**Documents required for**

**Compliance Monitoring**

**(LDC & OSHC)**

To assist with the visit and to potentially reduce the amount of time required to complete the visit please assist us by locating the following documents for the Authorised Officer to sight.

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| **Records & Documents** | | |
| # | Description | Located |
| 1 | First aid qualifications for a staff member on the opening and closing shifts as per the current roster. |  |
| 2 | Education and care qualifications |  |
| 3 | Working with Children Checks |  |
| 4 | An enrolment record for any child in attendance today diagnosed with a medical condition including their medical management plan, risk minimisation plan and communication plan (where applicable) |  |
| 5 | Staff Roster for the current week |  |
| 6 | Record of responsible persons |  |
| 7 | Record of educators working directly with children |  |
| 8 | Record which demonstrates the AP has assessed the minimum requirements for each NS and RP in attendance today (as per your roster). |  |
| 9 | Record that a person placed in day-to-day charge (Responsible Person) has consented to this placement in writing |  |
| 10 | Evidence of prescribed insurance |  |

| **The AO may request to sight the following prescribed records** | | |
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| # | Description | Located |
| 11 | * Child assessments * Incident, injury, trauma and illness records * Medication records * Enrolment records * Transition records * Record of volunteers & students * Attendance record |  |

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| **Risk Assessments and Authorisations** | | |
| # | Description | Located |
| 12 | Emergency evacuation   * risk assessment and records of rehearsed emergencies. |  |
| 13 | Sleep and Rest   * Risk assessment |  |
| 14 | Supervision  – any policies, plans and risk assessments (not mandatory). |  |
| 15 | Excursions - If your service conducts excursions or regular outings?  *Please note: This does not include school runs as this is considered transportation rather than an excursion.*   * a risk assessment for the most recent excursion (or regular outing) * Written authorisations for the same excursion as above (parent authorisation for child to attend excursion) |  |
| 16 | Safe arrival of children - If your service collects or delivers children from/to school or another education and care service.   * Risk assessment for the purposes of safe arrival of children  (The approved provider must keep a record of each risk assessment conducted) |  |
| 17 | Transport – If you service provides regular transportation for children.   * Risk assessment for transporting of children by education and care service (prepared not more than 12 months ago) |  |
| 18 | A record of embarking and disembarking in relation to transportation |  |
| 19 | Current authorisations for the service to transport children (such as school runs and other regular transportation). |  |

| **Policies and procedures** | | |
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| # | Description | Located |
| 20 | Health and safety, including matters relating to —  (i) nutrition, food and beverages, dietary requirements; and  (ii) sun protection; and  (iii) water safety, including safety during any water‑based activities; and  (iv) the administration of first aid; and  (v) sleep and rest for children |  |
| 21 | Incident, injury, trauma and illness procedures |  |
| 22 | Infectious diseases |  |
| 23 | Medical conditions in children |  |
| 24 | Emergency and evacuation policies and procedures |  |
| 25 | Delivery of children to, and collection of children from, education and care service premises |  |
| 26 | Excursions - if your service conducts excursions or regular outings  *Please note: This does not include school runs as this is considered transportation rather than an excursion.* |  |
| 27 | Transportation – if your service arranges regular transportation of children other than as part of excursions.   1. including procedures |  |
| 28 | Safe Arrival of Children - If your service collects or delivers children from/to school or another education and care service? |  |
| 29 | Providing a child safe environment, including matters relating to-   1. the promotion of a culture of child safety and wellbeing within the services; and 2. the safe use of online environments at the service |  |
| 30 | Staffing, including —   1. a code of conduct for staff members; and 2. determining the responsible person present at the service; and 3. the participation of volunteers and students on practicum placements |  |
| 31 | Interactions with children |  |
| 32 | Enrolment and orientation |  |
| 33 | Governance and management of the service, including confidentiality of records. |  |
| 34 | The acceptance and refusal of authorisations |  |
| 35 | Payment of fees and provision of a statement of fees charged by the education and care service. |  |
| 36 | Dealing with complaints. |  |