



# Records Policy

**(Incorporating Children's Records, Provider Records and Transfer of Records to School)**

## Children's Records

### Policy Statement

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 Data Protection Act (1998) and the Human Rights Act (1998).

This policy and procedure is taken in conjunction with the '*Confidentiality and Client Access to Records Policy*' and the '*Information Sharing Policy*'.

### 1.1 Procedures

We keep two kinds of records on children attending our setting:

#### **a) Developmental Records** (known as a Learning Journal)

- i) These include observations of children in the setting, samples of their work, summary developmental reports and records of achievement.
- ii) Any video clips taken are shared with the child's parent/carer and then deleted from the camera that day.
- iii) They are kept in the playroom and can be freely accessed and contributed to by staff, the child and the child's parents.

#### **b) Personal Records**

- i) These include registration and admission forms, signed consent forms and correspondence concerning the family, reports or minutes from meetings concerning the child from other agencies, an on-going 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.

- ii) These confidential records are stored in a lockable file or cabinet and are kept secure by the person in charge in an office or other suitably safe place.
- iii) Parents have access, in accordance with the '*Confidentiality and Client Access to Records Policy*', to the files and records of their own children but do not have access to information about any other child.
- iv) 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 key person.
- v) We retain children's records for three years after they have left the setting, except records that relate to an accident or child protection matter, which are kept until a child reaches the age of 21 years. These are kept in a secure place.

*See appendix 1 for more details on retention periods for all records – available to view in setting*

### **c) Other Records**

- i) We keep a daily record of the names of the children we are caring for, their hours of attendance and the names of their key person.
- ii) Issues to do with the employment of staff, whether paid or unpaid, remain confidential to the people directly involved with making personnel decisions.
- iii) Students on Pre-School Learning Alliance or other recognised qualifications and training, when they are observing in the setting, are advised of our '*Confidentiality and Client Access to Records Policy*' and are required to respect it. Please refer to the '*Student Placement Policy*' for action taken.

### **Legal Framework**

Data Protection Act (1998)  
Human Rights Act (1998)

## 2. Provider Records

### Policy Statement

We keep records and documentation for the purpose of maintaining our business. These include:

- 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 including their name, home address and telephone number

We consider our records as confidential based on the sensitivity of information, such as with employment records. These confidential records are maintained with regard to the framework of the Data Protection Act (1998) and the Human Rights Act (1998).

This policy and procedure is taken in conjunction with the '*Confidentiality and Client Access to Records Policy*' and the '*Information Sharing Policy*'.

### 2.1 Procedures

- a) All records are the responsibility of the management team who ensure they are kept securely.
- b) All records are kept in an orderly way in files and filing is kept up to date.
- c) Financial records are kept up to date for audit purposes.
- d) Health and Safety records are maintained; these include risk assessments, details of checks or inspections and guidance etc.
- e) Our Ofsted registration certificate is displayed.
- f) All our employment and staff records are kept securely and confidentially.

### 2.2 We notify Ofsted of any change:

- i) In the address of the premise.
- ii) To the premises which may affect the space to us or the quality of childcare we provide.
- iii) To the name and address of the provider, or the provider's contact information.
- iv) To the person managing the provision.

- v) To the Committee and its members, this includes informing Ofsted of those stepping down and those joining the committee, and updating this information with the Charities Commission. The necessary DBS checks on all new members will also be carried out – refer to the Safeguarding Policy for more information.
- vi) Any significant event which is likely to affect suitability to look after children; or
- vii) Any other event as detailed in the Statutory Framework for the Early Years Foundation Stage (DfE 2014).

## **Legal Framework**

Data Protection Act (1998)  
Human Rights Act (1998)

## **3. Transfer of Records to School**

### **Policy Statement**

We recognise that children sometimes move to another early years setting before they go on to school, although many will leave our setting to enter a nursery or reception class.

We prepare the children for these transitions and involve parents and the receiving setting or school in this process. We prepare records about a child's development and learning in the Early Years Foundation Stage 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 Board.

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

### **Procedures**

#### **3.1 Transfer of development records for a child moving to another early years setting or school**

- a) Using the Development Matters in the Early Years Foundation Stage guidance and the Early Years Outcomes 2013 as well as our assessment of children's development and learning, the key person will prepare a summary of achievements in the seven areas of learning and development and the characteristics of effective learning.

- b) The record refers to:
- i) Any additional language spoken by the child and his or her progress in both languages.
  - ii) Any additional needs that have been identified or addressed by the setting.
  - iii) Any special needs or disability, whether a Common Assessment Framework (CAF) was raised in respect of special needs or disability, whether there is a Statement of Special Educational Needs, and the name of the lead professional. Also whether there is a My Support Plan – refer to the ‘*Supporting Children with Special Educational Needs & Disabilities (SEND) Policy*’ for more information.
- c) The record contains a summary by the key person and a summary of the parent’s view of the child.
- d) The document may be accompanied by other evidence, such as photos or drawings that the child has made.
- e) When a child transfers to a school, the local authority (Wiltshire County Council) provide an assessment summary format or a transition record, which we will follow as applicable.
- f) If there have been any welfare or protection concerns, a star is placed on the front of the assessment record.

PLEASE NOTE: When there is cause for concern about a child in our setting – safeguarding overrides data protection and the information must be shared with the new setting.

### **3.2 TRANSFER OF CONFIDENTIAL INFORMATION**

- a) The receiving school or setting will need to have a record of any safeguarding or child protection concerns that were raised in the setting and what was done about them.
- b) A summary of the concerns will be made to send to the receiving setting or school, along with the date of the last professional meeting or case conference. Some Local Safeguarding Children’s Boards will stipulate the forms to be used and provide these.
- c) Where a CAF 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 setting or school.
- d) Where there has been a s47 investigation regarding a child protection concern, the name and contact details of the child’s social worker will be passed on to the receiving setting or school – regardless of the outcome of the investigation
- e) This information is posted or taken to the school or setting, addressed to the setting or school’s designated person for child protection and marked as ‘confidential’.

## Legal Framework

Data Protection Act (1998)  
Freedom of Information Act (2000)  
Human Rights Act (1998)  
Children Act (1989)

This policy was formulated in consultation with staff and the Management Committee of Neston Pre-school Playgroup and was formally adopted at a committee meeting held on 23 / 1 / 2017. It was reviewed and updated on 09/10/2018.

Signed on behalf of the Management Committee:

Print Name                      Helena Blamire-Brown

Role of Signatory              Chairperson

Date to be reviewed            January 2019