



Safeguarding and Welfare Requirement: Information and Records

Providers must put in place a written procedure for dealing with concerns and complaints from parents and/or carers.

Information and Records

10.1 Making a complaint

Policy statement

Our pre-school believes that children, parents and staff are entitled to expect courtesy and prompt, careful attention to their needs and wishes. We welcome suggestions on how to improve our pre-school and will give prompt and serious attention to any concerns about the running of the pre-school. We anticipate that most concerns will be resolved quickly by an informal approach to the appropriate member of staff. If this does not achieve the desired result, we have a set of procedures for the dealing with concerns. We aim to bring all concerns about the running of our pre-school to a satisfactory conclusion for all the parties involved.

For staff concerns please follow the Grievance Procedure which can be found in the Staff Handbook.

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice 1.3 Keeping Safe	2.1 Respecting each other 2.2 Parents as partners 2.4 Key Person	3.2 Supporting every child 3.4 The wider context	

Procedures

All pre-schools are required to keep a written record of any complaints that reach stage two and above, and their outcome. This is to be made available to parents as well as to Ofsted inspectors. A full procedure is set out in the Pre-school Learning Alliance publication *Complaints Investigation Record* (2012). This publication acts as the 'summary log' for this purpose.

Making a complaint

Stage 1

- Any parent who has a concern about an aspect of the pre-school's provision talks over, first of all, his/her concerns with the pre-school supervisor.
- Most complaints should be resolved amicably and informally at this stage.
- We record the issue, and how it was resolved, in the child's file.

Stage 2

- If this does not have a satisfactory outcome, or if the problem recurs, the parent moves to this stage of the procedure by putting the concerns or complaint in writing to the pre-school supervisor and the management team.
- For parents who are not comfortable with making written complaints, there is a template form for recording complaints in the *Complaints Investigation Record*; the form may be completed with the person in charge and signed by the parent.
- Our setting stores all information relating to written complaints from parents in the child's personal file. However, if the complaint involves a detailed investigation, our Manager may wish to store all information relating to the investigation in a separate file designated for this complaint.
- When the investigation into the complaint is completed, the pre-school supervisor or manager meets with the parent to discuss the outcome.
- Parents must be informed of the outcome of the investigation within 28 days of making the complaint.
- When the complaint is resolved at this stage, we log the summative points in Our Complaint Investigation Record, which is made available to Ofsted on request.

Stage 3

- If the parent is not satisfied with the outcome of the investigation, he or she requests a meeting with the pre-school supervisor and manager. The parent should have a friend or partner present if they prefer and the supervisor should have the support of the management team.
- An agreed written record of the discussion is made as well as any decision or action to take as a result. All of the parties present at the meeting sign the record and receive a copy of it.
- This signed record signifies that the procedure has concluded. When the complaint is resolved at this stage, the summative points are logged in the *Complaints Investigation Record*.

Stage 4

- If at the Stage 3 meeting the parent and the pre-school cannot reach agreement, an external mediator is invited to help settle the complaint. This person should be acceptable to both parties, listen to both sides and offer advice. A mediator has no legal powers but can help to define the problem, review the action so far and suggest further ways in which it might be resolved.
- Staff within the Early Help Hub or linked to the Children's Services Complaints Team are appropriate persons to be invited to act as mediators.
- The mediator keeps all discussion confidential. S/he can hold separate meetings with the pre-school personnel (pre-school supervisor and manager) and the parent, if this is decided to be helpful. The mediator keeps an agreed written record of any meetings that are held and of any advice s/he gives.

Stage 5

- When the mediator has concluded her/his investigations, a final meeting between the parent, the pre-school supervisor and the manager is held. The purpose of this meeting is to reach a decision on the action to be taken to deal with the complaint. The mediator's advice is used to reach this conclusion. The mediator is present at the meeting if all parties think this will help a decision to be reached.
- A record of this meeting, including the decision on the action to be taken, is made. Everyone present at the meeting signs the record and receives a copy of it. This signed record signifies that the procedure has concluded.

The role of the Office for Standards in Education, Children's Services and Skills (Ofsted) and the Local Safeguarding Children Board and the Information Commissioner's Office

- If you have a concern or complaint about Acorns, you should contact OFSTED. Before contacting OFSTED you may wish to discuss your concerns with the Hampshire County Council Services for Young Children.
- Parents may approach Ofsted directly at any stage of this complaints procedure. In addition, where there seems to be a possible breach of our registration requirements, it is essential to involve Ofsted as the registering and inspecting body with a duty to ensure the Safeguarding and Welfare Requirements of the Early Years Foundation Stage are adhered to.
- The contact details for Ofsted with regards to a complaint are:

Ofsted
 Piccadilly Gate
 Store Street
 Manchester
 M1 2WD
enquiries@ofsted.gov.uk

Tel: **0300 123 1231**

These details are displayed on our pre-school's notice board.

- The contact details for Hampshire County Council Services for Young Children with regards to a complaint are:

Children's Services Complaints Team
 Children's Services
 Elizabeth II Court North
 Winchester
 Hants
 SO23 8UG

<http://www3.hants.gov.uk/childrens-services/contact-cs/cs-complaints/education-complaints-contacts.htm>

Alternatively, you can make a complaint verbally by calling Hantsdirect on Tel: **0300 555 1384**. This line is open 8am-8pm Monday-Friday, 9:30am-4pm Saturday. Outside of these hours, you can call the Out of Hours team on 0300 555 1373.

- If a child appears to be at risk, our pre-school follows the procedures of the Local Safeguarding Children Board.
- In these cases, both the parent and pre-school are informed and the pre-school supervisor works with Ofsted or the Local Safeguarding Children Board to ensure a proper investigation of the complaint, followed by appropriate action.
- The Information Commissioner's Office (ICO) can be contacted if you have made a complaint about the way your data is being handled and remain dissatisfied after raising your concern with us. For further information about how we handle your data, please refer to the Privacy Notice given to you when you registered your child at our setting.

The ICO can be contacted at;
Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF
or ico.org.uk

Records

- A record of complaints against our pre-school and/or the children and/or the adults working in our pre-school is kept, including the date, the circumstances of the complaint and how the complaint was managed.
- The outcome of all complaints is recorded in the *Complaints Investigation Record* which is available for parents and Ofsted inspectors on request.

Primary Legislation

- The Children Act (2004)
- Childcare Act (2006)
- Children and Families Act (2014)
- Safeguarding Vulnerable Groups Act (2006)
- Children, Schools and Families Act (2010)
- Protection from Harassment Act (1977)

Secondary Legislation

- General Data Protection Regulations (2018)
- Equalities Act (2010)
- Human Rights Acts (1998)
- The United Nations Convention on the Rights of the Child
- Malicious Communication Act (1988)
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations
- Criminal Justice and Court Services Act (2000)
- Health and Safety at Work (1992/1999)
- Public Interest Disclosure Act (1998)
- Management of Health and Safety at Work Regulations (1992)

Other useful guidance:

- Complaints Investigation Record (2012)
- Hampshire County Council, Children's Services - For further advice about making a complaint or if you have any concerns about making a complaint please contact the Children's Services Complaints Team on; **0300 555 1384**

<http://www3.hants.gov.uk/childrens-services/contact-cs/cs-complaints/education-complain-la.htm>

This policy was adopted at a meeting of Acorns Community Pre-School held on

Date to be reviewed:.....

Signed on behalf of the management team:.....

Name of signatory:

Role of signatory (e.g. chair/owner):.....

Acorns Community Pre-School
Hanover Hall
Jennings Road
Totton
Southampton
Hampshire SO40 3BA
Tel: 023 8066 8234



Safeguarding and Welfare Requirement: Information and Records

Providers must maintain records and obtain and share information to ensure the safe and efficient management of the setting, and help ensure the needs of all children are met.

Information and Records

10.2 Admissions

It is our intention to make our pre-school accessible to children and families from all sections of the local community. We aim to ensure that all sections of our community have access to the pre-school through open, fair and clearly communicated procedures.

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice	2.1 Respecting each other	3.3 The learning environment	

Procedures

- We ensure that the existence of the pre-school is widely advertised in places accessible to all sections of the community
- We ensure that information about our pre-school is accessible and provided in written and spoken form.
- We will provide translated written materials where language needs of families suggest this is required as well as access to an interpreter. Where necessary, we will try to provide information in Braille, or through British Sign Language.
- We describe our pre-school and its practices in terms that make it clear that it welcomes both fathers and mothers, other relations and other carers, including childminders.
- We describe how our practices treats each child and their family, having regard to their needs arising from their gender, special educational needs, disabilities, social background, religion, ethnicity or from English being a newly acquired additional language.
- We describe how our practices enables children and/or parents with disabilities to take part in the life of the pre-school.
- We maintain our setting to ensure it is accessible to all children and their families, including those with additional needs. We continue to monitor accessibility to make sure that we continue to meet this aim, adapting where necessary with the help and advice of professionals and parents/carers.
- We monitor the gender and ethnic background of the children joining the group to ensure that our intake is representative of the social diversity of our local community.
- We make our Valuing Diversity and Promoting Equality Policy widely known, it is available in paper form in the Parent Resource Area, along with all our other policies.

- We consult with families about the opening times of the pre-school to ensure we accommodate a broad range of family need.
- We are flexible about attendance patterns to accommodate the needs of individual children and families, providing these do not disrupt the pattern of continuity in the pre-school that provides stability for all the children.
- We are sympathetic to the need for emergency admissions (referred via Sure Start or Health Visitor where appropriate) if we have space available.

Pre-school admissions

- Acorns Community Pre-school is open Monday to Friday, 8:30 am to 3:30 pm, 38 weeks a year (coinciding with the term dates issued by Hampshire County Council).
- Children join our Pre-school from 2 years old.
- We are registered to accommodate 32 children per session. However, we usually fill our sessions up to 28, using the extra 4 places during the summer term to help accommodate those children who become funded or are aged 2 between April and July.
- Parents/carers may register their interest in a place at Acorns at any time by:
 - Completing our Application to Join in our Prospectus Pack which is available from the office, in person, or via e-mail or telephone request. Completing the Application Form is not a commitment to take or offer a place, but simply puts the child's name on the waiting list.
 - For children of 2 years and over it is essential for you and your child to visit the setting for a short half-hour Stay and Play session to begin the partnership between us and parents.
 - For children under 2 years we will need to arrange for you and your child to visit the setting for a short half-hour Stay and Play session to begin the partnership between us and parents during the term before the expected start date.

We arrange our waiting list in birth order. In addition, our policy may take into account the following:

- 'looked after' children and traveller children,
- the vicinity of the home to the pre-school,
- siblings already attending the pre-school,
- particular circumstances affecting the family,
- referrals from outside agencies,
- previous attendance of other siblings at Acorns Community Pre-school; and
- the balance of the group as a whole.
- Parents/carers of children on the waiting list will be contacted prior to the estimated start date, this is to confirm their intention of taking the place, the actual start date and initial hours and the completion of the Registration Pack.
- We recommend that children start with a minimum of 2 sessions a week; these can be on two different days or a full day.
- Parents/carers are asked to specify preferred days and hours; this helps us to accommodate the needs of individual families.
- It is required by our Early Years Education Funding (EYE) funding (Hampshire County Council) that priority be given to funded children aged 3 and over. They receive their full entitlement (up to 15 hours per week) before places are offered to children who are not yet old enough to receive funding.
- The 15 hours can be shared with a second setting/childminder.

- Children eligible for 2 Year Old Early Years Education funding are offered a minimum of 6 hours per week. Additional hours are allocated (up to 15 hours per week) as appropriate. At present hours can not be shared with another setting/childminder.
- Subject to demand we reserve the right to limit the initial hours offered to children below the EYE funding age to a maximum of 9 hours.
- Places for younger children (2-3years) are limited due to ratios and room size. The ratio we usually follow for this age group is; between 4 and 8 children per session however in a year with a high demand this could be increased taking into account the mix of existing children.
- At the start of the school year in September we stagger the intake of new starters depending on their age, spreading them out over an appropriate number of days/weeks depending on the numbers involved.
- The Management Team make every effort to be fair and to accommodate as many children and their families wishes and needs as possible, however due to the registered size of the setting; it is not always possible to completely meet every request. In all cases the Management Team's decision is final.

Primary Legislation

- Children and Families Act (2014)
- Equalities Act (2010)
- GDPR (2018)
- Freedom of Information Act (2000)

Secondary Legislation

- Safeguarding Vulnerable Groups Act (2006)
- Human Rights Acts (1998)
- Children, Schools and Families Act (2010)
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations
- Health and Safety at Work (1992/1999)
- Special Educational Needs and Disability Act (2001)
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) (1995)
- The United Nations Convention on the Rights of the Child

Other useful information:

- Seasonal Hello Posters (2006)

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Date to be reviewed:.....

Signed on behalf of the management team:.....

Name of signatory:

Role of signatory (e.g. chair/owner):.....

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Information and Records

10.3 Parental involvement

Policy statement

We believe that children benefit most from pre-school education and care when parents and pre-schools work together in partnership.

Our aim is to support parents as their children's first and most important educators by involving them in their children's education and in the full life of the pre-school. We also aim to support parents in their own continuing education and personal development.

Some parents are less well represented in early years settings; these include fathers, parents who live apart from their children but who still play a part in their lives as well as working parents. In carrying out the following procedures, we will ensure all parents are included.

When we refer to 'parents' we mean both mothers and fathers; these include both natural or birth parents as well as step-parents and parents who do not live with their children, but have contact with them and play a part in their lives. 'Parents' also includes same sex parents as well as foster parents.

The Children Act (1989) defines Parental responsibility as *all the rights, duties, powers and responsibilities and authority which by law a parent of a child has in relation to the child and his property.*

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice 1.4 Health and well-being	2.1 Respecting each other 2.2 Parents as partners 2.3 Supporting learning 2.4 Key person	3.2 Supporting every child	

Procedures

- Parents are made to feel welcome in our setting; they are greeted appropriately.
- We have a means to ensure all parents are included – that may mean we have different strategies for involving fathers or parents who work or live apart from their children.
- We make every effort to accommodate parents who have a disability or impairment.
- We consult with all parents to find out what works best for them.
- We ensure ongoing dialogue with parents to improve our knowledge of the needs of their children and to support their families.
- We inform all parents about how the setting is run and its policies, through access to written information, including our Safeguarding Children and Child Protection policies and our responsibilities under the Prevent Duty, and through regular informal communication. A verbal induction allows us to check parents understands the information that is given to them and supported by information in our Prospectus and Registration packs..

- Information about a child and his or her family is kept confidential within our setting. we provide parents with a privacy notice that details how and why we process their personal information. The exception to this is where there is cause to believe that a child may be suffering, or is likely to suffer, significant harm, or where there are concerns regarding child's development that need to be shared with another agency. we will seek parental permission unless there are reasons not to in order to protect the safety of the child. Reference is made to our Information Sharing Policy on seeking consent for disclosure.
- we seek specific parental consent to administer medication, take a child for emergency treatment, take a child on an outing and take photographs for the purposes of record keeping.
- The expectations that we make on parents are made clear at the point of registration.
- We make clear our expectation that parents will participate in settling their child at the commencement of a place according to an agreed plan.
- We seek parents' views regarding changes in the delivery of our service.
- Parents are actively encouraged to participate in decision making processes according to the structure in place within our setting.
- We encourage parents to become involved in the social and cultural life of the setting and actively contribute to it.
- As far as possible our service is provided in a flexible way to meet the needs of parents without compromising the needs of children.
- We provide sufficient opportunity for parents to share necessary information with staff and this is recorded and stored to protect confidentiality.
- Our key persons meet regularly with parents to discuss their child's progress and to share concerns if they arise.
- Where applicable, our key persons work with parents to carry out an agreed plan to support special educational needs.
- Where applicable, our key persons work with parents to carry out any agreed tasks where a Protection Plan is in place for a child.
- We involve parents in the shared record keeping about their children – either formally or informally – and ensure parents have access to their children's written developmental records.
- We provide opportunities for the parents to contribute their own skills, knowledge and interests to the activities of the group.
- We support families to be involved in activities that promote their own learning and well-being; informing parents about relevant conferences, workshops and training.
- We consult with parents about the times of the meetings to avoid excluding anyone.
- We provide information about opportunities for being involved in the pre-school in ways in which are accessible to parents with basic skills needs, or those for whom English is an additional language; making every effort to provide an interpreter for parents who speak a language other than English and to provide translated written materials.
- We hold meetings in venues which are accessible and appropriate for all.
- We welcome the contributions of parents, in whatever form these may take.
- We inform all parents of the systems for registering queries, complaints or suggestions and check to ensure these are understood. All parents have access to our written complaints procedure.
- We provide opportunities for parents to learn about the curriculum offered and about young children's learning, in the pre-school and at home. There are opportunities for parents to take active roles in supporting their child's learning in the setting: informally through helping out or taking part in activities with their child, or through structured projects engaging parents and staff in learning about children's learning.

In compliance with the Safeguarding and Welfare Requirements, the following documentation is in place:

- Admissions policy.
- Complaints procedure.
- Record of complaints.
- Developmental records of children.

Primary Legislation

- Equalities Act (2010)
- Children and Families Act (2014)
- General Data Protection Regulations (2018)
- Children, Schools and Families Act (2010)

Secondary Legislation

- The United Nations Convention on the Rights of the Child
- Special Educational Needs and Disability Act (2001)
- Protection from Harassment Act (1977)
- Criminal Justice and Court Services Act (2000)
- Human Rights Acts (1998)

Other useful Pre-school Learning Alliance publications:

- Complaint Investigation Record (2012)
- Engaging Mothers & Fathers (2010)
- Safeguarding Children (2010)
- Looking at Learning Together (2005)
- The First and Foremost Series (2008)

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Information and Records

10.4 Children's records

Policy statement

We have record keeping systems in place that meet legal requirements; this means we use, store and share information within the framework of the General Data Protection Regulations (GDPR) (2018) and the Human Rights Act (1998).

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

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice	2.Respecting each other	3.1 Observation, assessment and planning	

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/or carers into the child's records.

We keep two kinds of records on children attending our pre-school:

Developmental records

- These include observations of children in the pre-school, photographs, video clips and samples of their work and summary developmental reports.
- These are usually kept in the playroom and can be accessed, and contributed to, by staff, the child and the child's parents.

Personal records

These may include the following:

- 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 every day matters about the child's development health and well-bring with the parent.
- Early Support – including any additional focused intervention provided by our setting (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 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 kept in a lockable file or cabinet and are kept secure by the person in charge in an office or other suitably safe place.
 - We read any correspondence in relation to a child, note any actions and file it immediately
 - We ensure that access to children’s files is restricted to those authorised to see them and make entries in them, this being - our manager, deputy or designated person for child protection, the child’s key person, or other staff as authorised by our manager/supervisors.
 - 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.
 - Parents have access, in accordance with our Privacy Notice, 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
 - 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.
 - We retain children’s records for three years after they have left the pre-school, 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 our setting, we 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. We place it in an archive box, stored in a locked safe place for three years. After three years it is destroyed.
- If data is kept electronically it is encrypted and stored as above.
- Where there are s.47 child protection investigations, information is kept in an individual named envelope in a box file marked Child Protection kept in a locked cabinet and archive for 25 years.
- We store financial information according to our finance procedures.

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.
- We keep a record of children’s absences to alert us to changes in children’s attendance, we monitor this to enable us to encourage good attendance and alert us to patterns of absence which may need additional attention and support for the family.
- Issues to do with the employment of staff, whether paid or unpaid, remain confidential to the people directly involved with making personnel decisions.
- Students on Pre-school Learning Alliance or other recognised qualifications and training, when they are observing in the pre-school, are advised of our confidentiality policy and required to respect it.

Legal framework

Primary Legislation

- General Data Protection Regulations (2018)
- Human Rights Act (1998)
- Children and Families Act (2014)
- Counter-Terrorism and Security Act (2015)

Secondary Legislation

- The United Nations Convention on the Rights of the Child
- Equalities Act (2010)
- Medicine Act (1996)

Further guidance

- Information Sharing: Guidance for Practitioners and Managers (DCSF 2008)
- Prevent Duty

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Date to be reviewed:.....

Signed on behalf of the management team:.....

Name of signatory:

Role of signatory (e.g. chair/owner):.....

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10.5 Provider records

Policy statement

We keep records and documentation for the purpose of maintaining our charity. 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 assessment.
- Employment records of staff 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.

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 General Data Protection Regulations (2018), further details are given in our Privacy Notice and the Human Rights Act (1998).

This policy and procedure is taken in conjunction with the Privacy Notice, Confidentiality and Client Access to Records policy and Information Sharing policy.

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice	2.1 Respecting each other	3.3 The learning environment	

Procedures

- All records are the responsibility of the 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.
- Our Ofsted registration certificate is displayed.
- Our Public Liability Insurance certificate is displayed.
- All our employment and staff records are kept securely and confidentially.

We notify Ofsted of any change:

- in the address of the premises;
- to the premises which may affect the space available to us or the quality of childcare we provide;
- to the name and address of the provider, or the provider’s contact information;
- to the person managing the provision;
- any significant event which is likely to affect our suitability to look after children; or
- any other event as detailed in the Statutory Framework for the Early Years Foundation Stage (DfE 2017).

Legal framework

Primary Legislation

- General Data Protection Regulations (GDPR) (2018)
- Human Rights Act (1998)
- Children and Families Act (2014)
- Freedom of Information Act (2000)

Secondary Legislation

- Equalities Act (2010)
- The United Nations Convention on the Rights of the Child

Other useful Pre-school Learning Alliance publications:

- Accident Record (2010)
- Accounts Record (2005)
- Safeguarding Children (2010)
- Recruiting and Managing Employees (2010)
- Financial Management (2010)
- Medication Record (2010)
- Daily Register and Outings Record (2012)
- Managing Risk (2009)
- Complaints Investigation Record (2012)

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10.6 Transition to School including 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 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. Prior to transferring information, we will establish the lawful basis for doing so (see our Privacy Notice).

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice	2.1 Respecting each other 2.3 Supporting Learning	3.2 Supporting Every Child	

Procedures

Transition Timeline

September/October

- Identify children moving up to Year R and compile a check list to ensure relevant information and support is provided to all families at the right time.
- Liaise with feeder schools regarding open sessions and cascade to parents/carers.

1st November - Applications Open

- Ensure all parents on the transition list are regularly reminded that online applications can be accepted from this date and application deadline is 15th January.
- We identify and support parents/carers who may need additional assistance with the application.

15th January – Application Deadline

16 April - Notification of on-line applications.

- From this date we add allocated schools to our transition list.

30 April – Waiting List Established.

- If an application is late or if the parents are not happy with their allocation action can be taken by putting a child on a waiting list.

Summer Term

- We support school starters by including targeted activities within the curriculum to prepare them for transition for school. All activities are inclusive and individually tailored to a child's ability.
- We liaise with feeder school to ensure all children are seen during their visits to Acorns.
- Ensure parents take advantage of opportunities to visit their school and take part in taster sessions.

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

- Using the *Early Years Outcomes* (DfE 2013) and 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.
- The record refers 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 the setting;

- any special needs or disability, whether a CAF was raised in respect of special needs or disability, whether there is an 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 photos or drawings that the child has made.
- When a child transfers to a school, most local authorities provide an assessment summary format or a transition record, which we will follow as applicable.
- If there have been any welfare or protection concerns, a star is placed on the front of the 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 our setting and what was done about them.
- We 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. Some Local Safeguarding Children Boards will stipulate the forms to be used and provide these for us to use.
- Where a CAF has been raised in respect of any welfare concerns, we will pass the name and contact details of the lead professional on to the receiving setting or school.
- Where there has been a s47 investigation regarding a child protection concern, we 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.
- We post or take 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'.
- We do not pass any other documentation from the child's personal file to the receiving setting or school.

Legal framework

Primary Legislation

- General Data Protection Regulations (GDPR) (2018)
- Freedom of Information Act (2000)
- Children and Families Act (2014)

Secondary Legislation

- Human Rights Act (1998)
- The Children Act (2004)
- The United Nations Convention on the Rights of the Child
- Equalities Act (2010)
- Criminal Justice and Court Services Act (2000)

Further guidance

- What to do if You're Worried a Child is Being Abused (HMG 2006)
- Information Sharing: Guidance for Practitioners and Managers (DCSF 2008)

This policy was adopted at a meeting of Acorns Community Pre-School held on

Date to be reviewed:.....

Signed on behalf of the management team:.....

Name of signatory:

Role of signatory (e.g. chair/owner):.....

Acorns Community Pre-School
Hanover Hall
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Totton
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Tel: 023 8066 8234



Safeguarding and Welfare Requirement: Information and Records

Confidential information and records about staff and children must be held securely and only accessible and available to those who have a right or professional need to see them.

Information and Records

10.7 Confidentiality and client access to records

Policy statement

'Share with informed consent where appropriate and, where possible, respect the wishes of those who do not consent to share confidential information. You may still share information without consent if, in your judgement, there is good reason to do so, such as where safety may be at risk. You will need to base your judgement on the facts of the case.'

Information sharing: Advice for practitioners providing safeguarding services to children, young people, parents and carers (HMG 2015)

In our pre-school, staff and managers can be said to have a 'confidential relationship' with families. It is our intention to respect the privacy of children and their parents and carers, while ensuring that they access high quality early years care and education in our pre-school. We aim to ensure that all parents and carers can share their information in the confidence that will only be used to enhance the welfare of their children. There are 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 General Data Protection Regulations (2018) and the Human Rights Act (1998).

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.3 Keeping safe	2.1 Respecting each other 2.2 Parents as partners	3.4 The wider context	

Confidentiality procedures

- Most things that happen between the family, the child and the setting are confidential to our setting. In exceptional circumstances information is shared, for example with other professionals or possibly social care or the police.

- Information shared with other agencies is done in line with our Information Sharing Policy.
- We always check whether parents regard the information they share with us to be confidential or not.
- Some parents may share information about themselves with other parents as well as with our staff; we cannot be held responsible if information is shared by those parents whom the person has 'confided' in.
- Information shared between parents in a discussion or training group is usually bound by a shared agreement that the information is confidential to the group and not discussed outside of it. We are not responsible should that confidentiality be breached by participants.
- We inform parents when we need to record confidential information beyond the general personal information we keep (see our Children's Records Policy and Privacy Notice) - for example, with regard to any injuries, concerns or changes in relation to the child or the family, any discussions with parents on sensitive matters, any records we are obliged to keep regarding action taken in respect of child protection and any contact and correspondence with external agencies in relation to their child.
- We keep all records securely (see our Children's Records Policy and Privacy Notice).
- Information is kept in a manual file, or electronically. Our staff may also use a computer to type reports, or letters.
- Where an electronic copy is kept this is protected by password access. Electronic information is deleted in line with Policy 10.4 Children's Records. If we change our PC we ensure all data is removed from the hard drive.
- Our staff discuss children's general progress and well being together in meetings, but more sensitive information is restricted to our manager and the child's key person, and is shared with other staff on a need to know basis.
- We do not discuss children with staff who are not involved in the child's care, nor with other parents or anyone else outside of the setting.
- Our discussions with other professionals take place within a professional framework and not on an informal or ad-hoc basis.
- Where third parties share information about an individual us; our practitioners and managers check if it is confidential, both in terms of the party sharing the information and of the person whom the information concerns.

Client access to records procedures

Parents may request access to any confidential records held on their child and family following the procedure below.

- The parent is the 'subject' of the file in the case where a child is too young to give 'informed consent' and has a right to see information that our setting has compiled on them.
- Any request to see the child's personal file by a parent or person with parental responsibility must be made in writing to the setting supervisor or manager.
- We acknowledge the request in writing, informing the parent that an arrangement will be made for him/her to see the file contents, subject to third party consent.
- Our written acknowledgement allows 40 working days for the file to be made ready.

- A fee may be charged for repeated requests, or where a request requires excessive administration to fulfil.
- We may seek legal advice before sharing a file.
- We will go through the file and ensure that all documents have been filed correctly, that entries are in date order and that there are no missing pages. We note any information, entry or correspondence or other document which mentions a third party.
- We write to each of those individuals explaining that the subject has requested sight of the file, which contains a reference to them, stating what this is.
- They are asked to reply in writing to us giving or refusing consent for disclosure of that material.
- We keep copies of these letters and their replies on the child's file.
- 'Third parties' include each family member noted on the file; so where there are separate entries pertaining to each parent, step parent, grandparent etc. we write to each of them to request third party consent.
- Third parties also include workers from any other agency, including children's social care and the health authority for example. Agencies will normally refuse consent to share information, preferring instead for the parent to be redirected to those agencies for a request to see their file held by that agency.
- Members of our staff should also be written to, but we reserve the right under the legislation to override a refusal for consent or to just delete the name of the staff member and not the information. we may grant refusal if the member of staff has provided information that could be considered 'sensitive' and the staff member may be in danger if that information is disclosed; or if that information is the basis of a police investigation. However, if the information is not sensitive, then it is not in our interest to withhold that information from a parent. In each case this should be discussed with members of staff and decisions recorded.
- When we have received all the consents/refusals we will take a photocopy of the complete file. On the copy of the file, we will remove any information that a third party has refused consent for us to disclose and blank out any references to the third party, and any information they have added to the file, using a thick marker pen.
- The copy file is then checked by a Director, or legal advisors if necessary, to verify that the file has been prepared appropriately.
- What remains is the information recorded by the setting, detailing the work initiated and followed by them in relation to confidential matters. This is called the 'clean copy'.
- We will photocopy the 'clean copy' again and collate it for the parent to see.
- We inform the parent that the file is now ready and invite[s] him/ her to make an appointment to view it.
- Senior member of staff and a Director will meet with the parent to go through the file, explaining the process as well as what the content of the file records about the child and the work that has been done. Only the person(s) with parental responsibility can attend that meeting, or the parent's legal representative or interpreter.
- The parent may take a copy of the prepared file away; but, to ensure it is properly explained to and understood by the parent, we never hand it over without discussion.
- It is an offence to remove material that is controversial or to rewrite records to make them more acceptable. our recording procedures and guidelines ensure that the material reflects an accurate and non-judgemental account of the work we have done with the family.
- If a parent feels aggrieved about any entry in the file, or the resulting outcome, then we refer the parent to our complaints procedure.
- The law requires that the information we hold must be held for a legitimate reason and must be accurate (see our Privacy Notice). If a parent says that the information we hold is inaccurate, then the parent has a right to request for it to be changed. However, this only pertains to factual inaccuracies. Where the

disputed entry is a matter of opinion, professional judgement, or represents a different view of the matter than that held by the parent, we retain the right not to change that entry, but we can record the parent's view of the matter. In most cases, we would have given a parent the opportunity at the time to state their side of the matter, and it would have been recorded there and then.

- If there are any controversial aspects of the content of a child's file, we must seek legal advice. This might be where there is a court case between parents, where social care or the police may be considering legal action, or where a case has already completed and an appeal process is underway.
- We never 'under-record' for fear of the parent seeing, nor do we make 'personal notes' elsewhere.

Telephone advice regarding general queries may be made to The Information Commissioner's Office Helpline 0303 123 1113.

All the undertakings above are subject to the paramount commitment of the pre-school, which is to the safety and well-being of the child. Please see our policy on Safeguarding Children and Child Protection.

Legal framework

Primary Legislation

- General Data Protection Regulations (2018)
- Human Rights Act (1998)
- Children and Families Act (2014)
- Freedom of Information Act (2000)
- Equalities Act (2010)
- Safeguarding Vulnerable Groups Act (2006)

Secondary Legislation

- The United Nations Convention on the Rights of the Child
- The Children Act (2004)
- The Protection of Children Act (1999)
- Malicious Communication Act (1988)
- Children, Schools and Families Act (2010)
- Criminal Justice and Court Services Act (2000)

Further guidance

- Information Sharing: Guidance for Practitioners and Manager (DCSF 2008)
[www.everychildmatters.gov.uk/ files/ ACB1BA35C20D4C42A1FE6F9133A7C614.pdf](http://www.everychildmatters.gov.uk/files/ACB1BA35C20D4C42A1FE6F9133A7C614.pdf)

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Safeguarding and Welfare Requirement: Information and Records

Providers must maintain records and obtain and share information to ensure the safe and efficient management of the setting, and to help ensure the needs of all children are met.

Information and Records

10.8 Information sharing – including Annex1-6 Privacy Notices and Personal Data Breach Guidance and Flowchart of when and how to share information

"To effectively share information; all practitioners should be confident of the processing conditions, which allow them to store, and share, the information that they need to carry out their safeguarding role. Information which is relevant to safeguarding will often be data which is considered 'special category personal data' meaning it is sensitive and personal"
Information Sharing Advice for practitioners providing safeguarding service to children, young people, parents and carers (DFE – July 2018).

Policy statement

We recognise that parents have a right to know that information they share with us be regarded as confidential as well as be informed about the circumstances, and the reasons why, we are obliged to share information.

We record and share information about children and their families (data subjects) in line with the six principles of the General Data Protection Regulations (GDPR) (2018) which are further explained in our Privacy Notice that is given to parents at the point of registration The six principles state that personal data must be:

1. Processed fairly, lawfully and in a transparent manner in relation to the data subject.
2. Collected for specified, explicit and legitimate purposes and not further processed for other purposes incompatible with those purposes.
3. Adequate, relevant and limited to what is necessary in relation to the purposes for which data is processed.
4. Accurate and where necessary, kept up to date.
5. Kept in a form that permits identification of data subjects for no longer than is necessary for the purposes for which the data is processed.
6. Processed in a way that ensures appropriate security of the personal data including protection against accidental loss, destruction or damage, using appropriate technical or organisational measures

We are obliged to share confidential information without authorisation from the person who provided it or to whom it relates if it is in the public interest. That is when:

- it is to prevent a crime from being committed or intervene where one may have been or to prevent harm to a child or adult; or
- not sharing it could be worse than the outcome of not having shared it.

The decision should never be made as an individual, but with the back-up of management team. The three critical criteria are:

- Where there is evidence that the child is suffering, or is at risk of suffering, significant harm.
- Where there is reasonable cause to believe that a child may be suffering or at risk of suffering significant harm.
- To prevent significant harm arising to children and young people or adults, including the prevention, detection and prosecution of serious crime.

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice 1.3 Keeping safe	2.1 Respecting each other 2.2 Parents as partners	3.4 The wider context	

Procedures

Our procedure is based on the GDPR principles as listed above and the seven golden rules for sharing information in the Information sharing Advice for practitioners providing safeguarding services to children, young people, parents and carers. We also follow the guidance on information sharing from the Local Safeguarding Children Board.

Our procedure is based on the **seven golden rules** for information sharing as set out in the *Information Sharing: Guidance for Practitioners and Managers (DCSF 2008)*

1. *Remember that the General Data Protection Regulations (2018) and human rights law are not barriers to justified information sharing as per the Children Act (1989), but provide a framework to ensure that personal information about living individuals is shared appropriately.*
 - Our policy and procedures on Information Sharing provide guidance to appropriate sharing of information with external agencies.
2. *Be open and honest with the individual (and/or their family where appropriate) from the outset about why, what, how and with whom information will, or could be shared, and seek their consent, unless it is unsafe or if we have a legal obligation to do so. A Privacy Notice is given to parents at the point of registration to explain this further.*

In our setting we ensure parents:

- receive a copy of our Privacy Notice and information about our Information Sharing Policy when starting their child in the setting and that they sign our Registration Form to say that they understand the circumstances in which information may be shared without their consent. This will only be when it is a matter of safeguarding a child or vulnerable adult;
 - have information about our Safeguarding Children and Child Protection Policy; and
 - have information about the other circumstances when information will be shared with external agencies, for example, with regard to any special needs the child may have or transition to school.
3. *Seek advice from other practitioners if you are in any doubt about sharing the information concerned, without disclosing the identity of the individual where possible.*
 - Our staff discuss concerns about a child routinely in supervision and any actions are recorded in the child's file.

- Our Safeguarding Children and Child Protection Policy sets out the duty of all members of our staff to refer concerns to our designated person, **Heather Page (Joint Supervisor)**, who will contact children's social care for advice where they have doubts or are unsure.
 - Our manager will seek advice if they need to share information without consent to disclose.
4. *Share with informed consent where appropriate and, where possible, respect the wishes of those who do not consent to share confidential information. You may still share information without consent if, in your judgement, there is good reason to do so, such as where safety may be at risk. You will need to base your judgement on the facts of the case. When you are sharing or requesting personal information from someone, be certain of the basis upon which you are doing so. Where you have consent, be mindful that an individual might not expect information to be shared.*
- We base decisions to share information without consent on judgements about the facts of the case and whether there is a legal obligation.
 - Our guidelines for consent are part of this procedure.
 - Our manager is conversant with this and she is able to advise staff accordingly.
5. *Consider safety and well-being: Base your information sharing decisions on considerations of the safety and well-being of the person and others who may be affected by their actions.*

In our setting we:

- record concerns and discuss these with the setting's designated person and/or designated officer from the management committee for child protection matters;
 - record decisions made and the reasons why information will be shared and to whom; and
 - follow the procedures for reporting concerns and record keeping as set out in our Safeguarding Children and Child Protection Policies.
6. *Necessary, proportionate, relevant, accurate, timely and secure: Ensure that the information you share is necessary for the purpose for which you are sharing it, is shared only with those people who need to have it, is accurate and up-to-date, is shared in a timely fashion, and is shared securely.*
- Our Safeguarding Children, Child Protection Policy and Children's Records Policy set out how and where information should be recorded and what information should be shared with another agency when making a referral.
7. *Keep a record of your decision and the reasons for it – whether it is to share information or not. If you decide to share, then record what you have shared, with whom and for what purpose.*
- Where information is shared, the reasons for doing so are recorded in the child's file; where it is decided that information is not to be shared that is recorded too.

Consent

When parents choose our setting for their child, they will share information about themselves and their families. This information is regarded as confidential. Parents have a right to be informed that in most cases we will seek their consent to share information, as well as the kinds of circumstances when we may not seek their consent, or when we may override their refusal to give consent. We inform them as follows:

- Our policies and procedures set out our responsibility regarding gaining consent to share information and when it may not be sought or overridden.
- We may cover this verbally when the child starts or include this in our prospectus.
- Parents sign our Registration Form at registration to confirm that they understand this.
- We ask parents to give written consent to share information about any additional needs their child may have, or to pass on child development summaries to the next provider/school.
- Copies are given to parents of the forms they sign.

- We consider the following questions when we need to share:
 - Is there legitimate purpose to sharing the information?
 - Does the information enable the person to be identified?
 - Is the information confidential?
 - If the information is confidential, do you have consent to share?
 - Is there a statutory duty or court requiring us order to share information?
 - If consent is refused, or there are good reasons not to seek consent, is there sufficient public interest to share information?
 - If the decision is to share, are you sharing the right information in the right way?
 - Have you properly recorded your decision?
- Consent must be freely given and *informed* - that is the person giving consent needs to understand why information will be shared, what will be shared, who will see information, the purpose of sharing it and the implications for them of sharing that information as detailed in the Privacy Notice.
- Consent may be *explicit*, verbally but preferably in writing, or *implicit*, implied if the context is such that sharing information is an intrinsic part of our service or it has been explained and agreed at the outset.
- Consent can be withdrawn at any time.
- We explain our Information Sharing Policy to parents.

Separated parents

- Consent to share need only be sought from one parent. Where parents are separated, this would normally be the parent with whom the child resides. Where there is a dispute, we will consider this carefully.
- Where the child is looked after, we may also need to consult the Local Authority, as 'corporate parent' before information is shared.

All the undertakings above are subject to the paramount commitment of the pre-school, which is to the safety and well-being of the child. Please see our Safeguarding Children and Child Protection policy.

Legal framework - Primary Legislation

- General Data Protection Regulations (GDPR) (2018)
- Human Rights Act (1998)
- Children and Families Act (2014)
- Freedom of Information Act (2000)
- Children, Schools and Families Act (2010)

Secondary Legislation

- Equalities Act (2010)
- Safeguarding Vulnerable Groups Act (2006)
- The United Nations Convention on the Rights of the Child
- Special Educational Needs and Disability Act (2001)
- Criminal Justice and Court Services Act (2000)
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations
- Malicious Communication Act (1988)
- The Children Act (2004)

Further guidance

- Information Sharing Advice for practitioners providing safeguarding service to children, young people, parents and carers (July 2018):
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/721581/Information_sharing_advice_practitioners_safeguarding_services.pdf
- www.everychildmatters.gov.uk/files/ACB1BA35C20D4C42A1FE6F9133A7C614.pdf

- What to do if you're worried a child is being abused: Advice for practitioners (HM Government 2015)
- Working together to safeguard children: A guide to inter-agency working to safeguard and promote the welfare of children (HM Government 2018)
- Information Commissioners Office - <https://ico.org.uk/>
- Keeping Children safe in education – September 2018 (DFE)

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Date to be reviewed:.....

Signed on behalf of the management team:.....

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Role of signatory (e.g. chair/owner):.....



Safeguarding and Welfare Requirement: Information and Records

Providers must maintain records and obtain and share information to ensure the safe and efficient management of the setting, and to help ensure the needs of all children are met.

Information and Records

10.9 Working in partnership with other agencies

Policy statement

We work in partnership with local and national agencies to promote the well-being of all children. We will never share your data with any organisation to use for their own purposes.

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.3 Keeping safe 1.4 Health and well-being	2.1 Respecting each other	3.4 The wider context	

Procedures

- We work in partnership or in tandem with, local and national agencies to promote the well-being of all children.
- Procedures are in place for sharing of information about children and their families with other agencies. These are set out in the Privacy Notice, Information Sharing Policy, Safeguarding Children and Child Protection Policy and the Supporting Children with Special Educational Needs Policy.
- Information shared by other agencies with us is regarded as third party information. This is also kept in confidence and not shared without consent from that agency.
- When working in partnership with staff from other agencies, we make those individuals welcome in the pre-school and their professional roles are respected.
- We follow the protocols for working with agencies, for example on child protection.

- Staff from other agencies do not have unsupervised access to the child they are visiting in the pre-school and do not have access to any other child(ren) during their visit.
- Our staff do not casually share information or seek informal advice about any named child/family.
- When necessary we consult with local and national agencies who offer a wealth of advice and information that help us develop understanding of issues facing us and who can provide support and information for parents. For example, ethnic/cultural organisations, drug/alcohol agencies, welfare rights advisors or organisations promoting childcare and education, or adult education.

Primary Legislation

- Children and Families Act (2014)
- Data Protection Act (1998)
- Safeguarding Vulnerable Groups Act (2006)
- Human Rights Acts (1998)
- Freedom of Information Act (2000)
- Equalities Act (2010)
- Children, Schools and Families Act (2010)
- The Children Act (2004)

Secondary Legislation

- The United Nations Convention on the Rights of the Child
- Educational Needs and Disability Act (2001)
- Protection from Harassment Act (1977)
- Criminal Justice and Court Services Act (2000)
- Race Relations (Amendment) Act (2000)
- Race Relations (Amendment) Act (1976) Regulations
- Malicious Communication Act (1988)

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Role of signatory (e.g. chair/owner):.....

....



General Welfare Requirements: Documentation

Providers must maintain records, policies and procedures required for the safe and efficient management of the settings and to meet the needs of the children.

Record keeping

10.10 Secure storage, handling, use, retention and disposal of disclosures and disclosure information

Policy statement

As an organisation using the Criminal Records Bureau (CRB) Disclosure service to help assess the suitability of applicants for the positions of trust, Acorns Community Pre-school complies fully with the CRB Code of Practice regarding the correct handling, use, storage, retention and disposal of Disclosure information and has a written policy on these matters, which is available to those who wish to see it on request.

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice	2.1 Respecting each other	3.4 The wider context	

Procedures

Storage and access

Disclosure information should be kept securely, in a 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 any one 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 (or other relevant) decision has been made, we do not keep Disclosure information for any longer than is necessary. This is generally for a period of six months, to allow for the consideration and resolution of any disputes or complaints. If, in very exceptional circumstances, it is considered necessary to keep Disclosure information for longer than six months, we will consult the CRB 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, pulping or burning. While awaiting destruction, Disclosure information will not be kept in any insecure receptacle (e.g. waste bin or confidential 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 may keep a record of the date of issue of a Disclosure, and the name of the subject, the type of Disclosure requested, the position for which the Disclosure was requested, the unique reference number of the Disclosure and the details of the recruitment decision taken.

Legal framework

Primary Legislation

- General Data Protection Regulation (2018)
- Human Rights Act (1998)
- Freedom of Information Act (2000)

Secondary Legislation

- Children and Families Act (2014)

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General Welfare Requirements: Documentation

Providers must maintain records, policies and procedures required for the safe and efficient management of the settings and to meet the needs of the children.

Record keeping

10.11 Secure electronic banking and financial records

Policy statement

It is important to ensure that records of expenditure are being accurately maintained. This enables good accounting practice and correct procedure of authorisation of payments to be followed. Electronic banking is used by the setting as a convenient way to manage some transactions. Our internal financial controls are inline with guidelines from the Charity Commission.

EYFS key themes and commitments

A Unique Child	Positive Relationships	Enabling Environments	Learning and Development
1.2 Inclusive practice	2.1 Respecting each other	3.4 The wider context	

Procedures

Storage

Financial information and cash float should be kept securely, in a lockable, non-portable, storage containers with access strictly controlled and limited to those who are entitled to see it as part of their duties. Computer files should be kept in a lockable room on the setting premises.

Access

Financial information should only be accessed by designated signatories. All computer records should only be accessed using a password.

Handling

Cheques

All cheques must be signed in line with the Bank's mandatory signature procedure ie two signatures. Payments should be supported by invoices or authorisation from Directors. When the cheque is signed, to ensure good financial control cheque stubs should be completed and signed along with the invoice.

Direct Debits

Payment by Direct Debits should only be used for essential ongoing services ie telephone, broadband. As soon as services end Direct Debit mandates should be cancelled with the bank and companies advised.

Cash

All cash should be receipted and banked regularly. A float of approximately £30-£100 dependant on forthcoming activities should be available.

Electronic banking

To prevent any single person from being able to control substantial resources or obtaining unauthorised access to account information there should be clear segregation of duties.

Dual log in procedure

- One authorised user submits a transaction and one additional user authorise it from a 'pending transaction screen'.
- Payments should be supported by invoices or authorisation from Directors.

Single log in procedure

- For all single log in electronic banking transactions two authorised signatories should have to participate in the implementation of transactions to ensure good financial control.
- It should be agreed that the Authentication Card is held securely by a signatory and the Card Reader is held separately and securely by a different signatory.

In order to maintain security over electronic banking accounts the following precautions should be in place:

- After each transaction a print out should be taken showing details of the transaction and stored as part of the accounting records
- Keep all PCs with access to online banking facilities secure
- Ensure all PCs are up to date with anti-virus, spyware and firewall software
- Keep all passwords and pin secret
- Change passwords periodically and following changes in authorised staff and Directors
- Treat emails received relating to bank accounts with caution in particular, Directors and staff should NOT respond to emails or telephone calls asking for personal details.

Usage

To ensure good financial control the following Charity Commission recommended guidelines should be adhered to:

- Records of payments, including cheque stubs, invoices, direct debits, electronic banking transfers are reconciled against the monthly bank statement.
- Periodic checks should be made to ensure payments are supported by invoices which have been properly authorised
- The annual audit should be made by someone other than the person concerned with the original recording of the transaction

Financial Reserves

To ensure good financial stability we aim to hold reserves that will cover basic costs for a three months period. Basic costs include:

- Wages
- Lease
- Basic resources

This amount is appropriately increased annually. Any excess monies are spent improving facilities and equipment as finances allow.

Retention

All financial records and tax documentation should be kept for 7 years in a lockable, non-portable, storage container with access strictly controlled and limited to those who are entitled to see it as part of their duties.

Disposal

Once the retention period has elapsed, we will ensure that any financial information is immediately destroyed by secure means, e.g. by shredding, pulping or burning.

Legal framework

Primary Legislation

- General Data Protection Regulation (2018)

- Charities Act (2006)
- Freedom of Information Act (2000)

Further Guidance

- Retention Periods for Records – PLA

This policy was adopted at a meeting of Acorns Community Pre-School held on

Date to be reviewed:.....

Signed on behalf of the management team:.....

Name of signatory:

Role of signatory (e.g. chair/owner):.....