

RECORD KEEPING CHECKLIST

Keeping accurate records of children and educators is essential for transparency and accountability, it is a feature of effective and ethical management practices to ensure accurate records are kept and maintained. Records can be kept as a hard or soft copy but need to be accessible by management, Authorised Officers and available to parents on request. Checklist to be completed every 12 months

RECORD KEEPING REQUIREMENTS	EXAMPLE	FILE LOCATION	RECORD KEEPING PERIOD	COMPLIANT YES/NO	ACTION REQUIRED YES/NO	DESTROY DATE/ FOLLOW UP DATE
IN RELATION TO CHILDREN						
Child Assessments Regulations 74, 183	Observations, Transition reports and Program		Until the end of 3 years after child’s last day			
Incident, Injury, Trauma and Illness Record Regulations 87, 183	Complete each required section and ensure relevant signatures		Until the child is 25 years old			
Medication Record Regulations 92, 183	Complete each required section and ensure relevant signatures		End of 3 years after the child’s last attendance			
Child attendance Regulations 158-159, 183	Children’s sign in/out		End of 3 years after the child’s last attendance			
Child enrolment Regulations 160, 183	Children’s individual enrolment form/ Birth Certificate & Immunisation History (AIR record)		End of 3 years after the child’s last attendance			
Death of a child whilst being educated and cared for at the service	Serious incident form (ACECQA)		Record to kept until 7 years from child’s death			

Regulations 12, 183						
IN RELATION TO STAFF AND EDUCATORS						
Full name, address and date of birth Regulation 147	Staff Application Form		End of 3 years after the staff member worked for the Service			
Relevant qualifications Regulations 10, 147	Staff Files		End of 3 years after the staff member worked for the Service			
Child protection training Regulation 147	Educator Current Certified Certificate		End of 3 years after the staff member worked for the Service			
Current Working With Children Check (WWCC) Regulation 147	Staff Files		End of 3 years after the staff member worked for the Service			
First aid training (including asthma and anaphylaxis) Regulation 147	Educator Current Certified Certificate		End of 3 years after the staff member worked for the Service			
Staff records Regulation 145	Staff File		End of 3 years after the staff member worked for the Service			
Record of volunteers and students Regulation 149	Visitors book		End of 3 years after the volunteer or student attended the Service			

Record of educators working directly with children (including hours of each educator) Regulation 151	Staff sign in/out Roster		End of 3 years after the staff member worked for the Service			
Record of access to early childhood teachers Regulation 152	Staff sign in/out Roster		End of 3 years after the staff member worked for the Service			
Record of responsible person in day-to-day charge including nominated supervisor Section 162 Regulations 46, 150, 177	Responsible Person Application form		End of 3 years after the staff member worked for the Service			
IN RELATION TO THE NOMINATED SUPERVISOR						
Full name, address and date of birth Regulation 146	Staff Application Form		End of 3 years after the staff member worked for the Service			
Relevant qualifications Regulation 146	Qualification or evidence of actively working towards qualification (regulation 10) in Staff File		End of 3 years after the staff member worked for the Service			
Child protection training Regulation 146	Educator Current Certified Certificate		End of 3 years after the staff member worked for the Service			
Current Working With Children Check (WWCC) Regulation 146	Staff Files		End of 3 years after the staff member worked for the Service			

First aid training (including asthma and anaphylaxis) Regulation 146	Educator Current Certified Certificate		End of 3 years after the staff member worked for the Service			
Teacher's registration (Optional) Regulations 46, 49	Current registration Certificate		End of 3 years after the staff member worked for the Service			
PRODA RA Number Regulation 46	Staff Files		End of 3 years after the staff member worked for the Service			
IN RELATION TO THE EDUCATIONAL LEADER						
Name of the educator Regulation 148	Information to be displayed Staff File		End of 3 years after the staff member worked for the Service			
Relevant Qualifications Regulation, 147-148	Staff Files		End of 3 years after the staff member worked for the Service			
IN RELATION TO THE RESPONSIBLE PERSON						
Record of Responsible Person in Day-to-Day Charge-Including Nominated Supervisor Section 162 Regulation 150, 177	Information to be displayed Staff file Responsible person sign in/out register or roster Responsible Person Application form					
IN RELATION TO SERVICE OPERATION						
Current Public Liability Insurance Regulations 29, 30, 180	Current public liability certificate/documentation		Available for inspection at the Service			

Current Quality Improvement Plan Regulations 31, 55	Continuous addition and achievements to the QIP which should be displayed for families and educators		Available for inspection at the service and accessible to families			
Record of Service's Compliance History Regulation 167	Information to be displayed/Current rating from ACECQA		End of 3 years after the approved provider operated the Service			
Business and Financial Records Regulation 183	<ul style="list-style-type: none"> Waste removal Receipt Books Salary payments 		Access available is need by the ATO for a minimum of 5 years or 3 years under the Regulations.			

Comments			
Name of Auditor			
Signature of Auditor		Date	

Action plan for Record Keeping Compliance

DATE	AREA	DESCRIPTION	ACTION REQUIRED	DATE TO BE COMPLETED	ACTION TO BE UNDERTAKEN BY WHOM	ADDED TO QIP	COMPLETION DATE
