

## Record Keeping and Retention Policy

### NQS

QA7	7.1.2	Management systems - Systems are in place to manage risk and enable the effective management and operation of a quality service.
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### National Regulations

Regs	55	Quality improvement plans
	125	Application of Division 4
	126	Centre-based services – general educator qualifications
	158	Children's attendance record is to be kept by approved provider
	161	Authorisations to be kept in enrolment record
	162	Health information to be kept in enrolment record
	167	Record of service's compliance
	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
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### Aim

To ensure that Noarlunga Community Children's Centres maintains appropriate records in line with our regulatory requirements.

### Related Policies

Special Rights Policy  
 Administration of Authorised Medication Policy  
 Enrolment Policy  
 HIV AIDS Policy  
 Immunisation and Disease Prevention Policy  
 Infectious Diseases Policy  
 Medical Conditions Policy  
 Privacy and Confidentiality Policy  
 Staffing Arrangements Policy

## Who is affected by this policy?

Children  
Families  
Educators

## Implementation

### Records to be Kept in Relation to Staff

The following records must be kept in relation to the service's Nominated Supervisors:

- 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 that 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 has completed the units of study in an approved Certificate III level education and care qualification determined by ACECQA.
- Evidence of any approved training (including first aid training) completed by the Supervisor.
- A record of a Working with Children Check including the identifying number and expiry date, and if relevant a record of current teacher registration and expiry date.

The following records must be kept in relation to other staff members:

- The full name, address and date of birth.
- Evidence of any relevant qualifications.
- If applicable, evidence that the staff member is actively working towards that qualification. If this is the case, the following must be recorded:
  - Proof of enrolment.
  - Documentary evidence that the staff member has commenced the course, is making satisfactory progress towards the completion of the course, is meeting the requirements of maintaining the enrolment.
  - For staff members 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 has completed the units of study in 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.
- A record of a Working with Children Check (police clearance) and any identifying number and expiry date.

The following records must be kept in relation to the Educational Leader:

- The name of the educator who is designated at this role.

The following records must be kept in relation to Students and Volunteers:

- 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 service, the date and hours of participation.

The following records must be kept in relation to the Responsible Person:

- The staff record must include the name of the responsible person at the centre-based service for each time that children are being educated and cared for by the service.

The following records will be kept in relation to educators working directly with children:

- The name of each educator.
- The hours that each educator works directly with children. Please note that a staff roster or time sheet is sufficient record of this.

The following records will be kept in relation to access to early childhood teacher/s:

- The approved provider of a centre-based service that provides education and care to 25 or more 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 service.
  - The period that an early childhood teacher is working with the service in accordance with the time frames set out in the Staffing Arrangements Policy.
  - The periods that the early childhood teacher is working directly with children and not working directly with children.

Records of any Job Applications or Interview notes should be disposed of in a secure manner Eg. shredded.

### **Records Relating to Enrolled Children**

The following records will be kept in relation to enrolled children:

- Documentation relating to child assessments or evaluations for delivery of the education program, including:
  - Assessments of the child's developmental needs, interest's experiences and participation in the education program.
  - Assessments of the child's progress against the outcomes of the educational program.
- **An Incident, Injury, Trauma and Illness Record** (within Incident, Injury, Trauma and Illness Policy), including:

- **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 cared for by the service. The following must be included:
  - The name and age of the child.
  - 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 service. The following must be included:
  - The name and age of the child.
  - The relevant circumstances surrounding the child becoming ill and any apparent symptoms.
  - The time and date of the apparent onset of the illness.
- **Details of the action taken** by the service in relation to any incident, injury, trauma or illness which a child has suffered while being educated and cared for by the service. The following must be included:
  - Any medication administered or first aid provided.
  - Any medical personnel contacted.
- Details of any person who witnesses the incident, injury or trauma
- 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 service 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.
- 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.
- **A medication record** which includes the following:
  - The name of the child
  - The authorisation to administer medication (including self-administration is applicable) signed by a parent or a person named in the child's enrolment record as authorised to consent to administration of medication.
  - 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.
- **A record of attendance for enrolled children**, including:
  - The full name of each child attending the service.
  - The date and time each child arrives and departs.

- The signature of the person who delivers the child to the education and care service premises
  - For preschool programs provided by a school, services are not required to comply with this if the service keeps attendance records in accordance with the education or of Government education department policy.
- **Child enrolment records** which include the following:
    - The full name, date of birth and address of the child.
    - 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.
      - 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 (if applicable)
      - 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.
      - The name, address and telephone number of the child's registered medical practitioner or medical service.
    - Details of any specific healthcare needs of the child including any medication 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 record of the services compliance with the law, including:**

- 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.
- A record of certified supervisors placed in day to day charge of the education and care service.

The approved provider must ensure that the documents referred to above in relation to a child enrolled at the service are made available to a parent of the child on request. In line with this, 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.

**Child Care Subsidy Records which include:**

- Complaints made about compliance with the Family Assistance Law
- Any notice made to a state/territory agency about a child at risk of abuse or neglect
- Attendance record for each child at service (whether eligible for CCS and/or Additional CCS or not) including records of any absences
- Evidence that any absences in excess of the 42 days allowed meet the required criteria
- Copies of invoices and receipts for the payment of child care fees
- Copies of all Statements of Entitlement issued and any Statements advising a change of entitlement
- Complying Written Arrangements (CWAs) for each child (unless fees are not paid under this type of arrangement) which include names and contact details of provider and person responsible for paying fees, date arrangement starts, name and date of birth of child (or children), if care will be provided on a routine basis, and if so, details about the days on which sessions of care will usually be provided, and the usual start and end times for these sessions of care, whether care may be provided on a casual or flexible basis (in addition to, or instead of, a routine basis), details of fees to be charged eg via fee schedule or information available on website that the parties understand may vary from time to time

- All evidence to support background checks for specified personnel including persons with management or control of service and persons responsible for day to day operation of service (see Staffing Arrangements Policy)

### **Length of Time Records must be Kept**

Our service will keep records for the following periods:

- If the record relates to an incident, illness, injury or trauma suffered by a child while being educated and cared for by the service, until the child is aged 25 years.
- If the record relates to an incident, illness, injury or trauma suffered by a child that may have occurred following an incident while being educated and cared for by the service, until the child is aged 25 years.
- If the record relates to the death of a child while being educated and cared for by the service or that may have occurred as a result of an incident while being educated and cared for, until the end of 7 years after the death.
- If 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 service.
- If the record relates to the Approved Provider, until the end of 3 years after the last date on which the approved provider operated the education and care service.
- If the record relates to the nominated supervisor or staff member of an education and care service, until the end of 3 years after the last date on which the nominated supervisor or staff member provided education and care on behalf of the service.
- In the case of any other record, 3 years after the date on which the record was made.

### **Storage of Records**

Each centre has a locked cupboard so that records can 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 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 and Storage of Records**

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.
- As expressly authorised, permitted or required to be given by or under any Act or law.
- With the written consent of the person who provided the information.

NOTE : Food Safety Audit Records need to be kept for Four Years as per SA Health Guidelines.

## **Sources**

**Privacy Act 1988**

**Education and Care Services National Regulations 2011**

**National Quality Standard**

**Children's Safety (Prohibited persons) Act 2016**

## **Review**

The policy will be reviewed annually.

Review will be conducted by:

Management, Employees, Families and Interested Parties

<b>Reviewed:</b>	<b>November 2013</b>	<b>Date for next review: November 2014</b>
<b>Reviewed:</b>	<b>November 2014</b>	<b>Date for next review: July 2015</b>
<b>Reviewed:</b>	<b>July 2016</b>	<b>Date for next review: July 2017</b>
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<b>Reviewed:</b>	<b>September 2019</b>	<b>Date for next review : September 2020</b>