

## 07 Record keeping procedures

### 07.01 Children's records and data protection

During an outbreak of serious illness of disease (such as Covid-19) there may be the need to keep additional records as part of outbreak management. A record is kept of individual cases of children/families who are self-isolating due to symptoms as per usual record-keeping procedures. In all cases the principles of data protection are maintained.

#### **Principles of data protection: lawful processing of data**

Personal data shall be:

- a) *processed lawfully, fairly and in a transparent manner in relation to the data subject*
- b) *collected for specified, explicit and legitimate purposes and not further processed in a manner that is not compatible for these purposes*
- c) *adequate, relevant and necessary in relation to the purposes for which they are processed*
- d) *accurate, and where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purpose for which they are processed, are erased or rectified without delay*
- e) *kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed*
- f) *processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures ("integrity and confidentiality") Article 5 of the General Data Protection Regulations (2018)*

*Early Years Educators should process data, record and share information in line with the principles above.*

#### **General safeguarding recording principles**

- It is vital that all relevant interactions linked to safeguarding children's and individual's welfare are accurately recorded.
- All recordings should be made as soon as possible after the event.
- Recording should be to a good standard and clear enough to enable someone other than the person who wrote it, to fully understand what is being described.
- Recording can potentially be viewed by a parent/carer or Ofsted inspector, by the successors of the educators who record it and may be used in a family Court as relevant evidence to decide whether a child should remain with their biological parents or be removed to live somewhere else. Recording needs to be

fair and accurate, non-judgemental in tone, descriptive, relevant and should clearly show what action has been taken to safeguard a child and reflect decision-making relating to safeguarding.

- Recording should be complete, it should show what the outcome has been, what happened to referrals, why decisions were made to share or not share information and it should contain summaries and minutes of relevant multi-agency meetings and multi-agency communication.
- If injuries or other safeguarding concerns are being described the description must be clear and accurate and should give specific details of the injury observed and where it is located.

### **The principles of GDPR and effective safeguarding recording practice are upheld**

- Recording is factual and non-judgemental.
- The procedure for retaining and archiving personal data and the retention schedule and subsequent destruction of data is adhered to.
- Parents/carers and children where appropriate are made aware of what will be recorded and in what circumstances information is shared, prior to their child starting at the pre-school. The 07 Record keeping policy, 07.01 Children's records & data protection procedure, 07.02 Confidentiality, recording and sharing information procedure and 07.03 Client access to records procedure are all available to read on the Little Doves CP website. If a parent/carer would not expect their information to be shared in any given situation, normally, they should be asked for consent prior to sharing.
- The 09.01b Registration, Sessions Requested and Permission Form which parents/carers are asked to complete is available to download from the website and they are asked to complete this before their child starts at the pre-school. If the parent/carer needs assistance with any forms the manager, deputy or keyperson offers assistance. Within this form parents/carers are asked to sign a section to say that they understand circumstances in which information may be shared without their consent. This will usually only be when it is a matter of safeguarding a child or vulnerable adult, in summary; information can be shared without consent if an educator is unable to gain consent, cannot reasonably be expected to gain consent, or gaining consent places a child at risk.
- Within the 09.01b Registration, Sessions Requested and Permission Form, parents/carers are asked to give permission for the pre-school to share information as part of the transition process when they leave the setting to enable the new school/setting to continue to effectively manage any special education, health or medical needs and to continue with the child's development. Also, parents/carers are asked to give permission to share information occasionally, if necessary, with authorised childcare professionals. Parents/carers will be made aware when information is being shared and will be given the opportunity to view the information.
- Parents/carers are asked to give written consent on a separate form to share information about any additional needs their child may have with other health care professionals/external agencies, for example, One Planning.

- The 07.06 Data protection and privacy notice and the 07.12 Data retention document are available to read on the Little Doves CP website.
- Records can be accessed by and information may be shared with local authority professionals. If there are significant safeguarding or welfare concerns, information may also be shared with a family proceedings court or the police. Educators are aware of information sharing processes and all families should give informed consent to the way the pre-school will use, store and share information.
- Recording should be completed as soon as possible and within 5 working days as a maximum for safeguarding recording timescales.
- If a child attends more than one pre-school, a two-way flow of information is established between the parents/carers and other providers. Where appropriate, comments from others are incorporated into the child's records.
- Parents/carers can be provided with copies of the forms they sign, if requested.
- Where information is shared, the reasons for doing so is recorded in the child's file; where it is decided that information is not to be shared that is recorded too.

### **Children's personal files**

- Appropriately sized files are used which keep all the documents secure.

The following are examples of what is stored in these files:

- personal details obtained on the 09.01b Registration, Sessions Requested and Permission Form
- the child's registration form includes a tick box to indicate that the parents/carers have read and agree to the 09.01c LD Parent and carer contract/terms and conditions of the preschool
- records of disputes about fees
- any welfare concerns and the resulting action, meetings and telephone conversations about the child
- any 04.09 HCP/Medical record or Education, Health and Care Plan and associated documents
- any information regarding a looked after child.
- all letters and emails to and from other agencies and any confidential reports from other agencies
- records of any meetings
- any accident or incident records
- Any child protection concerns including records of all child protection and the resulting action, meetings and telephone conversations about the child are kept separately in a secure filing cabinet.
- Children's personal files are kept in a locked cupboard within in a locked cupboard, when not in use.
- Correspondence in relation to a child is read, any actions noted and filed promptly.

- Access to children’s personal files is restricted to those authorised to see them and make entries in them, this being the pre-school manager, deputy or designated safeguarding lead/deputy/backup for child protection, the child’s key person, or other staff as authorised by the pre-school manager.
- Children’s personal files are not handed over to anyone else to look at except authorised persons, see below.
- Children’s files may be handed to Ofsted as part of an inspection or investigation; they may also be handed to local authority staff conducting a S11 audit as long as authorisation is seen.
- Parents/carers have access, in accordance with the 07.06 Data protection and privacy notice, 07.02 Confidentiality, recording and sharing information procedure and 07.03 Client access to records procedure, to the files and records of their own children but do not have access to information about any other child.
- The staff will not discuss personal information given by parents/carers with other members of staff, except where it affects planning for the child's needs. The staff induction programme includes an awareness of the importance of confidentiality in the role of the key person.
- Children’s records, including accident records, are retained in an accessible place for 3 years after they have left the pre-school and they are then archived in a secure place. These records are kept in line with 07.12 Data retention document.

### **Archiving children’s files**

- When a child leaves the pre-school, their “Big book of me” learning journal, observations and photographs are all given to their parents/carers. All remaining documents from the child’s personal file including accident records, permission forms and relevant correspondence are filed in a larger file together with all the children who left at the same time with the date of leaving on the outside of the file so it can be easily identified. The registers for that period of time are also stored in the same file. For further details please see the 07.12 Data retention document available on the Little Doves CP website.
  - Where there were s.47 child protection investigations, the records are archived it for 25 years or in line with 07.12 Data retention document (whichever is greater).

### **Children’s “Big book of me” learning journal**

- The following are stored in these learning journals:
  - completed initial child profile and parental questionnaire assessment forms and any observations  
These are stored in a secure unit when not in use. It is the key persons responsibility to look after their child’s “Big book of me” learning journal and keep them secure. Any special work generated by a child in the sessions will be stored in the child’s “Big book of me” learning journal

- child's development, health and well-being – including a summary only of the child's EYFS profile report, a record of any discussions about every day matters about the child's development health and well-being with the parent/carer
  - correspondence and reports – including a copy of the child's 09.14a 2 Year Old Progress Check (if applicable)
  - observations of the child in the pre-school, photographs, samples of their work and summary developmental reports.
- "Big book of me" learning journals are usually kept at the child's key person's home. See 07.07 Off-site handling of a child's "Big book of me" learning journal policy and procedure. The manager/deputy can ask a key person to bring in their child's learning journal the next day and, with permission, can be contributed to by all staff, the child and the child's parents/carers. No other unauthorised person will have access to the "Big book of me" learning journal unless permission is agreed.
  - Staff members, other than the keyperson, can make observations or take photographs to record a child's progress during the session. The date and time is recorded along with the child's name and the initials of the staff member doing the observation.
  - A child's "Big book of me" learning journal will be available for parents/carers to access with 48 hours notice, parents/carers may request an appointment to view it for confidentiality reasons only. Viewing is usually done in the presence of a member of staff to encourage feedback.
  - If requested, a child's "Big book of me" learning journal can be sent home for parents/carers to view their child's progress, although it is encouraged that the documents remain at the pre-school/key person's home to prevent loss. Feedback is encouraged in the form of verbal and written comments from the parents/carers. Little Doves Christian Pre-school encourages the use of a 'Contact Book' for comments. The child's "Big book of me" learning journal would need to be signed out by the parent/carer and signed back in again when returned if taken home by the parents/carers .
  - When a child leaves Little Doves Christian Pre-school all individual records incorporating all the work generated from the "Big book of me" learning journal is given directly to the child for the parent/carer to keep. If for any reason the keyperson feels the information may be beneficial to the next educational body, e.g a local school, it will be recommended that the parent/carer passes the records on to the school and it is their decision to do so.
  - No records will be passed directly to any outside body without the permission of the parents/carers.
  - There is a procedure in place for a child's key person to work on their key child's "Big book of me" learning journal at their home 07.07 Off-site handling of a child's "Big book of me" learning journal policy and procedure and parent/carer permission is sought beforehand and recorded on the 09.01b Registration, Sessions Requested and Permission Form.

## **SEND support records are kept securely with the SENCO**

The following are stored in these files:

- Early Support – including any additional focussed intervention provided by the pre-school (e.g. support for behaviour, language or development that needs an 09.12c SEN support: Action plan/One Plan) and records of any meetings held.
- additional focussed intervention provided by the pre-school e.g. support for behaviour, language or development that needs an 09.12c SEN support: Action plan/One Plan at pre-school level
- records of any SEND meetings
- SEND correspondence and reports: all letters and emails to and from other agencies and confidential reports from other agencies

### **Other records**

- A daily record of the names of the children that are being cared for, their hours of attendance and the names of their key person.

Students on recognised qualifications and training, when they are observing in the pre-school, are advised of the 07.02 Confidentiality, recording and sharing Information procedure and 07.03 Client access to records procedure and are required to respect it. See 08.03 Student placement procedure.