



# Compliance and Quality Improvement

## Policy Statement

*NBCA recognises all policies, procedures, philosophies, and handbooks are paramount in the efficient and legal operation of the service. These are crucial, ongoing documents, which require regular review to remain relevant and current with the evolving early childhood environment and legislation. NBCA is committed to continuing research, reflection, professional development and quality improvement.*

*NBCA has a strong commitment to continuous quality improvement in all areas of the National Quality Framework, service operations and overall management.*

*It is the responsibility of the nominated supervisor, or person in charge of the service, to ensure the service is compliant with regulatory standards and operating in accordance with NBCA Policies and Procedures, at all times. The NBCA Administration Support Unit is responsible for maintaining and securing all financial records for the Association. NBCA recognises the legal implications of the safe and secure storage of records.*

## Implementation

- The service will operate in compliance with the National Quality Framework (the Education and Care National Regulations and Law, the National Quality Standards and the Early Years Learning Framework V2).
- The national over-arching body is the Australian Children's Education and Care Quality Authority (ACECQA).
- The Nominated Supervisor is in charge of the day-to-day running of the service. This role is held by the director. In their absence, the Director must nominate a responsible person to take charge of the service.
- The Nominated Supervisor will ensure relevant compliance documentation is obtained and stored in an appropriate manner.
- The Nominated Supervisor will ensure all necessary approvals are obtained and relevant fees paid.
- Children's Education and Care Assurance (CECA), ACT Health Protection and Office of Regulatory Services must be granted entry into the service at any time.
- Children's Education and Care Assurance must be notified immediately of a change to the Nominated Supervisor.
- The service will operate according to NBCA policies and procedures.
- There will be a designated Educational Leader in charge of program delivery for the service.
- Each service will have a Quality Improvement Plan (QIP).
- ACT Health Protection Service will be notified of cases of any reportable outbreaks across the service.
- Records are confidential and only authorised persons will have the right to access them.
- Records pertaining to children must be maintained accurately and in a secure place accessible to the nominated supervisor or certified supervisor in charge of the service. Families are responsible for providing the service with updated information.
- Records must be made available for inspection upon request by the regulatory authority or an authorised officer who enters the service for the purpose of such inspection.
- There must be an administration register which records for each child:



- Enrolment form;
- Immunisation records;
- Details of court orders or legal agreements;
- Daily attendance records;
- Parental access;
- Illness and notifiable disease record; and
- Medication record.

To be displayed within the service:

- Provider and Service Approval;
- Name of the nominated supervisor or the responsible person in charge of the service.
- Name of Service Educational leader.
- Food Business License;
- Nominated and Certified Supervisors, including the Certified Supervisor currently in charge;
- National Quality Standard Rating;
- Hours and Days of Operation;
- Fees;
- Grievance Procedure (including contact details);
- Contact details of Children's Education and Care Assurance (CECA)
- Allergy lists (including medical conditions and special dietary requirements);
- Children and staff identified as at risk of Anaphylaxis, if applicable;
- Notice of any infectious disease, if applicable.
- Other documentation required to be kept on the premises:
  - Children's records;
  - Philosophy;
  - Policies;
  - Employee personnel files;
  - Insurance and;
  - Other laws and regulations.

## Quality Improvement and Review

- Each NBCA service has a Quality Improvement Plan (QIP), a living, breathing document, contributed to regularly by staff, educators and management. The Management Committee has access to and reviews the QIP regularly.
- NBCA's Management Committee's Strategic Plan is linked to the services QIP.
- Quality improvement is guided by legislation, professional agencies and other current resources.
- Programs are guided by quality improvement.
- NBCA's aim is to continually strive for quality improvement in all aspects and areas of the Association and operational services. Feedback and input provided by educators, staff, families and Management Committee members is used in a positive way towards quality improvement.
- Staff, educators, families, NBCA Management Committee, members of the community and other early childhood professionals are involved in regular reviews of the service's policies, procedures, handbooks and operational procedures. Procedures are reviewed by educators and staff on a continual basis and adjusted as required to suit the changing education and care environments and regulations.



- There are regular exchanges of information and reviews between educators and staff on a day-to-day basis and during staff meetings.
- Educators, staff, families and Committee members are involved with in ongoing continuous review processes.

## Disposal

- All confidential records including photographs, full names or contact information shall be disposed of through a secure disposal company, shredded or be incinerated.

## Electronic Records

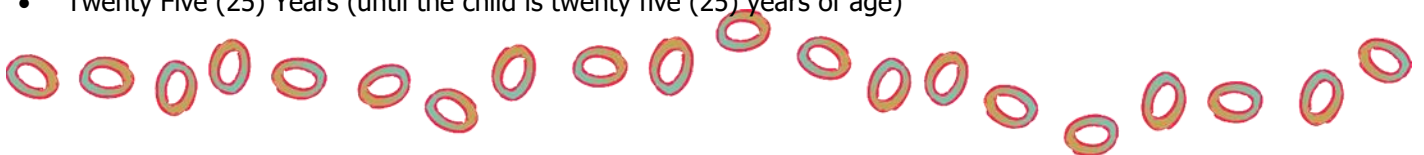
- Records may be stored electronically, on disc or hard drive.
- Hard copies of these records may also be stored.

## Recovery of Information in an emergency

- In the case of an emergency or natural disaster, NBCA makes provision for the backing-up and off-site storage of computer information. The director and administration staff ensure this procedure is followed and are responsible for information recovery.
- Educational room leaders are responsible for the security and recovery of information from individual laptops.
- Information on computers should be backed up regularly as a precaution.

## Timeline for Records Maintenance

- One (1) Month
  - Cleaning, toileting and nappy change checklists
  - Daily communication sheets
- Three (3) Years (after the child, student or volunteers last attendance)
  - Children's enrolment and medication records
  - Programming documentation
  - CCB records and attendance records
  - Any other record relating to children
  - Student & Volunteer records
  - Services compliance records
- Four (4) Years
  - All documentation relating to food safety, including checklists and Food Safety Plan.
- Five (5) Years
  - All documentation relating to workplace health and safety.
- Seven (7) Years
  - Staff timesheets, sign in sheets and wage records (seven (7) years after the staff members last attendance)
  - Staff employment records and personnel files
  - Insurance claims and reports
  - Staff Workers Compensation Files
  - All financial records
  - Death of a child (until seven (7) years from the child's death)
- Twenty Five (25) Years (until the child is twenty five (25) years of age)



- Incident, injury, illness or trauma records
- Mandatory reports
- Do Not Dispose Of
  - All Incorporated Association Records
- Any other record
  - Three (3) years after the date in which the record was made.

## Policy Links

Policies:

- All NBCA Policies

NQS: All

Regulations: All

Sources:

- ACECQA
- ACT Health Protection Services
- Associations Incorporation Act 1984
- Australian New Zealand Food Standards
- Child Care Services Handbook
- Children's Education & Care Assurance
- Community Early Learning Australia
- Guild Insurance
- Health Protection Services
- National Quality Framework
- [www.ato.gov.au](http://www.ato.gov.au)
- [www.workplaceinfo.com.au](http://www.workplaceinfo.com.au)
- [www.business.gov.au](http://www.business.gov.au)

## Policy Document Status

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Committee Representative Signature:



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