CatholicCare
DIOCESE OF BROKEN BAY

Children's Services Record Keeping

Policy

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Policy statement

CatholicCare Diocese of Broken Bay (CatholicCare) Children's Services is committed to the provision of high-quality Children's Services. Well-kept records are critical to the organisation's performance. This includes ensuring that Children's Services keep records that meet the requirements of legislation, quality assurance, best practice, and the standards of CatholicCare. Keeping up to date records forms part of the National Quality Standards within the National Quality Framework. All Children's Services are required to participate in the National Quality Framework.

In doing so, Staff will:

- Develop strategies to ensure that record keeping forms part of their everyday practice.
- Review record keeping practices as part of the Quality process.

Scope

This Policy applies to all Staff, Educators, Contractors, Students and Volunteers in Children's Services program and regulates record keeping and archiving practices.

Guiding Principles

- CatholicCare creates and maintains full and accurate records related to Children's Services as long as required for legislative, organisation and accountability purposes.
- Each Service is responsible for ensuring all required documents are obtained, and for maintaining a consistent and reliable records management system.
- Records are evidence of business activity regardless of their format. This includes hard copy documents, emails, and other forms of electronic records.
- All records are assets of CatholicCare and, as such, do not belong to individual employees. Therefore, records must not be removed from CatholicCare premises.
- It is the responsibility of all Staff within Children's Services to be familiar with the contents of this Policy, legislation and *List of required documentation for all Children's Services*.

Records to be kept

Records that must be kept by the Children's Services are listed in the document, *List of required documentation for all Children's Services*. Additionally, any record that may identify concern for a child's safety and wellbeing, including child sexual abuse, that has or is alleged to have occurred during the service, must be kept by the Safeguarding Team.

Legislation related to record keeping includes, but is not limited to the following:

- *Education and Care Services National Regulations 2011* *(current version as of 1 January 2025)*
- *Education and Care Services National Law Act 2010*
- *Family Assistance Legislation Amendment (Jobs for Families Child Care Package) Act 2017*

- *Privacy Act 1988*
- *Archives Act 1983*

From time to time there may be other requirements for record keeping that are listed in individual funding agreements. It is the responsibility of the Directors, Coordinators, Practice Managers, and the Children's Services General Manager to be familiar with these requirements and to keep the necessary records.

Confidentiality and Access to Records

Records will be kept in a secure place to which only relevant Staff have access. Electronic files with information about families, Staff members or Educators will have restricted access. Refer to the *Confidentiality and Privacy Policy* for further information.

Records will be kept confidential and direct or indirect access is restricted to what is stated in sections 181 & 182 of the Education and Care Services National Regulations 2011 (NSW), which is as follows:

- As a necessary part of the education and care or medical treatment of a child.
- As requested by the parent of the child to whom the information relates to.
- As requested by the NSW Early Childhood Education and Care Directorate, Department of Education or an authorised officer as determined by the State regulatory authorities.
- To the extent permitted by law.
- With the written consent of the person who provided the information i.e., parent of a child, Staff member who provided personal information for employee records.

Additionally, the following records must not be removed by staff from Children's Service premises under any circumstance:

- Children's enrolment forms
- Child Assessments or Evaluations
- Incident, Injury, Trauma, and Illness Record
- Medication Record

Record Keeping Practices

Record keeping during service

Any hard copy form related to children and family must be kept in a lockable filing cabinet.

If removed from the filing cabinet by a Staff member for reference, they must immediately be re-filed as soon as the Staff member has obtained the necessary information. This is the responsibility of the Staff member who has removed the file.

Hard copies of some documents are stored in a central CatholicCare Children's Services file at Head Office. This includes copies of Funding Agreements, Approvals to operate issued by the NSW Department of Education, Quality Certificates, correspondence with relevant government departments and documents related to complaints. Personnel files are kept by the CatholicCare People and Culture Team.

Hard copies of records of each staff member including name, address, date of birth, evidence of

qualifications, approved training, and WWCC will be kept at the service.

Locations of where paper records are to be stored are available under the *List of required documentation for all Children's Services*. It is the responsibility of all Staff within Children's Services to be familiar with these requirements and to carry them out.

Archiving Practices

Paper Records can be archived once the child is no longer attending Children's Services. When placing paper records in archives the following procedures must be adhered to:

- Records must be placed in boxes specifically designed for archiving purposes.
- Documents must be removed from plastic sleeves and paper clips before archiving.
- Archiving boxes must be clearly labelled, listing the type of documents, their contents, the period to which the documents relate and the date on which they can be destroyed.
- Archiving Boxes need to be stored in a secure place till the date of destruction.
- Archiving Boxes containing records with more than 1 year record keeping requirement must be organized to be collected by the currently engaged Secure Document Destruction Service (Grace).

The Practice Manager in consultation with the Service Director/Coordinator will organize procedures regarding collection of archiving boxes from different Children' Services in consultation with Head Office.

For further information see the Agency *Archiving Practice Guidelines.*

Archiving Time

Paper Records must be kept for the period of time as stated in the relevant legislation. Please refer to Regulation 183(2) of the Education and Care Services National Regulations 2011 (NSW) and to the *List of required documentation for all Children's Services* to find required archiving time for each required record.

In particular, records related to:

- Child assessment - must be kept until the end of three (3) years after the child's last day of attendance.
- Incident, illness, injury and trauma - must be kept until the child turns 25 years of age.
- Medication - must be kept until the end of three (3) years after the child's last day of attendance.
- Child attendance - must be kept until the end of three (3) years after the child's last day of attendance.
- Child enrolment - must be kept until the end of three (3) years after the child's last day of attendance.
- Child Care Subsidy - must be kept for 7 years from the end of the year in which the care was provided.
- Death of a child whilst being educated and cared - must be kept until seven (7) years from the child's death.
- Records that may identify concern for a child's safety and wellbeing, including child sexual abuse, that has or is alleged to have occurred during the service, must be kept by the Safeguarding Team for at least 45 years from the date the record was created.

In the Appendix 1, you can find the ACECQA Record Keeping flyer to give you a snapshot of most important records to be kept from Children's Services.

Responsibilities and monitoring Staff Compliance

Practice Managers and the Children's Services General Manager are responsible for ensuring Staff keep and maintain records. Responsibilities relating to all Staff are outlined in the *List of required documentation for all Children's Services*. All Staff will refer to this document to help ensure that they are meeting their obligations for record keeping.

Practice Managers will include in supervision meetings and performance reviews discussion the following:

- Staff responsibilities in regard to keeping the required documentation and records.
- Strategies to help Staff develop the necessary skills for keeping useful and accurate records.

Further information about monitoring compliance is contained in the *Children's Services - Monitoring of Standards and Compliance Policy*.

Appendix 1



*For preschool programs provided by a school, the service should keep child attendance records in accordance with their state education law or department policy.

Australian Children's Education & Care Quality Authority™

Related documents

Agency – Policies and Practice Guidelines

- *Acceptable Use of IT Facilities Policy*
- *Archiving Practice Guidelines*
- *Records Management Policy*

Children's Services – Policies and Practice Guidelines

- *Child Care Subsidy & Enrolment Policy*
- *Confidentiality and Privacy Policy*
- *Monitoring of Standards and Compliance Policy*
- *List of required documentation for all Children's Services*

External resources

- *ACECQA - Best practice record keeping: Supporting child protection*
- *A New Tax System (Family Assistance) Act 1999*
- *A New Tax System (Family Assistance) (Administration) Act 1999*
- *Archives Act 1983*
- *Education and Care Services National Regulations 2011* *(current version as of 1 January 2025)*
- *Education and Care Services National Law Act 2010*
- *Family Assistance Legislation Amendment (Jobs for Families Child Care Package) Act 2017*
- *Privacy Act 1988*

Sign off and review

Version	Authorised by	Approved date	Review cycle	Review due
1.0	CatholicCare CMT	24 August 2009	2 years	August 2011
2.0	CatholicCare CMT	24 July 2011	2 years	July 2013
3.0	CatholicCare CMT	8 January 2013	2 years	January 2015
4.0	CatholicCare Executive	13 October 2016	2 years	October 2018
5.0	General Manager Children's Services	3 March 2021	2 years	March 2023
6.0	General Manager Children's Services	17 July 2023	2 years	17 July 2025
7.0	General Manager Children's Services	21 May 2025	3 years	21 May 2028

History

Version	Description	Author	Amendment date
1.0	Policy	Manager Quality Policy and Legislation	July 2009
2.0	Policy	Manager Quality Policy and Legislation	July 2011
3.0	Policy	Manager Quality Policy and Legislation	January 2013
4.0	Policy	Manager Children's Services	October 2016
4.1	Policy and Procedure	Manager Children's Services	February 2017
4.2	Policy and Procedure	General Manager Children's Services	January 2019
5.0	Policy	Quality Practice Manager Children's Services	3 March 2021
5.1	Policy	General Manager Children's Services	27 July 2021
6.0	Policy	General Manager Children's Services	17 July 2023
6.1	Policy	General Manager Children's Services	28 September 2023
7.0	Policy	General Manager Children's Services	2 June 2025