



Record Keeping and Documentation Retention Procedure

Policy

The Record Keeping and Document Retention Procedure falls under the Governance and Management of Service Policy. Hawthorn Early Years (the Service) will ensure systems are in place to manage risk and enable the effective management and operation of a quality service. Roles and responsibilities will be clearly defined and understood and effective leadership used to build and promote a positive organisational culture and a professional learning community.

Application of Procedure

This procedure applies to the Board, all employees, students, volunteers, families and others attending the programs and activities of Hawthorn Early Years.

Key Definitions:

National Law and Regulations - The National law sets a national standard for children's education and care across Australia. The National Regulations support the National Law by providing detail on a range of operational requirements for an education and care service.

Hawthorn Early Years is committed to:

Complying with its obligations in relation to record keeping and document retention to ensure transparency and accountability. Some of the statutory bodies which the Service is accountable to, provide specific requirements in regard to the length of time the Service's records are retained. Failure to retain records for required time frames can result in financial penalties to the Service.

The Board of Governance will:

Delegate operational responsibility and day-to-day management of the Service to the Nominated Supervisors. The Centre Director and Centre Manager will act as Nominated Supervisors for the Service.

Monitor the performance of the Association, including responsibilities contained in this procedure, through regular reporting and by ensuring appropriate resources are available to carry out the organisation's functions.

Comply with record keeping requirements as outlined in this procedure.



Ensure written communications and documents are stored in secure and approved locations (currently Microsoft Teams and allocated board emails) to assist in retaining information for future Board members reference and to meet regulatory obligations.

The Nominated Supervisor/s will:

Ensure that the Service complies with its obligations in relation to record keeping and document retention.

Ensure good governance and management through the creation and maintenance of accurate and reliable records stored securely. These are to be in an accessible and useable form for as long as those records are required, to support the business and its accountability requirements.

Use records to demonstrate accountability to parents/guardians, employees, children, government departments and agencies.

Understand that it is a criminal offence to destroy a record or document which you know is reasonably likely to be required as evidence in a legal proceeding (s254 *Crimes Act 1958*).

Maintain an appropriate level of record keeping and document retention from a risk management perspective. Some records of the Service's operations may be required for evidence in future legal proceedings and/or to support a claim that the Board fulfilled its fiduciary duties or financial responsibilities.

Ensure that all employee's Working with Children Checks or Victorian Institute of Teaching registrations are current and up-to-date by checking the on-line register no less than every 6 months.

All employees will:

Comply with requirements outlined in the procedure and support the retention of documents outlined in the timelines below.

Documentation Retention timelines:

The Service has developed a schedule in relation to the retention of its records:

Type of document	Length of retention	Reference
Board records		
Financial statements, financial records	7 years	HEY Rules, Associations Incorporation Reform Act
Minutes of meetings	7 years	Associations Incorporation Reform Act (no strict timeframe stipulated)



Board member confidentiality declaration	7 years	Best practice
Delegation of authority	7 years	Best practice
Register of members	For the life of the Association	Associations Incorporation Reform Act
Documents lodged with the Registrar of Incorporated Association	7 years after lodgement of document	Associations Incorporation Reform Act
Board member's working files	7 years	Best practice

Type of document	Length of retention	Reference
Children's Records		
Child assessments (including observations)	Until the end of 3 years after the child's last attendance	Education and Care Services National Regulations
Accident and injury and illness records	Until the child is 25 years old	Education and Care Services National Regulations
Medication records	Until the child is 25 years old	Education and Care Services National Regulations
Child attendance records	Until the end of 3 years after the child's last attendance	Education and Care Services National Regulations
Child Enrolment Record	Until the child is 25 years EXCEPT if the child has <u>NOT</u> had an accident, injury and illness form completed (then for 3 years after child leaves the Service).	Education and Care Services National Regulations
Death of a child whilst being educated and cared for at the Service	Keep the record until 7 years from the child's death	Education and Care Services National Regulations
Records raised about the safety of a child/ren and disclosures about alleged abuse or harm of children and actions taken to respond	Keep with <u>all</u> other records (child assessments, observations and enrolment record) of the child until the child is 25 years old	Best practice



Type of document	Length of retention	Reference
Staff and Operations Record Keeping		
Staff records	Until the end of 3 years after the staff member works for the Service	Education and Care Services National Regulations
Records of students and volunteers	Until the end of 3 years after the student or volunteer attended the Service	Education and Care Services National Regulations
Records of educators working directly with children	Until the end of 3 years after the staff member works for the Service	Education and Care Services National Regulations
Records of access to early childhood teachers	Until the end of 3 years after the staff member works for the Service	Education and Care Services National Regulations
Records of students and volunteers	Until the end of 3 years after the student or volunteer attended the Service	Education and Care Services National Regulations
Records of responsible person in day-to-day charge including nominated supervisor	Until the end of 3 years after the staff member works for the Service	Education and Care Services National Regulations
Evidence of current liability insurance	Available for inspection at the Service	Education and Care Services National Regulations
Current quality improvement plan	Available for inspection at the Service and accessible to parents	Education and Care Services National Regulations

Type of document	Length of retention	Reference
Financial Records		
Annual budget	7 years	Associations Incorporation Reform Act
Bank account statements	7 years	Associations Incorporation Reform Act
Cashbook	7 years	Associations Incorporation Reform Act
Deposit books (manual or electronic)	7 years	Associations Incorporation Reform Act



Annual financial report for the AGM	7 years	Associations Incorporation Reform Act
Audited report	7 years	Associations Incorporation Reform Act
Business Activity Statement	7 years	ATO
DHS Service Agreement	7 years	Associations Incorporation Reform Act
Kindergarten Inclusion Support Services Program Report	7 years	Associations Incorporation Reform Act
Payroll records	7 years	Associations Incorporation Reform Act
Invoices and receipts	7 years	Associations Incorporation Reform Act
Salary record	7 years	Workplace Relations Act and ATO
Superannuation record	7 years	Workplace Relations Act and ATO
Duplicates of tax file number declaration	7 years	ATO
Workcover claims	7 years	Accident Compensation (Workcover Insurance) Act
Termination of Employment	7 years	Fair Work Act

Disposal of information

When documents are no longer required to meet legal or administrative purposes they should be disposed of. Documents should be destroyed in accordance with relevant legislation such as the *Information Privacy Act 2000* and disposed of in a way whereby they cannot be reconstructed.

In disposing of personal information, those with authorised access to the information will ensure that it is destroyed in such a way that the information is no longer accessible.

Documents should be placed into the secure document destruction bins located in the front office and planning room. These bins are to be kept locked at all times and will be emptied by the company upon notification. The company will then provide an email stating that the documents have been destroyed.



Parents/guardians will:

Provide the Service with updated copies of their child/ren's immunisation history statement.

Update enrolment records as required to ensure information is accurate at all times.

See also:

1. Governance and Management of Service Policy
2. Privacy and Confidentiality of Records Procedure