

POLICY/PROCEDURE NAME & REVIEW PROCESS	RECORD KEEPING AND RETENTION OF RECORDS POLICY This policy and procedure has been created to provide all stakeholders with clear guidelines and transparency to our practices and procedures. We welcome feedback and input from all stakeholders at any time and this policy is subject to review based on feedback or due date of annual review
NATIONAL QUALITY STANDARD	QUALITY AREA 7 GOVERNANCE AND LEADERSHIP 7.1 GOVERNANCE 7.1.1 Service philosophy and purpose. 7.1.2 Management systems. 7.1.3 Roles and responsibilities. 7.2 LEADERSHIP 7.2.1 Continuous improvement. 7.2.2 Educational leadership. 7.2.3 Development of professionals
NATIONAL LAW AND REGULATIONS	55- Quality Improvement plan 74- Documenting of child assessments or evaluations for delivery of educational program 75- Information about educational program to be kept available 87- Incident, injury, trauma, and illness record 92 - Medication record 145-Staff record 151- Record of educators working directly with children 158- Children's attendance record to be kept by approved provider 167- Record of services compliance 170-Policies and procedures to be followed 171-Policies and procedures to be kept available 172- Notification of change to policies or procedures 180- Evidence of prescribed insurance 181-confidentiality of stored records 183 – Storage of records
RELATED POLICIES and RECORDS	<ul style="list-style-type: none"> Archive record Enrolment record Incident, injury, trauma, and illness record Quality Improvement plan Record keeping and retention of records procedure
SCOPE OF POLICY	This policy applies to all children, educators, families, management, students, volunteers, and visitors at our service.
AIM OF POLICY	To ensure that our service has strong guidelines, procedures, and practices in place regarding record keeping and retention of records to support information for all children who attend our service in order to support their safety, wellbeing, and protection. Our aim is to provide a clear policy, implement the policy, support practices relating to the policy, train staff regarding the policy and maintain and update the compliance of the policy for all our stakeholders.
SERVICE IMPLEMENTATION	Implementation In order for an approved provider to maintain their government approval there is certain criteria that they must adhere to regarding the national Law and Regulations. Accurate record keeping assists in the management of the service ensures safety of all children and provides insight and transparency to all stakeholders. Under the National Regulations, reg 181 and 183 Approved Providers must: <ul style="list-style-type: none"> Keep and maintain certain records. Ensure confidentiality and secure storage of records. Have the records available for inspection by an authorised officer and, in some cases, parents of enrolled children. <i>The records must be kept—</i> <ul style="list-style-type: none"> <i>if the record relates to an incident, illness, injury, or trauma suffered by a child while being educated and cared for by the education and care service, until the child is aged 25 years.</i>

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- *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 education and care 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 education and care 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 record relates to sexual abuse that has or is alleged to have occurred at a service, it is recommended that records be kept for at least 45 years from the date the record is created.*
- *in the case of any other record relating to a child enrolled at the education and care service, until the end of 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 a 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 case of any other record, until the end of 3 years after the date on which the record was made.*

Records

The following records must be kept in the service but also must contain the following criteria in order to meet regulatory requirements. Records may be maintained in either physical or electronic format, provided they meet the requirements of confidentiality, accessibility, and are stored securely in accordance with Regulation 183 and relevant privacy laws.

Regulation 55-Quality Improvement Plan- QIP

- A live document that assesses the service against the National Quality Standards and works on completing improvements and building on strengths.
- It must contain the current Service Philosophy.

Regulation 74 -Documenting of child assessments or evaluations for delivery of educational program

- Approved provider must ensure that staff are keeping records that assess childrens development, needs, interests, experiences, and participation in the educational program.
- Assessments of the child's progress against the outcomes of the educational program.

Regulation 75- Information about educational program to be kept available.

- All staff must display and keep records of their program – it must be on display daily. It must be accessible to families to view at any time.

Regulation 87- Incident, injury, trauma, and illness record

- Approved provider must ensure that Incident Injury Trauma and Illness record is accurately completed and contain the following information relating to a child.
- Details of the incident.
- Name and age of child.
- Circumstances that led to the event or information regarding onset of illness.
- Time and date of event.
- Name of any witnesses.
- Any medication administered or details of First Aid administered and by whom.
- Details of any emergency services contacted.
- Details of parent/guardian contacted and date and time and attempts to contact.
- Signature and name of educator completing form and signature and date of nominated supervisor/ responsible person checking document.

Regulation 92 - Medication record

- Approved provider must ensure that medication record is accurately completed and contain the following information relating to a child.
- Name of child
- Name, signature of parent/guardian authorised in enrolment record to approve medication.
- Name and dosage of medication.
- Time and date the medication was last administered to the child.
- Time and date, or the circumstances under which, the medication should be next administered.
- How the medication is to be administered e.g., Orally.

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- Once administered.
- Dosage administered.
- The method of administration.
- Time and date when medication administered.
- Name and signature of first aid qualified educator who administered medication – name and signature time and date of witness to administration of medication.

Regulation 145-Staff record

- Approved provider must ensure that the service has a copy of a staff record or staff schedule on premises which includes the following relating to staff.
- Full name, address, and date of birth of the nominated supervisor and each other staff member at the service.
- Evidence of current qualifications or evidence the nominated supervisor or staff member is actively working towards that qualification) and approved training (including first aid training) held by the nominated supervisor and each other staff member and evidence of child protection training.
- Record of evidence of fitness and propriety of staff members - if the education and care service is located in a jurisdiction with a working with children law or a working with vulnerable people law, a record of the identifying number of the current check conducted under that law, and the check's expiry date if applicable, OR except in the case of NSW, Queensland and Tasmania, if the staff member has provided proof of their current teacher registration, a record of the identifying number of the staff member's teacher registration and the expiry date of that registration.
- In Tasmania, a record of the identifying number of the staff member's working with vulnerable people registration and the expiry date of that registration.
- The name of the person designated as the educational leader.
- Full name, address, and date of birth of each student or volunteer who participates, and the date and hours of participation.
- The name of the responsible person for each time that children are being educated and cared for by the service.
- The name of each educator who works directly with children, including the hours that each educator works directly with children.
- Record of access to early childhood teachers or suitably qualified person.

Regulation 151- Record of educators working directly with children.

- Approved provider must keep a record of educators working directly with children and a record of when staff are not with children. E.g., lunch breaks, programming.
- The record should note the hours that each educator works directly with children and should exclude time spent off the floor for breaks, programming, and preparation.
- Regulation 151 does not dictate how the required information must be recorded. The approved provider may use a staff roster or time sheets to capture the required information, or an alternative method.
- Approved providers are encouraged to have a clear and accurate record of educators working directly with children to help demonstrate educator to child ratios are being met and children are adequately supervised at all times.

Regulation 158 Children's attendance record to be kept by approved provider.

Approved Provider must keep a record of children attending.

The record must include.

- The full name of each child attending the service.
- Must record the date and time each child arrives and departs.
- Must be acknowledged or signed by the person who delivers the child to the service or collects the child from the service.
- Can also be signed in and out by a nominated supervisor or an educator.

Regulation 160-Child enrolment records to be kept by approved provider and regulation 161- Authorisations to be kept in enrolment record and regulation 162- Health information to be kept in enrolment record.

Approved provider must keep an enrolment record for each child that attends the service.

The enrolment record must include the following:

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- The full name, date of birth and address of the child.
- The name, address and contact details of each known parent of the child and any person who is a nominated authorised person in the event of an emergency and the inability to contact the parent, they are authorised to collect the child from the service.
- A person who is authorised to consent to medical treatment of, or to authorise administration of medication to, the child.
- A person who is authorised to authorise an educator to take the child outside the education and care service premises in regard to an excursion.
- A person who is authorised to authorise the service to transport the child or arrange transportation of 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.
- The gender of the child.
- The language used in the child's home.
- The cultural background of the child and, if applicable, the child's parents.
- Any special considerations for the child, for example any cultural, religious, or dietary requirements or additional needs.
- An **authorisation**, signed by a parent or a person named in the enrolment record as authorised to consent to the medical treatment of the child, for the approved provider, a nominated supervisor or an educator to seek medical treatment for the child from a registered medical practitioner, hospital or ambulance service transportation of the child by an ambulance service.
- If relevant an authorisation to take the child on regular outings and if relevant, authorisation given for regular transportation of the child.
- The **health information** to be kept in the **enrolment record** for each child enrolled at the service is.
- The name, address and telephone number of the child's registered medical practitioner or medical service.
- If available, the child's Medicare number.
- Details of any specific healthcare needs of the child, including any medical condition, allergies, including whether the child has been diagnosed as at risk of anaphylaxis and any medical management plan, anaphylaxis medical management plan or risk minimisation plan to be followed with respect to a specific healthcare need.
- Details of any dietary restrictions for the child.
- Immunisation status of the child.

Regulation 167- Record of services compliance

- The record of the service's compliance must include the following information:
- Details of any amendment of the service approval made by the Regulatory Authority.
- 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 approval (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.

Regulation 180- Evidence of prescribed insurance

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- The approved provider of a service must keep evidence of the current prescribed insurance at the service premises and must make the evidence available for inspection by the Regulatory Authority or an authorised officer under the Law.

Regulation 181- Confidentiality of stored records

Where practical depending on storage limitations an approved provider must keep the documents below at the service if they relate to:

- The operation of the service in the previous 12 months
- Any staff member employed or engaged by the service in the previous 12 months.
- Any child educated and cared for at those premises in the previous 12 months.
- In any other case, the documents must be kept at a place and in a manner that is readily accessible by an authorised officer.
- Any documents relating to a child must be made available to a parent of the child on request (unless limited by a court order). The record of the service's compliance must be able to be accessed by any person on request. These documents should only have information specific to their child.

Regulation 183-storage of records and Regulation 184 – Storage of records after service approval transferred.

- The approved provider will have a system to store, retain and dispose of records and archive correctly by utilising the **archive record**.
- Ensure that there is a process to update relevant records.
- All records relating to children and staff are to be kept confidential and private except when needing to access medical records for children or in the event of a regulatory authority visit and an officer requires access to documentation.
- Certain records are kept for different periods of time and when archiving the nominated supervisor /staff member must box documents according to the length of storage time required.
- In the event of any other record, until the end of 3 years after the date on which the record was made.
- In the event of a service approval being transferred under the Law, the transferring approved provider must transfer the documents referred to in regulation 177 relating to children currently enrolled with the service to the receiving approved provider on the date that the transfer takes effect.
- The transferring approved provider must not transfer the documents relating to a child under subregulation (1) unless a parent of the child has first consented to that transfer.
- The transferring approved provider must not transfer the documents relating to a child unless a parent of the child has first consented to that transfer.

Records of the following will be kept.

Children:

- Child Assessments until the end of 3 years after the child's last attendance.
- Incident, injury, trauma, and illness record keep the record until child is 25.
- Sexual abuse records relating to a child that has or is alleged to have occurred, for at least 45 years from the date the record was created.
- Medication record until the end of 3 years after the child's last attendance.
- Child Attendance until the end of 3 years after the child's last attendance.
- Child Enrolment until the end of 3 years after the child's last attendance.
- Death of a child whilst being educated and cared for at service keep the record until 7 years from child's death.

Staff:

- Staff record until 3 years after the staff member has left the service.
- Record of access to Early Childhood teachers until 3 years after the ECT has left the service.
- Record of educators working directly with children until after 3 the staff member has left the service.
- Record of volunteers and students contact details and days in attendance until 3 years after the staff member has left the service.
- Record of responsible person in day to-day charge including nominated supervisors placed in day-to-day charge – until the end of 3 years after the staff member works for the service.

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Service:

- Evidence of current public liability insurance- ongoing.
- Quality improvement plan – ongoing
- Record of services compliance history until the end of 3 years after the approved provider operated the service.

Each member of the team plays an important role in the implementation of each policies guidelines, and they are outlined as below but not limited to the following:

The Approved Provider

- Will ensure there is an appropriate filing space that is allocated to store records and ensure they are kept secure and confidential.
- Will ensure all staff are aware of the importance of keeping certain records and informed of how long each type of record must be kept.
- Will ensure a log will be maintained of the records being stored and they will be stored and grouped together for easy access.
- Will ensure all records will be dated and signed by the appropriate person.
- Will ensure that obligations under the Education and Care Services National Law and National Regulations are met.
- Will ensure they take reasonable steps to ensure that the nominated supervisor, educators, staff, and volunteers follow the policy and procedures.
- Will ensure they provide the nominated supervisor, educators, staff and volunteers the documentation to perform their role, follow policy, procedure, and document according to regulatory and service requirements.
- Will ensure that adequate induction process is provided to all staff to ensure they have time to read and understand policies and procedures and seek further information if unsure.
- Will ensure that the nominated supervisor and staff are equipped with ongoing professional development and training they require to comply with this policy.
- Will encourage feedback from stakeholders regarding the policy's effectiveness, particularly in relation to identifying and responding to child safety concerns.
- Will ensure the policy is kept up to date with current legislation, research, and best practice.

The Nominated Supervisor

- Will adhere to and implement the obligations under the Education and Care Services National Law and National Regulations.
- Will ensure they take reasonable steps to ensure that the educators, staff, and volunteers follow the policy and procedures.
- Will ensure they provide the educators, staff and volunteers the documentation to perform their role, follow policy and procedure and ensure they are checking the documentation according to regulatory and service requirements.
- Will ensure that a rigorous recruitment process is completed, and a thorough induction process is provided to all staff to ensure they have time to read and understand policies and procedures and seek further information if unsure.
- Will ensure that the staff are supported with ongoing professional development and training they require to comply with this policy.
- Will encourage feedback from stakeholders and staff regarding the policy's effectiveness, particularly in relation to identifying and responding to child safety concerns.
- Will ensure the policy is kept up to date with current legislation, research, and best practice.
- Will conduct regular staff meetings to address policy compliance with legislation, policy implementation, changes to policy and or collect feedback for annual review of policy.

Educators

- Will adhere to and implement the obligations under the Education and Care Services National Law and National Regulations.
- Will ensure they take reasonable steps to follow the service policy and procedures and seek advice or further support if unsure.
- Will ensure they complete and document any related records regarding the implementation of this policy and practice requirements of the service.

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	<ul style="list-style-type: none"> Will attend any ongoing professional development, staff meetings and training they require to comply with this policy and practice requirements of the service. Will provide feedback to the nominated supervisor or approved provider regarding the policy's effectiveness, particularly in relation to identifying and responding to child safety concerns. Will provide feedback regarding policy review when required. <p>Families</p> <ul style="list-style-type: none"> Will be complete all records thoroughly when presenting to the nominated supervisor. Will seek advice if they require any assistance completing any documents. Will complete all updates when requested in order for the service to remain compliant and to ensure the safety of children at the service. Will provide nominated supervisor with any changes to child's details especially in regard to medical, allergy conditions.
REGULATION IMPLEMENTATION	The following procedures outline and support all stakeholders to understand and implement the regulatory guidelines of this policy.
In regard to regulation 170- Policies and procedures to be followed.	<p>Approved Provider will</p> <ul style="list-style-type: none"> Ensure that all staff and volunteers are made aware of Regulatory policies and procedures by ensuring that this forms a part of the induction process. Ensure probationary reviews will be conducted once new staff are appointed at the 3- month and 6-month mark to ensure that they are following policy and procedure and to review and revise regulatory policies. Ensure staff meetings will be conducted on a regular basis to allow for review of policy and procedure and further training and revision of procedural practices in relation to policy and procedure. <p>Ensure annual review and revision of policies and procedures will be conducted, and all educators will be given the opportunity for input.</p>
In regard to Regulation 171- Policies and procedures to be kept available.	<p>Approved Provider will</p> <ul style="list-style-type: none"> Ensure that policies and procedures are available to all staff and the location and availability will form a part of the induction process. Ensure policies will be available on request for all staff members to have access when required. Ensure policies will be available when required for staff members to download copies and/or print out if required in order to complete assignments or to form part of their research and/ or update their knowledge. Ensure policies will be available for all stakeholders when requested and when updating.
In regard to Regulation 172- Notification of change to policies or procedures	<p>Approved Provider will</p> <ul style="list-style-type: none"> Ensure staff meetings will be conducted on a regular basis to allow for review of policy and procedure, provide further training and allow for input if required in relation to policy and procedure. Ensure stakeholders will be invited to provide feedback for policies and procedures at any time, not just on annual review but will also be invited to add feedback at review time or after an event that may require change to policy or procedure. Ensure policies and procedures will be emailed or put on display in the foyer for stakeholders to have the ability to provide feedback. Ensure feedback will be considered from stakeholders and educators and may result in a change in policy. Ensure policy and procedure may be changed at any time if there has been an incident in the service that has required a change to be implemented for the safety and health of children and or educators. Ensure in the event of a change to a policy after feedback or a situation that occurs, we will provide 14 days' notice to all stakeholders before the change takes effect.
CONTINUOUS IMPROVEMENT	<p>We are dedicated to the ongoing improvement of our practices and procedures through the following actions:</p> <ul style="list-style-type: none"> Conducting regular reviews and updates of this policy with all stakeholders. Actively seeking feedback from children, families, and staff members. Providing targeted skill development and training for staff when areas for improvement are identified or when gaps in policy and procedure implementation are observed.

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KEY TERMS	<ul style="list-style-type: none"> ▪ Authorised nominee- is a person who has been given permission by a parent or family member to collect the child from the education and care service and are included in the enrolment record. ▪ Stakeholder - a person or group of people who have an interest in a business, a person such as an employee or customer. They have a sense of responsibility toward it and an interest in its success.
WE GRATEFULLY ACKNOWLEDGE THE FOLLOWING SOURCES	<ul style="list-style-type: none"> ▪ Australian Children's Education & Care Quality Authority. ACECQA ▪ Code of Ethics ▪ Childcare Subsidy Secretary's Rules 2017. ▪ Department of the Officer of the Privacy Commissioner: www.privacy.gov.au ▪ Education and Care Services National Regulations. ▪ Education and Care Services National Law Act 2010. ▪ Guide to the Education and Care Services National Law and the Education and Care Services National Regulations. ▪ Guide to the National Quality Framework. ▪ National Quality Standard. ▪ United Convention on the Rights of the Child

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