

SALTERSGATE JUNIOR SCHOOL PROTOCOL FOR RECORD KEEPING ON CHILDREN AND YOUNG PEOPLE

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RECORD KEEPING POLICY AND PROCEDURE

Summary

This document has been compiled for Saltersgate Junior School using the model protocol by Doncaster Directorate of Children and Young People's Services' policy and procedure with regard to record keeping.

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Synopsis of Information

Staff must be aware that they can be held individually responsible for any record and/or files that they make or keep on a child or young person, including for the security of these files. In order to ensure their protection the following procedures must be adhered to:

- 1 A synopsis of all professional discussions concerning a child must be recorded in writing on a school contact log and retained in the appropriate pupil's file (Class, SEN, Safeguarding)
- 2 **ALL** records must clearly identify the originator and, if a paper record, must be signed, have the author's name and designation printed, together with the time (using 24 hr clock) and full date of the record and any discussions in every case. The name and designation of all people involved in such discussions must be recorded. The use of initials, staff codes, diminutives or first names is insufficient without at least one indication of that individual's full name and designation in the document.
- 3 All information recorded must be factual. If it is an opinion then the fact that it is opinion together with the reasons for reaching that conclusion must also be recorded. If the writer is repeating information given to them they must record the source of the knowledge.
- 4 Meetings with parents/carers or others with parental responsibility must be recorded on a school contact log and filed in the appropriate pupil's file (Class, SEN, Safeguarding).
- 5 Relevant information, concerning a child, including relevant family names, given by parents/family members/carers or other professionals must be recorded and forwarded to the office so that school's central records can be updated.
- 6 E-mail discussions concerning a child should be printed before deletion and retained in the appropriate section of that child's file ensuring that the strictures in point 2 (above) are observed. Only secure e-mail systems must be used.
- 7 A synopsis of any telephone discussions concerning a child must be retained in the appropriate section of that child's file ensuring that the strictures in point 2 (above) are observed.
- 8 Copies of letters, reports and other written communication sent and received concerning a child must be retained in the appropriate section of that child's file. This includes photocopies of notes sent home in homework diaries, swimming certificates, 'failure to complete homework' letters, 'failure to fetch PE kit' letters and notes received from home.

These should also be dated before filing. N.B. This does not include notes from home re; medical appointments.

- 9 Safeguarding records are confidential and are kept separately from the general records for that child. They must be kept in a locked place which is accessible only to the senior manager of the establishment and the person/people who have designated responsibility for safeguarding children in that establishment. This does not include clerical staff unless they have designated responsibility for safeguarding and are appropriately trained.
- 10 All records must be retained until the child is at least 25 years of age as designated in the appropriate governmental guidance. Therefore records must be as meaningful in 20 years time as they are at the time of writing. Safeguarding records must be retained much longer. When a child changes placement a synopsis of the record should be retained using the file synopsis sheet and the remainder transferred to the receiving establishment in line with the appropriate guidance. A note of the date, time and method of transfer should be retained within the synopsis. When transferring year group files to KS2, the individual synopsis sheets can be attached to one cover sheet stating the date and time.

RECORD KEEPING POLICY AND PROCEDURE

1.0 Status of this Document

- 1.1 This document comprises Saltersgate Junior Schools' policy and procedure with regard to record keeping and is formed in line with that of Doncaster Directorate of Children and Young People's Services. It does not replace or take priority over advice or codes of conduct produced by others concerning the legal framework in relation to sharing and storing information, but strengthens and adds to the existing frameworks.
- 1.2 It is a generic document that should complement existing professional procedures, protocols and guidance which relate to specific roles, responsibilities or professional practices.
- 1.3 This document is relevant to all individuals coming into contact with children or young people at Saltersgate Junior School.
- 1.4 It is recommended by the Doncaster Directorate of Children and Young People's Services that we adopt or use this guidance to develop and promote safer working practice by ensuring that all employees and volunteers are made aware of its contents and have access to it.
- 1.5 The Governing Body and Senior management Team will be better placed to deal with unsuitable or inappropriate behaviour if their expectations have been made clear through induction, procedures and training, then reinforced throughout a person's employment and there is evidence that this has been done.

- 1.6 Individuals should follow this guidance in their day to day practice. It should also be part of the Induction process when staff take on new work, different duties or additional responsibilities.
- 1.7 This document does not seek to replace current day to day record keeping, for example, school attendance registers, but to encompass them in a reasonable and reasoned framework.

2.0 Why Keep Records?

- 2.1 All adults who come into contact with children and young people in their work have a duty of care¹ to safeguard and promote their welfare.
- 2.2 The Children Act 2004, through the Stay Safe outcome of the Every Child Matters Change for Children programme², places a duty on organisations to safeguard³ and promote the well-being of children and young people. This includes the need to ensure that all adults who work with or on behalf of children and young people in these organisations are competent, confident and safe to do so, and are supported by the management of effective record keeping practices.
- 2.3 The vast majority of adults who work with children act professionally and aim to provide a safe and supportive environment which secures the well-being and very best outcomes for children and young people in their care. However, it is recognised that in this area of work tensions and misunderstandings can occur. It is here that the behaviour of adults can give rise to allegations of abuse being made against them. Allegations may be malicious or misplaced. They may arise from differing perceptions of the same event, but when they occur, they are inevitably distressing and difficult for all concerned. Equally, it must be recognised that some allegations will be genuine and there are adults who will deliberately seek out, create or exploit opportunities to abuse children. It is therefore essential that all possible steps are taken to safeguard children and young people and ensure that the adults working with them are safe to do so, which includes effective and clear records.
- 2.4 Whilst every attempt has been made to cover a wide range of situations, it is recognised that this guidance cannot cover all eventualities. There may be times when professional judgements are made in situations which directly contravene the guidance given by the employer. It is expected that in these circumstances adults will always advise their senior colleagues of the justification for any such action already taken or proposed and will record this discussion.
- 2.5 It is also recognised that not all adults who work with children and young people work as paid or contracted employees. The principles and guidance outlined in this document still apply and should be followed by an adult whose work brings them into contact with children and young people.
- 2.6 The guidance contained in this document has due regard to current legislation and statutory guidance.

¹ The duty which rests upon an individual to ensure that all reasonable steps are taken to ensure the safety of a

child or young person involved in any activity, or interaction for which that individual is responsible. Any person in charge of, or working with children and young people in any capacity is considered, both legally and morally, to owe them a duty of care

² www.everychildmatters.gov.uk

³ Process of protecting children from abuse or neglect, preventing impairment of their health and development, and ensuring they are growing up in circumstances consistent with the provision of safe and effective care that enables them to have optimum life chances... Working Together to Safeguard Children: 2006 HM Government

- 2.7 Everyone working with children and young people must be familiar with local procedures and protocols for safeguarding the welfare of children and young people. Adults have a duty to report any child protection or welfare concerns to a designated member of staff in their organisation and/or report any concerns to the local social care office. Anyone who has concerns or is in doubt should refer to the document "**What To Do If You're Worried a Child Is Being Abused**" and follow that guidance. Alternatively, you can contact the designated person for safeguarding, Mandy Oxer. If Mandy Oxer is unavailable then other members of the SLT listed on the 'safeguarding cards' can be contacted.

3.0 Purpose of Guidance

- 3.1 It is important that all adults working with children understand that the nature of their work and the responsibilities related to it place them in a position of trust. The guidance aims to:

- keep children safe by clarifying issues around keeping appropriate records;
- assist adults working with children to work safely and responsibly and to monitor their own standards and practice;
- support managers and employers in setting clear expectations of practice relevant to the services being provided;
- minimise the risk of misplaced or malicious allegations made against adults who work with children and young people;
- reduce the incidence of positions of trust being abused or misused.

- 3.2 Employers and managers should be familiar with, and know how to access, Doncaster Safeguarding Children's Board's policies and procedures. These can be accessed via www.doncaster.gov.uk then search for Child Protection. The South Yorkshire Child Protection Procedures can then be downloaded.

4.0 Underpinning Principles

- The welfare of the child is paramount.⁴
- It is the responsibility of all adults to safeguard and promote the welfare of children and young people. This responsibility extends to a duty of care for those adults employed, commissioned or contracted to work with children and young people.

- Adults who work with children are responsible for their own actions and behaviour and should avoid any conduct which would lead any reasonable person to question their motivation and intentions.
- Adults should work and be seen to work in an open and transparent way.
- The same professional standards should always be applied regardless of culture, disability, gender, language, racial origin, religious belief and/or sexual identity.
- Adults should continually monitor and review their practice and ensure they follow the guidance contained in this document.

⁴ Children Act 1989

5.0 Definitions

Children and Young People: Throughout this document references are made to "children and young people". These terms are interchangeable and refer to children who have not yet reached their 18th birthday. This guidance, however also has value for those working with vulnerable adults.

Adults: References to 'adults' or 'volunteers' refer to any adult who is employed, commissioned or contracted to work with or on behalf of children and young people, in either a paid or unpaid capacity.

Manager: The term 'manager' refers to those adults who have responsibility for managing services including the supervision of employees and/or volunteers at any level.

Employer: The term 'employer' refers to the organisation which employs or contracts to use the services of individuals in pursuit of the goals of that organisation. In the context of this document, the term 'employer' is also taken to include 'employing' the unpaid services of volunteers.

Safeguarding: Process of protecting children from abuse or neglect, preventing impairment of their health and development and ensuring they are growing up in circumstances consistent with the provision of safe and effective care that enables children to have optimum life chances and enter adulthood successfully⁵.

Duty of Care: The duty which rests upon an individual or organisation to ensure that all reasonable steps are taken to ensure the safety of a child or young person involved in any activity or interaction for which that individual or organisation is responsible. Any person in charge of or working with children and young people in any capacity is considered, both legally and morally, to owe them a duty of care.

Parental Responsibility: This is defined under the Children Act (1989) as "*all the rights, duties, powers, responsibilities and authority which by law a parent of a child has in relation to the child and his property*". It thus attempts to focus on the parent's duties towards their child rather than the parent's rights over their child. All natural mothers have parental responsibility for their children, and natural fathers may have it dependant on their circumstances. Only those with

parental responsibility may make major decisions about a child or have the right to be consulted about them.

⁵Working Together to Safeguard Children 2006. HM Government (WT 2006)

6.0 Information Sharing and Confidentiality

- 6.1 Everyone is sensitive to the disclosure of personal information about themselves which involves intimate details of family difficulties, relationships or individual actions. **The indiscriminate disclosure of personal information to third parties is unlawful** and can be extremely damaging. Such damage can endure for long periods or even become permanent. All staff working with children and young people share the same basic principles in respect of confidentiality based upon professional standards and awareness of the law.
- 6.2 The majority of private information about children, young people and their families comes directly from the child, young person or parent because that person has decided to share the information. However, sharing of information amongst practitioners working with children and their families is essential for the purposes of safeguarding and promoting the welfare of children. Research and experience have shown repeatedly that keeping children safe from harm requires professionals and others to share information about a child's health and development and exposure to possible harm, about a parent who may need help to, or may not be able to, care for a child adequately and safely and about those who may pose a risk of harm to a child. Often, it is only when information from a number of sources has been shared and is then put together that it becomes clear that a child is in need or at risk of suffering significant harm.
- 6.3 A decision whether to disclose information necessitates the exercise of professional judgement and could result in damage to the trust between the member of staff and that family. Wherever possible there should be a discussion between the staff member and the member of the family about the concerns. Agreement should be sought if appropriate and the reasons explained if the decision is made that your actions will go against the child or the family's wishes. It is always helpful to discuss these issues with the Local Authority Child Protection/Safeguarding Co-ordinator or another suitable agency.

7.0 Rules in Record Keeping

- 7.1. A synopsis of all professional discussions concerning a child must be recorded on CPOMS and retained in the appropriate file (Class, SEN, Safeguarding).
- 7.2. **ALL** records must clearly identify the originator and, if a paper record must be signed, have the author's name and designation printed, together with the time (using 24 hr clock) and full date of the record and any discussions in every case. The name and designation of all people involved in such discussions must be recorded. The use of initials, staff codes, diminutives

or first names is insufficient without at least one indication of that individual's full name and designation in the document.

- 7.3. If it is an opinion then the fact that it is opinion together with the reasons for reaching that conclusion must also be recorded. If the writer is repeating information given to them they must explain the source of the knowledge.
- 7.4. Meetings with parents/carers or others with parental responsibility must be recorded on a school contact log and filed in the appropriate pupil's file (Class, SEN, Safeguarding).
- 7.5. Information concerning a child including all relevant family names given by parents/family members/carers or other professionals must be forwarded to the office to be recorded and updated.
- 7.6. E-mail discussions concerning a child should be printed before deletion and retained in the appropriate section of that child's file ensuring that the strictures in point 7.2 (above) are observed. Only secure e-mail systems should be used.
- 7.7. A synopsis of any telephone discussions concerning a child should be retained in the appropriate section of that child's file ensuring that the strictures in point 7.2 (above) are observed.
- 7.8. Copies of letters, reports and other written communication sent and received concerning a child must be retained in the appropriate section of that child's file. This includes photocopies of notes sent home in homework diaries, swimming certificates, 'failure to complete homework' letters, 'failure to fetch PE kit' letters and notes received from home. These should also be dated before filing. N.B. This does not include notes from home re; medical appointments.
- 7.9. Safeguarding records are confidential and are kept separately from the general records for that child. They must be kept in a locked place which is accessible only to the senior manager of the establishment and the person/people who have designated responsibility for safeguarding children in that establishment. This does not include clerical staff unless they have designated responsibility for safeguarding and are appropriately trained.
- 7.10. All records must be retained until the child is at least 25 years of age as designated in the appropriate governmental guidance. Therefore records must be as meaningful in 20 years time as they are at the time of writing. Safeguarding records must be retained much longer. When a child changes placement a synopsis of the record should be retained using the file synopsis sheet and the remainder transferred to the receiving establishment in line with the appropriate guidance. A note of the date, time and method of transfer should be retained within the synopsis. When transferring year group files to KS2, the individual synopsis sheets can be attached to one cover sheet stating the date and time.

8.0 Family Links

- 8.1 The school and other educational services often gather a wealth of information concerning the families in their area over time. This information is collected in an informal manner throughout the time that school or service is working with the child.
- 8.2 Educational services are usually the only agencies to maintain long term involvement with families and they are in a position to collate information concerning the wider family and friend networks operating within the communities. This information can and does help to safeguard and protect vulnerable families and as such must be recorded on a school contact log.
- 8.3 Schools are often aware of issues brought to them in connection with the family and community. If any such family is to be referred to another agency it is very important that all such information is passed to the receiving agency in order that a full and valuable package of support can be provided.

9.0 Child Protection/Safeguarding Records

Background

- 9.1 The importance of recording at all stages of the child protection process cannot be over emphasised. Evidence from reports, enquiries and reviews into child abuse related deaths of children indicate the vital importance of good record keeping. All records should be relevant, factual, concise, complete, accurate, objective, dated, signed and stored securely in the safeguarding files.
- 9.2.1 Clear and accurate factual recording of all Child Protection concerns/incidents is vital to the effective protection of children and, in some cases, the apprehension and prosecution of perpetrators. Child Protection records are kept until the child has at least reached their twenty-fifth birthday, as many children do not feel safe enough to disclose until they are independent adults. Records, therefore, must be as meaningful in twenty years time as they are at the time of writing.

Basic Principles

- 9.3 A child protection file should be opened by the member of staff with designated responsibility for child protection (DP), currently the Headteacher, when any cause for concern has been identified.
- 9.4 All child protection records must include the child's full name, address, date of birth, schools attended and names and addresses of anyone with parental responsibility. The names and addresses of any other significant adults should also be noted, together with the names and dates of birth (or ages) and schools attended of any siblings, together with their addresses if different. The record should also contain the names and contact details of any involved professionals (e.g. Health Visitor, Education Welfare Officer etc).

- 9.5 All records must be accurately dated (day, month and year) and timed, including the date and time of writing the record (using the 24 hr clock) as well as the date and time you obtained the information. Where possible you should record the date/time (using the 24 hr clock) of the alleged incident and/or when your concern was triggered.
- 9.6 The records must include the nature of your concerns, what gave rise to them, any action you take and the extent and nature of any involvement by others. If a disclosure is made, you must thoroughly record the content of the disclosure and any responses you made.
- 9.7 All persons mentioned in the record (including the author) must have their names recorded in full at least once, as well as their position/relationship to child.
- 9.8 All recording must be factual.
- 9.9 Any conversations with other professional about the child and the concerns should also be included in the child protection file.

10.0 Sharing Concerns and Recording Incidents

- 10.1 Individuals should be aware of Saltersgate Junior Schools' child protection procedures, as stated in the school's child protection policy, including procedures for dealing with allegations against adults. All allegations must be taken seriously and properly investigated in accordance with local procedures and statutory guidance. Adults who are the subject of allegations are advised to contact any relevant professional association.
- 10.2 In the event of any allegation being made to someone other than a manager, information should be clearly and promptly recorded and reported to a senior manager without delay.
- 10.3 Adults should always feel able to discuss with their line manager any difficulties or problems that may affect their relationship with children and young people so that appropriate support can be provided or action can be taken.
- 10.4. It is essential that accurate and comprehensive records are maintained whenever concerns are raised about the conduct or actions of adults working with or on behalf of children and young people.

11.0 Maintenance of Records

- 11.1 An essential element of work with children and young people is the appropriate sharing of information with other professionals and agencies. Clear records must be kept and held in the appropriate file detailing those individuals and agencies with whom information has been shared and the nature of this information.

- 11.2 Where individual members of staff have kept personal notes on a child/young person about whom there is concern, those notes must be shared with the Designated Person on a regular basis and the information transferred to the pupil's child protection file.
- 11.3 All child protection records/information pertaining to any particular child should be collated and stored in a secure file separate from any other recorded pupil information.
- 11.4 **All child protection files should be stored securely in a locked cabinet with access limited to the Headteacher/LAC Co-ordinator and other members as stated on the safeguarding contact card.**
- 11.5 Each file should begin with a front synopsis sheet detailing basic information on the child together with the contents of the file and should be updated after each new entry.
- 11.6 Safeguarding files should include:
- synopsis sheet
 - all records of concerns/disclosure
 - details of whether or not parents have been informed (and if not, why not)
 - details of contacts and discussions with parents and any other family members
 - details of relevant discussions with the child
 - details of any ongoing monitoring
 - details of any meetings held
 - details of contact with Social Care Services Dept or any other agencies
 - a copy of the completed Interagency Assessment and Referral form
 - any Case Conference Reports
 - minutes of an Initial Case Conference
 - the Child Protection Plan, if appropriate
 - confirmation of date of compilation of child protection plan, if appropriate
 - minutes of the Core Group meetings together with details of all resultant ongoing actions by school/service
 - minutes of Review Case Conferences
- 11.7 All files should be arranged in date order

12.0 Monitoring Children in School

- 12.1 Careful monitoring enables professionals to be clear about the basis of their concerns and to plan an effective form of intervention involving all agencies to protect the child. Schools can contribute to this monitoring as part of an interagency package of support. All instances of monitoring

must be recorded and reported if necessary and appropriate. Monitoring alone is not sufficient without processes for review.

12.2 The decision to monitor a child/young person for child protection purposes in school may be taken for one of several reasons. These include:

- a) As a result of a concern within the school which, following full discussion with the Headteacher or CAF Co-ordinator, does not warrant investigation by Social Services at this stage. Advice could also be solicited from the Doncaster Safeguarding Children Board Team who can be contacted on 01302 737621 or by email on dscb@doncaster.gov.uk as to the appropriateness of this action.
- b) As a result of concerns about the child which lead the agencies to believe that the child is in need.
- c) At the request of one of the Police or Social Care Services following a strategy meeting.
- d) At the request of Social Care Services following an investigation which does not lead to a child protection case conference, or the decision is made that the child will not be made the subject of a child protection plan, but to monitor his/her progress.
- e) As a requirement of a Child Protection Plan resulting from a Child Protection Case Conference.

12.3 When a decision is taken to monitor a child/young person, clear objectives should be formulated involving all the agencies concerned. These should include:

- What is to be monitored and why.
- How this is to be recorded and by whom.
- How often the monitoring will be reviewed and by whom.
- If further concerns arise, what agreed action will be taken.

12.4 The review of monitoring should take place at the very least every half term. If the concerns still exist after this time, serious consideration should be given to the need for referral to Social Care Services or another relevant agency. If the concerns no longer exist a decision as to the need to continue monitoring should be taken.

12.5 A cause for concern is anything which, if not addressed, may pose a risk to the health or safety of the child/young person. It could be an incident, a situation, a process or an act of omission or commission that has happened in the past or is happening now. Its significance can only be gauged by placing the concern in the context of the child/young person's life situation and family background. This will include any previous concerns about this child or any other child in the family.

13.0 Internal Communication and the “Need To Know” Policy

- 13.1 Information will need to be shared with other colleagues where this is in the best interest of the child/young person but only on a “need to know” basis. The child/young person and his/her family have a right to privacy but, if the child’s welfare would be impinged if the information were not shared, then the professionals must share the knowledge with discretion. For example, the class teacher in a primary school or the form teacher or head of year in a secondary school may legitimately need to know if one of their charges is a subject of concern.
- 13.2 It is the responsibility of the Designated Person for Child Protection and the Designated Person for Looked after Children to decide who within the school needs to know any child protection information. These professionals must consider the need to provide a wider group of staff with limited information so that they are able to respond in an appropriate manner if the child is exhibiting distressed or distressing behaviours in school. The designated people for child protection and LAC decide who needs to know
- a) that a child protection file exists on a particular child
 - b) whether a specific child is being monitored
 - c) whether the child is defined as a child in need
 - d) whether the child is the subject of a child protection plan
 - e) what information the file contains
 - f) the details of the concerns about a specific child
- 13.3 It is likely that the majority of staff members will not need to know full details about any child/young person. The child/young person and the family have a right to know who holds this information and who knows about their affairs.
- 13.4 When deciding who should receive information regarding a child/young person, consideration will be made regarding their employment status and the level of contact they have with the young person.

14.0 Reports for Child Protection Case Conferences and other Multi Professional Meetings

- 14.1 Reports prepared for child protection conferences should focus on the child's:
- Educational progress and achievements
 - Attendance
 - Behaviour
 - Participation
 - Relations with other children and young people
 - Appearance, where appropriate
 - Interaction with other children and adults
- 14.2 If relevant, reports should include what is known about the child's relations with his or her family and the family structure. Reports should be objective and based on evidence. They should distinguish between fact, observation, allegation and opinion.

14.3 Schools should:

- Make reports available to the child's parents prior to the child protection conference **unless to do so would place the child at risk of significant harm.**
- Provide written reports to the child protection conference.
- Arrange for an appropriate person from the school to attend the child protection conference.
- Ensure that child protection records are held securely with limited access and separate from the main school pupil file.
- Transfer any child protection records if the child moves schools, retaining a synopsis of its contents and a note on the means of transport.
- Following transfer a one page synopsis of the contents of the file including the date, destination and manner in which the record was transferred should be kept in the child protection archive for the governmentally required length of time, ie until after the child's 25th birthday. Records, therefore, must be as meaningful in 20 years time as they are at the time of writing.

14.4 Child protection records can be kept on computer and are exempt from the disclosure provisions of the Data Protection Act 1984. For manual records, the Education (School Records) Regulations 1989 exempt information relating to child abuse from the requirement of disclosure. However, in cases of alleged child abuse which come to court the school may be required to provide its child protection records or for the purposes of a serious case review. If a school is required by anyone else to disclose these records, advice should be sought from the Local Authority Legal Services.

15.0 Absence from School

15.1 If a child/young person who is thought to be at potential or actual risk of significant harm is absent from school, it is essential that the Attendance and Inclusion Officer/EWO should be informed. Even if the absence has been legitimised with a letter or telephone call, it may not be innocent and the Attendance and Inclusion Officer should still be informed. If the child is subject to a child protection plan, the keyworker should be informed. A record must be kept of these and all other absences, together with details of all attempts to contact the family.

16.0 Special Circumstances

16.1 Keeping records for children who have special educational needs or other specific requirements. Children who have special educational needs, who are disabled, who lack communication skills or who are in need of further

support will often need to be more carefully monitored. It is important, therefore, that their needs, communications concerning them and contact with their family and other professionals or carers are recorded on a school contact log and then filed appropriately. The following areas must be carefully considered and information recorded on a regular basis as applicable to the school and the child's circumstances:

- Contact between the home and the school/service
- Contact between the school/service and any respite carers if available
- Contact between the home, the school/service and any travel escorts if appropriate
- Use of communication passports or similar documents outlining the child's basic needs and the manner in which s/he must be treated
- Use of "All About Me" files or similar documents detailing, for example, the child's likes and dislikes, family, friends and basic health information which the school/service staff need to know
- Use of individual care plans, individual education plans, personal safety plans and intimate care plans as appropriate
- Records relating to the child's status as a vulnerable child particularly child in need plans as appropriate
- Use of a "behaviour" book, incident log recording any specific incidents about a child which may not reach the threshold of an accident or a safeguarding concern. This would include incidents such as bullying, name calling, stumbles, arguments or physical incidents between peers etc.
- Use and updating of personal risk assessments or personal evacuation plans for each child to include the risk they may pose to others as well as the environmental risks
- Updating and use of the child's day to day educational records, curriculum and individual lesson planning, use of and need for additional staff support at classroom level, outlining the work undertaken, progress and achievements made. This is particularly important for children with profound and multiple learning difficulties
- Provision of staff training in Child Protection/Safeguarding; Confidentiality; Children in need; Disability awareness; Intimate care; Personal handling; Physical Interventions; Vulnerability, Moving and Handling etc to include a record of those staff who had undergone such training, the date and a synopsis of the content of the training and the date that the training should be refreshed. For some issues, such as the use of physical interventions, lifting and

handling, etc., continuous monitoring of the manner in which these techniques are employed is also necessary. It may also be necessary to keep records of incidents when these techniques have been used, particularly in the case of restraint or other physical interventions

- The necessity for a school/service working closely with a child and his/her family to be invited to, and to attend, care reviews and for respite carers to be invited to SEN reviews
- The manner in which the school/service fosters close relationships with the parents/carers/other appropriate family members of children who are transported to school or to services and so the family/carers are not regularly seen
- The use of key workers and any other extra adult helpers within and without the school/service
- Referrals made to other agencies soliciting support for the child and/the family
- Storage of letters, e-mails and other forms of communication concerning a child and his/her family to and from the school/service
- Retention of records

For further information, also see school SEN Policy

17.0 Retention of Records

- 17.1 It is recommended that records are kept in accordance with the Retention Guidelines For Schools Version: 10 February 2006 issued by the Records Management Society Of Great Britain, Local Government Group, (See attached)
- 17.2 The Freedom of Information Act 2000 requires the school to maintain a list of records which have been destroyed and who authorised their destruction. Members of staff should record at least:
- File reference (or other unique identifier)
 - File title (or brief description)
 - Number of files
 - The name of the authorising officer
 - Date of destruction
 - Manner of destruction
- 17.3 This could be kept in an Excel spreadsheet or other database format.
- 17.4 Social Care Records must be kept in accordance with the 'Social Care Records Retention and Destruction of Records Policy' available on the Council Intranet under
- ↓ Find a policy

- ↓ Children and Young People's Services
- ↓ Policies and Procedures
- ↓ Legal
- ↓ Children's Retention and Destruction of Records

18.0 Preservation of Records

- 18.1 Where records have been identified as being required to be preserved, arrangements should be made to store them in a suitable secure place. A list of the records stored should be created to include the information above. This will encompass school closures and the closure of Local Authority Services.

19.0 Transfer of Information to Other Media

- 19.1 Where lengthy retention periods have been allocated to records, members of staff may wish to consider converting paper records to other media such as microform or digital media. The lifespan of the media and the ability to migrate data where necessary should always be considered.
- 19.2 The retention and use of records relating to child protection matters concerning pupils, and child protection allegations against staff requires specific guidance in this schedule. This will be subject to update following implementation of the recommendations from government enquiries.
- 19.3 For further information see full document appended. (Retention of Records)

20.0 Security of Records

- 20.1 All records, no matter what the status of those documents, must be kept securely. They all will contain personal information about a child and/or his/her family. If the records are kept in digital format they must be protected with encryption software and/or a stringent set of passwords. However, the passwords must be disclosed to the head, school business manager and ICT co-ordinator in order to prevent the inability to recover them in the event of an accident.
- 20.2 It may be necessary for records to be temporarily removed from a file in order that a professional can work on them. In this case, a system must be in place to ensure the security of the record and the temporary removal. Any such system must be efficient, secure, effective and user friendly to ensure that all records can be used and kept up to date. If removing files on a memory storage device, these must be encrypted. If removing hard copies of a pupils class profile file, SEN, LAC or child protection file then permission from the Headteacher must be sought.
- 20.3 All professionals must be aware that they are personally responsible for the records they make and the files upon which they work. They must

ensure that the records are clear, factual and follow the necessary record keeping principles. If any files or other records are removed from the work place, the professional involved is personally responsible for their safety and, in the event of the loss or inadvertent disclosure of any such record, may be subject to internal disciplinary action or court procedures.

21.0 Modern Technology

- 21.1 Modern technology is constantly evolving and staff should take reasonable steps to ensure their personal information is kept secure. Particular reference should be made to Section 11, Use of School Communication Systems, in the Staff Code of Conduct for Schools and Educational Establishments.
- 21.2 The advent of modern technology has seen the introduction of a range of communication methods which did not exist a few years ago. These are entertaining, aid communication and are very popular but also constitute potential difficulties for staff. Staff who have a Facebook site, or write on Bebo, Twitter or any other such networking sites must ensure that they keep their site tightly protected to prevent unwanted and unsolicited entry. Any staff who do not ensure that young people cannot indiscriminately access their personal information must be made aware that they risk possible internal disciplinary action.
- 21.3 Similarly, staff must ensure not share their personal home and mobile phone number private and must not allow children or young people with whom they have a professional relationship to have that number.
- 21.4 If they are working in a situation where a child or young person needs to access the staff member by mobile phone, then they must use the school mobile phone.
- 21.5 The same situation exists for e-mail addresses. Personal e-mail addresses must be kept private from children and young people. If it is necessary to communicate with the young person via e-mail, then they must use their school e-mail account.
- 21.6 Public e-mail systems are NOT an adequately secure method of transferring child data.
- 21.7 Failure to follow these steps could result in internal disciplinary action, or even court action dependant on the nature of the messages exchanged.

22.0 Records Kept by Other Professionals

- 22.1 Professionals other than educational professionals who work on educational premises also need to keep records. These records must be commensurate with the record keeping protocol of the professional's agency and must be kept in that professional's filing system. It is the responsibility of that professional to keep the records secure and to

determine, in consultation with his/her manager, who will know of the contents or even the existence of such files.

22.2 Any information supplied to the school by another professional should be kept confidential and not disclosed to anyone else without the knowledge and consent of that professional. If there are safeguarding issues which mean it would be injurious to the child/young person to wait for this consent, then the information may be disclosed.

22.3 Any notes about professional meetings should be copied to all the professionals present or who have given apologies and then must be stored following the appropriate agency's protocol.

23.0 Private Notes

23.1 Notes of Concern

It is entirely appropriate for a member of staff to keep private notes on any child or young person in their care for the purpose of monitoring or assessment. These notes are confidential and should be kept in the member of staff's private file. If relevant, they could be requested to be produced in a court of law. It is important, therefore, that all notes are recorded on the pupil's record proforma and are timed, dated and signed, and the writer's name is printed at the end of the note. The status of this note is that of personal/professional notes written to aid and develop the best programme for the child and are thus exempt from the provisions of the Data Protection Act. 23.2

23.2 The designated member of staff may instigate or may be requested by another agency to implement a recording system by which the child can be monitored. Any notes thus required must be passed to the designated person for storage and would become part of the Safeguarding Record as detailed above. This record is kept in order to translate concerns as to the welfare of the child into a record which can be accessed if necessary. This may be part of the Safeguarding Plan if necessary and appropriate.

23.3 As stated above, all such notes could be required to be disclosed to the courts or to other professionals, particularly police and social services, under certain circumstances. It is therefore important that such notes are recorded on pupil record proformas.

23.4 On transfer of the child/young person to another service then the personal notes must be either included in the relevant files pertaining to that young person or archived for the relevant length of time as outlined in the appended retention document. At the end of that period they must be destroyed as per the same document.

24.0 Audits of Records

24.1 All records should be subject to appropriate confidential audit by the manager of the institution, school or service. Such an audit should be instigated without notice and should ensure that the recording system is

maintained correctly. Staff should be aware that failure to maintain records properly could result in internal disciplinary action.

24.2 The Local Safeguarding Children Board may also carry out periodic audits on record keeping across all relevant agencies to ensure that record keeping is appropriate across partner agencies.

24.3. Staff must be aware that they are personally responsible for all records they make and must ensure that they are written and maintained responsibly and follow the correct protocol.

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Julie Hall - Principal Officer, School Transport

Karyn Whitaker - Development Manager, Improving Information Sharing and Management

Kath Wildgoose - Senior Area Education Standards Officer

APPENDIX 1

Information Sharing and Confidentiality

- 1.0 Legal Framework
- 1.1 The legislation regarding disclosure of information can be considered in one of the following three areas:
 - Common Law Duty of Confidence
 - Human Rights Act 1998
 - Data Protection Act 1998
- 1.2 In general, the law does not prevent sharing of information if:
 - The individuals concerned agree that the information can be shared
 - The need to safeguard the welfare of a child overrides the need to keep the information confidential
 - The information is required by the Courts or under any other legal obligation
- 2.0 Common Law Duty of Confidence
- 2.1 This duty arises when a person shares information with another in circumstances where it is reasonable to expect that the information will be kept confidential. A duty of confidence exists where:
 - a contract provides for the information to be kept confidential
 - there is a special relationship between the parties, e.g. teacher and pupil
 - an agency or governmental department, e.g. Inland Revenue, collects and holds personal information for its own use.
- 2.2 However, the duty is not absolute and disclosure is permissible if:
 - the information is not confidential in nature, e.g. Name, address etc.
 - the child or family has expressly or implicitly authorised the disclosure, eg if the child or family has been notified that such information may be shared
 - the welfare of a child is in jeopardy
 - disclosure is required by the Court or any other legal obligation.
- 2.3 Some kind of information such as medical records are generally subject to a duty of confidence but other information, particularly if trivial and readily available from other sources, or of the person to whom it relates would not have an interest in keeping it secret, is not confidential. For example, the

school a child attends, his or her full name, address or date of birth. Sensitive information must be kept with particular care.

- 2.4 The duty of confidence is owed to the person who has provided the information on the understanding that it will be kept confidential. If, for example, in a counselling relationship, the ground rules state that complete confidentiality cannot be maintained, then, by giving the information the informant has given implied consent for the information to be shared.
- 2.5 Express consent is not required if there are reasonable grounds to believe that the informant understands and accepts that the information will be shared. For example, discussion of pupil attainment, behaviour and other sensitive material would be expected to be shared within the school and with other educational professionals. Parents and children would expect such discussions to take place and so there would usually be implied consent. A member of staff making referral of abuse to a social care worker would expect that information to be shared on a need to know basis. Anyone who receives information knowing that it is confidential is also subject to a duty of confidence and should explain how it will be shared.
- 2.6 There is no need to obtain express consent if there would be a subsequent risk to a child's welfare, if to do so would cause undue delay, if to do so would impede an investigation or if there would be a risk of violence. Information can still be shared even if consent has been refused if a child's welfare would be at risk. The key factor in this is proportionality. If disclosure is a proportionate response to the need to protect a child then the information must be disclosed. In any case, information should only be shared on a need to know basis.
- 2.7 This duty of confidence may be owed to a child or young person in his/her own right. A young person over 16 years of age, or a child under 16 who has the capacity to understand or make their own decisions may give or refuse consent to disclosure of information. For young people for whom these parameters do not apply someone who has parental responsibility for that child should consent on their behalf.
- 3.0 The Human Rights Act 1998
- 3.1 Article 8 of the European Convention of Human Rights recognises a right to respect for private and family life without undue intervention by the state. However, that right is not absolute. Disclosure of confidential information to protect the welfare of a child could cause considerable disruption to private or family life but is justified if it is necessary to prevent crime or to protect the health and welfare of a child. The same proportionality test as for the common law duty of confidence applies.
- 4.0 The Data Protection Act 1998

- 4.1 The Data Protection Act 1998 regulates the handling of personal data. The Act lays down requirements for the processing of this information which includes obtaining, recording, storing and disclosing it.
- 4.2 If a decision is to be made to disclose information this decision must comply with the Act. There are eight data protection principles which would not be an obstacle if:
- there are particular concerns about the welfare of a child
 - disclosure of information is to social services or another professional
 - disclosure is justified under the common law duty of confidence
- 4.3 The Government's Information Sharing Guidance states that:
- Remember that the Data Protection Act is not a barrier to sharing information
 - Be open and honest
 - Seek advice
 - Share with consent where appropriate
 - Consider safety and well-being
 - Necessary, proportionate, relevant, accurate, timely and secure
 - Keep a record

The full Guidance is available at www.teachernet.gov.uk/publications, search under ref DCSF-00805-2008

- 4.4 Personal data must be processed fairly and lawfully. Fairness means being open with people about how information about them is to be used and the circumstances in which it might be disclosed. If, however, disclosure is necessary to prevent or detect a crime, including child abuse or neglect, or a court requires the information, then the information must be provided. Similarly, if there is a legitimate reason for sharing the information, then the information must be shared.
- 4.5 Sensitive personal data includes the following areas:
- racial or ethnic origin
 - political opinion
 - religious belief
 - membership of a trade union
 - physical or mental health or condition
 - sexual life
 - criminal offences
- 4.6 Sensitive data may only be disclosed in the following circumstances:
- with explicit consent
 - if necessary to protect the subject's interests or another person where the subject's consent cannot be given or is unreasonably withheld or cannot reasonably expect to be obtained
 - if necessary to defend, exercise or establish legal rights
 - if necessary to exercise a statutory function

- if necessary to prevent or detect an unlawful act and obtaining consent could impede this process.
- 4.7 Legal right will include a child's rights and defending those rights could include disclosure between professionals to establish whether a child's welfare needed to be safeguarded. Exercise of a statutory function would include sharing information with social care services and other agencies in connection with a Section 17 (child in need) assessment or a Section 47 (child protection) enquiry.
- 5.0 Other Statutory Provisions
- 5.1 Sections 27 and 47 of the Children Act 1989 enable local authorities to request help from specified authorities (other local authorities, education, housing, health) and places an obligation on those authorities to co-operate. A request could be for information in connection with a Section 17 (child in need) assessment or a Section 47 (child protection) enquiry. Neither provision would require an unjustified breach of confidence.
- 5.2 Section 115 of the Crime and Disorder Act 1998 enables any person to disclose information to a relevant authority for any purposes of the act. This broadly covers the prevention and reduction of crime and the identification or apprehension of offenders.
- 5.3 Under the Public Interest Disclosure Act (1998) all establishments must have a clear and accessible whistle blowing policy. This is a mechanism whereby adults can voice their concerns without fear of repercussion whilst knowing that their employment rights will be protected. It does, however, remain the statutory responsibility of the individual to safeguard children and vulnerable adults and to promote their welfare.
- 6.0 Seeking Advice/Consultation
- 6.1 The purpose of consultation is to discuss your concerns and decide what action is necessary. If you are concerned about a child/vulnerable adult you must share your concerns. Initially you must talk to your line manager and/or the child protection/safeguarding co-ordinator. The outcome of this discussion may be that there is a clear safeguarding concern that must be referred to social care services or the police.
- 6.2 In the following circumstances you must consult externally:
- if you are unable to consult promptly with your line manager and/or the child protection/safeguarding co-ordinator.;
 - if after consulting you are still unsure whether or not there are clear safeguarding concerns;
 - if there is some disagreement or conflict between yourself and the person consulted;
 - if the allegation is about the person with whom you would normally consult;
- 6.3 Consulting externally is not the same as making a referral but the outcome might be that a referral needs to be made either to social care services or

the police. You can consult externally with the social care services duty and assessment team, with the child protection/safeguarding co-ordinators in social care services, or with the police public protection unit. However, social care services and the police must retain the ability to treat the information given as a referral if it appears to fall within their legal duties. Social care services and the police should be explicit about how they are going to respond.

6.4 Consultation must take place within a time frame which is not detrimental to the child/vulnerable adult's interests. It is the responsibility of the person seeking advice to ensure that all relevant information is shared.

7.0 Working in a Counselling Relationship

7.1 Members of staff working in a counselling relationship work within a framework in which information gained through that relationship is not divulged without the consent of the informant and then only if it is absolutely necessary. However, if information is received which leads the staff member to suspect that a child/young person/vulnerable adult may be at risk of significant harm, the staff member has a duty to pass that information to either the Police or Social Care Services. If an individual is receiving any form of counselling, it must be recognised that issues of confidentiality are secondary to their welfare and protection. It is vital, therefore, that anyone entering into a counselling relationship with a child, young person or vulnerable adult explains this prior to entering the relationship.

7.2 The majority of the information gathered in a counselling context can be kept confidential. However, if there is reason to believe that any child, young person or vulnerable adult is suffering or likely to be suffering significant harm, or that a criminal act has been committed, the counsellor must explain to his/her client that s/he cannot keep this information private. This would also be the case if an individual were to disclose past abuse, as the perpetrator could now be abusing others.

7.3 It is important that these "ground rules" are set out at the beginning of any counselling relationship in order that the client may make an informed decision as to the information s/he is willing to share. The counsellor is then able to discuss with the client the reason for sharing any such information, the people who would be informed and the likely results of any referral. The client would then be in control of the process.

7.4 If information is shared without the knowledge of the informant, or action taken which is influenced by inappropriately shared knowledge, the results are likely to destroy all trust and prevent effective work in the future. The principles of appropriate confidentiality have practical as well as legal and ethical importance.

Pupil Record Proforma

Pupil Name _____

| | |
|------------|------------|
| Date _____ | Time _____ |
|------------|------------|

| | |
|------------|------------|
| Date _____ | Time _____ |
|------------|------------|

| | |
|------------|------------|
| Date _____ | Time _____ |
|------------|------------|

Notification of Suspected/Admitted/Known Abuse of child(ren) to Social Services

This form should be completed by the **designated person responsible for child protection** on the basis of information readily available and should not be delayed on the basis of incomplete information.

Child(ren)'s surname

.....

Child(ren)'s forename(s) and date(s)'s of Birth

.....

Other name(s) by which the child(ren) may be known

.....

Present Location

.....

Home address of children

.....

Parent/Guardian's Surname

.....

Parent/Guardian's Forenames

.....

Address.....

.....

.....

Tel. No.....

Does this person have parental responsibility? Yes / No

If not, insert the names and addresses of those with parental responsibility

.....

.....
.....
.....

Surname/forenames, date of birth or age of any siblings/co- resident children

.....
.....

GP's Name

.....

Address.....

.....

Tel. No

Professional agencies known to be involved with the family:
(contact name, address and telephone number)

.....
.....
.....

Reason for referral:

.....
.....
.....

Action already taken:

Referred in writing/by telephone to.....On
.....

Parents advised of referral? Yes/No

Child/Young Person advised of referral Yes/No

Name of School/College

.....

**Name of Designated
Person.....**

Signature.....Date

Pro-Forma for Reports to Child Protection Conference.

Pupil's name.....DOB.....Year group.....

Parents/Guardians name:

.....

Address:

.....

.....

.....

Name and Address of those with parental responsibility if different from above:

.....

.....

.....

Attendance in current school year.....days out of a possible.....days

Attainment levels/educational performance

.....

.....

Intellectual Ability (eg *below average/average/above average*):

.....

.....

Performance in relation to intellectual ability:

.....

.....

Presentation of Work, including homework:

.....

.....

Participation in teaching/learning activities:

.....

Behaviour in class:

.....

.....

.....

Behaviour out of class:

.....

.....

Relationship with other children:

.....

.....

Relationship with teacher/other adults in school:

.....

.....

Relationships with family (*if relevant/known*)

.....

.....

Contact with home (*eg telephone calls*)

.....

.....

.....

General remarks (*eg personal appearance, readiness/preparation for learning*)

.....

.....
.....
.....
.....
.....

Name and address of school

.....
.....

Telephone:

.....

Signed on behalf of school

.....

(Designated Member of Staff)

Please complete and return to by

Thank you

Saltersgate Junior School Serious Incident Log

(This side to be completed for all incidents and given to M Oxe on completion (A copy to be retained in pupil folder))

| Planned and Deliberate | Interaction with Peers | Interaction with Adults | Emotional Development |
|------------------------|------------------------|-------------------------|-----------------------|
| | | | |

Principal pupil involved:

Year:

Date:

Time of incident:

Location:

Secondary pupil(s) involved:

Staff member(s):

Does the incident have racial implications? Yes/No* (if yes, please **also** complete **Racial Incident Form 1** overleaf)

Does the incident have bullying implications? Yes/No* (if yes, please **also** complete **Bullying Incident Form 2** overleaf)

Does the incident involve drug issues? Yes/No* (if yes, please **also** complete **Drug Incident Form 3** overleaf)

Does the incident involve the possession or use of weapons? Yes/No* Type:

Details of incident:

Give details of incident triggers (if known)

Injuries – please tick all that apply and add ACRAS number to brackets []

Staff injured [] ACRAS completed

Pupil involved in incident injured [] ACRAS completed

Other pupils injured [] ACRAS completed

Other people injured [] ACRAS completed

Action taken by staff and outcomes

Pupil sent home Yes/No* if 'Yes' please give time: By whom:

Pupil chose to leave site Yes/No* if 'Yes' please give time:

Parents/Carers advised Yes/No* if 'Yes' please give time: By whom:

Signature of staff member
appropriate

**delete as*

**Saltersgate Junior School
Serious Incident Log**

| 1. Description of Racist Incident | Tick Where appropriate |
|---|---|
| A: Racist graffiti | |
| B: Verbal abuse and threats | |
| C: Incitement of others to behave in a racist way | |
| D: Racist comments in the course of discussion in lessons | |
| E: Derogatory name calling, insults, racist jokes and language | |
| F: Refusal to co-operate with other pupils because of their race | |
| G: Provocative behaviour such as wearing racist badges or insignia | |
| H: Using the school's computer system to access and distribute racist material | |
| I: Attempts to recruit other pupils and students to racist organisations and groups | |
| J: Physical assault against a person or group because of colour, race and/or ethnicity | |
| K: Bringing racist materials such as leaflet, comics, magazines or computer software into school | |
| L: Ridicule of an individual for culture or religious differences e.g. food, music, dress, worship patterns etc. | |
| Incident reported on line. | Time: Date: By whom: |

| 2. Description of Bullying Incident | Tick Where appropriate |
|---|---|
| A: Reports of bullying off-site | |
| B: Reports of bullying on-site | |
| C: Suspicion of bullying off-site | |
| D: Suspicion of bullying on-site | |
| E: Derogatory name calling | |
| F: Constant demeaning of others work/achievement | |
| G: Physical intimidation | |
| H: Incitement of others to bully | |
| I: Cyber bullying | |
| Incident reported on line. | Time: Date: By whom: |

| 3. Description of Drug Incident | Tick Where appropriate |
|---|----------------------------------|
| A: Reports of drug possession off-site | |
| B: Suspicion of possession of illegal substances on site | |
| C: Possession of illegal substances on site | |
| D: Suspicion of drug use on site | |
| E: Drug use on site | |
| F: Official notification of drug use off-site | |
| G: Suspicion of dealing in illegal substances off-site | |
| H: Official notification of dealing in illegal substances off-site | |
| I: Suspicion of dealing in illegal substances on-site | |
| J: Dealing in illegal substances on-site | |
| K: Derogatory name calling alleging substance abuse | |
| L: Incitement of others to abuse substances | |
| M: Suspicion of arriving on site under the influence of drugs | |

Saltersgate Junior School Contact Log

N.B. Please use full names when completing this form.

| | | | | |
|--|----------------|------------------|----------|--------|
| Pupil Name: | Staff Name: | Date: | | |
| Please specify one of the following: | | | | |
| Phone Call: | Visitor: | Other: | | |
| Name of contact person: | | | | |
| Parent/Carer: | Respite Carer: | Social Services: | Medical: | Other: |
| Factual Content: | | | | |
| Signed: | | Print Name: | | |
| Date: | Time: | (24 hr clock) | | |
| On completion please send to J. Machin if SEN or LAC, M Oxeer if Child Protection or file in pupil folder. | | | | |

File Contents-Synopsis
(Contents of class file)

| | |
|-----------------------------------|--------------------------|
| Infant Reports | <input type="checkbox"/> |
| KS1 Assessment Materials | <input type="checkbox"/> |
| Certificates | <input type="checkbox"/> |
| Letters from home | <input type="checkbox"/> |
| Letters from school to home | <input type="checkbox"/> |
| School contact logs | <input type="checkbox"/> |
| Pupil proformas (teacher records) | <input type="checkbox"/> |
| Serious incident logs | <input type="checkbox"/> |
| Email correspondence | <input type="checkbox"/> |
| Other (please state) | <input type="checkbox"/> |

Transfer information

Date:

Time:

Method:

Addressee:

**File Contents-Synopsis
Special Educational Needs-LDD**

| | |
|----------------------------|--------------------------|
| IEP's | <input type="checkbox"/> |
| Annual Review documents | <input type="checkbox"/> |
| Reports | <input type="checkbox"/> |
| Referrals | <input type="checkbox"/> |
| Personal Evacuation Plans | <input type="checkbox"/> |
| Case Studies | <input type="checkbox"/> |
| Letters from the Authority | <input type="checkbox"/> |
| Letters from home | <input type="checkbox"/> |
| Serious Incident Logs | <input type="checkbox"/> |
| School contact logs | <input type="checkbox"/> |
| Email correspondence | <input type="checkbox"/> |
| Other (please state) | <input type="checkbox"/> |

Transfer information

Date: Time: Method: Addressee:

If relevant, please state date range

File Contents-Synopsis Child Protection

- | | |
|--|--------------------------|
| Case Review/Child Protection Conference documents (meeting notes & reports) | <input type="checkbox"/> |
| Common Assessment Form | <input type="checkbox"/> |
| Team around the Child Meeting Notes | <input type="checkbox"/> |
| Letters from Social Services | <input type="checkbox"/> |
| Letters regarding Private Fostering | <input type="checkbox"/> |
| Care/Placement Orders | <input type="checkbox"/> |
| Reports | <input type="checkbox"/> |
| Referrals | <input type="checkbox"/> |
| Personal Evacuation Plans | <input type="checkbox"/> |
| Personal Education Plans | <input type="checkbox"/> |
| Case Studies | <input type="checkbox"/> |
| Letters from Authorities | <input type="checkbox"/> |
| Letters from Home | <input type="checkbox"/> |
| Serious Incident Logs | <input type="checkbox"/> |
| School contact logs | <input type="checkbox"/> |
| Notification of suspected/known abuse form | <input type="checkbox"/> |
| Email correspondence | <input type="checkbox"/> |
| Other (please state) | <input type="checkbox"/> |

Transfer information

Date: Time: Method: Addressee:

If relevant, please state date range



RECORDS MANAGEMENT SOCIETY OF GREAT BRITAIN

LOCAL GOVERNMENT GROUP

RETENTION GUIDELINES FOR SCHOOLS

Version 3.1

This retention schedule contains recommended retention periods for the different record series created and maintained by schools in the course of their business. The schedule refers to all information regardless of the media in which it is stored.

Some of the retention periods are governed by statute. Others are guidelines following best practice. Every effort has been made to ensure that these retention periods are compliant with the requirements of the Data Protection Act 1998 and the Freedom of Information Act 2000.

Managing record series using these retention guidelines will be deemed to be "normal processing" under the legislation mentioned above. If record series are to be kept for longer or shorter periods than laid out in this document the reasons for this need to be documented.

This schedule should be reviewed on a regular basis.

| | | |
|----------|---|-----------|
| 1 | Child Protection | 45 |
| | <i>Child Protection files.....</i> | <i>45</i> |
| | <i>Allegation of a child protection nature against a member of staff, including where the allegation is unfounded.....</i> | <i>45</i> |
| 2 | Governors | 47 |
| | <i>Minutes.....</i> | <i>47</i> |
| | <i>Agendas</i> | <i>47</i> |
| | <i>Reports.....</i> | <i>47</i> |
| | <i>Annual Parents' meeting papers.....</i> | <i>47</i> |
| | <i>Instruments of Government</i> | <i>47</i> |
| | <i>Trusts and Endowments.....</i> | <i>47</i> |
| | <i>Action Plans.....</i> | <i>47</i> |
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| 1 Child Protection | | | | | | |
|--|--|------------------|--|---|--|--|
| These retention periods should be used in conjunction with the document “Safeguarding Children and Safer Recruitment in Education” which can be downloaded from www.everychildmatters.gov.uk . | | | | | | |
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 1.1 | Child Protection files | Yes | Education Act 2002, s175, related guidance “Safeguarding Children in Education”, September 2004 | DOB + 25 years ¹ | SHRED | Child Protection information must be copied and sent under separate cover to new school/college whilst the child is still under 18 (i.e. the information does not need to be sent to a university for example) Where a child is removed from roll to be educated at home, the file should be copied to the Local Education Authority. |
| 1.2 | Allegation of a child protection nature against a member of staff, including where the allegation is unfounded | Yes | Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) Education Act 2002 guidance “Dealing with Allegations of Abuse against Teachers and Other Staff” November 2005 | Until the person’s normal retirement age, or 10 years from the date of the allegation whichever is the longer | SHRED | The following is an extract from “Safeguarding Children and Safer Recruitment in Education” p60 “Record Keeping 5.10 It is important that a clear and comprehensive summary of any allegations made, details of how the allegation was followed up and resolved, and a note of any action taken and decisions reached, is kept on a person’s confidential personnel file, and a copy provided to the person concerned. The purpose of the record is to enable accurate information to be |

¹ This amendment has been made in consultation with the Safeguarding Children Group.

1 Child Protection

These retention periods should be used in conjunction with the document “Safeguarding Children and Safer Recruitment in Education” which can be downloaded from www.everychildmatters.gov.uk.

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
|--|------------------------|------------------|----------------------|--------------------------------|---|
| | | | | | <p>given in response to any future request for a reference if the person has moved on. It will provide clarification in cases where a future DBS Disclosure reveals information from the police about an allegation that did not result in a criminal conviction. And it will help to prevent unnecessary reinvestigation if, as sometimes happens, an allegation re-surfaces after a period of time. The record should be retained at least until the person has reached normal retirement age or for a period of 10 years from the date of the allegation if that is longer.”</p> |

| 2 Governors | | | | | | |
|-------------|--|------------------|----------------------|--------------------------------|--|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 2.1 | Minutes | | | | | |
| | <ul style="list-style-type: none"> Principal set (signed) | No | | Permanent | Retain in school for 6 years from date of meeting | Transfer to Archives |
| | <ul style="list-style-type: none"> Inspection copies | No | | Date of meeting + 3 years | SHRED [If these minutes contain any sensitive personal information they should be shredded] | |
| 2.2 | Agendas | No | | Date of meeting | SHRED | |
| 2.3 | Reports | No | | Date of report + 6 years | Retain in school for 6 years from date of meeting | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 2.4 | Annual Parents' meeting papers | No | | Date of meeting + 6 years | Retain in school for 6 years from date of meeting | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 2.5 | Instruments of Government | No | | Permanent | Retain in school whilst school is open | Transfer to Archives when the school has closed |
| 2.6 | Trusts and Endowments | No | | Permanent | Retain in school whilst operationally required | Transfer to Archives |
| 2.7 | Action Plans | No | | Date of action plan + 3 years | SHRED | It may be appropriate to offer to the Archives for |

| 2 Governors | | | | | | |
|-------------|---|------------------|----------------------|--|--|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| | | | | | | a sample to be taken if the school has been through a difficult period |
| 2.8 | Policy documents | No | | Expiry of policy | Retain in school whilst policy is operational (this includes if the expired policy is part of a past decision making process) | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 2.9 | Complaints files | Yes | | Date of resolution of complaint + 6 years | Retain in school for the first six years Review for further retention in the case of contentious disputes SHRED routine complaints | |
| 2.10 | Annual Reports required by the Department for Education and Skills | No | | Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171 | Date of report + 10 years | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 2.11 | Proposals for schools to become, or be established as Specialist Status schools | No | | | Current year + 3 years | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |

| 3 Management | | | | | | |
|---------------------|--|-------------------------|-----------------------------|--|---|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 3.1 | Log Books | Yes ² | | Date of last entry in the book + 6 years | Retain in the school for 6 years from the date of the last entry. | Transfer to the Archives |
| 3.2 | Minutes of the Senior Management Team and other internal administrative bodies | Yes ¹ | | Date of meeting + 5 years | Retain in the school for 5 years from meeting | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 3.3 | Reports made by the head teacher or the management team | Yes ¹ | | Date of report + 3 years | Retain in the school for 3 years from meeting | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 3.4 | Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities | Yes ¹ | | Closure of file + 6 years | SHRED | |
| 3.5 | Correspondence created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities | No | | Date of correspondence + 3 years | SHRED | |
| 3.6 | Professional development plans | Yes | | Closure + 6 years | SHRED | |

² From January 1st 2005 subject access is permitted into unstructured filing systems and log books and other records created within the school containing details about the activities of individual pupils and members of staff will become subject to the Data Protection Act 1998.

| 3 Management | | | | | | |
|--------------|---|------------------|----------------------|--------------------------------|--|-----------------------|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 3.7 | School development plans | No | | Closure + 6 years | Review | Offer to the Archives |
| 3.8 | Admissions – if the admission is successful | Yes | | Admission + 1 year | SHRED | |
| 3.9 | Admissions – if the appeal is unsuccessful | Yes | | Resolution of case + 1 year | SHRED | |
| 3.10 | Admissions – Secondary Schools – Casual | Yes | | Current year + 1 year | SHRED | |
| 3.11 | Proofs of address supplied by parents as part of the admissions process | Yes | | Current year + 1 year | SHRED | |

| 4 Pupils | | | | | | |
|----------|------------------------|------------------|----------------------|--|---|--------------------------|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 4.1 | Admission Registers | Yes | | Date of last entry in the book (or file) + 6 years | Retain in the school for 6 years from the date of the last entry. | Transfer to the Archives |
| 4.2 | Attendance registers | Yes | | Date of register + 3 years | SHRED [If these records are retained electronically any back up copies should be destroyed at the same time] | |
| 4.3 | Pupil record cards | Yes | | | | |

| 4 Pupils | | | | | | |
|----------|---|------------------|----------------------|---|---|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 4.3a | <ul style="list-style-type: none"> Primary | | | Retain for the time which the pupil remains at the primary school | Transfer to the secondary school (or other primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service | |
| 4.3b | <ul style="list-style-type: none"> Secondary | | Limitation Act 1980 | DOB of the pupil + 25 years ³ | SHRED | |
| 4.4 | Pupil files | Yes | | | | |
| 4.4a | <ul style="list-style-type: none"> Primary | | | Retain for the time which the pupil remains at the primary school | Transfer to the secondary school (or other primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service | |
| 4.4b | <ul style="list-style-type: none"> Secondary | | Limitation Act 1980 | DOB of the pupil + 25 years ⁴ | SHRED | |

³ In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service

⁴ As above

| 4 Pupils | | | | | | |
|----------|---|------------------|----------------------|--|--|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 4.5 | Special Educational Needs files, reviews and Individual Education Plans | Yes | | DOB of the pupil + 25 years the review NOTE: This retention period is the minimum period that any pupil file should be kept. Some authorities choose to keep SEN files for a longer period of time to defend themselves in a “failure to provide a sufficient education” case. There is an element of business risk analysis involved in any decision to keep the records longer than the minimum retention period. | SHRED | |
| 4.6 | Letters authorising absence | No | | Date of absence + 2 years | SHRED | |
| 4.7 | Absence books | | | Current year + 6 years | SHRED | |
| 4.8 | Examination results | Yes | | | | |
| 4.8a | <ul style="list-style-type: none"> Public | No | | Year of examinations + 6 years | SHRED | Any certificates left unclaimed should be returned to the appropriate Examination Board |

| 4 Pupils | | | | | | |
|----------|--|------------------|---|-------------------------------------|--|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 4.8b | <ul style="list-style-type: none"> Internal examination results | Yes | | Current year + 5 years ⁵ | SHRED | |
| 4.9 | Any other records created in the course of contact with pupils | Yes/No | | Current year + 3 years | Review at the end of 3 years and either allocate a further retention period or SHRED | |
| 4.10 | Statement maintained under The Education Act 1996 - Section 324 | Yes | Special Educational Needs and Disability Act 2001 Section 1 | DOB + 30 years | SHRED unless legal action is pending | |
| 4.11 | Proposed statement or amended statement | Yes | Special Educational Needs and Disability Act 2001 Section 1 | DOB + 30 years | SHRED unless legal action is pending | |
| 4.12 | Advice and information to parents regarding educational needs | Yes | Special Educational Needs and Disability Act 2001 Section 2 | Closure + 12 years | SHRED unless legal action is pending | |

⁵ If these records are retained on the pupil file or in their National Record of Achievement they need only be kept for as long as operationally necessary.

| 4 Pupils | | | | | | |
|----------|---|------------------|--|---|--|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 4.13 | Accessibility Strategy | Yes | Special Educational Needs and Disability Act 2001 Section 14 | Closure + 12 years | SHRED unless legal action is pending | |
| 4.14 | Children's SEN Files | Yes | | DOB of pupil + 25 years then review – it may be appropriate to add an additional retention period in certain cases | SHRED unless legal action is pending | |
| 4.15 | Parental permission slips for school trips – where there has been no major incident | Yes | | Conclusion of the trip | SHRED | |
| 4.16 | Parental permission slips for school trips – where there has been a major incident | Yes | Limitation Act 1980 | DOB of the pupil involved in the incident + 25 years The permission slips for all pupils on the trip need to be retained to show that the rules had been followed for all pupils | SHRED | |

| 4 Pupils | | | | | | |
|----------|---|------------------|---|--|---|--------------------------|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 4.17 | Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Primary Schools | N | 3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998). | Date of visit + 14 years ⁶ | N | SHRED or delete securely |
| 4.18 | Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Secondary Schools | N | 3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998). | Date of visit + 10 years ⁷ | N | SHRED or delete securely |
| 4.19 | Walking Bus registers | Yes | | Date of register + 3 years This takes into account the fact that if there is an incident requiring an accident report the register will be submitted with the accident report and kept for the period of time required for accident reporting | SHRED [If these records are retained electronically any back up copies should be destroyed at the same time] | |

⁶ This retention period has been set in agreement with the Safeguarding Children's Officer

| 5 Curriculum | | | | | |
|--------------|------------------------|------------------|----------------------|--------------------------------|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
| 5.1 | Curriculum development | No | | Current year + 6 years | SHRED |
| 5.2 | Curriculum returns | No | | Current year + 3 years | SHRED |
| 5.3 | School syllabus | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or SHRED |
| 5.4 | Schemes of work | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or SHRED |
| 5.5 | Timetable | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or SHRED |
| 5.6 | Class record books | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or SHRED |
| 5.7 | Mark Books | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or SHRED |
| 5.8 | Record of homework set | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or SHRED |
| 5.9 | Pupils' work | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or SHRED |
| 5.10 | Examination results | Yes | | Current year + 6 years | SHRED |
| 5.11 | SATS records | Yes | | Current year + 6 years | SHRED |
| 5.12 | PAN reports | Yes | | Current year + 6 years | SHRED |
| 5.13 | Value added records | Yes | | Current year + 6 years | SHRED |

| 6 Personnel Records held in Schools | | | | | |
|-------------------------------------|---|------------------|--|--|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
| 6.1 | Timesheets, sick pay | Yes | Financial Regulations | Current year + 6 years | SHRED |
| 6.2 | Staff Personal files | Yes | | Termination + 7 years | SHRED |
| 6.3 | Interview notes and recruitment records | Yes | | Date of interview + 6 months | SHRED |
| 6.4 | Pre-employment vetting information (including DBS checks) | No | DBS guidelines | Date of check + 6 months | SHRED [by the designated member of staff] |
| 6.5 | Disciplinary proceedings: | Yes | Where the warning relates to child protection issues see 1.2. If the disciplinary proceedings relate to a child protection matter please contact your safeguarding children officer for further advice. | | |
| 6.5a | <ul style="list-style-type: none"> oral warning | | | Date of warning + 6 months | SHRED ⁷ |
| 6.5b | <ul style="list-style-type: none"> written warning – level one | | | Date of warning + 6 months | SHRED |
| 6.5c | <ul style="list-style-type: none"> written warning – level two | | | Date of warning + 12 months | SHRED |
| 6.5d | <ul style="list-style-type: none"> final warning | | | Date of warning + 18 months | SHRED |
| 6.5e | <ul style="list-style-type: none"> case not found | | | If child protection related please see 1.2 otherwise shred immediately at the conclusion of the case | SHRED |
| 6.6 | Records relating to accident/injury at work | Yes | | Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied | SHRED |

⁷ If this is placed on a personal file it must be weeded from the file.

| 6 Personnel Records held in Schools | | | | | |
|--|--|-------------------------|---|--|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
| 6.7 | Annual appraisal/assessment records | No | | Current year + 5 years | SHRED |
| 6.8 | Salary cards | Yes | | Last date of employment + 85 years | SHRED |
| 6.9 | Maternity pay records | Yes | Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567) | Current year, +3yrs | SHRED |
| 6.10 | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes | | Current year + 6 years | SHRED |
| 6.11 | Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure | Yes | | Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff’s personal file. | |

| 7 Health and Safety | | | | | |
|----------------------------|-------------------------------|-------------------------|-------------------------------|---------------------------------------|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
| 7.1 | Accessibility Plans | | Disability Discrimination Act | Current year + 6 years | SHRED |

| 7 Health and Safety | | | | | |
|---------------------|---|------------------|---|--|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
| 7.2 | Accident Reporting | | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980 | | |
| 7.2a | <ul style="list-style-type: none"> Adults | Yes | | Date of incident + 7 years | SHRED |
| 7.2b | <ul style="list-style-type: none"> Children | Yes | | DOB of child + 25 years ⁸ | SHRED |
| 7.3 | COSHH | | | Current year + 10 years [where appropriate an additional retention period may be allocated] | SHRED |
| 7.4 | Incident reports | Yes | | Current year + 20 years | SHRED |
| 7.5 | Policy Statements | | | Date of expiry + 1 year | SHRED |
| 7.6 | Risk Assessments | | | Current year + 3 years | SHRED |
| 7.7 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | | | Last action + 40 years | SHRED |
| 7.8 | Process of monitoring of areas where employees and persons are likely to have come in contact with radiation | | | Last action + 50 years | SHRED |
| 7.9 | Fire Precautions log books | | | Current year + 6 years | SHRED |

⁸ A child may make a claim for negligence for 7 years from their 18th birthday. To ensure that all records are kept until the pupil reaches the age of 25 this retention period has been applied.

| 8 Administrative | | | | | | |
|------------------|--|------------------|----------------------|----------------------------------|--|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 8.1 | Employer's Liability certificate | | | Closure of the school + 40 years | SHRED | |
| 8.2 | Inventories of equipment and furniture | | | Current year + 6 years | SHRED | |
| 8.3 | General file series | | | Current year + 5 years | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 8.4 | School brochure or prospectus | | | Current year + 3 years | | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 8.5 | Circulars (staff/parents/pupils) | | | Current year + 1 year | SHRED | |
| 8.6 | Newsletters, ephemera | | | Current year + 1 year | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 8.7 | Visitors book | | | Current year + 2 years | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 8.8 | PTA/Old Pupils Associations | | | Current year + 6 years | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |

| 9 Finance | | | | | | |
|-----------|--|------------------|-----------------------|---|--|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 9.1 | Annual Accounts | | Financial Regulations | Current year + 6 years | | Offer to the Archives |
| 9.2 | Loans and grants | | Financial Regulations | Date of last payment on loan + 12 years | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 9.3 | Contracts | | | | | |
| 9.3a | <ul style="list-style-type: none"> under seal | | | Contract completion date + 12 years | SHRED | |
| 9.3b | <ul style="list-style-type: none"> under signature | | | Contract completion date + 6 years | SHRED | |
| 9.3c | <ul style="list-style-type: none"> monitoring records | | | Current year + 2 years | SHRED | |
| 9.4 | Copy orders | | | Current year + 2 years | SHRED | |
| 9.5 | Budget reports, budget monitoring etc | | | Current year + 3 years | SHRED | |
| 9.6 | Invoice, receipts and other records covered by the Financial Regulations | | Financial Regulations | Current year + 6 years | SHRED | |
| 9.7 | Annual Budget and background papers | | | Current year + 6 years | SHRED | |
| 9.8 | Order books and requisitions | | | Current year + 6 years | SHRED | |

| 9 Finance | | | | | | |
|------------------|--|-------------------------|-----------------------------|---------------------------------------|---|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 9.9 | Delivery Documentation | | | Current year + 6 years | SHRED | |
| 9.10 | Debtors' Records | | Limitation Act 1980 | Current year + 6 years | SHRED | |
| 9.11 | School Fund – Cheque books | | | Current year + 3 years | SHRED | |
| 9.12 | School Fund – Paying in books | | | Current year + 6 years then review | SHRED | |
| 9.13 | School Fund – Ledger | | | Current year + 6 years then review | SHRED | |
| 9.14 | School Fund – Invoices | | | Current year + 6 years then review | SHRED | |
| 9.15 | School Fund – Receipts | | | Current year + 6 years | SHRED | |
| 9.16 | School Fund – Bank statements | | | Current year + 6 years then review | SHRED | |
| 9.17 | School Fund – School Journey books | | | Current year + 6 years then review | SHRED | |
| 9.18 | Applications for free school meals, travel, uniforms etc | | | Whilst child at school | SHRED | |
| 9.19 | Student grant applications | | | Current year + 3 years | SHRED | |
| 9.20 | Free school meals registers | Yes | Financial Regulations | Current year + 6 years | SHRED | |
| 9.21 | Petty cash books | | Financial Regulations | Current year + 6 years | SHRED | |

| 10 Property | | | | | | |
|-------------|--|------------------|-----------------------|--------------------------------|---|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 10.1 | Title Deeds | | | Permanent | Permanent these should follow the property unless the property has been registered at the Land Registry | Offer to Archives if the deeds are no longer needed |
| 10.2 | Plans | | | Permanent | Retain in school whilst operational | Offer to Archives ⁹ |
| 10.3 | Maintenance and contractors | | Financial Regulations | Current year + 6 years | SHRED | |
| 10.4 | Leases | | | Expiry of lease + 6 years | SHRED | |
| 10.5 | Lettings | | | Current year + 3 years | SHRED | |
| 10.6 | Burglary, theft and vandalism report forms | | | Current year + 6 years | SHRED | |
| 10.7 | Maintenance log books | | | Last entry + 10 years | SHRED | |
| 10.8 | Contractors' Reports | | | Current year + 6 years | SHRED | |

⁹ If the property has been sold for private housing then the archives service will embargo these records for an appropriate period of time to prevent them being used to plan or carry out a crime.

| 11 Local Education Authority | | | | | | |
|------------------------------|-------------------------------------|------------------|----------------------|--------------------------------|--|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 11.1 | Secondary transfer sheets (Primary) | Yes | | Current year + 2 years | SHRED | |
| 11.2 | Attendance returns | Yes | | Current year + 1 year | SHRED | |
| 11.3 | Circulars from LEA | | | Whilst required operationally | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |

| 12 Department for Children, Schools and Families | | | | | | |
|--|--|------------------|----------------------|--|--|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record | |
| 12.1 | HMI reports | | | These do not need to be kept any longer | | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 12.2 | OFSTED reports and papers | | | Replace former report with any new inspection report | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |
| 12.3 | Returns | | | Current year + 6 years | SHRED | |
| 12.4 | Circulars from Department for Children, Schools and Families | | | Whilst operationally required | Review to see whether a further retention period is required | Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] |

| 13 Connexions | | | | | |
|----------------------|-------------------------------|-------------------------|-----------------------------|---------------------------------------|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
| 13.1 | Service level agreements | | | Until superseded | SHRED |
| 13.2 | Work Experience agreement | | | DOB of child + 18 years | SHRED |

| 14 Schools Meals | | | | | |
|-------------------------|-------------------------------|-------------------------|-----------------------------|---------------------------------------|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Action at the end of the administrative life of the record |
| 14.1 | Dinner Register | | | C + 3 years | SHRED |
| 14.2 | School Meals Summary Sheets | | | C + 3 years | SHRED |

| 15 Family Liaison Officers and Parent Support Assistants | | | | | |
|---|--|-------------------------|-----------------------------|---|---------------------------|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Method of Disposal |
| 15.1 | Day Books | Y | | Current year + 2 years then review | SHRED |
| 15.2 | Reports for outside agencies – where the report has been included on the case file created by the outside agency | Y | | Whilst the child is attending the school then destroy | SHRED |
| 15.3 | Referral forms | Y | | While the referral is current then | SHRED |
| 15.4 | Contact data sheets | Y | | Current year then review, if contact is no longer active then destroy | SHRED |

| 15 Family Liaison Officers and Parent Support Assistants | | | | | |
|--|---|-------------------------|-----------------------------|---|---------------------------|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | Method of Disposal |
| 15.5 | Contact database entries | Y | | Current year then review, if contact is no longer active then destroy | DELETE |
| 15.6 | Group Registers | Y | | Current year + 2 years | SHRED |
| 16 Early Years Provision | | | | | |
| 16.1 Records to be kept by Registered Persons - All Cases | | | | | |
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] | |
| 16.1.1 | The name, home address and date of birth of each child who is looked after on the premises | Y | | Closure of setting + 50 years [These could be required to show whether or not an individual child attended the setting in a child protection investigation] | |
| 16.1.2 | The name, home address and telephone number of a parent of each child who is looked after on the premises | Y | | If this information is kept in the same book or on the same form as in 16.1.1 then the same retention period should be used as in 16.1.1 If the information is stored separately, then destroy once the child has left the setting (unless the information is collected for anything other than emergency contact) | |
| 16.1.3 | The name, address and telephone number of any person who will be looking after children on the premises | Y | | See 16.4.5 below | |

| 16 Early Years Provision | | | | |
|--|--|-------------------------|--|---|
| 16.1 Records to be kept by Registered Persons - All Cases | | | | |
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] |
| 16.1.4 | A daily record of the names of children looked after on the premises, their hours of attendance and the names of the persons who looked after them | Y | The Day Care and Child Minding (National Standards) (England) Regulations 2003 | The regulations say that these records should be kept for 2 years (SI20031996 7(1b)). If these records are likely to be needed in a child protection setting (see 16.1.1 above) then the records should be retained for closure of setting + 50 years |
| 16.1.5 | A record of accidents occurring on the premises and incident books relating to other incidents | Y | The Day Care and Child Minding (National Standards) (England) Regulations 2003 ¹⁰ | DOB of the child involved in the accident or the incident + 25 years If an adult is injured then the accident book must be kept for 7 years from the date of the incident |
| 16.1.6 | A record of any medicinal product administered to any child on the premises, including the date and circumstances of its administration, by whom it was administered, including medicinal products which the child is permitted to administer to himself, together with a record of parent's consent | Y | The Day Care and Child Minding (National Standards) (England) Regulations 2003 ¹¹ | DOB of the child being given/taking the medicine + 25 years |
| 16.1.7 | Records of transfer | Y | | One copy is to be given to the parents, one copy transferred to the Primary School where the child is going |
| 16.1.8 | Portfolio of work, observations and so on | Y | | To be sent home with the child |

¹⁰ The regulations say that these records should be kept for 2 years (SI20031996 7(1b)). The Statute of Limitations states that a minor may make a claim for 7 years from their eighteenth birthday, therefore the retention should be for the longer period.

¹¹ The regulations say that these records should be kept for 2 years (SI20031996 7(1b)). The NHS records retention schedule states that any records relating to a child under the age of 18 should be retained until that child reaches the age of 25 years. Therefore, the retention should be DOB of the child being given/taking the medicine + 25 years

| 16 Early Years Provision | | | | |
|--|-------------------------------|-------------------------|-----------------------------|--|
| 16.1 Records to be kept by Registered Persons - All Cases | | | | |
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] |
| 16.1.9 | Birth certificates | Y | | Once the setting has had sight of the birth certificate and recorded the necessary information the original can be returned to the parents. There is no requirement to keep a copy of the birth certificate. |

| 16.2 Records to be kept by Registered Persons - Day Care | | | | |
|---|---|-------------------------|-----------------------------|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] |
| 16.2.1 | The name and address and telephone number of the registered person and every other person living or employed on the premises | Y | | See 16.4 below |
| 16.2.2 | A statement of the procedure to be followed in the event of a fire or accident | N | | Procedure superseded + 7 years |
| 16.2.3 | A statement of the procedure to be followed in the event of a child being lost or not collected | N | | Procedure superseded + 7 years |
| 16.2.4 | A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person | N | | Until superseded |
| 16.2.4 | A statement of the arrangements in place for the protection of children, including arrangements to safeguard the children from abuse or neglect and procedures to be followed in the event of allegations of abuse or neglect | N | | Closure of setting + 50 years [These could be required to show whether or not an individual child attended the setting in a child protection investigation] |

| 16.3 Records to be kept by Registered Persons - Overnight provision – under 2's | | | | |
|--|--|-------------------------|-----------------------------|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] |
| 16.3.1 | Emergency contact details for appropriate adult to collect the child if necessary | Y | | Destroy once the child has left the setting (unless the information is collected for anything other than emergency contact) |
| 16.3.2 | Contract, signed by the parent, stating all the relevant details regarding the child and their care, including the name of the emergency contact and confirmation of their agreement to collect the child during the night | Y | | Date of birth of the child who is the subject of the contract + 25 years |

| 16.4 Other Records - Administration | | | | |
|--|--|-------------------------|--|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] |
| | Financial Records | | | |
| 16.4.1 | Financial records – accounts, statements, invoices, petty cash etc | N | | Current year + 6 years |
| | Insurance | | | |
| 16.4.2 | Insurance policies – Employers Liability | N | Employers Liability Financial Regulations | The policies are kept for a minimum of 6 years and a maximum of 40 years depending on the type of policy |
| 16.4.3 | Claims made against insurance policies – damage to property | Y | | Case concluded + 3 years |
| 16.4.4 | Claims made against insurance policies – personal injury | Y | | Case concluded + 6 years |

| 16.4 Other Records - Administration | | | | |
|--|---|-------------------------|-----------------------------|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [operational] |
| | Human Resources | | | |
| 16.4.5 | Personal Files - records relating to an individual's employment history | Y ¹² | | Termination + 6 years then review |
| 16.4.6 | Pre-employment vetting information (including DBS checks) | N | DBS guidelines | Date of check + 6 months |
| 16.4.7 | Staff training records – general | Y | | Current year + 2 years |
| 16.4.8 | Training (proof of completion such as certificates, awards, exam results) | Y | | Last action + 7 years |
| | Premises and Health and Safety | | | |
| 16.4.9 | Premises files (relating to maintenance) | N | | Cessation of use of building + 7 years then review |
| 16.4.10 | Risk Assessments | N | | Current year + 3 years |

| ¹² For Data Protection purposes the following information should be kept on the file for the following periods : | |
|---|------------------------|
| • all documentation on the personal file | Duration of employment |
| • pre-employment and vetting information | Start date + 6 months |
| • records relating to accident or injury at work | Minimum of 12 years |
| • annual appraisal/assessment records | Minimum of 5 years |
| • records relating to disciplinary matters (kept on personal files) | |
| o oral warning | 6 months |
| o first level warning | 6 months |
| o second level warning | 12 months |
| o final warning | 18 months |



Records Management Tool Kit for Schools
Version 3.1
Retention Guidelines – Summary of Contents