

# RECORD KEEPING AND ARCHIVING

## QUALITY AREA 7 – GOVERNANCE AND LEADERSHIP

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### PURPOSE

This policy will ensure that all record keeping within Sparkways Education and Care Services is in line with the Education and Care Services National Law Act 2010 and the Education and Care Services National Regulations 2011 to ensure all the necessary documents are kept for the appropriate length of time and stored in a way that is appropriate to the confidentiality of the record.

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### POLICY STATEMENT

The following records will be retained by Sparkways Education and Care Services for the minimum specified time period:

- Record relating to an incident, illness, injury or trauma suffered by a child whilst being educated and cared for by the service, or that may have occurred following an incident whilst being educated and cared for by the service - until the child is 25 years old. However as per the recommendation from the Royal Commission into Institutional Responses to Child Sexual Abuse, Sparkways will retain these records for 45 years.
- Record relating to the death of a child that occurred whilst being educated and cared for by the service, or that may have occurred as a result of an incident while being educated and cared for by the service - until the end of 7 years after the child's death
- Any other record relating to a child enrolled at the service – until the end of 3 years after the child attended the service
- Record relating to a staff member, volunteer or student – until the end of 3 years after they worked (including volunteering or placement) at the service

Records play an important role in accountability. Possibility of legal action may be a consideration when keeping records.

If the Department of Education and Training (DET) alleges the children's service has contravened the Education and Care Services National Legislation, it may start a prosecution action within one year of the alleged contravention and records may be called as evidence.

If a child is injured while under the care of the children's service a claim for negligence may be made in relation to that injury until the child is 25 years old. Accident, illness and injury records and incident report forms may be called as part of evidence. Sector legal specialists can provide additional information on injuries and legal action.

In the event that a question arises about some aspect of service provision, the records may provide an important part of the information required to assess what happened in the children's service and whether the

approved provider and staff acted legally and lawfully in the matter in question. Prior to Sparkways releasing information relevant to a child's enrolment, a subpoena will be required to ensure that accurate information is provided to the requesting party. Should a subpoena to produce records be received, the service should upline the request through Sparkways management.

At all times each record must be accessed and stored in a way that is appropriate to the confidentiality of the record.

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## ATTACHMENTS

- Attachment 1: Sparkways Archiving Procedures
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## AUTHORISATION

This policy was confirmed by Sparkways on 21 November 2023

**REVIEW DUE:** November 2024

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## ATTACHMENT 1



### SPARKWAYS ARCHIVING PROCEDURES


#### Sparkways Archiving Procedures

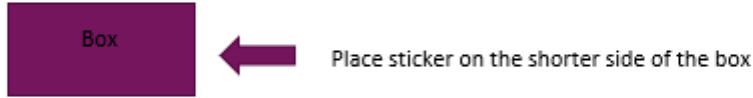
##### Summary of Process

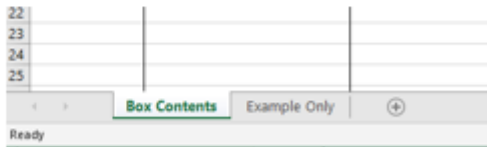
Step 1	Order Archive Boxes from Winc
Step 2	Order Compustore Barcodes
Step 3	Place 1 Barcode on each Archive Box
Step 4	Catalogue Documents & Records in Archiving spreadsheet
Step 5	Send email to <a href="mailto:archiving@sparkways.org.au">archiving@sparkways.org.au</a> with your completed spreadsheet, and to request collection of boxes

##### Guidance

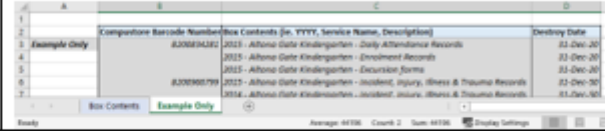
<b>Step 1</b>	<b>Order Archive Boxes from Winc</b>
a.)	Estimate how many archive boxes you may need.
b.)	<p>Login to your services Winc account choose one of the below archive boxes. We recommend ordering the cheaper option for boxes you are sending off to be securely destroyed)</p> <p><b>Marbig Super Strong Archive Box (Product Code: 86860024)</b>  <b>**Recommended for archiving of 45 or 7 years (see Archiving Requirements Table below)</b></p> <div style="text-align: center;">  </div> <p><b>Marbig Enviro Standard Archive Box (Product Code: 38867400)</b>  <b>**Recommended for archiving boxes that are being sent off to be destroyed. Ensure items are catalogued.</b></p> <div style="text-align: center;">  </div> <p>(*Note - if you already have documents in a box this size 420L x 320W x 260H, there is no need to purchase new boxes, they can be archived in any box, as long as it is this size).</p>
c.)	You may also want to order some Manilla Folders to help separate your documents.

Step 2 Order Compustore Barcodes	
a.)	Email <a href="mailto:archiving@sparkways.org.au">archiving@sparkways.org.au</a> , advising that you require <u>Compustore</u> barcode stickers. Advise how many stickers you require, and the best days and times for them to be delivered.
b.)	<u>Compustore</u> will deliver the barcode stickers to you once ordered. They usually take about 2 to 3 days. The stickers you receive will look like this: 

Step 3 Place 1 Barcode on each Archive Box	
a.)	Place the barcode sticker on one of the shorter sides of the box. Example below:  View from Top 

Step 4 Catalogue Documents & Records in Archiving Spreadsheet	
a.)	Open the 'Sparkways Archiving Template' spreadsheet to start recording the contents in each box. If you require a copy of this spreadsheet please email <a href="mailto:archiving@sparkways.org.au">archiving@sparkways.org.au</a>
b.)	There are several Tabs in this Spreadsheet with information. Ensure you update the 'Box Contents' Tab 
c.)	Record the <u>Compustore</u> Barcode Number in Column B. Record the <u>Box Contents</u> in Column C. Input the Destroy Date in Column D. Refer to the 'Archiving Requirements' table below for guidance

d.)	Please ensure you follow this naming convention: <b>'YEAR/S – Service Name – Description of Document'</b> . <i>Example: '2015 – Altona Gate Kindergarten – Enrolment Records'</i>
e.)	Refer to the 'Example Only' Tab in the spreadsheet for file/document name convention examples



### Archiving Requirements

45 YEARS		
Record Type	Time frame to be kept	Action
Incident, injury, trauma and illness record	45 Years*	Archive annually – Sparkways will organise collection

\*National Law and Regulations require Incident, injury, trauma and illness records be kept until the child is 25 years old, however the Royal Commission into Institutional Responses to Child Sexual Abuse recommends keeping records for 45 years.

7 YEARS		
Record Type	Time frame to be kept	Action
Staff records	7 Years Kept at the service until the end of 3 years after the staff member works for the service	Keep for 3 years onsite after staff member has left.  Requirement to archive for 7 years.  Catalogue, put in archive boxes with barcode. Sparkways to collect archive for a further 4 years
Record of educators working directly with children (roster & staff sign-in)	7 Years Kept at the service until the end of 3 years after the staff member works for the service	Keep for 3 years onsite after staff member has left.  Requirement to archive for 7 years.  Catalogue, put in archive boxes with barcode. Sparkways to collect archive for a further 4 years
Record of volunteers and students, contact details and days in attendance	7 Years Kept at the service until the end of 3 years after the staff member works for the service	Keep for 3 years onsite after staff member has left.  Requirement to archive for 7 years.

		Catalogue, put in archive boxes with barcode. Sparkways to collect archive for a further 4 years
Record relating to the death of a child that occurred whilst being educated and cared for by the service, or that may have occurred as a result of an incident while being educated and cared for the by the service	7 Years	Archive for 7 Years after the child's death. Sparkways will organise collection.

<b>3 YEARS</b>		
Record Type	Time frame to be kept	Action
Child enrolment record including medical action plan, medical risk minimisation, excursion authorisations and risk assessments.	Kept at the service until the end of 3 years after the child's last attendance.	Keep for 3 years onsite, then catalogue, put in archive boxes with barcode. Sparkways to collect and securely destroy.
Medication record (administration)	Kept at the service until the end of 3 years after the child's last attendance.	Keep for 3 years onsite, then catalogue, put in archive boxes with barcode. Sparkways to collect and securely destroy
Child attendance records	Kept at the service until the end of 3 years after the child's last attendance.	Keep for 3 years onsite, then catalogue, put in archive boxes with barcode. Sparkways to collect and securely destroy
Child assessments or evaluations for delivery of the educational program	Kept at the service until the end of 3 years after the child's last attendance.  *Note – If child assessments are on <del>Storypark</del> , download a digital copy on your computer.	Keep for 3 years onsite, then catalogue, put in archive boxes with barcode. Sparkways to collect and securely destroy.
Any other record relating to a child enrolled e.g. transition statements etc	Kept at the service until the end of 3 years after the child's last attendance.	Keep for 3 years onsite, then catalogue, put in archive boxes with barcode. Sparkways to collect and securely destroy

1 YEAR		
Record Type	Time frame to be kept	Action
Food Safety Records (Early Learning Centre's Only)	1 Year from record date	Archive annually. Archive for and additional year to cover the 1-year requirement. Sparkways will organise collection

<b>Step 5</b>	<b>Send email to <a href="mailto:archiving@sparkways.org.au">archiving@sparkways.org.au</a> with your completed spreadsheet to <u>organise collection</u></b>
a.)	Once you have recorded all documents in the spreadsheet and the boxes are packed and ready send an email to <a href="mailto:archiving@sparkways.org.au">archiving@sparkways.org.au</a> to request collection of archive boxes.
b.)	In your email please include how many boxes you require to be collected, your service name and address, and the best times and days for collections of the boxes.  Please use the email template below:  <i>Hi Archiving team, (*Please attach completed Sparkways Archiving spreadsheet)</i>  <i>We have archive boxes that have been catalogued in the attached spreadsheet, and are ready for collection. Please see details below:</i>  <b>Service Name:</b> <b>Service Address for collection:</b> <b>Contact Number:</b> <b>Number of boxes ready for collection:</b> <b>Best days to collect boxes:</b> <b>Best time of day to collect boxes:</b>
c.)	The Archiving team will advise you when <u>Compustore</u> (Archiving) are planning to arrive at your site to collect the boxes.
d.)	<u>Compustore</u> will usually call you before coming by to collect the boxes. Please <u>organise</u> for a staff member to be available to meet <u>Compustore</u> and show them where to collect the boxes.

## Sparkways Computer Record Keeping Procedures

It is important that child and [staff related](#) records stored on the service computer/s are [organised, filed](#) and named appropriately.

Hardcopies of child and staff records should be kept at the service and archived as per Sparkways Record Keeping and Archiving [Policy](#) and Procedures (above).

Softcopies of records on the computer should only be retained if a hardcopy is not on file. Documents that are no longer required should also be deleted.

Here is an example of how you can set up your folders:

- 1. 2020
- 2. 2021
- 3. 2022
- 4. Finance
- 5. Staff Records

### **Group Photos**

Ensure group photos are named so they are identifiable ([e.g.](#) Year, Group Name). These can be saved in the relevant Year folder.

Individual children's photos should be saved in their child folder as per the 'Child Records' guidance below.

### **Child Records (Folders 1, 2, 3)**

Most Child records need to be kept until the end of 3 years after the child attended the service (refer to the [Sparkways Archiving Procedure](#)).

Create a folder for each year's records. Within the 'Year' folder create a folder for each Child.

- Child Name 1
- Child Name 2
- Child Name 3

Ensure every document is named, so it is clear what the document is. Below are some examples:

Transition Statement

Risk [Minimisation & Communication Plan](#)

2<sup>nd</sup> Year Application

Records & Correspondence relating to Mandatory Reporting [i.e.](#) to Child Protection or the Orange Door.



**Incident Records & Related Correspondence (Child Sub-folder)**

 Incident Records and Related Correspondence

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Records (including correspondence) relating to an incident, illness, [injury](#) or trauma experienced by a child whilst being educated and cared for by the service, or that may have occurred following an incident whilst being educated and cared for by the service, need to be kept until the child is 25 years old.

Any documents in this category can go in this sub-folder within the Child's record folder.

**Finance (Folder 4)**

Finance related documents like invoices and receipts need to be kept for 5 years. Create a folder for each year and name the document so it is clear what it relates to.

**Staff Records (Folder 5)**

Staff records need to be kept at the service until the end of 3 years after the staff member works for Sparkways. After this it needs to be sent off-site to be archived for a further 4 years.

Create a folder for each staff member and store their records in this folder.