

A-6	MAINTENANCE OF RECORDS	
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POLICY STATEMENT

TWOOSH aims to ensure that all appropriate and necessary records are properly maintained, updated and securely stored for the legally required period of time.

CONSIDERATIONS AND REFERENCES

- National Standards 5.3
- CCB 5.4, 13.2, 4
- Quality Practices Guide 8.1
- Industrial Relations Act 1996. Sect. 129.Pt4.(6y)
- Privacy Act 1988
- Australian Privacy Principles 2001
- NSW WHS Regulation 2011
- Department of Fair Trading – Association records
- Workcover
- Superannuation requirements
- Australian Tax Office requirements

Related TWOOSH documents

- Policy A-12 – Confidentiality and Privacy

PROCEDURE

TWOOSH will ensure that all required records are properly recorded, maintained, updated and kept in the nominated secure place, either in hard or electronic copy. Australian Privacy Principles are used only as a guide as TWOOSH is not mandated to follow these.

Required archive period

See also Table 1 for requirements based on the Education and Care Services National Regulations – Reg 183.

Daily operation documents

Keep for 3 years after child's last attendance:

- ◆ Child files and enrolment forms
- ◆ Administration of medication forms
- ◆ Excursion permission slips and extra activity permission slips
- ◆ Child custody documents and court orders
- ◆ Child observations
- ◆ List of any 'others'

Keep until the child turns 25:

- ◆ Child protection agency information relating to a specific child
- ◆ Illness/accident/incident records.

Keep for 3 years after the record was made:

- ◆ Daily records of attendance, until next assessment visit, or 3 years (whichever is later)
- ◆ Program related documentation including programs, learning stories , educator daily evaluations and reflections, activity plans, etc. Either in hard or electronic copies.

Financial/administration documents

Keep for 5 years:

- ◆ Banking records
- ◆ Audit reports
- ◆ GST records (accounts folder)
- ◆ Petty cash receipt books and summary book
- ◆ Cheque butts and reconciliation and a list of all current cheque signatories
- ◆ CCS documentation
- ◆ Inclusion Support documentation
- ◆ Child protection documentation
- ◆ WH&S documentation
- ◆ Worker's compensation incident reports
- ◆ Superannuation information
- ◆ Other financial information insurance records.

Keep for 7 years:

- ◆ Educator time and wage records including pay slips and time sheets.

Employee-related documents

Keep until 3 years after their end date:

- ◆ Child protection documentation including working with children checks, resumes, induction records, training and professional development records, employment details, rosters, meeting minutes, staff policy and procedure folder.

Management Committee documents

Keep for 3 years:

- ◆ Policy and procedure reviews.

Keep forever:

- ◆ All Management Committee information including list of management structure to include position, title and duties, list of members and positions, meeting minutes, audit reports, budgets.

Required to be kept on site at all times

- ◆ National Quality Standards
- ◆ WH&S Law and Act
- ◆ WH&S reporting documentation
- ◆ National Law and Regulations
- ◆ Children's Services Award, service policies and procedures
- ◆ Staff contact numbers.

Document storage and disposal

Storage

- ◆ Educators and Management will ensure that all family files are kept in the nominated and secure place, ensuring that records are kept confidential, left locked and not accessible to others during the course of the daily operations.
- ◆ All documents will be kept on premises during the current calendar year (financial year for financial documents), then stored in clearly labelled archive boxes in storage facility once a new year begins.
- ◆ TWOOSH electronic files are stored on One drive, a cloud-based system to reduce risk of loss of files. CCS is run on a cloud system to prevent loss of attendance and billing documents and information. The Xero accounting program is also run on a cloud system. Cloud-based systems are assumed to have sufficient backups unless informed otherwise by the provider.
- ◆ Centre laptops are locked up each night and the main computer is password protected. The Director, Assistant Directors, or allocated responsible person for that shift are the only Educators allowed access to the main computer. Director or Assistant Directors may allow access to additional Educators, provided the Director or Assistant Directors are in attendance.

Disposal

When documents do not need to be kept any longer, TWOOSH will engage the services of a shredding company to destroy the documents appropriately.

Table 1: Records and documents required to be kept

Records and documents required to be kept at the service (National Regulations 183)			
Type of record	Responsibility	Timeframe	Reference
Evidence of current public liability insurance Note: Does not apply if the insurance is provided by a state or territory government.	Approved provider Family day care educator	Available for inspection at service premises or family day care office	Regulations 29, 30, 180
Quality Improvement Plan	Approved provider	Current plan is to be kept	Regulations 31, 55
Child assessments	Approved provider Family day care educator	Until the end of 3 years after the child's last attendance	Regulations 74, 183
Incident, injury, trauma and illness record	Approved provider Family day care educator	Until the child is 25 years old	Regulations 87, 183
Medication record	Approved provider Family day care educator	Until the end of 3 years after the child's last attendance	Regulations 92, 183
Child attendance	Approved provider 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 158–159, 183
Child enrolment	Approved provider Family day care educator	Until the end of 3 years after the child's last attendance	Regulations 160, 183
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
Record of service's compliance history	Approved provider	Until the end of 3 years after the approved provider operated the service	Regulation 167

Records and documents required to be kept at the service (National Regulations 183)			
Type of record	Responsibility	Timeframe	Reference
Record of responsible person in day-to-day charge including certified 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 Regulations 150, 177
For centre-based services only			
Staff record	Approved provider	Until the end of 3 years after the staff member works for the service	Regulation 145
Record of access to early childhood teachers	Approved provider	Until the end of 3 years after the staff member works for the service	Regulation 152
Record of educators working directly with children	Approved provider	Until the end of 3 years after the staff member works for the service	Regulation 151
Record of volunteers and students	Approved provider	Until the end of 3 years after the volunteer or student attended the service	Regulation 149

(sourced from <https://www.acecqa.gov.au/sites/default/files/2018-01/NQF-Resource-02-Guide-to-ECS-Law-Regs.pdf>)

REVISIONS

Date of next review: August 2022

Date	Reviewer	Approved by
30.10.17		TWOOSH Management Committee
26.11.18		TWOOSH Management Committee
10.08.20	NF, MK	TWOOSH Management Committee
03.08.21	IC	TWOOSH Management Committee