



## P7-13: Retention & Record Keeping Policy

Queanbeyan & District Preschool Association (QDPA) is responsible for overseeing and ensuring records are maintained and stored in accordance with relevant legislation contained in the National Law and National Regulations, National Quality Standard, Family Assistance Law, Fair Work Act, Commonwealth Corporations Act and Australian Taxation Law.

### NATIONAL QUALITY STANDARD (NQS)

| QUALITY AREA 7: GOVERNANCE AND LEADERSHIP |                                 |  |
|---|---------------------------------|--|
| 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 |   |
|---|---|
| 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  |
| 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 LEGISLATION

|   |  |
|---|--|
| Family Assistance Law                         | Family Law Act 1975  |
| A New Tax System (Family Assistance) Act 1999 | A New Tax System (Family Assistance) (Administration) Act 1999 |
| Work Health and Safety Act 2011               |  |

## RELATED POLICIES

|  |   |
|--|---|
| Administration of First Aid Policy<br>Administration of Medication Policy<br>Child Protection Policy<br>Child Safe Environment Policy<br>Dealing with Complaints Policy<br>Delivery of Children to, and Collection from and Education and Care Service Premises Enrolment Policy | Governance Policy<br>Immunisation Policy<br>Incident, Injury, Trauma, and Illness Policy<br>Medical Conditions Policy<br>Privacy and Confidentiality Policy<br>Student and Volunteer Policy<br>Supervision Policy<br>Excursion/Centre Events Policy |
|--|---|

## 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 Service.

## 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 and Family Assistance Law.



### PRESCRIBED RECORDS TO BE KEPT BY APPROVED PROVIDER:

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

- complaints made to the provider, or to any of the services of the provider.
- children's attendance records (Regulation 158) to be kept until the end of 3 years after the child's last attendance [Regulation 183].
- record of any absences from care for all children
- copies of invoices and receipts issued for the payment of fees.
- the identifying number and expiry date of a Working with Children Check (WWCC), and 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. These records are also required for Family Assistance Law
- written record of 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 the service.
- 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)
- 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 Service'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 Service 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 service.
- 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 service.

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, card, 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 Service, 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 Service for each time that children are being educated and cared for by the Service.
- application for approval about the person responsible for day-to-day operation of a Service
- 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:

- (a) the period that an early childhood teacher is working with the service in accordance with regulation 130 or 131(2); and
- (b) the periods that the early childhood teacher is working directly with children and is not working directly with children.



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 service.

The approved provider of a centre-based service that provides education and care to 60 or more children preschool age or under must ensure that a record is kept of the period that each early childhood teacher and each suitably qualified person is in attendance at the service.

### 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]
- 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 Service. 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 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.
    - temperature record and time temperature were taken.
    - the time and date of the apparent onset of the illness
    - date when child was last at the service.
  - 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 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 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.
    - 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 authorisation to administer medication 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.

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

- the full name of each child attending the Service.
- the date and time each child arrive 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 Service 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 Service 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 Service or as a result of an incident while being educated and cared for by the Service, 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 service. (See Appendix 2- ACEQCA image)

All records required to maintain approval as listed in *Childcare Providers Handbook*, must be kept for seven years. Written records 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. (p. 56).

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
- 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.

## INFORMATION TO BE DISPLAYED (REG: 173)

Services 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 SERVICE 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))

### DESTRUCTION OF RECORDS

QDPA will ensure the destruction of information no longer required to be retained is completed using secure destruction bins.

### THE NOMINATED SUPERVISOR WILL:

- Ensure the record keeping checklist is completed at the end of Term 4 annually (appendix 3).
- Ensure that records are stored and filed accurately for offsite archiving.
- This includes filing under each category listed within this policy in a separate manilla folder, labelled with the category type, Preschool name, classroom name, destruction date in accordance with this policy.
- Paperclips and plastic sleeves are not to be placed into archiving boxes.
- The completed record keeping checklist is to be emailed to the Administration Officer to be added to the archiving spreadsheet so a storage label can be assigned to the archiving box.
- Archiving boxes are to be delivered to Mura Preschool for collection by QDPA's offsite archiving facility.

### Appendix 1: FAMILY ASSISTANCE LAW



Family Assistance Law is a broad term that encompasses the following legislation:

[A New Tax System \(Family Assistance\) Act 1999](#)

[A New Tax System \(Family Assistance\) \(Administration\) Act 1999](#)

[Childcare Subsidy Minister's Rules 2017](#) (Minister's Rules)

[Childcare Subsidy Secretary's Rules 2017](#) (Secretary's Rules)

Any other instruments (including regulations) made under the [A New Tax System \(Family Assistance\) Act 1999](#) and the [A New Tax System \(Family Assistance\) \(Administration\) Act 1999](#)

Schedules 5 and 6 to the [A New Tax System \(Family Assistance and Related Measures\) Act 2000](#).

## Appendix 2: RECORDS AND DOCUMENTS REQUIRED TO BE KEPT AT THE SERVICE (REG. 183)

| Records and documents required to be kept at the service (Regulation 183)  |   |   |  |
|--|---|---|--|
| Type of record   | Responsibility  | Timeframe   | Reference  |
| Evidence of current public liability insurance<br><br>Note: Does not apply if the insurance is provided by a state or territory government | Approved provider<br><br>Family day care educator                         | Ongoing<br><br>Available for inspection at service premises or family day care office                     | Regulations 29, 30, 180  |
| Quality improvement plan   | Approved provider   | Ongoing, to be revised annually   | Regulations 31, 55, 56   |
| Child assessments or evaluations for delivery of the educational program   | Approved provider (Centre-based services)<br><br>Family day care educator | Until the end of 3 years after the child's last attendance  | Regulations 74, 183, 177(1)(a)<br><br>Regulation 178(1)(a)                     |
| Incident, injury, trauma, and illness record   | Approved provider<br><br>Family day care educator                         | Until the child is 25 years old   | Regulations 87, 183, 177(1)(b)<br><br>Regulation 178(1)(b)                     |
| Medication record  | Approved provider<br><br>Family day care educator                         | Until the end of 3 years after the child's last attendance  | Regulations 92, 183, 177(1)(c)<br><br>Regulation 178(1)(c)                     |
| Child attendance record  | Approved provider<br><br>Family day care educator                         | Until the end of 3 years after the last date on which the child was educated and cared for by the service | Regulations 158, 183, 177(1)(k)<br><br>Regulation 159;<br>Regulation 178(1)(d) |
| Child enrolment record   | Approved provider<br><br>Family day care educator                         | Until the end of 3 years after the child's last attendance  | Regulations 160, 183, 177(1)(l)<br><br>Regulation 178(1)(e)                    |
| Death of a child while being educated and cared for by the service   | Approved provider   | Until the end of 7 years after the death  | Regulations 12, 183(2)(c)  |
| Record of service's compliance history   | Approved provider   | Until the end of 3 years after the approved provider operated the service                                 | Regulations 167, 183(2)(e)   |

Records and documents required to be kept at the service (Regulation 183)



| Type of record  | Responsibility           | Timeframe  | Reference                                |
|---|--------------------------|--|--|
| For centre-based services only  |                          |  |  |
| Staff record  | Approved provider        | Until the end of 3 years after the staff member works for the service  | Regulations 145, 183(2)(g)               |
| Record of access to early childhood teachers  | Approved provider        | Until the end of 3 years after the staff member works for the service  | Regulations 152, 183(2) (f)              |
| Record of educators working directly with children  | Approved provider        | Until the end of 3 years after the staff member works for the service  | Regulations 151, 183(2) (f)              |
| Record of volunteers and students, contact details and days in attendance                                       | Approved provider        | Until the end of 3 years after the volunteer or student attended the service   | Regulations 149, 183(2) (f)              |
| Record of responsible person in day- to-day charge including nominated supervisors placed in day-to-day charge  | Approved provider        | Until the end of 3 years after the staff member works for the service  | Section 162<br>Regulations 145, 150, 177 |
| For family day care services only   |                          |  |  |
| Record of assessments of family day care residences and approved family day care venues                         | Approved provider        | Until the end of 3 years after the record was made   | Regulations 116, 183(2)(g)               |
| Record of family day care staff (including educators, co-ordinators, and assistants)                            | Approved provider        | Until the end of 3 years after the staff member ceased working at the service  | Regulations 154, 183(2) (f)              |
| Record of visitors to family day care residence or approved family day care venue                               | Family day care educator | Until the end of 3 years after the record was made   | Regulations 165, 183(2)(g)               |
| Register of family day care educators, co-ordinators and assistants engaged by, or registered with, the service | Approved provider        | Must be kept until 3 years after the date on which the family day care educator or co-ordinator ceased to be employed or engaged by or registered with the service | Regulation 153                           |





## Appendix 3: RECORD KEEPING CHECKLIST TO BE COMPLETED AT END OF TERM 4 ANNUALLY

### **Documents to be kept for 3 YEARS.**

**PLEASE NOTE**- All records relating to a child enrolled at the service must be kept for three years from the last day they were educated and cared for by the service. All records relating to staff/ educators' employment capacity at the service must be kept for three years from the last day they were present at the service.

| <b>Record Keeping - IN RELATION TO CHILDREN</b>           |   |                                 |
|---|---|---------------------------------|
| <b>Regulation and National Law Reference</b>              | <b>Documents to be kept</b>   | <b>Record Keeping location:</b> |
| Child Assessments<br>regulations 74, 177(a), 183(2)(d)    | Observations, assessments, evaluations for delivery of the educational program.<br><br>Assessments of the child's progress against the outcomes of the educational program<br>Transition reports  |                                 |
| Medication Record<br>regulations 92, 95,177(c), 183(2)(d) | Complete each required section and ensure relevant signatures of person administering medication including the name and signature of another person to check dose and administration if required (R.95) <ul style="list-style-type: none"><li>- written/signed authorisation to administer medication, including authorisation for self-administration by the child if applicable.</li><li>- name of child</li></ul> name of medication |                                 |
| Child Attendance  | <ul style="list-style-type: none"><li>- full name of each child attending service</li><li>- date and time each child arrive and departs.</li></ul>  |                                 |



## QUEANBEYAN & DISTRICT PRESCHOOL ASSOCIATION

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| regulations 158-159, 177(k), 183(2)(d)                          | signature of person who delivers and collects the child or nominated supervisor/educator  |  |
| Child Enrolment<br>regulations 160, 161, 162, 177(l), 183(2)(d) | <ul style="list-style-type: none"> <li>- child's full name, date of birth and address</li> <li>- gender</li> <li>- contact details for the child's parents and for other persons as required.</li> <li>- name of any person who is an authorised nominee.</li> <li>- name of person/s authorised to consent to authorise administration of medication; authorised to take child outside education and care service premises.</li> <li>- health information of child</li> <li>- immunisation status of the child</li> <li>- information about any parenting orders, court orders, or parenting plans provided that relate to the child.</li> <li>- information about the language used in the child's home, the cultural background of the child and their parents and any special considerations for the child e.g., cultural, religious, additional needs.</li> </ul> <p>authorisations- transportation for medical treatment, ambulance, sunscreen, transportation, regular outings</p> |  |
| Record of children embarking a means of transport               | <p>Record must</p> <ul style="list-style-type: none"> <li>- confirm all children are accounted for.</li> <li>- state how each child was accounted for.</li> </ul>   |  |



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| <p>regulation 102E, 177(o), 183(2)(g)</p>  | <ul style="list-style-type: none"> <li>- date and time record are made.</li> <li>- the name of, and signed by, the staff member or Nominated Supervisor who is not driving the means of transport, who is present when the children embark the means of transport at the education and care service premises</li> </ul>   |                                 |
| <p>Record of children disembarking a means of transport</p> <p>regulation 102F(p), 183(2)(g)</p> | <p>Record must</p> <ul style="list-style-type: none"> <li>- confirm all children are accounted for.</li> <li>- state how each child was accounted for.</li> <li>- date and time record are made.</li> <li>- the name of, and signed by, the staff member or Nominated Supervisor who is not driving the means of transport, who is present when the children disembark the means of transport at the education and care service premises</li> </ul> |                                 |
| <p><b>Record Keeping - IN RELATION TO EMPLOYEES</b></p>  |   |                                 |
| <p>Regulation and National Law Reference</p>   | <p>Documents to be kept</p>   | <p>Record Keeping location:</p> |
| <p>Staff Record</p> <p>regulation 145, 147, 177(e), 183(2)(f)</p>                                | <p>Staff files</p> <ul style="list-style-type: none"> <li>- staff employment contract/form</li> <li>- information about each staff member</li> <li>- name and address</li> <li>- date of birth</li> <li>- immunisation</li> <li>- phone numbers (emergency contact numbers)</li> </ul>  |                                 |



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| <p>Relevant Qualifications</p> <p>regulations 10, 147, 183(2)(f)</p>   | <p>Staff files</p> <ul style="list-style-type: none"> <li>- relevant qualifications</li> <li>- teacher registration</li> </ul> <p>evidence of actively working towards qualification (regulation 10)</p>  |  |
| <p>Child Protection Training</p> <p>regulation 147, 183(2)(f)</p>  | <p>Staff files</p> <p>Evidence of educator current child protection course approved by state/territory regulatory authority</p>   |  |
| <p>Current Working with Children Check</p> <p>regulation 147, 183(2)(f)</p>  | <p>Staff files</p> <ul style="list-style-type: none"> <li>- valid Working with Children Check clearance-pre-employment screening.</li> <li>- Blue Card</li> <li>- Vulnerable Persons check.</li> </ul> <p>number and expiry date</p>  |  |
| <p>First Aid Training (including CPR, Anaphylaxis and Asthma management training)</p> <p>regulation 147, 183(2)(f)</p> | <p>Staff files</p> <ul style="list-style-type: none"> <li>- evidence of educator/staff current ACECQA approved first aid course.</li> <li>- evidence of educator/staff current ACECQA approved anaphylaxis management training.</li> </ul> <p>evidence of educator/staff current ACECQA approved emergency asthma management training</p> |  |
| <p>Record of students and volunteers</p>   | <p>Staff record/visitors book (Centre Based)</p>  |  |



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| <p>regulation 149, 177(f), 183(2)(g)</p>   | <ul style="list-style-type: none"> <li>- name of each visitor/student</li> <li>- address</li> <li>- date of birth</li> <li>- time of the visitor's arrival and departure</li> <li>signature of the visitor</li> </ul>   |  |
| <p>Record of educators working directly with children (including hours of each educator)</p> <p>regulation 151, 177(h), 183(2)(f)</p>                                | <p>Staff sign in/out record.</p> <ul style="list-style-type: none"> <li>- staff roster and any modifications (name of educator working directly with children and hours)</li> <li>- time sheets</li> <li>-</li> </ul>   |  |
| <p>Record of access to early childhood teachers (ECT)</p> <p>regulation 152, 177(i), 183(2)(f)</p>   | <p>Staff sign in/out record.</p> <ul style="list-style-type: none"> <li>- roster</li> <li>- time Sheets</li> </ul>  |  |
| <p>Record of responsible person in day-to-day charge including nominated supervisor</p> <p>Section 162</p> <p>regulations 84, 145-150, 177(g), 177(n), 183(2)(f)</p> | <p>Staff record</p> <ul style="list-style-type: none"> <li>- full name, address, and date of birth of nominated supervisor</li> <li>- evidence of relevant qualifications or actively working towards that qualification</li> <li>- evidence of approved training (first aid)</li> <li>- valid Working with Children Check/ vulnerable person check (number and expiry date)</li> <li>- teacher's registration (if applicable)</li> </ul> |  |



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|  | <ul style="list-style-type: none"> <li>- Nominated Supervisor consent form.</li> <li>- Compliance history statement for a person to be a person in day-to-day charge (PIDTDC)</li> <li>- Information displayed in foyer each day – name of responsible person.</li> <li>- Child Protection Training</li> </ul>                |                          |
| <p>Record of replacement of early childhood teacher or suitably qualified person</p> <p>Regulation 152B, 183(2)(f)</p> | <p>Record must include.</p> <ul style="list-style-type: none"> <li>- full name of educator on leave</li> <li>- qualification the educator on leave</li> <li>- the qualification of the person who replaced the educator.</li> <li>- date/s the educator was replaced.</li> </ul> <p>the reason for the educator’s absence</p> |                          |
| <p><b>Record Keeping - IN RELATION TO EDUCATIONAL LEADER AND NOMINATED SUPERVISOR</b></p>                              |   |                          |
| Regulation and National Law Reference  | Documents to be kept  | Record Keeping location: |
| <p>Educational Leader</p> <p>regulation 118, 148, 183(2)(f)</p>  | <p>Approved provider- designated person as suitably qualified and experienced to be educational leader (must be in writing)</p> <p>Information to be displayed – in foyer or other area accessible by parents/families</p>  |                          |
| Nominated Supervisor   | <p>Staff files</p> <ul style="list-style-type: none"> <li>- staff employment contract/form</li> </ul>   |                          |



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| regulation 146, 177(e), 183(2)(f)   | <ul style="list-style-type: none"> <li>- information about each nominated supervisor</li> <li>- name and address</li> <li>- date of birth</li> <li>- immunisation</li> <li>- phone numbers (emergency contact numbers)</li> <li>- qualifications or evidence of actively working towards</li> <li>- Working with Children Check</li> <li>- First aid qualification</li> </ul> |                          |
| Child Protection Training<br><br>Regulation 84, 183(2)(f)<br>Section S162A                    | Evidence of educator current child protection course approved by state/territory regulatory authority   |                          |
| <b>Record Keeping - IN RELATION TO SERVICE OPERATION</b>                                      |   |                          |
| Regulation and National Law Reference   | Documents to be kept  | Record Keeping location: |
| Record of service's compliance history<br><br>section 55<br>regulation 167, 177(m), 183(2)(f) | Information to be displayed. <ul style="list-style-type: none"> <li>- current rating from ACECQA</li> </ul> information related to any amendment, suspension, compliance notice, review   |                          |



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| Quality Improvement Plan<br>Regulations 31, 55, 183(2)(g) | Continuous reflection and service achievements<br>to be recorded within the service QIP |  |
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**Documents to be kept for 5 YEARS.**

| Record Keeping - IN RELATION TO SERVICE OPERATION  |  |                          |
|--|--|--------------------------|
| Regulation and National Law Reference  | Documents to be kept   | Record Keeping location: |
| Business and financial records<br>regulation 183<br>Access available by the ATO for a minimum of 5 years | <ul style="list-style-type: none"> <li>- waste removal</li> <li>- tax file number declarations and withholding declarations</li> <li>- withholding variation notices</li> <li>- worker payment records</li> <li>- PAYG payment summaries</li> <li>- superannuation records</li> <li>- any fringe benefits provided.</li> <li>- cash book records of daily receipts and payments</li> <li>- records of payments to employees, such as PAYG</li> <li>- bank reconciliation statements</li> <li>- GST tax invoices and income tax</li> <li>- records, such as debtors and creditors list, stock take records and motor vehicle expenses.</li> </ul> records of payments withheld from suppliers who do not quote an ABN |                          |





## QUEANBEYAN & DISTRICT PRESCHOOL ASSOCIATION

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| <p>Incorporated Associations<br/>regulation 183</p> <p>The Office of Fair Trading recommends that the register of members and meeting minutes are kept indefinitely.</p> <p>Financial records are to be kept for a minimum of 5 years after they were made.</p> | <ul style="list-style-type: none"> <li>- register committee members.</li> <li>- record of any disclosure of interest by a committee member</li> <li>- financial records</li> <li>- minutes of the proceedings of all meetings, committee meetings, Annual General Meetings, and special meetings</li> <li>- record of authorised signatories</li> </ul> <p>record of the current public officer and official address</p> |  |
|---|--|--|

### Documents to be kept for 7 YEARS.

| <b>Record Keeping - IN RELATION TO SERVICE OPERATIONS</b> |   |                          |
|---|---|--------------------------|
| Regulation and National Law Reference                     | Documents to be kept  | Record Keeping location: |
| <p>Family Assistance Law<br/>Regulation 158, 183</p>      | <ul style="list-style-type: none"> <li>- complaints made to the provider, or to any of the services of the provider, relating to compliance with Family Assistance Law</li> <li>- a record of attendance for each child</li> <li>- record of any absences</li> <li>- statements or documents demonstrating that additional absence days more than the initial 42 days satisfy requirements.</li> <li>- copies of invoices and receipts issued for payment of childcare fees.</li> <li>- copies of all Statements of Entitlement issued, and any statements issued to</li> </ul> |                          |



|   |  |  |
|---|--|--|
|   | <p>advise there was a change of entitlement.</p> <ul style="list-style-type: none"><li>- identifying number and expiry date of Working with Children Check (WWCC), vulnerable people check or criminal history check.</li><li>- written record of any notice given to state or territory body about a child at risk of abuse or neglect</li><li>- copies of the evidence and information provided for approval about persons with management control of a provider and persons responsible for the day-to-day operation of the service.</li></ul> <p>PRODA (Provider Digital Access) numbers</p> |  |
| <p>Death of a child whilst being educated and cared for at the service.</p> <p>regulations 12, 183(2)(c)</p> <p><b>Record to kept until 7 years from child's death.</b></p> | <p>Serious incident form National Quality Agenda IT System (NQA IT)</p> <p>Complete each required section and ensure relevant signatures and supporting documentation (insurance, medical certificates)</p>  |  |
| <p>Work Health and Safety (including workers compensation)</p> <p>regulation 183</p>  | <p>Summary of the Act should be available to employees.</p> <p>Requirements by legislation are:</p> <ul style="list-style-type: none"><li>- register of injuries</li><li>- notification (to Workcover) of workplace injury</li></ul> <p>wages records, contracts</p>   |  |



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| There are no legislative requirements for workers compensation claims, however Workcover recommends retaining records for seven years.     |  |  |
| Insurance Records<br>regulation 29, 180, 183<br><br>Must be available upon request at the service.<br>ATO recommends retention for 7 years | Policy details and records of claims<br>Current Public Liability Insurance<br>Record of any claims |  |

**Documents to be kept for 25 YEARS.**

| Record Keeping - IN RELATION TO INCIDENT, INJURY, TRAUMA, AND ILLNESS   |  |                          |
|---|--|--------------------------|
| Regulation and National Law Reference   | Documents to be kept   | Record Keeping location. |
| Incident, injury, trauma, and illness record<br>regulations 87, 177(b), 183(2)(a), 183(2)(b)<br><br>Until the child is 25 years old | Complete each required section and ensure relevant signatures.<br><ul style="list-style-type: none"> <li>- include circumstances surrounding the incident, injury, trauma, or illness.</li> <li>- details of any action taken by the educator, including medication administered and medical personnel contacted.</li> <li>- details of any person who witnessed the incident.</li> </ul> copies of reports from hospital, ambulance or attending medical practitioner |                          |



**Digital / Electronic Records**

If any records are stored electronically, these must be able to be produced as a hard copy if requested by an authorised officer, parent, or government representative (for example: Department of Education, Skills, and Employment or ATO).

Ensure computer systems are secure and accurate. Make regular backups of all digital records and programs and have external off-site storage, which may include cloud storage.

|                    |  |      |  |
|--------------------|--|------|--|
| Comments           |  |      |  |
|                    |  |      |  |
| Completed By Name: |  |      |  |
| Signature:         |  | Date |  |



## CONTINUOUS IMPROVEMENT/REFLECTION

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

## SOURCE

Australian Children’s Education & Care Quality Authority. (2014).  
 Australian Government Department of Education Childcare Provider Handbook (May 2023)  
<https://www.education.gov.au/early-childhood/resources/child-care-provider-handbook>  
 Australian Government Department of the Officer of the Privacy Commissioner: [www.privacy.gov.au](http://www.privacy.gov.au)  
 Australian Legal Information Institute: [www.austlii.edu.au](http://www.austlii.edu.au)  
 Australian Taxation Office: [www.ato.gov.au](http://www.ato.gov.au)  
 Early Childhood Australia: [www.earlychildhoodaustralia.org.au](http://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](http://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).

| Version Control | Date          | Author | Description of Change  |
|-----------------|---------------|--------|--|
| 1.0             | 2005          | QDPA   | Original document  |
| 2.0             | 2007          | QDPA   | Scheduled Policy Review and update   |
| 3.0             | 2009          | QDPA   | Scheduled Policy Review and update   |
| 4.0             | 2011          | QDPA   | Scheduled Policy Review and update   |
| 5.0             | 2013          | QDPA   | Scheduled Policy Review and update   |
| 6.0             | 2015          | QDPA   | Scheduled Policy Review and update   |
| 7.0             | Feb 2021      | QDPA   | <ul style="list-style-type: none"> <li>Document reviewed with change in leadership team in 2021. Additional related regulations &amp; NQS references added.</li> <li>Version control and description box added to clarify reviewed items/new inclusions.</li> <li>Format change to include policy statement, purpose, scope and implementation, addition of footers and page numbering and general layout changes</li> </ul> |
| 8.0             | May 2022      | QDPA   | Scheduled Review <ul style="list-style-type: none"> <li>Additional authorisations for transportation added- Reg 160</li> <li>Additional section Health Information in enrolment record</li> <li>Additional information to be displayed added.</li> <li>Sources checked</li> </ul>  |
| 9.0             | December 2023 | QDPA   | <ul style="list-style-type: none"> <li>Inclusion of records of transportation of children</li> <li>Inclusions of records of replacement ECT</li> <li>Inclusion of archiving process</li> <li>Appendix 2</li> <li>* Appendix 3</li> </ul>   |