

Record Keeping Policy

Aim:

We keep records for the purpose of maintain our business. These include but are not limited to:

- Records pertaining to our registration
- Landlord/Lease documents and other contractual documentation pertaining to amenities, services and goods.
- Financial records pertaining to income and expenditure.
- Risk Assessments
- Employment records of staff
- Records for enrolled children

We have record keeping systems in place that meet legal requirements; the means we use to store and share that information takes place within the framework of the General Data Protection Regulations (GDPR) (2018) and the Human Rights Act (1998).

This policy and procedure should be read alongside our Privacy Notice, Confidentiality and Client Access to Records Policy and our Information Sharing Policy.

Method:

All records are the responsibility of the committee who ensure they are kept securely.

All records are kept in an orderly way in files and filing is kept up-to-date.

Financial records are kept up-to-date for auditing purposes.

Health & Safety records are maintained, these include risk assessments, details of checks or inspections and guidance etc.

Our OFSTED registration certificate is displayed.

Our public liability insurance certificate is displayed.

All our employment and staff records are kept securely and confidentially.

Children's Records

We keep 2 kinds of records on children attending Playdays Preschool. They are only to be shared with the child's own parent or carer. No other person has access to them without parental permission. Parental Permission must be sought before any records are shared regarding their child with other professionals e.g. health visitors, school teachers, Plymouth City Council etc.

1. Developmental Records

These include observations of children in the preschool, photographs, video clips, and samples of their work and summary development reports.

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They are usually kept in the playroom and online and can be freely accessed during opening times. They are contributed to by staff, the child and the child's parents. Outside of preschool opening times physical files are locked in a cupboard, away from general public access. Online records can only be accessed by staff or the child's own parents and all systems are password protected. They may be shared with other members of the staff team for the purpose of curriculum planning and providing for the needs of each individual child.

On occasion, staff may be required to complete these records at home due to a lack of resources and time in preschool. They must only be removed by a member of the leadership team or the child own keyworker. Staff must adhere to the Confidentiality policy and must not share them with other persons who may have access. Staff are required to sign records in and out of the building.

2. Personal Records

These include registration documents and admission forms, signed consent forms, and correspondence regarding the family or the child. Reports of minutes from meetings concerning the child from other agencies, an ongoing record of relevant contact with parents, and observations by staff on any confidential matter involving the child, such as developmental concerns or child protection matters.

These confidential records are stored in a lockable file cabinet and are kept secure by management.

Parents have access, in accordance with our privacy notice Policy, to the files and records of their own children but do not have access to records or information about any other child.

Staff will not discuss personal information given by parents with other members of staff, except where it affects planning for the child's needs. Staff induction includes an awareness of the importance of confidentiality in the role of the keyperson.

We use the guidance provided by Preschool Learning Alliance in how long we store children's records for. These are kept in a secure place away from public access.

Transfer of records to school

We recognise that children sometimes move to another early year's setting before they go on to school although many will leave our setting to enter a foundation or reception class.

We prepare children for these transitions and involve parents and the receiving setting in this process. We prepare records about a child's development and learning in the EYFS in our setting; in order to enable smooth transitions, we share appropriate information with the receiving setting or school at transfer.

Confidential records are shared where there have been child protection concerns according to the process required by our local safeguarding children's board.

The procedure guides this process and determines what information we can and cannot share with a receiving school or setting.

Transfer of developmental records to another early years setting or school

1. Using the EYFS assessment of development and learning ensure the keyperson prepares a summary of achievements in the seven areas of learning.
2. This record refers to any additional languages spoken by the child and his/her progress in both languages.

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3. The record also refers to any additional needs that have been identified or addressed by the preschool.
4. The records also refer to special needs or disability and whether a CAF/Early Help Assessment was raised in respect of special needs, disability or where there is an Education & Health Care Plan and gives the name of the lead professional.
5. The record contains a summary by the keyperson and a summary of the parent's views of the child.
6. The document may be accompanied by other evidence such as photos or drawing that the child has made.
7. If there have been any welfare or protection concerns a star is placed on the front of the assessment record.
8. Records should be hand delivered where possible to the receiving setting or school. Where records cannot be hand delivered, they are to be posted recorded delivery.

Transfer of confidential information

The receiving school or setting will need to have a copy of concerns that were raised in the setting and what was done about them.

A summary of the concerns will be made to send to the receiving school along with the date of the last lead professional meeting or case conference.

Where a CAF/Early Help Assessment has been raised in respect of any welfare concerns, the name and contact details of the lead professional will be passed on to the receiving school or setting.

Where there has been a S47 (Children's Act 1989) investigation regarding a child protection concern the name and contact details of the child's social worker will be passed on to the receiving school or setting – regardless of the outcome of the investigation.

This information is posted recorded delivery or taken to the school or setting, addressed to the setting or schools designated person for child protection and safeguarding and marked confidential.

Other records

Issues to do with employment of staff, whether paid or unpaid, remain confidential to the people directly involved with making personnel decisions.

Students are advised of the confidentiality policy when they are observing in the preschool and are required to respect it.

Parents sometimes share information about themselves with other parents and staff. Playdays Preschool cannot be held responsible if information is shared beyond those parents whom the person has 'confided' in.

Retention of Records

We recognise that by efficiently managing our records, we will be able to comply with legal and regulatory obligation and to contribute to the effective overall management of the preschool. Records provide evidence for

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protecting the legal rights and interests of the nursery and provide evidence for demonstrating performance and accountability.

Records are retained for a set period to provide evidence of its transactions or activities. These records may be created or received and then stored, in a locked filing cabinet.

If data is kept electronically it is encrypted and stored as above.

We have a responsibility to maintain records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the chairman of the committee.

Employees must ensure that records for which they are responsible are accurate. And are maintained and disposed of in accordance this policy.

The following chart should be observed in regard to retention periods of records.

Record	Retention Period	Status	Pertaining Authority
CHILDREN'S RECORDS			
Registers Medication Records Accident Reports Medical Records Emergency Treatment Permission Collection Authority	3 years after children have left the setting.	Requirement	Early Years Foundation Stage Welfare Requirements Childcare Act 2006
	Until the child reaches the age of 21 or until the child reaches the age of 24 for child protection record	Recommendation	Limitation Act 1980/Statute of Limitations Act 1991 Normal limitation rules (which mean that an individual can claim for negligently caused personal injury up to 3 years or deliberately caused personal injury up to 6 years after event) are suspended until a child reaches 18 years of age.
Records of any reportable death, injury, disease or dangerous occurrence	3 years after the date it happened	Requirement	The Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR) 1995 (SI 1995/3163)
Parent Contact Details Developmental Records Outing permissions	2 years after child leaves setting	Recommendation	
PERSONNEL RECORDS			

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Personnel files and training records including disciplinary records and working time records, attendance records for employees, volunteers, students and committee members	7 years after employment ceases	Recommendation	Chartered Institute of Personnel
Record	Retention Period	Status	Pertaining Authority
Application forms and interview notes (for unsuccessful candidates)	6 months to 1 year	Recommendation	Chartered Institute of Personnel
DBS Check/Disclosure Information	Until the next OFSTED inspection	Requirement	Disclosure Barring Service Organisation that are subject to OFSTED inspections are entitled to retain DBS numbers until the date of inspection, after which only the following information may be securely stored: date of disclosure, name of subject, type of disclosure requested, position which DBS was requested, unique DBS number, details of recruitment decision
PAY RECORDS			
Wage/salary records including overtime, bonuses and expenses (wage slips and time sheets)	6 years	Requirement	Taxes Management Act 1970
Statutory Maternity Pay (SMP)	3 years after the end of the tax year in which the maternity period ends	Requirement	Statutory Maternity Pay Regulations 1986 (SI 1986/1960)
Statutory Sick Pay (SSP)	3 years after the end of the tax year to which they relate	Requirement	Statutory Sick Pay Regulations 1982 (SI 1982/8941)
Income Tax and National Insurance Returns/Records	At least 3 years after the end of the tax year in which they relate to	Requirement	Income Tax (Employments) Regulations 1993 (SI 1993/744)
Redundancy details, calculations of payments, refunds, notification to the	6 years from the date of redundancy	Recommendation	Chartered Institute of Personnel

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secretary of state			
HEALTH AND SAFETY RECORDS			
Staff accident reports	3 years after the date of the last entry (separate rules for recording of accidents involving hazardous substances)	Requirement	Social Security (Claims & payments) Regulations 1979 (SI 1979/628)
Records of any reportable death, injury, disease or dangerous occurrence	3 years after the date it happened	Requirement	The Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR) 1995 (SI 1995/3163)
Accident/medical records as specified by COSHH '99	40 years from the date of the last entry	Requirement	Control of Substances Hazardous to Health Regulation 1999 (COSHH)
Record	Retention Period	Status	Pertaining Authority
Assessments under Health & Safety Regulations and records of consultation with safety representatives and committees	Permanently	Recommendation	Chartered Institute of Personnel
FINANCIAL RECORDS			
Accounting record	3 years for private companies, 6 years for public limited companies, 6 years for charities	Requirement	Section 221 of the Companies Act 1985 Charities Act 1993 (c10) Part VI
ADMINISTRATION RECORDS			
Complaints record book	At least 3 years from the date of the last record	Requirement	Early Years Foundation Stage Welfare Requirement (given legal force by Childcare Act 2006)
Insurance Liability Documents	40 years from date of issue	Requirement	Employers Liability (Compulsory Insurance) Regulations 1998
Meeting Minutes and Annual Reports	6 years	Recommendation	Preschool Learning Alliance
	Permanently	Recommendation	Chartered Institute of Personnel.
Visitors Record	2 years from date of last entry	Recommendation	

Legal Framework

Data Protection Act 1998

General Data Protection Regulations (GDPR) (2018)

Freedom of Information Act 2000

Human Rights Act 1998

Children Act 1989

Policy Written By: Terri Clarke

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To be reviewed: Annually

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Further Guidance

Retention Periods for Records (Preschool Learning Alliance)

What to do if you are Worried a Child is Being Abused (HMG 2006)

Information Sharing: Guidance for Practitioners and Managers (DCSF 2008)