Australian Children's Education & Care Quality Authority

These guidelines are part of a series intended to assist in the development of your service's policies and procedures required under regulations 168 and 169. They set out the main components to be included in your policies and procedures, and considerations for each component.

They should guide how you develop your policies and procedures, and are not an exact format to be followed.

ENROLMENT AND ORIENTATION

POLICY GUIDELINES

Under the *Education and Care Services National Regulations*, an approved provider must ensure that policies and procedures are in place for managing enrolment and orientation (regulation 168) and take reasonable steps to ensure those policies and procedures are followed (regulation 170).

When developing the policies and procedures, consideration should be given to all relevant regulations, among which are:

- keeping an enrolment record for each child with the information set out in regulation 160
- inclusion in the record of authorisations from families relating to medical treatment and regular outings (regulation 161) and health information (regulation 162)
- keeping enrolment and other documents (section 175, regulations 177–178), including a children's attendance record (regulations 158–159)
- keeping records confidential (regulations 181–182) and storing them safely and securely for the relevant period (regulation 183).

Your policy and procedures should address these requirements, as well as quality practices relating to enrolment and orientation that align with the National Quality Standard, particularly Quality Area 6.

Every service is different so it is not sufficient to apply generic policies and procedures to multiple services. You will need to contextualise your policies and procedures to your service's operations and its unique context.

1. Title

Enrolment and orientation policy

2. Policy statement

The policy statement will reflect your service's philosophy and approach to enrolment and orientation.

For example:

> We aim to ensure that our enrolment and orientation processes meet the unique needs of each child and family. This will support them during their transition to the service, help to develop collaborative partnerships, and promote a sense of belonging to the service community.

3. Background

Your policy needs to include a statement of why this policy is in place.

For example:

> The *Education and Care Services National Regulations* require approved providers to ensure their services have policies and procedures in place in relation to enrolment and orientation.

4. Legislative requirements

Your policy must be consistent with, and refer to, legislative requirements for enrolment and orientation.

Examples include, but are not limited to:

Section/regulation	Description
Section 175	Offence relating to requirement to keep enrolment and other documents
Regulation 85	Incident, injury, trauma and illness policies and procedures
Regulation 86	Notification to parents of incident, injury, trauma and illness
Regulation 88	Infectious diseases
Regulation 90	Medical conditions policy
Regulation 91	Medical conditions policy to be provided to parents
Regulation 92	Medication record
Regulation 99	Children leaving the education and care service premises
Regulation 102	Authorisation for excursions
Regulation 102D	Authorisation for service to transport children
Regulation 157	Access for parents
Regulation 160	Child enrolment records to be kept by approved provider and family day care educator
Regulation 161	Authorisations to be kept in enrolment record
Regulation 162	Health information to be kept in enrolment record
Regulation 168	Education and care service must have policies and procedures
Regulation 169	Additional policies and procedures – family day care service
Regulation 170	Policies and procedures to be followed
Regulation 171	Policies and procedures to be kept available
Regulation 172	Notification of change to policies or procedures
Regulation 177	Prescribed enrolment and other documents to be kept by approved provider
Regulation 178	Prescribed enrolment and other documents to be kept by family day care educator
Regulation 179	Family day care educator to provide documents on leaving service
Regulation 181	Confidentiality of records kept by approved provider
Regulation 182	Confidentiality of records kept by family day care educator
Regulation 183	Storage of records and other documents

When writing your policy, you will need to break down what is required under each regulation and how your service will meet these requirements. How these work in practice will be contained in your procedures.

As you reflect on your **Enrolment and orientation policy,** it might highlight the need to split its various areas into different policies and procedures that can be readily accessed by all educators and staff members to follow. For example, you may wish to have separate policies for *Enrolment* and *Orientation*.

5. Principles to inform your policy

All decision-making should be carried out in accordance with the principles of your service's **Enrolment and orientation policy.** Examples of principles could include, but are not limited to:

- We value respectful and supportive relationships with our families as the basis of a smooth transition and quality outcomes for children in the service. Our quality practice enrolment and orientation processes seek to promote these relationships.
- We actively seek the input of all those associated with the service in our decision-making processes. For families, we ensure this begins at enrolment and orientation.
- Our educational program accounts for each child's knowledge, strengths, ideas, culture, abilities and interests. We view enrolment and orientation as an important opportunity to begin to gather this information from the child and their family.
- We are committed to good governance and quality management. Our systems and practices ensure that our record keeping meets regulatory requirements, including in relation to confidentiality and storage.

6. Key terms

To make it easier for your audience, provide definitions of key terms that may not be used every day. For example:

Term	Meaning	Source
ACECQA – Australian Children's Education and Care Quality Authority	The independent national authority that works with all regulatory authorities to administer the National Quality Framework, including the provision of guidance, resources and services to support the sector to improve outcomes for children.	acecqa.gov.au
Enrolment	An enrolment occurs when the provider has an arrangement with an individual or organisation to provide education and care to a child.	Child care provider handbook dese.gov.au/child-care-package/ccp-resources-providers/child-care-provider-handbook
Enrolment record	The approved provider must ensure that an enrolment record is kept for each child enrolled at the service, and the family day care (FDC) educator must keep an enrolment record for each child they educate and care for. The record must include: • Full name, date of birth and address of the child. • The name, address and contact details of • each known parent of the child • any emergency contact • any authorised nominee • any person authorised to consent to medical treatment or administration of medication • any person authorised to give permission to the educator to take the child off the premises • any person authorised to authorise the education and care service to transport the child or arrange transportation of the child. • Details of any court orders, parenting orders or parenting plan. • Gender of the child. • Language used in the child's home. • Cultural background of the child and their parents. • Any special considerations for the child, such as cultural, dietary or religious requirements or additional needs.	National Regulations (Regulations 102, 160–162) Guide to the NQF (Management of records – Children's enrolment record)

Term	Meaning	Source

Enrolment record (cont.)	• Authorisations for:
	  • the approved provider, nominated supervisor or an educator to seek medical treatment and/or ambulance transportation for the child
	  • the service to take the child on regular outings
	  • regular transportation of the child.
	• Name, address and telephone number of the child's registered medical practitioner or medical service.
	• Medicare number (if available).
	• Details of any specific healthcare needs of the child, including any medical conditions, allergies, or diagnosis that the child is at risk of anaphylaxis.
	• Any medical management plan, anaphylaxis medical management plan or risk minimisation plan.
	• Any dietary restrictions.
	• Immunisation status.
	• If the approved provider or a staff member has sighted a child health record, a notation to that effect.	

Orientation	Process to support the child's transition to the service, whereby families spend time at the service with the child a few times before leaving the child on their own. The time required for orientation and settling in will vary for each child and their family.	ACECQA – Enrolment and orientation information sheet acecqa.gov.au/media/27031

7. Links to other policies

Refer to related policies and procedures, for example:

• Acceptance and refusal of authorisations
• Dealing with medical conditions in children
• Dealing with infectious diseases
• Incident, injury, trauma and illness
• Delivery of children to, and collection from, education and care service premises
• Emergency and evacuation
• Excursions
• Governance and management
• Interactions with children
• Dealing with complaints
• Payment of service fees and provision of a statement of fees charged by the service
• Safe transportation of children

8. Induction and ongoing training

State information about induction training and frequency of ongoing training and information sharing to assist managers, coordinators, educators and other staff to fulfil their roles effectively.

9. Policy created/reviewed

Include the date the policy was created, reviewed or changes were made.

10. Monitoring, evaluation and review

State when the policy will be reviewed and who will be responsible for this.

11. Checklist

☐ Have you referenced the relevant regulations and are these reflected in the policy?

☐ Does the title provide a clear and concise statement identifying the intent of the policy?

☐ Have you checked the policy requirements and referenced related legislation that applies to your service type?

☐ Does your policy statement provide a framework for decision-making and ensure consistent practice?

☐ Does your policy statement reflect your service's philosophy?

☐ Is it clear why this policy exists?

PROCEDURES GUIDELINES

Under the *Education and Care Services National Regulations*, an approved provider must ensure policies and procedures are in place for enrolment and orientation. These guidelines are part of a series intended to assist in the development of your policies and procedures required under regulations 168 and 169. They are to guide you to develop your policies and procedures, and are not an exact format to be followed.

Your procedures should be written in clear and concise language, making them easy to read, understand and implement.

The steps and guidelines you document in your procedures will not only guide your practice, but also inform regulatory authorities of educator and staff expectations and responsibilities at the service.

When thinking about your procedures for enrolment and orientation, they need to be practical and achievable. For example, if your procedures state that you will keep enrolment records confidential, you will need to make sure steps are in place for that to happen.

1. Title

Enrolment and orientation procedures

2. Reference to policy and philosophy

Here you refer to your ***Enrolment and orientation policy*** as seen in your policy documents. You can reference where you will find the policy to help those looking for it.

Your procedures will also reflect your service's overall philosophy and evidence-based quality practices for enrolment and orientation.

3. Procedures

This is where you detail the way you will implement the ***Enrolment and orientation policy.***

It is the 'How to' in your service and includes specific step-by-step procedures for enrolment and orientation.

Some areas that will be outlined here will include:

- where the procedures will be kept
- when they were last reviewed
- templates and documents that might be required and/or used as a part of the procedures
- systems to monitor the implementation of the procedures.

You will also need to consider:

- ensuring that the individual needs of children and families are considered throughout the enrolment and orientation process
- effectively using the information supplied by the family about the child at enrolment and orientation to support the child to transition into the service, including incorporating the family's decision-making into their child's learning and wellbeing
- using enrolment and orientation as a basis for forming collaborative partnerships with families and setting expectations
- quality enrolment and orientation practices beyond the minimum regulatory requirements, including for things such as:
  - maintaining a waiting list
  - supporting and assisting families to develop and maintain a routine for saying goodbye to their child
  - transitioning a child between rooms.

As you reflect on your ***Enrolment and orientation policy***, it might highlight the need to split its various areas into different procedures, which will be displayed or accessed by all staff to follow in relation to their required actions. For example, you may wish to have separate procedures for *Enrolment* and *Orientation*.

4. Roles and responsibilities

This is where you will designate specific roles and responsibilities for the people who hold different positions within your service. This needs to align with the *Education and Care Services National Regulations* (see pp. 8–10 below).

It is important to note that it is the legal responsibility of approved providers to ensure systems are in place to minimise risk and ensure health and safety procedures are implemented by the responsible people in services including FDC environments (if applicable). Ultimate responsibility lies with the approved provider to ensure their service/s are meeting the requirements under the *Education and Care Services National Law*.

When developing this section consider:

- What are the roles and responsibilities of the approved provider, responsible person, nominated supervisor, educators, other staff, volunteers, students and families in your service in relation to enrolment and orientation?
- How will you clearly define these roles and expectations and where will it be documented?
- Why are clear and robust procedures for enrolment and orientation important for children's safety and wellbeing?
- How will you learn from the administration of these procedures to improve your practices?
- How will you ensure that the necessary tools are available so the approved provider, nominated supervisor, educators and other staff members can follow the procedures? How will they be made aware of the procedures?
- Do the roles and responsibilities reflect your service type?

An example of roles and responsibilities could include, but is not limited to:

Roles	Responsibilities
Approved provider	- ensure that obligations under the *Education and Care Services National Law* and *National Regulations* are met - ensure that an enrolment record is kept for each child which contains all the information set out in regulation 160, as well as authorisations from parents relating to medical treatment, regular outings, health information and transportation - keep prescribed enrolment and other documents as set out in regulation 177, including a medication record and children's attendance record - keep records confidential, and stored safely and securely for the relevant period listed in regulation 183 - consider quality practice approaches to enrolment and orientation - take reasonable steps to ensure that nominated supervisors, educators, staff and volunteers follow the **Enrolment and orientation policy** and **procedures** - ensure that copies of the policy and procedures are readily accessible to nominated supervisors, coordinators, educators, staff, volunteers and families, and available for inspection - notify families at least 14 days before changing the policy or procedures if the changes will: - affect the fees charged or the way they are collected or - significantly impact the service's education and care of children or - significantly impact the family's ability to utilise the service.
Nominated supervisor	- ensure that regulatory obligations are met in relation to enrolment and orientation - implement procedures for enrolment and orientation - ensure that an enrolment record is kept for each child which contains all the prescribed information - support families' involvement in the service and contribution to service decisions regarding the enrolment and orientation of their child at the service - ensure families are aware of relevant policies and procedures at time of enrolment, such as: - Acceptance and refusal of authorisations - Dealing with medical conditions in children - Incident, injury, trauma and illness - Delivery of children to, and collection from, education and care service premises - promote quality practice approaches to enrolment and orientation - keep records confidential.

Roles	Responsibilities
FDC educators	• ensure that an enrolment record is kept for each child which contains all the information set out in regulation 160, as well as authorisations from parents relating to medical treatment, regular outings, health information and transportation • keep prescribed enrolment and other documents as set out in regulation 178, including a medication record and children's attendance record • keep records confidential • discuss with the family of a child being educated and cared for by the FDC educator their right to enter the FDC residence or approved FDC venue at any time the child is being educated and cared for by the educator.
Educators	• be familiar with regulatory requirements • support families' involvement in the service and contribution to service decisions regarding the orientation of their child at the service • share information with families to support the child's transition into the service • respect the culture, values and beliefs of families, and incorporate their decision-making in their child's learning and wellbeing • familiarise themselves with the information supplied by the family about the child and use this to support the child to transition into the service • keep records confidential.
Families	• complete all documentation required by the service • provide any required authorisations, such as for the approved provider, nominated supervisor or an educator to seek medical treatment for the child from a registered medical practitioner, hospital or ambulance service and, if required, transportation by an ambulance service • notify the service upon enrolment of any specific health care needs of the child, including any medical conditions and allergies and any medical management plans that need to be followed • ensure all information about the child and family held by the service is kept up-to-date.

The following table will assist you in developing procedures specific to your service's needs and context. Referring to the *Education and Care Services National Regulations* when you are writing your procedures will assist you to ensure that you are meeting your obligations.

Areas to include in your procedures	Things to consider and outline in each area (this will be specific to the context of your service)	Strategies for monitoring and implementing procedures	Related policy and/ or procedures

Enrolment records
 	
Act: 175
 	
Regs: 90, 92, 102, 160–162, 168–172, 177–179, 181–183
 	
QA1
 	
QA2
 	
QA6
 	
QA7: 7.1.2
	• What processes are needed to ensure that an enrolment record is kept for each child which contains all the information set out in regulation 160, as well as authorisations from families relating to medical treatment, regular outings and health information.
	• How you will ensure the prescribed enrolment and other documents as set out in regulation 177 are kept, including a medication record and children's attendance record.
	• How you will keep records confidential and ensure they are stored safely and securely for the relevant period:
	  • until the child is aged 25 years: if the record relates to an incident, illness, injury or trauma suffered by a child while being educated and cared for by the service
	  • until the child is aged 25 years: if the record relates to an incident, illness, injury or trauma suffered by a child that may have occurred following an incident while being educated and cared for by the service
	  • until the end of 7 years after the child's death: if the record relates to the death of a child while 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
	  • until the end of 3 years after the last date the child was enrolled at the service: for any other record.
		• Consult with the regulatory authority or other experts to ensure that enrolment forms meet the requirements.
		• Develop strong physical and electronic systems and processes to safeguard record storage and confidentiality.
			Governance and management
			
			Acceptance and refusal of authorisations
			
			Dealing with medical conditions in children
			
			Dealing with infectious diseases
			
			Excursions
			
			Incident, injury, trauma and illness
			
			Delivery of children to, and collection from, education and care service premises

Areas to include in your procedures	Things to consider and outline in each area (this will be specific to the context of your service)	Strategies for monitoring and implementing procedures	Related policy and/ or procedures
Enrolment procedures **Regs:** 85–86, 88, 90–91, 99, 157, 168–172, 177–178 **QA1:** 1.1.2, 1.3.3 **QA2** **QA5:** 5.1 **QA6:** 6.1, 6.2 **QA7:** 7.1.2	• What steps are involved in enrolling a child at the service from start to finish. • What to do in the event that a parent does not provide required authorisations or information during enrolment. • What documentation may be needed from families to assist educators and staff to work with the child and family and prepare the service for children being enrolled. • How you will ensure that families provide all the required information and documentation as part of the enrolment process, and address any concerns they may have in providing that information. • How you will ensure families are given adequate information regarding their responsibilities and given copies of all the relevant policies and procedures. • How will you cater to families for whom English is not their first language. • What quality practice approaches to enrolment should be considered relating to things such as maintaining a waiting list and transitioning a child between rooms. • How you will ensure that the individual needs of children and families are considered throughout the enrolment process. • What ways a family's decision-making during enrolment can be incorporated into their child's learning and wellbeing. • How to become familiar with the information supplied by the family about the child and how this can be used to support the child to transition into the service. • What processes will be needed to ensure that a child's family may enter the service premises or FDC educator's residence at any time that the child is being educated and cared for by the service. • How will you ensure families are aware of the service's philosophy and approaches to engaging with the approved learning framework(s).	• Consider pre-enrolment activities, e.g. setting the appointment date/time and providing instructions about documents they should bring. • Make sure your policy and procedures are available for all to access. • Consider creating a checklist of all tasks/items needed on enrolment and throughout the process. • Consider creating a flowchart of your enrolment process so it is easy for educators, staff and families to understand. • Develop communication systems, e.g. for educators and staff to communicate with each other and families about their child around how their enrolment and orientation is progressing. • Critically reflect to encourage and develop a further understanding of how to support children and families' individual needs during enrolment and orientation. • Develop an enrolment package and/or handbook that contains the required policies and procedures that families will need to be aware of. • Consider how the waiting list will be maintained equitably. • Develop criteria to determine if and when a child is able to be moved to another room, including consultation with the family. • Develop an evaluation process for families to provide feedback to improve processes. • Ensure procedures relating to family access to the premises are part of induction training, and regularly reviewed at team meetings and during contact visits to FDC educators.	Governance and management Interactions with children Acceptance and refusal of authorisations Delivery of children to, and collection from, education and care service premises Excursions Dealing with medical conditions in children Dealing with infectious diseases Incident, injury, trauma and illness Emergency and evacuation Dealing with complaints Payment of service fees and provision of a statement of fees charged by the service

Areas to include in your procedures	Things to consider and outline in each area (this will be specific to the context of your service)	Strategies for monitoring and implementing procedures	Related policy and/or procedures
Orientation procedures **Regs:** 99, 168–172 **QA1:** 1.1.2, 1.3.3 **QA4:** 4.1.2 **QA5:** 5.1 **QA6:** 6.1, 6.2 **QA7:** 7.1.2	• What the orientation process will look like from start to finish. • How you will ensure that the individual needs of children and families are considered throughout the orientation process. • How you will guide families to consider their child's needs during orientation. • How you will support and assist families to develop and maintain a routine for saying goodbye to their child. • How you will make children and families aware of routines throughout the day. • How you will support the separation process. • How to ensure continuity of educators and staff following on from the orientation.	• Consider creating a checklist of all tasks/items needed for orientation. • Have clear steps and processes in place to ensure educators and staff understand and clearly communicate with each other and families around each child's needs and progress during orientation. • Ensure time off the floor is provided for educators to meet with families. • Allow families to stay with their children during orientation and for a period once the child commences; allow shorter attendance initially. • Critically reflect to encourage and develop understanding of how to support children and families' individual needs during enrolment and orientation. • Maintain initial communication strategies with families about how their children are settling in.	Governance and management Interactions with children

5. Procedures created/reviewed

Include the date the procedures were created or reviewed.

6. Monitoring, evaluation and review

Your service, in consultation with educators and other key staff, families and other stakeholders, should review the effectiveness of these procedures within a set timeframe or earlier if there is a change in relevant legislation.

State when the procedures will be reviewed and who will be responsible for this.

7. Checklist

☐ Do the **Enrolment and orientation procedures** align with your **Enrolment and orientation policy**?

☐ Have your procedures been written in plain English and can they be easily implemented by an educator or staff new to your service?

☐ Is it clear who is responsible for the implementation of the procedures?

☐ Are all educators and staff aware of the procedures and can they implement them if required?

☐ Do you need to develop any resources to monitor and record the procedures?