



Record keeping

RK3 Provider records

Policy Statement

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

- Records pertaining to our registration.
- Financial records pertaining to income and expenditure.
- Risk assessments.
- Employment records of staff.

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

This policy and procedure are taken in conjunction with the Confidentiality and Client Access to Records policy and Information Sharing policy.

Procedures

- All records are the responsibility of the officers of the management 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 audit purposes.
- Health and safety records are maintained; these include risk assessments, details of checks or inspections and guidance etc.

- Our Ofsted registration is paid annually. Details of which can be found by contacting Ofsted on 0300 123 1231
- Our Public Liability insurance certificate is displayed.
- All our employment and staff records are kept securely and confidentially.

Secure Storage, Handling, Use, Retention and Disposal of Confidential Material

General Principles

As an organisation using the Disclosure and Barring Service (DBS) to help assess the suitability of applicants for positions of trust, Little Fishes Pre-School complies fully with the DBS Code of Practice regarding the correct handling, use, storage, retention and disposal of disclosure information.

Storage and Access

Disclosure information should be kept securely, in lockable, non-portable, storage containers with access strictly controlled and limited to those who are entitled to see it as part of their duties.

Handling

In accordance with Section 124 of the Police Act 1997, disclosure information is only passed to those who are authorised to receive it in the course of their duties. We maintain a record of all those to whom disclosures or disclosure information has been revealed and it is a criminal offence to pass this information to anyone who is not entitled to receive it.

Usage

Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.

Retention

Once a recruitment decision has been made, we do not keep disclosure information for any longer than is necessary. This is generally a period of up to six months, to allow for consideration and resolution of any disputes or complaints. If, in very exceptional circumstances, it is necessary to keep disclosure information for longer than six months, we will consult the DBS about this and will give full consideration to the data protection and human rights of the individual before doing so. Throughout this time, the usual conditions regarding the safe storage and strictly controlled access will prevail.

Disposal

Once the retention period has elapsed, we will ensure that any disclosure information is immediately destroyed by secure means e.g. by shredding. While awaiting destruction, disclosure information will not be kept in any insecure receptacle (e.g. waste bin or confidential waste sack). We will not keep any photocopy or other image of the Disclosure or any copy or representation of the contents of a Disclosure. However, notwithstanding the above, we do keep a record of the date of issue of a Disclosure, the name of the subject, the type of Disclosure requested, the position of which the Disclosure was requested, the unique reference number of the Disclosure and the details of the recruitment decision taken.

Legal framework

- General Data Protection Regulations (GDPR) 2018
- Human Rights Act 1999
- Police Act 1997 Section 124

This policy was adopted at a meeting of

Little Fishes Pre-School

Held on

20/9/11

Date to be reviewed

Reviewed: Summer 2022

Next Review Date: Summer

Term 2024

Signed on behalf of the management
committee

Maggie Mann – Chair

Tracy Parkins – Manager

Other useful Pre-school Learning Alliance publications

- Accident Record (2019)
- Accounts Record (2015)
- Recruiting Early Years Staff (2016)

- Medication Administration Record (2019)
- Daily Register and Outings Record (2021)
- Dynamic Risk Management (2017)
- Complaints Investigation Record (2021)