrolment records (Regulation 160) (to be kept until the end of 3 years after the child's last attendance [Regulation 183]). *(Further details below)*
- record of the Preschool's compliance with the Law (Regulation 167)
- a record of each nominated supervisor and any person placed in day-to-day charge of the education and care service (Regulation 146)
- evidence of prescribed insurance must be available at the education and care service premises (Regulation 180). Current policy of insurance for public liability with a minimum cover of \$10 000 000 (Regulation 29)
- evidence and records of the Preschool Quality Improvement Plan (QIP), the QIP must be prepared within 3 months of the service opening. The QIP must be reviewed and revised at least annually or when requested by the regulatory authority. The QIP must be submitted to the regulatory authority upon request (Regulation 31, 55, 56)

- a copy of the Education and Care National Law and Regulations must be available and accessible at the service at all times for use by the Nominated Supervisor, staff members, volunteers, parents and any person seeking to make use of the preschool
- record of children embarking a means of transport at the education and care service premises (Regulation 102E)
- record of children disembarking a means of transport at the education and care service premises (Regulation 102F)
- record of replacement of an educator in accordance with regulation 126A (Regulation 152A)
- record of replacement of an Early Childhood Teacher in accordance with regulation 135A (Regulation 152B)

RECORDS TO BE KEPT IN RELATION TO CHILDREN EMBARKING AND DISEMBARKING A MEANS OF TRANSPORT (REG: 102E AND 102F)

The approved provider and nominated supervisor must ensure a record is immediately made when children embark or disembark a means of transport at the .

The record must:

- confirm each child was accounted for when embarking and disembarking from the vehicle
- state how each child was accounted for when embarking and disembarking from the vehicle
- state a staff member or nominated supervisor, who is not driving the vehicle, has examined the interior of the vehicle to confirm no child/ren remain on the vehicle
- states the date and time the record was made
- states the name of, and is signed by, the staff member or nominated supervisor who examined the vehicle to confirm no child/ren remain on the vehicle.

RECORDS TO BE KEPT IN RELATION TO THE NOMINATED SUPERVISOR: (REG: 146 AND LAW. S162A)

- the full name, address and date of birth
- evidence of any relevant qualifications held by the Nominated Supervisor
- if applicable, evidence that the Nominated Supervisor is actively working towards a qualification.
- If this is the case, the following must be recorded:
 - Proof of enrolment
 - Documentary evidence that the Nominated Supervisor has commenced the course, is making satisfactory progress towards the completion of the course, is meeting the requirements of maintaining the enrolment.

- For Nominated Supervisors who are working towards the completion of a Diploma level education and care qualification, proof that they hold an approved Certificate III level education and care qualification or have as completed the units of study that equate to an approved Certificate III level education and care qualification determined by ACECQA.
- evidence of any approved training (including first aid training, current approved anaphylaxis management training, approved emergency asthma management training and approved Child Protection) completed by the Nominated Supervisor
- the identifying number and expiry date of a Working with Children Check (WWCC) and Australian National Police Check
- date the check, record or registration was and the date this was verified and by whom
- evidence of the nominators written consent to the nomination
- evidence of Child Protection Training

RECORDS TO BE KEPT IN RELATION TO STAFF AND EDUCATORS: (REG: 147)

- the full name, address and date of birth
- evidence of any relevant qualifications
- if applicable, evidence that the staff member/educator is actively working towards a qualification. If this is the case, the following must be recorded:
 - Proof of enrolment.
 - Documentary evidence that the staff member/educator has commenced the course, is making satisfactory progress towards the completion of the course, is meeting the requirements of maintaining the enrolment.
- for educators who are working towards the completion of a Diploma level education and care qualification, proof that they hold an approved Certificate III level education and care qualification or have as completed the units of study that equate to an approved Certificate III level education and care qualification determined by ACECQA.
- evidence of any approved training (including first aid training) completed by the staff member
- the identifying number and expiry date of the Working with Children Check (WWCC) and the date this was verified.
- Teacher Registration details (if applicable)

RECORDS TO BE KEPT IN RELATION TO THE EDUCATIONAL LEADER: (REG: 148)

- the name of the educator who is designated at this role in accordance with Regulation 118

RECORDS TO BE KEPT IN RELATION TO STUDENTS AND VOLUNTEERS: (REG: 149)

- the full name, address and date of birth of each student or volunteer
- the Approved Provider must also keep a record for each day on which the student or volunteer participates in the Preschool, the date and hours of participation.

RECORDS TO BE KEPT IN RELATION TO THE RESPONSIBLE PERSON: (REG: 150 AND LAW S162A)

- the staff record must include the name of the responsible person at the Preschool for each time that children are being educated and cared for by the preschool.
- application for approval about the person responsible for day-to-day operation of our Preschool
- evidence of Child Protection Training

RECORDS TO BE KEPT IN RELATION TO EDUCATORS WORKING DIRECTLY WITH CHILDREN: (REG: 151)

- the name of each educator
- the hours that each educator works directly with children
- a staff roster or time sheet stating educators contact and non-contact hours/shift.

RECORDS TO BE KEPT IN RELATION TO ACCESS TO EARLY CHILDHOOD TEACHER/S (REG: 152)

The approved provider of a centre-based service that provides education and care to fewer than 25 children preschool age or under must ensure that a record is kept of the following:

The approved provider of a centre-based service that provides education and care to 25 or more but not more than 59 children preschool age or under must ensure that a record is kept of the period that an early childhood teacher is in attendance at the Preschool.

RECORDS TO BE KEPT IN RELATION TO REPLACEMENT OF EDUCATOR OR EARLY CHILDHOOD TEACHER (REG: 152A AND 152B)

The approved provider must keep a record when an educator or Early Childhood Teacher is replaced in accordance with regulation 126A and 135A.

The record must include:

- the full name of the educator or Early Childhood Teacher
- the qualification of the educator or Early Childhood Teacher who is replaced

- the qualification of the person who replaced the educator or Early Childhood Teacher
- the date/s on which the educator or Early Childhood Teacher was replaced
- the reason for the educator or Early Childhood Teacher absence

RECORDS TO BE KEPT IN RELATION TO CHILD ENROLMENT: (REG: 160)

- the full name, date of birth and address of the child- [birth certificate, passport, identify papers]
- the name, address and contact details of:
 - each known parent of the child
 - any person who is to be notified of any emergency involving the child if any parent of the child cannot be immediately contacted
 - any person who is an authorised nominee
 - any person who is authorised to consent to medical treatment of, or to authorise administration of medication to the child
 - any person who is authorised to authorise an educator to take the child outside the education and care service premises
 - any person who is authorised to authorise the education and care service to transport the child or arrange transportation for the child
 - details of any court orders, parenting orders or parenting plans provided to the approved provider relating to powers, duties, responsibilities or authorities of any person in relation to the child or access to the child
 - details of any other court orders provided to the approved provider relating to the child's residence or the child's contact with a parent or other person
 - gender of the child
 - language used in the child's home
 - cultural background of the child and parents
 - any special considerations for the child (e.g., cultural, religious, dietary requirements or additional needs).
 - authorisations signed by a parent or a person named in the enrolment record as authorised to consent to the medical treatment of the or nominated supervisor to seek:
 - medical treatment for the child from a registered medical practitioner, hospital or ambulance service
 - transportation of the child by any ambulance service
- authorisation to take the child on regular outings [Reg 102]
- authorisation for regular transportation of the child (if relevant) [Reg 102D (4)]

HEALTH INFORMATION TO BE KEPT IN ENROLMENT RECORD: [REG: 162]

- the name, address and telephone number or the child's registered medical practitioner or medical service
- the child's Medicare number if available
- details of any specific healthcare needs of the child including any medical conditions or allergies including whether the child has been diagnosed as at risk of anaphylaxis, including details of any medical management plan.
- details of any dietary restrictions for the child
- the immunisation status of the child
- a notation that states that a staff member or approved provider has sighted a child's health record.

RECORDS TO BE KEPT IN RELATION TO ENROLLED CHILDREN: (REG: 74)

- documentation relating to child assessments or evaluations for delivery of the education program, including:
 - assessments of the child's developmental needs, interests, experiences and participation in the education program
 - assessments of the child's progress against the outcomes of the educational program.

RECORDS TO BE KEPT IN RELATION TO INCIDENT, INJURY, TRAUMA AND ILLNESS: (REG: 87)

- details of any incident in relation to a child or injury received by a child or trauma to which a child has been subject while being educated and care for by the Preschool. The following must be included:
 - the name and age of the child, including date of birth
 - gender
 - the circumstances leading to the incident, injury or trauma
 - the time and date the incident occurred, the injury that was received or the child was subjected to the trauma.
- details of any illness, which becomes apparent while the child is being educated and cared for by the Preschool. The following must be included:
 - the name and age of the child
 - the relevant circumstances surrounding the child becoming ill and any apparent symptoms

- temperature record and time temperature was taken
 - the time and date of the apparent onset of the illness
 - date when child was last at the preschool
- details of the action taken by the Preschool in relation to any incident, injury, trauma or illness which a child has suffered while being educated and cared for by the Preschool. The following must be included:
 - any medication administered, or first aid provided
 - any medical personnel contacted
 - details of any person who witnessed the incident, injury or trauma including signature of witness
 - the name of any person who the education and care service notified or attempted to notify of any incident, injury trauma or illness a child has suffered at the Preschool and the time and date of the notification and notification attempts.
 - the name and signature of the person making an entry in the record and the time and date that the entry was made
 - notifications to parent/guardian including attempted notifications
 - signed and dated parent/guardian acknowledgement of record
- this record must be recorded as soon as is practicable, but not later than 24 hours after the incident, injury, trauma or onset of illness occurred
- the record must show that a serious incident is entered into the [NQA IT System](#)
- these records must be kept until the child is aged 25 years.

RECORDS TO BE KEPT IN RELATION TO MEDICATION: (REG: 92, 95, 96)

- the name of the child
- the name of the medication to be administered
- the time and date the medication was last administered
- the time and date or the circumstance under which the medication should be next administered
- the dosage of the medication to be administered
- the manner in which the medication is to be administered
- if the medication is administered to the child:
 - the dosage that was administered
 - the manner in which the medication was administered
 - the name and signature of the person who administered the medication

- if another individual is required to check the dosage, the name and signature of that person.

RECORDS TO BE KEPT IN RELATION TO CHILDREN'S ATTENDANCE: (REG: 158)

- the full name of each child attending the Preschool
- the date and time each child arrives and departs
- the signature of:
 - the person who delivers and collects the child when he or she arrives and departs or,
 - the Nominated Supervisor or educator.

RECORDS TO BE KEPT IN RELATION TO THE SERVICE'S COMPLIANCE WITH THE LAW: (REG: 167)

- details of any amendments of the Service Approval made by the Regulatory Authority including:
 - the reason stated by the Regulatory Authority for the amendment
 - the date on which the amendment took, or takes, effect
 - the date (if any) that the amendment ceases to have effect
 - details of any suspension of the service (other than a voluntary suspension) including:
 - the reason stated by the Regulatory Authority for the suspension
 - the date on which the suspension took, or takes, effect
 - the date that the suspension ends
- details of any compliance direction or compliance notice issued to the approved provider in respect of the service, including:
 - the reason stated by the Regulatory Authority for issuing the direction or notice.
 - the steps specified in the direction or notice
 - the date by which the steps specified must be taken
 - this information must not include any information that identifies any person other than the approved provider.
- the Approved Provider must ensure that the documents referred to above in relation to a child enrolled at the Preschool are made available to a parent of the child on request. Accordingly, if a parent's access to the kind of information referred to in this documentation is limited by an order of a court, the approved provider must refer to the court order in relation to the release of information concerning the child to that parent.
- the record of compliance referred to above must be available for access on request by any person.

STORAGE OF RECORDS (REG: 183, 184)

Records made by our Preschool will be stored in a safe and secure location for the relevant time periods as set out above and only made accessible to relevant individuals.

If the record relates to the death of a child while being educated and cared for by the Preschool or as a result of an incident while being educated and cared for by the Preschool, the records must be kept for 7 years after the death. Records related to an incident, illness, injury or trauma must be kept until the child is aged 25 years.

In the case of any other record relating to a child enrolled at the education and care service, until 3 years after the last date on which the child was educated and cared for by the preschool. (See Appendix 2- ACEQCA image)

If a service is transferred under the law, documents relating to a child must not be transferred without the express consent of the child's parents.

CONFIDENTIALITY OF RECORDS (REG: 181)

The Approved Provider will ensure that information kept in a record is not divulged or communicated through direct or indirect means to another person other than:

- the extent necessary for the education and care or medical treatment of the child to whom the information relates
- a parent of the child to whom the information relates, except in the case of information kept in a staff record
- the Regulatory Authority or an authorised officer
- with the written consent of the person who provided the information.

INFORMATION TO BE DISPLAYED (REG: 173)

Preschool must have the following displayed:

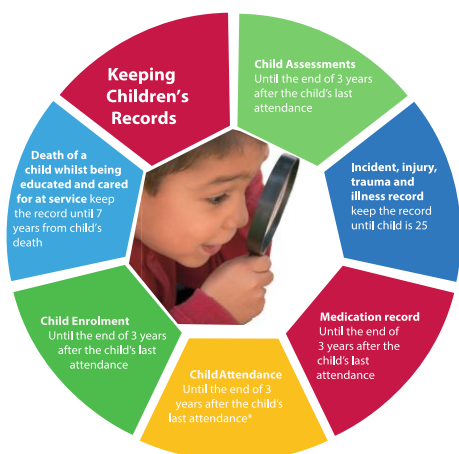
- in relation to the provider approval:
 - the name of the approved provider
 - the provider approval number
 - any conditions on the provider approval.
- In relation to the service approval:
 - the name of the education and care service

- the service approval number
 - any conditions on the service approval.
- the name of each nominated supervisor
- in relation to the rating of the service:
 - the current rating levels for each quality area stated in the National Quality Standard, and
 - the overall rating of the service.
- in relation to any service waivers or temporary waivers held by the service, the details of the waivers including:
 - the elements of the NQS and the regulations that have been waived, and
 - the duration of the waiver, and
 - whether the waiver is a service waiver or a temporary waiver.

THE PRESCHOOL MUST ALSO DISPLAY:

- the hours and days of operation of the education and care service
- the name and telephone number of the person at the education and care service to whom complaints may be addressed
- the name and position of the responsible person in charge of the service at any given time
- the name of the educational leader at the service
- the contact details of the Regulatory Authority
- if applicable, a notice stating that a child who has been diagnosed as at risk of anaphylaxis is enrolled at the service.
- if applicable, a notice stating that there has been an occurrence of an infectious disease at the premises
- information relating to the educational program (Regulation 75)
- emergency and evacuation floor plans and instructions are displayed (Regulation 97 (4))
- the certificate issued by the regulatory authority displaying the current rating levels of the National Quality Standards and the overall rating of the service. If applicable display the certificate stating the highest rating level (i.e., excellent rating). (Regulation 173 (3))

Appendix 1: ACECQA graphic image



*For preschool programs provided by a school, the service should keep child attendance records in accordance with their state education law or department policy.



https://www.acecqa.gov.au/sites/default/files/acecqa/files/NQF/Record_keeping_A4.pdf

CONTINUOUS IMPROVEMENT/REFLECTION

Our *Record Keeping and Retention Policy* will be updated and reviewed annually in consultation with families, staff, educators and management.

RELATED RESOURCES

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| Record Keeping Audit | Record Keeping and Retention Checklist |
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SOURCE

- Australian Children's Education & Care Quality Authority. (2014).
- Australian Government Department of the Officer of the Privacy Commissioner: www.privacy.gov.au
- Australian Legal Information Institute: www.austlii.edu.au
- Australian Taxation Office: www.ato.gov.au
- Early Childhood Australia: www.earlychildhoodaustralia.org.au
- Education and Care Services National Law Act 2010*. (Amended 2023).
- Education and Care National Regulations. (2011). (Amended 2023).
- NSW Government Department of Community Services: www.community.nsw.gov.au
- NSW Office of the Children's Guardian: <https://ocg.nsw.gov.au/>
- Privacy Act 1988*.
- Revised National Quality Standard. (2018).
- Childcare Centre Desktop - www.childcarecentredesktop.com.au

REVIEW

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| POLICY REVIEWED BY | Maxine Smith | Preschool Director | June 2023 |
| POLICY REVIEWED | JUNE 2023 | NEXT REVIEW DATE | DECEMBER 2023 |
| MODIFICATIONS | <ul style="list-style-type: none"> • minor formatting edits within text • hyperlinks checked and repaired as required • links within sources updated to • Policy updated in accordance with regulation 102E and 102F, 152A and 152B | | |
| POLICY REVIEWED | PREVIOUS MODIFICATIONS | | NEXT REVIEW DATE |
| SEPTEMBER 2022 | <ul style="list-style-type: none"> • minor formatting edits within text • hyperlinks checked and repaired as required • links within sources updated to education.gov.au • Continuous Improvement/Reflection section added • Resource section added | | DECEMBER 2023 |
| DECEMBER 2021 | <ul style="list-style-type: none"> • Additional authorisations for transportation added- Reg 160 • Additional section Health Information in enrolment record • Additional information to be displayed added • Sources checked | | DECEMBER 2022 |