



Maintenance, Storage and Transfer of Records Policy

St Marks Pre-school considers all our records to hold sensitive information as defined by the General Data Protection Regulations (GDPR) (2018), and are therefore confidential. Confidential records are maintained with regard to the framework of the GDPR (2018), further details of which are given in our Privacy Notice, and the Human Rights Act (1998).

Provider Records

St Marks Pre-school keeps records and documentation for the purpose of maintaining the charity. These include:

- Records pertaining to the pre-school's 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 pre-school practitioners, including their name, home address and telephone number.
- Names, addresses and telephone numbers of anyone else who is regularly in unsupervised contact with the children.

Procedures

- All records are the responsibility of the pre-school management team, 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 audit purposes.
- Health and safety records are maintained; these include risk assessments, details of checks or inspections and guidance etc.
- The Ofsted registration certificate is displayed.
- The Public Liability insurance certificate is displayed.
- All employment and practitioner records are kept securely and confidentially.

St Marks Pre-school notify Ofsted of any:

- change in the address of the pre-school premises;
- change to the pre-school premises that may affect the space available or the quality of childcare provided;
- change to the name and address of the pre-school's registered provider, or the provider's contact information/name, address or contact information;
- change to the person managing the pre-school;
- significant event which is likely to affect the pre-school's suitability to look after children; or
- other event as detailed in the Statutory Framework for the Early Years Foundation Stage (DfE 2017).

Children's records

Procedures

If a child attends another setting, St Marks Pre-school will establish a two-way flow of appropriate information with parents and other providers. Where appropriate, the pre-school will incorporate comments from other providers, as well as parents and/or carers into the child's records.

We keep two kinds of records on children attending St Marks Pre-school:

Developmental records

- These include observations of children in the setting, photographs, samples of their work and summary developmental reports.
- These are usually kept in the child's classroom and can be accessed, and contributed to, by a relevant practitioner (e.g. Key Person, SENCo), the child and the child's parents.

Personal records

These may include the following (as applicable):

- Personal details – including the child's registration form and any consent forms.
- Contractual matters – including a copy of the signed parent contract, the child's days and times of attendance, a record of the child's fees, any fee reminders or records of disputes about fees.
- Child's development, health and well-being – including a summary only of the child's EYFS profile report, a record of discussions about everyday matters about the child's development, health and well-being with the parent.
- Early Support – including any additional focussed intervention provided by St Marks Pre-school (e.g. support for behaviour, language or development that needs an SEN action plan) and records of any meetings held.
- Welfare and child protection concerns – including records of all welfare and protection concerns, and the pre-school's 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 Progress Check (as applicable), all letters and emails to and from other agencies and any confidential reports from other agencies.
- These confidential records are either stored electronically on the pre-school's computer system, which is password protected, or stored in a lockable file or cabinet, which is always locked when not in use and which the Pre-school Manager keeps secure in the office or other suitably safe place.
- The pre-school reads any correspondence in relation to a child, notes any actions and files it immediately
- The pre-school ensures that access to children's files is restricted to those authorised to see them and make entries in them, i.e. the Pre-school Manager, SENCo, Room Leader, DSL (Designated Safeguarding Lead), the child's Key Person, or pre-school Administrator, or other practitioner as authorised by the Pre-school Manager.
- The pre-school 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 s.11 audit, as long as authorisation is seen. The pre-school ensures that children's personal files are not handed over to anyone else to look at.
- In accordance with St Marks Pre-school Privacy Notice, Confidentiality and Client Access to Records Policy, parents have access to the files and records of their own children, but do not have access to information about any other child.
- The practitioner team will not discuss personal information given by parents with other members of staff, except where it affects planning for the child's needs. The pre-school's induction programme for new practitioners includes an awareness of the importance of confidentiality in the role of the Key Person.

- The pre-school retains 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 or 24 years respectively. These are kept in a secure place.

Archiving children's files

- When a child leaves St Marks Pre-school, the Pre-school Manager/Administrator will remove all paper documents from the child's personal file and place them in a robust envelope, with the child's name and date of birth on the front and the date they left. The Pre-school Manager/Administrator will seal this and place it in an archive box, stored in a safe place (i.e. a locked cabinet) for three years. After three years it is destroyed.
- If data is kept electronically it is encrypted and stored as above.
- Where there has been a s.47 child protection investigation, the Pre-school Manager/Administrator will mark the envelope with a star and archive it for 25 years.
- The pre-school stores financial information for 7 years.

Other records

- St Marks Pre-school keeps a daily record of the names of the children cared for, their hours of attendance and the names of their Key Person.
- Students and volunteers are advised of the pre-school's Confidentiality and Client Access to Records Policy and are required to respect it.

Transfer of records to school

St Marks Pre-school recognises that children sometimes move to another early years setting before they go on to school, although many will leave the pre-school to enter a nursery or reception class.

The pre-school practitioner team prepare children for these transitions and involve parents and the receiving setting or school in this process. St Marks Pre-school prepares records about a child's development and learning in the Early Years Foundation Stage; in order to enable smooth transitions, the pre-school shares 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 the Wiltshire Local Safeguarding Children Board. The procedure guides this process and determines what information the pre-school can and cannot share with a receiving school or setting. Prior to transferring information, we will establish the lawful basis for doing so (see our Privacy Notice).

Procedures

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

- Using the Early Years Outcomes (DfE 2013) guidance and St Marks Pre-school's assessment of children's development and learning, the Key Person will prepare a summary of achievements in the seven areas of learning and development.
- The record may refer to:
 - any additional language spoken by the child and his or her progress in both languages;
 - any additional needs that have been identified or addressed by St Marks Pre-school;
 - any special needs or disability, whether a CAF (Common Assessment Framework) was raised in respect of special needs or disability, whether there is a Support Plan or a My Plan/EHCP (Education, Health and Care Plan), and the name of the lead professional.
- The record contains a summary by the Key Person and a summary of the parent's view of the child.

- The document may be accompanied by other evidence, such as a One Page Profile.
- When a child with any additional needs or difficulties has a place confirmed at a school, their Key Person will complete a brief overview document of support, this document is provided by the local authority and shared with parents before being shared with the receiving school.
- If there have been any welfare or child protection concerns, the pre-school will place a star on the front of any assessment record.

Transfer of confidential information

- The receiving school or setting will need to have a record of any safeguarding or child protection concerns that were raised in the pre-school and what was done about them.
- The Pre-school Manager will make a summary of the concerns to send to the receiving setting or school, along with the date of the last professional meeting or case conference.
- Where a CAF has been raised in respect of any welfare concerns, the Pre-school Manager will pass the name and contact details of the lead professional on to the receiving setting or school.
- Where there has been a s.47 investigation regarding a child protection concern, the Pre-school Manager will pass the name and contact details of the child’s social worker on to the receiving setting or school – regardless of the outcome of the investigation.
- The pre-school posts or takes the information to the school or setting, ensuring it is addressed to the setting or school’s designated person for child protection and marked as 'confidential'.
- St Marks Pre-school does not pass any other documentation from the child's personal file to the receiving setting or school.

This policy was adopted at a meeting of the pre-school held on (date)

Signed on behalf of the pre-school

Also see: Confidentiality and Client Access to Records
 Maintenance, Storage and Transfer of Records
 Reporting and Recording of Accidents and Incidents

Information Sharing
 Privacy Notice

Safeguarding
 Admissions