



RECORD KEEPING POLICY

BUSINESS RECORDS

Policy Statement

We keep records 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.
- Name, address and telephone number of anyone else who is regularly in unsupervised contact with the children

Our records are regarded as confidential on the basis of sensitivity of information, such as with regard to employment records. These confidential records are maintained with regard to the framework of the Data Protection Act 2018, General Data Protection Regulation (GDPR) (2018) and the Human Rights Act (1998).

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

Procedures

- All records are the responsibility of the Pre-School Administrator and Pre-school Supervisor who ensure they are kept securely. They report to the Pre-School Committee.
- 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 audit purposes.
- Health and safety records are maintained; these include risk assessments, details of checks or inspections and guidance etc.
- Our Ofsted registration certificate is displayed.
- Our Employer's Liability insurance certificate is displayed.
- All our employment and staff records are kept securely and confidentially.



RECORD KEEPING POLICY (continued)

We notify Ofsted of any:

- change in the address of our premises;
- change to the premises which may affect the space available to children and the quality of childcare available to them;
- change to our name and address and contact information;
- change to the person managing the setting (Pre-School Supervisor);
- any significant event which is likely to affect our suitability to look after children; or
- any other event as detailed in the Early Years Foundation Stage (EYFS).

CHILDREN'S RECORDS

Policy Statement

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

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

Procedures

If a child attends another setting, we establish a regular two-way flow of appropriate information with parents and other providers. Where appropriate, we will incorporate comments from other providers, as well as parents and carers into the child's records.

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

1. Developmental Records

- We record children's development using the 'Tapestry Online Learning Journey'. This includes observations of children in the pre-school, photographs, video clips and samples of their work and summary developmental reports.



RECORD KEEPING POLICY (continued)

- Summaries of children's development are kept in the office. They can be accessed on request, and contributed to, by staff, the child and the child's parents.

2. Personal Records

- Personal details including the child's Registration Form, signed consent forms, and correspondence concerning the child or family, reports or 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.
- Child's development, health and well-being – including a summary only of the child's EYFS profile report, a record of discussions about every day matters about the child's development health and well-being with the parent.
- Early Support – including any additional focussed intervention provided by our setting (e.g., support for behaviour, language or development that needs a SEN action plan) and records of any meetings held.
- Welfare and child protection concerns – including records of all welfare and protection concerns, and our resulting action, meetings and telephone conversations about the child, an Education, Health and Care Plan and any information regarding a Looked After Child.
- Correspondence and Reports – including a copy of the child's 2-Year-Old Progress Check (as applicable), all letters and emails to and from other agencies and any confidential reports from other agencies.
- These confidential records are stored in a lockable file or cabinet, which is always locked when not in use and which is secure in the office.
- We ensure that access to children's files is restricted to those authorised to see them and make entries in them, this being the Pre-School Supervisor, Deputy Supervisor, Designated Safeguarding Children Officer, SENCO, the child's key person, or other staff as authorised by Pre-School Supervisor.
- We may be required to hand children's personal files to Ofsted as part of an inspection or investigation process; or to local authority staff conducting a S11 audit, as long as authorisation is seen. We ensure that children's personal files are not handed over to anyone else to look at.



RECORD KEEPING POLICY (continued)

- Parents have access, in accordance with our Privacy Notice and our Confidentiality & Information Sharing Policy, to the files and records of their own children, but do not have access to information about any other child.
- Our staff will not discuss personal information given by parents with other members of staff, except where it affects planning for the child's needs
- We retain children's records for three years after they have left the setting. These are kept in a secure place. After this three year period they are destroyed.
- If data is kept electronically, it is encrypted.

OTHER RECORDS

- 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.
- Issues to do with the employment of staff, whether paid or unpaid, remain confidential to the people directly involved with making personnel decisions.
- Students who are training are advised of our Confidentiality & Information Sharing Policy and are required to respect it.

ALL RECORDS

- All records may be stored securely off-site if required.



RECORD KEEPING POLICY (continued)

RETENTION PERIOD OF RECORDS

We will adhere to the following legal requirements on retention periods for records and as per the advice given by the Pre-School Learning Alliance. In addition, we will endeavour to follow the recommended guidelines where possible and practical:

Children's Records	Retention Period	Status	Authority
Children's records - including registers, registration forms, medication records, accident records and incident records pertaining to the children.	Records should be retained for a reasonable period of time after children have left the provision - for example 3 years.	Requirement	Statutory Framework for the Early Years Foundation Stage 2017 (given legal force by Childcare Act 2006).
	Until the child reaches the age of 21 - or until the child reaches the age of 24 for child protection records, SEND records and health care plans. Records in relation to safeguarding children also need to be kept in accordance with the Local Safeguarding Children Board's requirements.	<i>Recommendation</i>	Limitation Act 1980. Normal limitation rules (which mean that an individual can claim for negligently caused personal injury up to 3 years after, or deliberately caused personal injury up to 6 years after the event) are postponed until a child reaches 18 years of age.
Records of any reportable death, injury, disease or dangerous occurrence.	3 years after the date the record was made.	Requirement	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) (as amended).



RECORD KEEPING POLICY (continued)

Employment Records	Retention Period	Status	Authority
Personnel Records			
Application forms and interview notes for unsuccessful candidates.	6 months to 1 year.	<i>Recommendation</i>	Chartered Institute of Personnel and Development (CIPD).
Personnel files and training records (including disciplinary records and working time records).	6 years after employment ceases.	<i>Recommendation</i>	CIPD.
	Records of unfounded allegations of a child protection nature must be kept until the person's normal retirement age or 10 years after the date of the allegation; allegations found to be malicious must be removed from personnel files.	Requirement	Keeping Children Safe in Education, DfE
Enhanced DBS Check information	Original DBS disclosures: a maximum of six months. Providers must be able to show Ofsted they have kept a record of DBS disclosures and the DBS Code of Practice permits them to retain the following details: the date of issue of the certificate; the name of the subject; the type of certificate requested; the position for which the certificate was requested; the unique reference number; the company who obtained the certificate; and details of the recruitment decision taken.	<i>Recommendation</i>	Disclosure and Barring Services/ Ofsted.



RECORD KEEPING POLICY (continued)

Pay Records	Retention Period	Status	Authority
Wage/salary records (including overtime, bonuses and expenses).	6 years.	Requirement	Taxes Management Act 1970.
Statutory Maternity Pay (SMP) records.	3 years after the end of the tax year to which they relate.	Requirement	The Statutory Maternity Pay (General) Regulations 1986.
Parental leave records.	5 years from the birth/ adoption of the child or 18 years if the child receives a disability allowance.	<i>Recommendation</i>	CIPD.
Statutory Sick Pay (SSP) records.	6 years after employment ends.	<i>Recommendation</i>	CIPD.
Income Tax and National Insurance returns/ records.	At least 3 years after the end of the tax year to which they relate.	Requirement	The Income Tax (Employments) Regulations 1993 (as amended).
Redundancy details, calculations of payments, refunds, notification to the Secretary of State.	6 years after employment ends.	<i>Recommendation</i>	CIPD.
National Minimum Wage Records.	3 years after the end of the pay reference period following the one that the records cover.	Requirement	National Minimum Wage Act 1998.
Pension scheme and member records.	6 years from the automatic enrolment staging date.	Requirement	The Pensions Regulator.
	12 years from the ending of any benefit payable under the policy.	<i>Recommendation</i>	CIPD.

RECORD KEEPING POLICY (continued)

Health & Safety Records	Retention Period	Status	Authority
Staff accident records (for organisations with 10 or more employees).	3 years after the date of the last entry in the book (separate rules govern the recording of accidents involving hazardous substances).	Requirement	Social Security (Claims and Payments) Regulations 1979.
Records of any reportable death, injury, disease or dangerous occurrence.	3 years after the date the record was made.	Requirement	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR).
Accident/medical records as specified by the Control of Substances Hazardous to Health Regulations (COSHH).	40 years from the date of the last entry.	Requirement	The Control of Substances Hazardous to Health Regulations 2002 (COSHH).
Assessments under Health and Safety Regulations and records of consultations with safety representatives and committees.	Permanently.	<i>Recommendation</i>	CIPD.
	For the life of the assessment plus 3 years.	<i>Recommendation</i>	Information and Records Management Society (IRMS).

Financial Records	Retention Period	Status	Authority
Accounting records (e.g., cash books, invoices, receipts).	3 years from the end of the financial year for private and charitable companies, 6 years for public limited companies.	Requirement	Companies Act 2006.
	6 years for charities	Requirement	Charities Act 2011.



RECORD KEEPING POLICY (continued)

Administration Records	Retention Period	Status	Authority
Employers' Liability insurance records.	For as long as possible.	<i>Recommendation</i>	Health & Safety Executive.
Visitors Books/ signing in sheets.	The current year plus 6 years.	<i>Recommendation</i>	IRMS.
Policy documents.	For the life of the policy/ setting plus 3 years.	<i>Recommendation</i>	IRMS.
Complaints	At least 3 years from the date of the last record.	Requirement	Ofsted.
	At least 6 years after the date of the resolution of the complaint.	<i>Recommendation</i>	IRMS.
Minutes/ minute books	At least 10 years from the date of the meeting for companies.	Requirement	Companies Act 2006.
	At least 6 years from the date of the meeting for Charitable Incorporated Companies.	Requirement	The Charitable Incorporated Organisations (General) Regulations 2012.
	Permanently.	<i>Recommendation</i>	CIPD.