

# Record Keeping and Retention Policy



## Manual

Early Years Services

## Scope

Children, Families, Educators, Volunteers and Students

## Procedure

### Records to be Kept in Relation to Staff:

The following records must be kept in relation to the service's Nominated Supervisors or where applicable Primary Nominee:

- The full name, address and date of birth.
- Evidence of any relevant qualifications held.

If applicable, evidence that the Nominated Supervisor (primary nominee) 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.
- Date training completed in administration of an adrenaline auto-injection device and CPR and evidence of completion (*Services regulated under the Children's Services Regulations 2020*).
- Date training completed and evidence of completion in first aid and anaphylaxis management (*Services regulated under the Children's Services Regulations 2020*).
- Working with Children Check notice reference number, expiry date and the date the notice was read by licensee./ approved provider.
- The normal working hours of the staff member.

### The Following records must be kept in relation to other educators/staff member:

- 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

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qualification or has completed the units of study in an approved Certificate III level education and care qualification determined by ACECQA.

- Date training completed in administration of an adrenaline auto-injection device and CPR and evidence of completion (*Services regulated under the Children's Services Regulations 2009*).
- Date training completed and evidence of completion in first aid and anaphylaxis management (*Services regulated under the Children's Services Regulations 2009*).
- Working with Children Check notice reference number, expiry date and the date the notice was read by licensee/ approved provider.
- The normal working hours of the staff member.

## **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 (licensee) 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 will be kept in relation to access to early childhood teacher/s:**

- The approved provider (licensee) 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 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.
- 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.

## **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, interests, experiences and participation in the education program.
- Assessments of the child's progress against the outcomes of the educational program.
- We follow the national model code refer to eSafety and ICT procedures regarding storage of photos and videos of children.

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## An Incident, Injury, Trauma and Illness Record (within the corresponding 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 individual who witness the incident, injury or trauma
- The name of any individual 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 individual 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 signed by a parent or an individual named in the child's enrolment record as authorised to content 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 individual who administered the medication.
- If another individual is required to check the dosage, the name and signature of that individual.

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## 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 individual who delivers the child to the education and care service premises (or the educator) and the signature of authorised person who collects the child from the education and care service.

## Child Enrolment Record 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 individual who is to be notified of any emergency involving the child if any parent of the child cannot be immediately
- Any individual who is an authorised nominee
- Any individual who is authorised to consent to medical treatment of, or to authorise administration of medication to the child.
- Any individual 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 individual 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 individual.
- 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 individual 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 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 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.

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- A notation that states that a staff member or approved provider has sighted a child's health record.

## A Record of the Services Compliance with the Law including:

- Details of any amendments or conditions of the service approval / licence 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 individual other than the approved provider (licensee).
- A record of certified supervisors (nominees) 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 (licensee) 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 individual.

## 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.
- 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.

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- 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

- 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 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 STORED RECORDS

The approved provider will ensure that information kept in a record is not divulged or communicated through direct or indirect means to another individual 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 individual who provided the information.

## EVALUATION

In order to assess whether the values and purposes of the policy have been achieved, the Approved Provider will:

- Regularly seek feedback from everyone affected by the policy regarding its effectiveness.
- Monitor the implementation, compliance, complaints and incidents in relation to this policy.
- Keep the policy up to date with current legislation, research, policy and best practice.
- Revise the policy and procedures as part of the service's policy review cycle, or as required.
- Notify parents/guardians at least 14 days before making any changes to this policy or its procedures.

## Forms and Records:

[Privacy Statement Early Years](#)

## Related MTHCS Policy / Procedure:

[Privacy and Confidentiality Policy](#)

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## References:

Victorian Early Years Learning Development Framework  
Early Years Learning Development Framework

## Legislation:

Children, Youth and Families Act 2005 (Vic)  
Child Wellbeing and Safety Act 2005 (Vic)  
Education and Care Services National Law Act 2010  
Education and Care Services National Regulations 2011  
Children's Services Regulations 2020  
Children's Services Act 1996  
Family Law Act 1975 (Cth)

## Standards:

### National Quality Standard:

QA4 – 4.1.1 – Educator-to-child ratios and qualification requirements are maintained at all times.  
4.2.1 – Professional standards guide practice, interactions and relationships.  
4.2.2 – Educators, coordinators and staff members work collaboratively and affirm, challenge, support and learn from each other to further develop their skills, to improve practice and relationships  
4.2.3 Interactions convey mutual respect, equity and recognition of each other's strengths and skills  
QA7 – 7.3.1 – Records and information are stored appropriately to ensure confidentiality, are available from the service and are maintained in accordance with legislative requirements.  
7.3.2 – Administrative systems are established and maintained to ensure the effective operation of the service.  
7.3.3 - The Regulatory Authority is notified of any relevant changes to the operation of the service, of serious incidents and any complaints  
ISO 9001:2015 – 8.5, 7.5.3

MTHCS Early Years Services operate over two different regulatory requirements, Education and Care National Regulations 2011 and Children's Services Regulations 2020, differentiating Kindergarten services from Child Care Subsidy services. To reduce the list of Policies and Procedures produced, MTHCS Early Years Services have combined these documents. Delegations will only be referenced under the Education and Care National Regulations 2011, however this would be equivalent to the same delegation as the Children's Services Regulations 2020 as needed but not stated.

## Education and Care National Regulations 2011

The Approved Provider or Persons with management and control  
The Nominated Supervisor or Persons in Day to Day Charge  
Certified Supervisors

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## Children's Services Regulations 2020

The Licensee

Primary Nominee

Approved Nominee or Accepted Nominee

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