



## Confidentiality and Client Access to 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
1.2	17.05.2018	RM / NH / LC	<ul style="list-style-type: none"> <li>Updated in line with PLA template update for GDPR (May 18)</li> </ul>
1.3	25.04.2019	RM / NK	<ul style="list-style-type: none"> <li>Updated job titles</li> </ul>
1.4	14.05.2019	LC/RM	<ul style="list-style-type: none"> <li>Updated to reflect transition of responsibility from Business Manager to Preschool Manager</li> </ul>
1.5	19.09.2019	RM / LC	<ul style="list-style-type: none"> <li>Updated to reflect GSuite and cloud based working practice.</li> </ul>
1.6	17.05.2020	TW / RM	<ul style="list-style-type: none"> <li>Full annual policy review. Confidential information only shared with Chairperson/BM on a need-to-know basis. Added BM to the process of retrieving client records if required</li> </ul>

### Reviews and Approvals

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

## **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**

### **36. Confidentiality and Client Access to Records**

*'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)

#### **Policy statement**

At Windmills, Staff and Management Committee Members can be said to have a 'confidential relationship' with families. It is our intention to respect the privacy of children and their parents/carers, while ensuring that they access high quality early years care and education at Windmills. We aim to ensure that all parents/carers can share their information in the confidence that it will only be used to enhance the welfare of their children. There are record keeping systems in place that meet legal requirements; means of storing and sharing that information take place within the framework of the General Data Protection Regulations (2018) and the Human Rights Act (1998).

#### **Confidentiality procedures**

- Most things that happen between the family, the child and Windmills confidential to Windmills. In exceptional circumstances information is shared, for example with other professionals or possibly social care, or the police.
- Information is shared with other agencies in line with our Information Sharing Policy.
- We check whether parents/carers regard specific information they share with us to be regarded as confidential or not.
- Some parents/carers may share information about themselves with other parents/carers as well as staff; Windmills cannot be held responsible if information is shared beyond those parents/carers whom the person has 'confided' in.
- Information shared between parents/carers 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. Windmills are not responsible should that confidentiality be breached by participants.

- We inform parents/carers 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/carers 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 Record Policy and Privacy Notice). It is imperative that we ensure confidentiality as much as possible, whilst still allowing parents/carers access to information.
- Information is kept in a manual file, or electronically. Our staff may also use a computer to type reports, or letters. Where this is the case, the typed document is deleted from the PC and only the hard copy kept. We require staff to have strong password protected access to their PCs and to password protect/encrypt any sensitive information.
- Where it is necessary to keep an electronic copy of information on our hard drive we ensure there is password protection/encryption and strong password protected user folders. 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'. 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>
- Our staff discuss children's general progress and wellbeing together in meetings, but more sensitive information is restricted to the child's Key Person and the Preschool Manager, and is shared with other staff, the Business Manager or Chairperson 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/carers or anyone else outside of Windmills, unless we have a specific need to do so. (Please see our Information Sharing Policy).
- 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 with us, our staff check if it is confidential, both in terms of the party sharing the information and the person whom the information concerns.

### **Client access to records procedures**

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

- The parent/carer 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 Windmills has compiled on them.
- Any request to see the child's personal file by a parent or person with parental responsibility can be made in writing to the Preschool Manager.
- The Preschool Manager will acknowledge the request in writing, informing the parent/carer that an arrangement will be made for him/her to see the file's contents, subject to third party consent.
- This written acknowledgment allows 'one month' for the file to be made ready.
- A fee may be charged for repeated requests, or where a request requires excessive administration to fulfil.
- The Preschool Manager informs the Chairperson of the Management Committee and legal advice may be sought before sharing a file.
- The Preschool Manager and Chairperson (or Business Manager) 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. A note will be made of any information, entry or correspondence or other document which mentions a third party.
- If third parties are mentioned in the file, they will be written to, explaining that the subject has requested sight of the file and describing the information about the third party that will be shared. They are asked to reply in writing to the Preschool Manager, 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 will write to each of them to request third part consent.
- 'Third parties' also include workers from any other agency, including social services and the health authority for example. Agencies will normally refuse consent to share information, preferring instead for the individual 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/carer. In each case this should be discussed with members of staff and decisions recorded.
- When all the consents/refusals to disclose have been received the Preschool Manager will take a photocopy of the complete file. On the copy of the file the Preschool Manager 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 the Chairperson (/Business Manager) and, if appropriate, legal advisors to verify that the file has been prepared appropriately.
- What remains is the information recorded by Windmills, detailing the work initiated and followed by them in relation to confidential matters. This is called the 'clean copy'.
- The 'clean copy' is photocopied again and collated for the parent/carer to see.
- The Preschool Manager will inform the parent/carer that the file is now ready and invite the parent/carer to make an appointment to view it.
- The Preschool Manager will meet with the parent/carer 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/carer's legal representative or interpreter.
- The parent/carer may take a copy of the prepared file away. The file should never be given straight over without ensuring it is properly explained and understood by the parent/carer.
- It is an offence to remove material that is controversial or to rewrite records to make them more acceptable. Windmills 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/carer feels aggrieved about any entry in the file, or the resulting outcome, then we refer the parent/carer to our Making a Complaint Policy.
- The law requires that the information Windmills holds must be held for a legitimate reason and must be accurate (see our Privacy Notice). If a parent/carer says that the information held is inaccurate, then the parent/carer 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/carer, Windmills retains the right not to change that entry, but can record the parent/carer's view of the matter. In most cases, Windmills would have given a parent/carer 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 contents of a child's file, legal advice must be sought. This might be where there is a court case between parents/carers, where social care or the police may be considering legal action, or where a case has already been completed and an appeal process is underway.
- Windmills will never 'under-record' for fear of the parent/carer seeing, nor do we make 'personal notes' elsewhere.

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

All the undertakings above are subject to the paramount commitment of Windmills, which is to the safety and well-being of the child. Please see our Safeguarding Children and Child Protection Policy and Information Sharing Policy.

#### **Legal framework**

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