



Provider Records Policy

Windmill Under 5s, Lacey Green and Loosely Row Sports Club, Main Road,
Lacey Green, Princes Risborough HP27 0PL
Registered charity no: 1026976

Version Control

Version	Date	Author	Comments
1.3	24.04.2019	RM / NK	<ul style="list-style-type: none"> Updated job titles
1.4	14.05.2019	LC/RM	<ul style="list-style-type: none"> Updated reference to GDPR
1.5	19.09.2019	RM / LC	<ul style="list-style-type: none"> Updated to reflect GSuite and cloud based working practice.
1.6	17.05.2020	TW / RM	<ul style="list-style-type: none"> Full annual policy review

Reviews and Approvals

Policy adopted :	15 September 2009 by Windmill Under 5s Management Committee	
Date of last review:	17 May 2020	
Date of next review:	Summer Term (May) 2021	
Signed & dated:	Natasha Kann	Natasha Kann – Chairperson on behalf of the Management Committee

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 the children are met.

Information and Records

34. Provider Records

Policy Statement

Windmill Under 5s Preschool keeps records and documentation for the purpose of maintaining our business. These include:

- Records pertaining to our registration.
- Landlord/lease documents and other contractual documentation pertaining to amenities, services and goods.
- Financial records pertaining to income and expenditure.
- Risk assessments.
- Employment records of staff, including their name, home address, telephone number and DBS certificate information.
- Names, addresses and telephone numbers of anyone else who is regularly in contact with the children.

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), further details are given in our Privacy Notice and the Human Rights Act (1988).

This policy and procedure should be read alongside Windmill Under 5s' Privacy Notice, Confidentiality and Client Access to Records Policy and Information Sharing Policy.

Procedures

- All records are the responsibility of the Officers of the Management Committee, Preschool Manager and Business Manager, 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 in the foyer of the preschool.
- Our Public Liability insurance certificate is displayed in the foyer of the preschool.
- Our employment and staff records are kept securely and confidentially in lockable containers in the setting and in the Business Manager's office.
- We notify Ofsted of any change:

- in the address of the premises;
- to the premises which may affect the space available to us for the quality of child care we provide;
- to the name and address of the provider, or the providers 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 (DfE2017).

Many of our records are now digital and are stored securely in the cloud. We use 'GSuite', cloud-based productivity and collaboration tools developed by Google for 'Not For Profit' organisations. We manage emails through 'Gmail', diary events through 'Calendar', contact information through 'Contacts', and documents ('Docs', 'Sheets', 'Slides') which require collaboration and internal sharing within Windmills via 'Drive'. For more information please read our 'Privacy Notice' and refer to our 'IT, Internet and Social Networking' Policy. Google outline their compliance with the GDPR in their Privacy Policy <https://policies.google.com/privacy> and Terms of Service <https://policies.google.com/terms>

Handling of DBS Certificate Information

General principles

- As an organisation using the Disclosure and Barring Service (DBS) checking service to help assess the suitability of applicants for positions of trust, Windmills complies with the Code of Practice regarding the correct handling, use, storage, retention and disposal of certificates and certificate information.
- It also complies with its obligations under the General Data Protection Regulations (2018) and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of certificate information.

Storage and access

- Certificate information is kept securely, in lockable, non-portable, storage containers. A digital record is kept in Google Drive.
- Access is 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, certificate 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 certificates or certificate information has been revealed and it is a criminal offence to pass this information to anyone who is not entitled to receive it.

Usage

- Certificate 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 certificate information for any longer than is necessary. This is generally for a period of up to six months after a member of staff leaves our employment.
- If, in very exceptional circumstances, it is considered necessary to keep certificate 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 DBS certificate information is immediately destroyed by secure means, for example by shredding, burning or deletion. While awaiting destruction, certificate 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 certificate or any copy or representation of the contents of a certificate. However, notwithstanding the above, we may keep a record of the date of issue of a certificate, the name of the subject, the type of certificate requested, the position for which the certificate was requested, the unique reference number of the certificates and the details of the recruitment decision taken.

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

Sources

- HM Government Disclosure and Barring Service: 'Guidance Handling of DBS Certificate Information' published 14 November 2012
- HM Government Disclosure and Barring Service: 'DBS Code of Practice' published 8 November 2012 updated 16 November 2015
<https://www.gov.uk/government/publications/dbs-code-of-practice>

Legal framework

- General Data Protection Regulations (GDPR) (2018)
- Human Rights Act 1998
- Police Act 1997