

# Records Management Toolkit for Schools

Version 4 - May 2012



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It is with great pleasure that, on behalf of the Information and Records Management Society (IRMS), I present to you, this, the fourth edition of the IRMS Schools Information and Records Management Toolkit.

This incredibly useful booklet is an absolute must for every head teacher and school administrator. In its few pages is virtually everything a school will need to manage its information and records effectively and professionally. While larger organisations such as Universities and Local Authorities are able to allocate specific resources and staffing to such matters, in schools information and records management is yet another administrative burden on the same old shoulders!

In the IRMS Schools Information and Records Management Toolkit you will find information about retention guidelines for different types of records created by schools and includes specific sections on developing a Records Management Policy, the closure of schools and the transfer to Academy status, disposal of records, pupil records, managing email, conducting information audits and Information Security and Business Continuity.

The Information and Records Management Society is making its Schools Information and Records Management Toolkit available to all Schools free of charge and this is as a result of the kind sponsorship by Tribal.

To conclude, I would like to thank those whose efforts and expertise created the IRMS Schools Information and Records Management Toolkit, the Toolkit Editor, Elizabeth Barber of Kent County Council and contributors, Alison Marsh, Salford Royal NHS Foundation Trust; Anthony Sawyer, Herefordshire Public Services; Craig Ferguson, Warwickshire County Council; John Davies, TFPL Consultancy; Joseph Bartoletti, Middlesbrough Council; Keith Batchelor, Batchelor Associates; Lia Lutfi, Birmingham City Council; Sarah Graham, Information Governance Officer (Records Management) Newcastle City Council; Suzy Taylor, New College Durham; Elizabeth Wells, Westminster School; Tim McGarr and David Fatscher, BSI Group.

## Matthew Stephenson

Chair

Information and Records Management Society

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# Records Management Toolkit for Schools

Version 4 - April 2012

The Records Management Toolkit for Schools has been created to assist public sector schools in their compliance with the Freedom of Information Act 2000. Independent schools using the toolkit will need to bear in mind that certain parts of the toolkit will not be relevant to them.

The toolkit has been comprehensively revised and some additions have been made and some changes have been made to the format of the document. The information below outlines what can be found in the toolkit with links to the relevant documents which can then be downloaded and amended electronically for use in the school. For the changes that have been made to version 3.1 see Version Control.

All comments and amendments relating to the Records Management Toolkit for Schools should be sent to Elizabeth Barber at [elizabeth.barber@kent.gov.uk](mailto:elizabeth.barber@kent.gov.uk).

The Records Management Toolkit for Schools is designed as guidance and should not be quoted to users as being a "standard". All local authorities should seek the advice of their own legal departments before using the toolkit. Local authorities should not refer members of the public to the IRMS for clarification about the toolkit. The IRMS is not a public body and therefore is not subject to the Freedom of Information Act 2000. All requests for information relating to the toolkit used by individual authorities must be addressed by that authority.

The review group consisted of the following members:

<b>Overall Editor:</b>	<b>Elizabeth Barber</b>	Kent County Council
<b>Contributors:</b>	<b>Alison Marsh</b>	Salford Royal NHS Foundation Trust
	<b>Anthony Sawyer</b>	Herefordshire Public Services
	<b>Craig Ferguson</b>	Warwickshire County Council
	<b>John Davies</b>	TFPL Consultancy
	<b>Joseph Bartoletti</b>	Middlesbrough Council
	<b>Keith Batchelor</b>	Batchelor Associates
	<b>Lia Lutfi</b>	Birmingham City Council
	<b>Sarah Graham</b>	Information Governance Officer (Records Management) Newcastle City Council
	<b>Suzy Taylor</b>	New College Durham

The Records Management Toolkit for Schools contains the following sections, which are hyperlinked from the contents page for ease of reference.

## Records Management Policy

Each public authority (including individual schools) should have a records management policy. The toolkit contains a Policy Document which can be adopted in its entirety or adapted to reflect the different needs of different schools.

# Records Management Programme

The Records Management Toolkit aims to assist individual schools to manage records throughout their lifecycle. There is advice about managing e-mail to ensure that it becomes part of the vital record. There is information and advice about information security and how to ensure compliance under the Data Protection Act 2000 and information about business continuity to ensure that vital records are not lost or destroyed in the event of fire, flood or theft. There is also some advice about how to conduct an information audit.

## Pupil Records

Some guidelines about what should be included in the main pupil record have been included and some advice about what information should be transferred on to the next school and how this information should be transferred.

## Retention Guidelines

The core part of the toolkit are the retention guidelines which list all the possible records any school, in England & Wales, might produce and the recommended retention periods. Some of these have a statutory basis, others have been agreed in consultation with schools around the county. There are also retention guidelines for Early Years Providers. There is some information about the benefits of using a retention schedule. There are also guidelines about the safe disposal of records which may include transferring records to the local archive office.

## Closed School Guidance

There is some general guidance about needs to be done with records when a school closes or amalgamates with another school in the same area.



# Records Management Policy

## Background

Section 46 of the Freedom of Information Act 2000 requires schools to follow a Code of Practice on managing their records. Under section 7 of the Code of Practice on the Management of Records, it states that

**“Authorities should have in place a records management policy, either as a separate policy or as part of a wider information or knowledge management policy.”** This policy needs to:

*be endorsed by senior management, for example at board level, and should be readily available to staff at all levels. (7.1)*

*provide a mandate for the records and information management function and a framework for supporting standards, procedures and guidelines. The precise contents will depend on the particular needs and culture of the authority but it should as a minimum:*

- a) Set out the authority's commitment to create, keep and manage records which document its principal activities;*
- b) Outline the role of records management and its relationship to the authority's overall business strategy;*
- c) Identify and make appropriate connections to related policies, such as those dealing with email, information security and data protection;*
- d) Define roles and responsibilities, including the responsibility of individuals to document their work in the authority's records to the extent that, and in the way that, the authority has decided their work should be documented, and to use those records appropriately;*
- e) Indicate how compliance with the policy and the supporting standards, procedures and guidelines will be monitored. (7.2)*

*The policy should be kept up-to-date so that it reflects the current needs of the authority. One way of ensuring this is to review it at agreed intervals, for example every three or five years, and after major organisational or technological changes, in order to assess whether it needs amendment. (7.3)*

*The authority should consider publishing the policy so that members of the public can see the basis on which it manages its records. (7.4)*

[For a full copy of the Lord Chancellor's Code of Practice see [www.dca.gov.uk/foi/codesprac.htm](http://www.dca.gov.uk/foi/codesprac.htm)]

## The Model Policy

The following is a model policy statement which could be adopted by individual schools. It has been extracted from model action plan for developing records management compliant with the Lord Chancellor's Code of Practice under Section 46 of the Freedom of Information Act 2000 Model Action Plan for Schools.

The model policy statement can be adopted in its entirety or can be amended to reflect the needs of individual schools. Once it has been amended it should be approved by the governing body or other appropriate authority. Once the records management policy has been approved at the appropriate level it should be published, perhaps as part of the publication scheme.

# [Name of] School

## Records Management Policy

The School recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution. Records provide evidence for protecting the legal rights and interests of the school, and provide evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- **Scope**
- **Responsibilities**
- **Relationships with existing policies**

### 1 Scope of the policy

- 1.1 This policy applies to all records created, received or maintained by staff of the school in the course of carrying out its functions.
- 1.2 Records are defined as all those documents which facilitate the business carried out by the school and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created or received, and then stored, in hard copy or electronically.
- 1.3 A small percentage of the school's records may be selected for permanent preservation as part of the institution's archives and for historical research. This should be done in liaison with the local county archives centre.

### 2 Responsibilities

- 2.1 The school has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Head of the School.
- 2.2 The person responsible for records management in the school will give guidance about good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately.
- 2.3 Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the school's records management guidelines.

### 3 Relationship with existing policies

This policy has been drawn up within the context of:

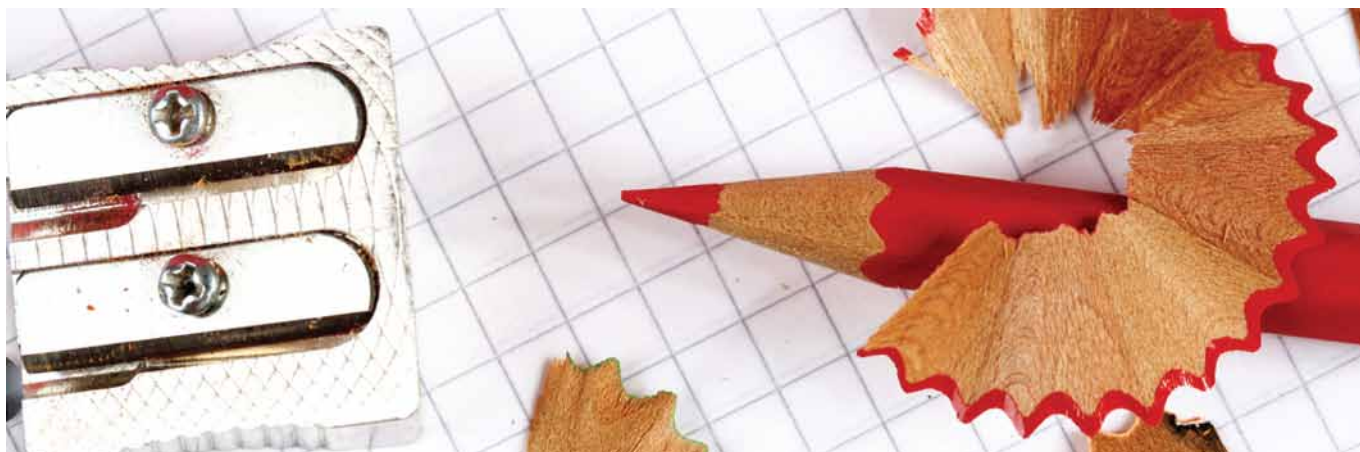
- **Freedom of Information Policy**
- **Data Protection Policy**
- **and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the school**

Signed: \_\_\_\_\_ [Head of School]

### Acknowledgements

Content developed by:

**Anthony Sawyer** Herefordshire Public Services  
**John Davies** TFPL Consultancy



## Pupil Records

These guidelines are intended to help provide consistency of practice in the way in which pupil records are managed. These will assist schools about how pupil records should be managed and what kind of information should be included in the file. It is hoped that the guidelines will develop further following suggestions and comments from those members of staff in schools who have the most contact with pupil records.

These are only guidelines and have no legal status, if you are in doubt about whether a piece of information should be included on the file please contact the Local Authority.

## Managing Pupil Records

The pupil record should be seen as the core record charting an individual pupil's progress through the Education System. The pupil record should accompany the pupil to every school they attend and should contain information that is accurate, objective and easy to access. These guidelines are based on the assumption that the pupil record is a principal record and that all information relating to the pupil will be found in the file (although it may spread across more than one file cover).

### 1. File covers for pupil records

It is strongly recommended that schools use a consistent file cover for the pupil record. This assists the secondary school to ensure consistency of practice when receiving records from a number of different primary schools. If, for example, primary schools have many different file covers for their files, the secondary school that the pupil files were transferred to would then be holding different levels of information for pupils which had come from different primary schools.

By using pre-printed file covers all the necessary information is collated and the record looks tidy and reflects the fact that it is the principal record containing all the information about an individual child. The use of standard document wallets should be avoided as it is very difficult to ensure that all the information required by the school is recorded consistently.

### 2. Recording information

A pupil or their nominated representative have the legal right to see their file at any point during their education and even until the record is destroyed (when the pupil is 25 years of age or 35 years from date of closure for pupils with special educational needs). This is their right of subject access under the Data Protection Act 1998. It is important to remember that all information should be accurately recorded, objective in nature and expressed in a professional manner.



### 3. Primary School records

#### 3a. Opening a file

The pupil record starts its life when a file is opened for each new pupil as they begin school. This is the file which will follow the pupil for the rest of his/her school career. If pre-printed file covers are not being used then the following information should appear on the front of the paper file:

- **Surname**
- **Forename**
- **DOB**
- **Special Educational Needs Yes/No [This is to enable the files of children with special educational needs to be easily identified for longer retention]**

The file cover should also contain a note of the date when the file was opened and the date when the file is closed if it is felt to be appropriate.

Inside the front cover the following information should be easily accessible:

- **The name of the pupil's doctor**
- **Emergency contact details**
- **Gender**
- **Preferred name**
- **Position in family**
- **Ethnic origin [although this is "sensitive" data under the Data Protection Act 1998, the Department for Education require statistics about ethnicity]**
- **Language of home (if other than English)**
- **Religion [although this is "sensitive" data under the Data Protection Act 1998, the school has good reasons for collecting the information]**
- **Any allergies or other medical conditions that it is important to be aware of [although this is "sensitive" data under the Data Protection Act 1998, the school has good reasons for collecting the information]**
- **Names of parents and/or guardians with home address and telephone number (and any additional relevant carers and their relationship to the child)**
- **Name of the school, admission number and the date of admission and the date of leaving.**
- **Any other agency involvement e.g. speech and language therapist, paediatrician**

It is essential that these files, which contain personal information, are managed against the information security guidelines also contained in the toolkit.

#### 3b. Items which should be included on the pupil record

- **If the pupil has attended an early years setting, then the record of transfer should be included on the pupil file**
- **Admission form (application form)**
- **Fair processing notice [if these are issued annually only the most recent need be on the file]**
- **Parental permission for photographs to be taken (or not)**
- **Years Record**
- **Annual Written Report to Parents**
- **National Curriculum and R.E. Agreed Syllabus Record Sheets**
- **Any information relating to a major incident involving the child (either an accident or other incident)**
- **Any reports written about the child**
- **Any information about a statement and support offered in relation to the statement**
- **Any relevant medical information (should be stored in the file in an envelope clearly marked as such)**

- **Child protection reports/disclosures (should be stored in the file in an envelope clearly marked as such)**
- **Any information relating to exclusions (fixed or permanent)**
- **Any correspondence with parents or outside agencies relating to major issues**
- **Details of any complaints made by the parents or the pupil**

The following records should be stored separately to the pupil record as they are subject to shorter retention periods and if they are placed on the file then it will involve a lot of unnecessary weeding of the files before they are transferred on to another school.

- **Absence notes**
- **Parental consent forms for trips/outings [in the event of a major incident all the parental consent forms should be retained with the incident report not in the pupil record]**
- **Correspondence with parents about minor issues**
- **Accident forms (these should be stored separately and retained on the school premises until their statutory retention period is reached. A copy could be placed on the pupil file in the event of a major incident)**

### **3c. Transferring the pupil record to the secondary school**

The pupil record should not be weeded before transfer to the secondary school unless any records with a short retention period have been placed in the file. It is important to remember that the information which may seem unnecessary to the person weeding the file may be a vital piece of information required at a later stage.

Primary schools do not need to keep copies of any records in the pupil record except if there is an ongoing legal action when the pupil leaves the school. Custody of and responsibility for the records passes to the school the pupil transfers to.

If files are sent by post, they should be sent by registered post with an accompanying list of the files. Where possible, the secondary school should sign a copy of the list to say that they have received the files and return that to the primary school. Where appropriate, records can be delivered by hand with signed confirmation for tracking and auditing purposes.

Electronic documents that relate to the pupil file also need to be transferred, or, if duplicated in a master paper file, destroyed.

## **4. Secondary School records**

### **4a. Items which should be included on the pupil record**

- **Admission form (application form)**
- **Fair processing notice [if these are issued annually only the most recent need be on the file]**
- **Parental permission for photographs to be taken (or not)**
- **Years Record**
- **Annual Written Report to Parents**
- **National Curriculum and R.E. Agreed Syllabus Record Sheets**
- **Any information relating to a major incident involving the child (either an accident or other incident)**
- **Any reports written about the child**
- **Any information about a statement and support offered in relation to the statement**
- **Any relevant medical information (should be stored in the file in an envelope)**
- **Child protection reports/disclosures (should be stored in the file in an envelope clearly marked as such)**
- **Any information relating to exclusions (fixed or permanent)**
- **Any correspondence with parents or outside agencies relating to major issues**
- **Details of any complaints made by the parents or the pupil**

The following records should be stored separately to the pupil record as they are subject to shorter retention periods and if they are placed on the file then it will involve a lot of unnecessary weeding of the files once the pupil leaves the school.

- **Absence notes**
- **Parental consent forms for trips/outings [in the event of a major incident all the parental consent forms should be retained with the incident report not in the pupil record]**
- **Correspondence with parents about minor issues**
- **Accident forms (these should be stored separately and retained on the school premises until their statutory retention period is reached. A copy could be placed on the pupil file in the event of a major incident)**

## 5. Responsibility for the pupil record once the pupil leaves the school

The school which the pupil attended until statutory school leaving age (or the school where the pupil completed sixth form studies) is responsible for retaining the pupil record until the pupil reaches the age of 25 years. This retention is set in line with the Limitation Act 1980 which allows that a claim can be made against an organisation by a minor for up to 7 years from their 18th birthday.

## 6. Safe destruction of the pupil record

The pupil record should be disposed of in accordance with the safe disposal of records guidelines.

## 7. Transfer of a pupil record outside the EU area

If you are requested to transfer a pupil file outside the EU area because a pupil has moved into that area, please contact the Local Education Authority for further advice.

## 8. Storage of pupil records

All pupil records should be kept securely at all times. Paper records, for example, should be kept in lockable storage areas with restricted access, and the contents should be secure within the file. Equally, electronic records should have appropriate security.

Access arrangements for pupil records should ensure that confidentiality is maintained whilst equally enabling information to be shared lawfully and appropriately, and to be accessible for those authorised to see it.

## Acknowledgements

Content developed by:

**Anthony Sawyer** Herefordshire Public Services  
**Joseph Bartoletti** Middlesbrough Council



# Information Audits

## 1. What is an information audit?

An information audit is a form of records survey encompassing:

- Paper documents and records
- Electronic documents and records
- Databases (proprietary or developed in-house)
- Microfilm/microfiche
- Sound recordings
- Video/photographic records (including those records taken on traditional magnetic tape and photographic paper but increasingly digital sound, video and photo files)
- Hybrid files<sup>1</sup>
- Knowledge

The information audit is designed to help organisations complete an information asset register<sup>2</sup>. The terminology grows out of the concept of “knowledge management” which involves the capture of knowledge in whatever form it is held, including encouraging people to document the information they would previously have held in their heads.

It is now generally accepted that information is an organisation’s greatest asset and that it should be managed in the same way as the organisation’s more tangible assets such as staff, buildings and money.

Effective Information Management is about getting the right information to the right people at the right time and an information audit is key to achieving this.

<sup>1</sup> Hybrid files are files which contain both paper and electronic information.

<sup>2</sup> The information audit is designed to help create fileplans, file classification schemes, retention/disposal schedule, identify vital records and the assigning of protective marking

## 2. What are the benefits of the information audit?

The information audit is designed to allow organisations to discover the information they are creating, holding, receiving and using and therefore to manage that information in order to get the most effective business use from it. For a school the concept is much more concerned with accessibility of information. The information audit allows the school to identify the personal information it creates and stores to allow correct management under the Data Protection Act (DPA) 1998.

NB. Under the DPA all schools, whether LA, Academy or independent are Data Controllers in their own right.

Information a school creates and uses to make the decisions which affect people's daily lives may well become subject to the Freedom of Information Act 2000. NB. Academies also fall under FOI (introduced in paragraph 10 of Schedule 2 of the Academies Act 2010) and should use the model publication scheme for schools.

In other words an information audit collects the information necessary to formulate and implement an efficient records management programme and to ensure compliance with legislation.

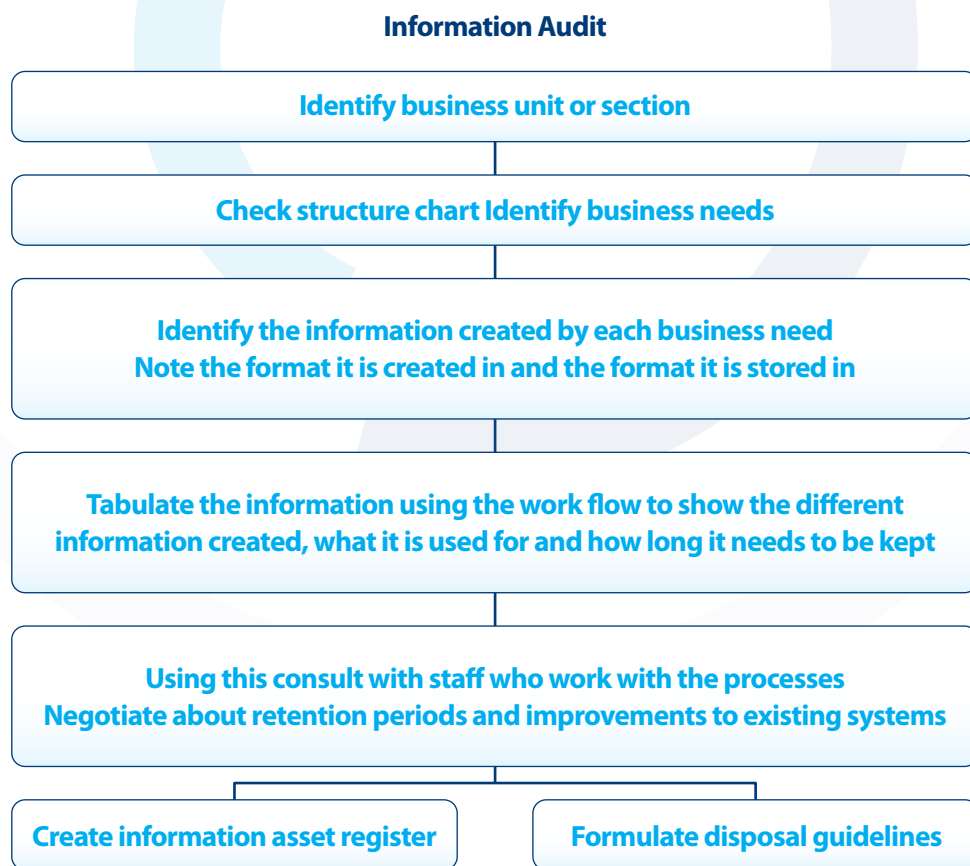
### 3. How to go about an information audit. [see the flow chart below]

The information audit works on the premise that all information is created for a purpose (business need) and the information created and stored is to support that business need.

The information audit works through a work-flow process [see flow chart below] identifying which information is created at which point in the process, what it is used for, how long it is needed, whether or not it should be captured as part of the "vital" record of the school (i.e. whether it is a working document or a final policy or report) and whether it needs to be protectively marked.

The information audit can be conducted in a number of ways:

- **Interviewing key staff from the key areas to identify the information and information flows etc.**
- **Sending out questionnaires to key staff to identify the information and information flows etc., although NB. These may be less likely to be returned as staff are busy and see a questionnaire as low priority**
- **A mixture of the above**



Whichever option you chose it is important that you speak with senior management in order to get their buy-in and understanding of what it is and why you're doing it. Even if you decide to send out questionnaires it is important that you let staff know what it is you're doing and why. After all, they work with the information so they are best placed to identify it and any requirements. It also helps senior management and staff to start to understand their information responsibilities and should help ensure questionnaires are completed and returned on time.

Once this process has been completed the information audit should contain a list of business needs, the kind of information created to meet that business need, the format in which it is stored, how long it needs to be kept, vital records status and any protective marking. Where local copies have been recorded by the information audit it might also be useful to stipulate who is responsible for retaining the master document/record (eg. local copies of minutes of a meeting may be kept by individual members of the school senior management team on a temporary basis but the Head will usually be responsible, as Chair of that meeting for the master set of minutes).

#### For example: (Specimen only)

<b>Bursar</b>				
<b>Business Function:</b> Payment of Invoices				
<b>Record</b>	<b>Format</b>	<b>Retention/Disposal period</b>	<b>Vital Record status</b>	<b>Protective Marking</b>
Invoice	Paper	Payment plus 6 years (Audit)	Not important	Not Protectively Marked
Payment authorisation	Electronic			
Payment made	Electronic			
Acknowledgement	Paper			

Once the information audit can be formulated like this then the person completing the audit needs to consult with the staff actually involved in the processes to ensure that this is an accurate reflection of what happens. At this point some negotiation may need to take place if there are any anomalies. The purpose of the information audit is to identify where processes can be improved, not merely to document what happens at present.

Once the information audit is felt to be accurate then the information can be tabulated into an information asset register if it is appropriate. This enables all members of staff to see what information is created, by which business process, where it should be filed and how it should be managed. This helps with business continuity in the case of an emergency as members of staff are encouraged to consider what information they would need to carry on with their work.

The results of the information audit should be presented to senior managers for comments and final approval. This will provide the audit with senior endorsement.

Finally, any information audit is only a snapshot in time and is only as good as the information which is provided by those taking part. Therefore in order for information systems to be kept up-to-date, including capturing information created by new and developing technologies, formats and to take account of new functions, and legislation the audit results should be regularly reviewed and updated.

#### Acknowledgements

Content developed by:

<b>Craig Ferguson</b>	Warwickshire County Council
<b>Suzy Taylor</b>	New College Durham
<b>Keith Batchelor</b>	Batchelor Associates

# Appendix A.

## Sample Information Survey Form

1. Name of school	2. Department and contact details	3. Interviewee/person completing form Day to day responsibility
4. What is the information series called?	5. Purpose of information	
6. What is the format? ✓ as appropriate <input type="checkbox"/> Paper <input type="checkbox"/> Film <input type="checkbox"/> Electronic If electronic ✓ format <input type="checkbox"/> CD <input type="checkbox"/> Tape <input type="checkbox"/> Floppy <input type="checkbox"/> Hard drive <input type="checkbox"/> Server <input type="checkbox"/> Other	7. Which other Sections / Teams have access to them?	9. How many individual records in the series? 9a. If paper or film - type of storage 9b. Linear metreage / cms / megabytes 9c. Annual growth
10. How often are they accessed? ✓ <input type="checkbox"/> Less than once a month? <input type="checkbox"/> At least once a month but not every week? <input type="checkbox"/> At least once a week but not every day? <input type="checkbox"/> Daily?	11. How long do you need to keep this information? ✓ <input type="checkbox"/> Less than 1 year <input type="checkbox"/> Less than 2 years <input type="checkbox"/> 2 to 6 years <input type="checkbox"/> 6 to 10 years <input type="checkbox"/> 10 to 25 years <input type="checkbox"/> 25 to 50 years <input type="checkbox"/> 50 to 100 years <input type="checkbox"/> Archived for research	
12. State the reason for the retention period	13. Does a duplicate exist? ✓ <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know If yes where? In what form? <input type="checkbox"/> Paper <input type="checkbox"/> Film <input type="checkbox"/> Electronic If electronic what format? <input type="checkbox"/> CD <input type="checkbox"/> Tape <input type="checkbox"/> Floppy <input type="checkbox"/> Hard drive <input type="checkbox"/> Server <input type="checkbox"/> Other	
14. The loss of certain information through fire or some other disaster would have very serious consequences for the Councils operations. Does this information fall into this category? ✓ <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know If yes please explain why.		
15. Any other comments (Use reverse of form if necessary)		



## Good Practice for Managing E-mail

### 1. Introduction

These guidelines are intended to assist school staff to manage their e-mail in the most effective way, and must be used in conjunction with your school's policies on the use of ICT.

Information about how your e-mail application works is not included in this document.

### 2. Eight Things You Need to Know About E-mail

#### **E-mail has replaced telephone calls and memos**

As communicating by e-mail is quick and easy, many people have replaced telephone conversations and memos with e-mail discussions. However, the language in which e-mail is written is often less formal and more open to misinterpretation than a written memo or a formal letter. Remember that e-mail should be laid out and formulated to your school's standards for written communications. .

#### **E-mail is not always a secure medium to send confidential information**

You need to think about information security when you send confidential information by e-mail. The consequences of an e-mail containing sensitive information being sent to an unauthorised person could be a fine from the Information Commissioner or it could end up on the front page of a newspaper. Confidential or sensitive information should only be sent by a secure encrypted e-mail system. Never put personal information (such as a pupil's name) in the subject line of an e-mail.

#### **E-mail is disclosable under the access to information regimes**

All school e-mail is disclosable under Freedom of Information and Data Protection legislation. Be aware that anything you write in an email could potentially be made public.

#### **E-mail is not necessarily deleted immediately**

E-mails can remain in a system for a period of time after you have deleted them. You must remember that although you may have deleted your copy of the e-mail, the recipients may not and therefore there will still be copies in existence. These copies could be disclosable under the Freedom of Information Act 2000 or under the Data Protection Act 1998.

#### **E-mail can form a contractual obligation**

Agreements entered into by e-mail do form a contract. You need to be aware of this if you enter into an agreement with anyone, especially external contractors. Individual members of staff should not enter into agreements either with other members of staff internally or with external contractors unless they are authorised to do so.

#### **E-mail systems are commonly used to store information which should be stored somewhere else**

All attachments in e-mail should be saved into any appropriate electronic filing system or printed out and placed on paper files.



### **Employers must be careful how they monitor e-mail**

Any employer has a right to monitor the use of e-mail provided it has informed members of staff that it may do so. Monitoring the content of e-mail messages is a more sensitive matter and if you intend to do this you will need to be able to prove that you have the consent of staff. If you intend to monitor staff e-mail or telephone calls you should inform them how you intend to do this and who will carry out the monitoring.

The Information Commissioner's Employment Practices Code is an excellent guide to this subject.

### **E-mail is one of the most common causes of stress in the work-place**

While e-mail can be used to bully or harass people, it is the sheer volume of e-mail which often causes individuals to feel that they have lost control of their e-mail and their workload. Regular filing and deletion can prevent this happening.

## **3 Creating and sending e-mail**

Here are some steps to consider when sending e-mail.

### **Do I need to send this e-mail?**

Ask yourself whether this transaction needs to be done by e-mail? It may be that it is more appropriate to use the telephone or to check with someone face to face.

### **Who do I need to send this e-mail to?**

Limit recipients to the people who really need to receive the e-mail. Avoid the use of global or group address lists unless it is absolutely necessary. Never send on chain e-mails.

### **Use a consistent method of defining a subject line**

Having a clearly defined subject line helps the recipient to sort the e-mail on receipt. A clear subject line also assists in filing all e-mails relating to individual projects in one place. For example, the subject line might be the name of the policy, or the file reference number.

### **Ensure that the e-mail is clearly written**

- **Do not use text language or informal language in school e-mails.**
- **Always sign off with a name (and contact details).**
- **Make sure that you use plain English and ensure that you have made it clear how you need the recipient to respond. Never write a whole e-mail in capital letters.**
- **Always spell check an e-mail before you send it. Do not use the urgent flag unless it is absolutely necessary, recipients will not respond to the urgent flag if they perceive that you use it routinely.**
- **If possible, try to stick to one subject for the content of each e-mail, as it will be easier to categorise it later if you need to keep the e-mail.**

### **Sending attachments**

Sending large attachments (e.g. graphics or presentations) to a sizeable circulation list can cause resource problems on your network. Where possible put the attachment in an appropriate area on a shared drive and send the link round to the members of staff who need to access it.

### **Disclaimers**

Adding a disclaimer to an e-mail mitigates risk, such as sending information to the wrong recipient, or helps to clarify the school's position in relation to the information being e-mailed. Typically, they cover the fact that information may be confidential, the intention of being solely used by the intended recipient, and any views or opinions of the sender are not necessarily those of the school.

There is some debate about how enforceable disclaimers are. Legal advice should be sought when using or drafting a disclaimer for your organisation to ensure it meets your specific needs.

## 4. Managing received e-mails

This section contains some hints and tips about how to manage incoming e-mails.

### a. Manage interruptions

Incoming e-mail can be an irritating distraction. The following tips can help manage the interruptions.

- **Turn off any alert that informs you e-mail has been received**
- **Plan times to check e-mail into the day (using an out of office message to tell senders when you will be looking at your e-mail can assist with this).**

### b. Use rules and alerts

By using rules and alerts members of staff can manage their inbox into theme-based folders. For example:

- **E-mails relating to a specific subject or project can be diverted to a named project folder**
- **E-mails from individuals can be diverted to a specific folder**
- **Warn senders that you will assume that if you are copied in to an e-mail, the message is for information only and requires no response from you.**
- **Internally, use a list of defined words to indicate in the subject line what is expected of recipients (for example: "For Action:", FYI:", etc)**
- **Use electronic calendars to invite people to meetings rather than sending e-mails asking them to attend**

### c. Using an out of office message

If you check your e-mail at stated periods during the day you can use an automated response to incoming e-mail which tells the recipient when they might expect a reply . A sample message might read as follows:

Thank you for your e-mail. I will be checking my e-mail at three times today, 8:30am, 1:30pm and 3:30pm. If you require an immediate response to your e-mail please telephone me on xxxxxxxxx.

This gives the sender the option to contact you by phone if they need an immediate response.

## 5. Filing e-mail

### Attachments only

Where the main purpose of the e-mail is to transfer documents, then the documents should be saved into the appropriate place in an electronic filing system or printed out and added to a paper file. The e-mail can then be deleted.

### E-mail text and attachments

Where the text of the e-mail adds to the context or value of the attached documents it may be necessary to keep the whole e-mail. The best way to do this and retain information which makes up the audit trail, is to save the e-mail in .msg format. This can be done either by clicking and dragging the e-mail into the appropriate folder in an application such as MS Outlook, or by using the "save as" function to save the e-mail in an electronic filing system.

If the e-mail needs to be re-sent it will automatically open into MS Outlook.

Where appropriate the e-mail and the attachments can be printed out to be stored on a paper file, however, a printout does not capture all the audit information which storing the e-mail in .msg format will.

### E-mail text only

If the text in the body of the e-mail requires filing, the same method can be used as that outlined above. This will retain information for audit trail purposes.

Alternatively the e-mail can be saved in .html or .txt format. This will save all the text in the e-mail and a limited amount of the audit information. The e-mail can not be re-sent if it is saved in this format.

The technical details to undertake all of these functions are available in application Help functions.

### How long to keep e-mails?

E-mail is primarily a communications tool, and e-mail applications are not designed for keeping e-mail as a record in a storage area meeting records management storage standards.

E-mail that needs to be kept should be identified by content; for example, does it form part of a pupil record? Is it part of a contract? The retention for keeping these e-mails will then correspond with the classes of records according to content in the retention schedule for schools found elsewhere in the Records Management Tool Kit for Schools. These e-mails may need to be saved into any appropriate electronic filing system or printed out and placed on paper files.

### Acknowledgements

Content developed by:

<b>Suzy Taylor</b>	New College Durham
<b>Anthony Sawyer</b>	Herefordshire Public Services
<b>John Davies</b>	TFPL Consultancy



## Information Security and Business Continuity

Information Security and Business Continuity are both important activities in ensuring good information management and are vital for compliance with the Data Protection Act 1998. Taking measures to protect your records can ensure that:

- **Your school can demonstrate compliance with the law and avoid data loss incidents;**
- **In the event of a major incident, your school should be able to stay open and will at least have access to its key administrative and teaching records.**

An Information Security Policy should incorporate a Business Continuity Plan and should deal with records held in all media across all school systems :

- **Electronic (including but not limited to databases, word processed documents and spreadsheets, scanned images)**
- **Hard copy (including but not limited to paper files, plans)**

## 1. Digital Information

In order to mitigate against the loss of electronic information a school needs to:

### a. Operate an effective back-up system

You should undertake regular backups of all information held electronically to enable restoration of the data in the event of an environmental or data corruption incident. Where possible these backups should be stored in a different building to the servers and if possible off the main school site. This is to prevent loss of data, reduce risk in case of theft or the possibility of the backups becoming temporarily inaccessible. Options for the management of back-up facilities include:

- **Use of an off-site, central back up service (usually operated by the local authority or other provider)**  
**This involves a back up being taken remotely over a secure network (usually overnight) and stored in encrypted format in premises other than the school.**
- **Storage in a fireproof or bombproof safe in another part of the school premises**  
**The back-up may be stored in a fireproof safe which is located in another part of the premises. These premises must be also be physically secure and any hard copy supporting data regarding the location of records should also be stored in the safe.**

### b. Control the way data is stored within the school

Personal information must not be stored on the hard drive of any laptop or PC unless the device is running encryption software. Staff should be advised not to hold personal information about students or other staff on mobile storage devices including but not limited to memory sticks, phones, iPads, portable hard drives or even on CD.

### c. Maintain strict control of passwords

Ensure that the data is subject to a robust password protection regime, ideally with users changing their passwords every 30 days. Discourage password sharing strongly and seek alternative ways for users to share data – like shared network drives or proxy access to email and calendars. In addition staff should always lock their PCs when they are away from the desk to prevent unauthorised use.

### d. Manage the location of server equipment

Ensure that the server environment is managed to prevent access by unauthorised people.

### e. Ensure that business continuity plans are tested

Test restore processes routinely to ensure that the first time you identify a problem with the backup is not the first time you need to retrieve data from it.

For advice on preserving information security when using email see the fact-sheet on good practice for managing email.

## 2. Hard Copy Information and Records

Records which are not stored on the school's servers are at greater risk of damage by fire and flood as well as risk of loss and of unauthorised access.

### a. Fire and flood

The cost of restoring records damaged by water can be high but a large percentage can be saved, fire is much more destructive of records. In order to limit the amount of damage which a fire or flood can do to paper records, all vital information should be stored in filing cabinets, drawers or cupboards. Metal filing cabinets are a good first level barrier against fire and water.

Where possible vital records should not be left on open shelves or on desks as these records will almost certainly be completely destroyed in the event of fire and will be seriously damaged (possibly beyond repair) in the event of a flood.

### **b. Unauthorised access, theft or loss**

Staff should be encouraged not to take personal data on staff or students out of the school, and where these records are held within the school they should be in lockable cabinets. You might need to consider restricting access to offices in which personal information is being worked on or stored. All archive or records storage areas should be lockable and have restricted access.

Where paper files are checked out from a central system you should always log the location of the file and the borrower, creating an audit trail.

For the best ways of disposing of sensitive, personal information see Safe Disposal.

### **c. Clear Desk Policy**

A clear desk policy is the best way to avoid unauthorised access to physical records which contain sensitive or personal information and will protect physical records from fire and/or flood damage.

A clear desk policy involves the removal of the physical records which have been identified to a cupboard or drawer (lockable where appropriate). It does not mean that the whole desk has to be cleared.

## **3. Disclosure**

Staff should be made aware of the importance of ensuring that personal information is only disclosed to people who are entitled to receive it. Ensure that where you intend to share personal information with a third party that you have considered the requirements of the Data Protection Act. Be careful of giving out personal information over the telephone; invite the caller to put the request in writing, supplying a return address which can be verified.

Where appropriate you may wish to develop a data sharing protocol with the third parties with whom you regularly share data.

## **4. Risk Analysis**

Individual schools should undertake a business risk analysis to identify which records are vital to school management and these records should be stored in the most secure manner. Reference materials or resources which could be easily replaced are more suitable for storage on open shelves or desks.

The development of an information asset/risk register can assist with this process.

## **5. Responding to Incidents**

In the event of an incident involving the loss of information or records the school should be ready to pull together an incident response team to manage the situation.

### **a. Major Data Loss/Information Security Breach**

You should have a process which must be used by all members of staff if there is a major data loss or information security breach. This will involve appointing a named member of staff to liaise with the Information Commissioner's Office if an information security breach needs to be reported.

## b. Fire/Flood Incident

You should create a team of people who are trained to deal with a fire/flood incident. This will include the provision of an equipment box and the appropriate protective clothing. The team and equipment should be reviewed on a regular basis.

### Further Information and Guidance:

UCISA Toolkit <http://www.ucisa.ac.uk/ist>

Local Authority Resilience Forums

Cabinet Office Guidance <http://www.cabinetoffice.gov.uk/content/business-continuity>

### Acknowledgements

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<b>Suzy Taylor</b>	New College Durham
<b>Elizabeth Wells</b>	Westminster School
<b>Tim McGarr</b>	BSI Group
<b>David Fatscher</b>	BSI Group



## School Closures and Record Keeping

When a school closes records management is often low on the list of priorities. School closures are often imposed on schools, therefore, at the time where records management needs to be considered the staff at the school will be on different parts of the change management cycle.

The school will have records which will need to be assessed and either:

1. **Securely disposed of; or**
2. **Stored securely until they reach the end of the statutory retention period; or**
3. **Transferred to another organisation (for example the local authority, or where appropriate the successor body such as an Academy).**
4. **Transferred to the appropriate County Record Office.**

It is the responsibility of each Local Authority [LA] to manage the records of closed schools until they have reached the end of their administrative life and to arrange for their disposal when required.

There may be a number of different reasons why schools close which may affect where school records need to be stored.

- **If the school has been closed and the site is being sold or reallocated to another use then the LA should take responsibility for the records from the date the school closes.**
- **If two schools have merged and function as one school, it will be necessary for the new school to retain any records originating from the two schools for the appropriate time.**

When a school becomes an Academy it should be treated as though the school has closed even though the Academy may be reopening on the same site in the same buildings. The Academy would be expected to take responsibility for the pupils who have transferred to the Academy and any records relating to the maintenance of buildings and so on. The LA would take responsibility for all other records.

However, some local authorities have decided that the responsibility for managing the records of the school prior to it receiving Academy status is to be transferred to the Academy. Each local authority should seek legal advice before making any decision about the management of records relating to schools which have become Academies.

Sorting out records is an important task when a school is closing and buildings have to be vacated. It is time consuming so sufficient resources must be allocated to ensure that records can be sorted, listed and boxed before transfer to the LA, County Record Office or to a successor school.

The amount of time and resource that it will take to prepare records for transfer will depend on how effectively the school has managed records prior to closure.

It is suggested that a project to sort out records could be managed in the following steps:

1. As soon as notification is received that the school is to be closed, a thorough review of all the records on the premises needs to take place. Agreement needs to be reached with the LA about where the records which need to be stored until they can be disposed of will be sent and who in the LA will be taking responsibility for them. This may include transfer to a records management service or to the County Record Office.
2. The next step is to identify what should happen to all different records by using retention guidelines. This will include safe disposal, transfer to the LA and transfer to the County Record Office.
3. The records can then be sorted in preparation for disposal or transfer.

### **Acknowledgements**

Content developed by:

**John Davies**

TFPL Consultancy



## Safe disposal of records which have reached the end of their administrative life

NB: Please be aware that this guidance applies to all types of record, whether they are in paper or electronic form.

### 1. Disposal of records that have reached their minimum retention schedule

The Data Protection Act 1998 stipulates that records should be kept for no longer than necessary.

In each organisation, local records managers must ensure that records that are no longer required for business use are reviewed as soon as practicable under the criteria set out so that ill-considered destruction is avoided.

The local review will determine whether records are to be selected for permanent preservation, destroyed, digitised to an electronic format or retained by the organisation for research or litigation purposes.

Refer to the Retention Guidelines at the end of this document.

Whatever decisions are made they need to be documented as part of a consistent and consistently applied records management policy within the organisation.

### 2. Safe destruction of records

All records containing personal information, or sensitive policy information should be made either unreadable or unreconstructable.

- **Paper records should be shredded using a cross-cutting shredder**
- **CDs / DVDs / Floppy Disks should be cut into pieces**
- **Audio / Video Tapes and Fax Rolls should be dismantled and shredded**
- **Hard Disks should be dismantled and sanded**

Any other records should be bundled up and disposed of to a waste paper merchant or disposed of in other appropriate ways.

Do not put records in with the regular waste or a skip unless there is no other alternative.



There are companies who can provide confidential waste bins and other services which can be purchased to ensure that records are disposed of in an appropriate way.

- a. Where an external provider is used it is recommended that all records must be shredded on-site in the presence of an employee. The organisation must also be able to prove that the records have been destroyed by the company who should provide a Certificate of Destruction. Staff working for the external provider should have been trained in the handling of confidential documents.

The shredding needs to be planned with specific dates and all records should be identified as to the date of destruction.

It is important to understand that if the records are recorded as to be destroyed but have not yet been destroyed and a request for the records has been received they **MUST** still be provided.

- b. Where records are destroyed internally, the process must ensure that all records are recorded are authorised to be destroyed by a Senior Manager and the destruction recorded. Records should be shredded as soon as the record has been documented as being destroyed.

### **Freedom of Information Act 2000 (FoIA 2000)**

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 and date range**
- **The name of the authorising officer**
- **Date action taken**

Following this guidance will ensure that the school is compliant with the Data Protection Act 1998 and the Freedom of Information Act 2000.

### **3. Transfer of records to the Archives**

Where records have been identified as being worthy of permanent preservation arrangements should be made to transfer the records to the Archives or the local records office. The school should contact the local record office if there is a requirement to permanently archive the records, and the records will continue to be managed via the DPA 1998 and the FoIA 2000.

If you would like to retain archive records in a special archive room in the school for use with pupils and parents please contact the local record office for specialist advice.

### **4. Transfer of information to other media**

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.

Consideration should also be given to the legal admissibility of records that have been converted from paper to electronic media. It is essential to have procedures in place so that conversion is done in a standard way. This means that organisations can prove that the electronic version is a genuine original and could not have been tampered with in any way. Reference should be made to 'British Standard 10008:2008 'Evidential weight and legal admissibility of electronic information' when preparing such procedures.

## 5. Recording of all archiving, permanent destruction and digitisation of records

Sample appendices are provided for the recording of all records to be used. These records could be kept in an Excel spreadsheet or other database format.

### Acknowledgements

Contents developed by:

**Sarah Graham**

Information Governance Officer (Records Management) Newcastle City Council

**Lia Lutfi**

Birmingham City Council

**Alison Marsh**

Salford Royal NHS Foundation Trust

# Schedule of Records transferred by [name of School] to [Name of Organisation/Record Office]

Date	Description/Volume

**Signed:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Designation:** \_\_\_\_\_

**Organisation:** \_\_\_\_\_

**Signed:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Designation:** \_\_\_\_\_

**Organisation:** \_\_\_\_\_

**PLEASE RETURN TO THE RECORDS MANAGER FOR RETENTION**

# Proforma of individual records to be converted to electronic media

Unique Identifier	Full Name	D.O.B.	Type of Record	Date to be digitised (once date is known)

Date Completed: \_\_\_\_\_

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Date Authorised: \_\_\_\_\_

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

**PLEASE CONTACT THE [ENTER APPROPRIATE PERSON] ON [INSERT CONTACT NUMBER] BEFORE DESTROYING ANY RECORDS.**

**THE DESTRUCTION OF RECORDS MUST BE AUTHORISED BY YOUR LINE MANAGER.**



## Retention Guidelines

### 1. The purpose of the retention guidelines

Under the Freedom of Information Act 2000, schools are required to maintain a retention schedule listing the record series which the school creates in the course of its business. The retention schedule lays down the length of time which the record needs to be retained and the action which should be taken when it is of no further administrative use. The retention schedule lays down the basis for normal processing under both the Data Protection Act 1998 and the Freedom of Information Act 2000.

Members of staff are expected to manage their current record keeping systems using the retention schedule and to take account of the different kinds of retention periods when they are creating new record keeping systems.

The retention schedule refers to record series regardless of the media in which they are stored.

### 2. Benefits of a retention schedule

There are a number of benefits which arise from the use of a complete retention schedule:

Managing records against the retention schedule is deemed to be “normal processing” under the Data Protection Act 1998 and the Freedom of Information Act 2000. Provided members of staff are managing record series using the retention schedule they can not be found guilty of unauthorised tampering with files once a freedom of information request or a data subject access requests have been made.

Members of staff can be confident about shredding information at the appropriate time.

Information which is subject to Freedom of Information and Data Protection legislation will be available when required.

The school is not maintaining and storing information unnecessarily.

### 3. Maintaining and amending the retention schedule

Where appropriate the retention schedule should be reviewed and amended to include any new record series created and remove any obsolete record series.

# Information and Records Management Society

## Retention Guidelines for Schools

### Version 4

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.

This document is a guideline only and liability is the liability of the end user and not of the IRMS.

# Records Management Toolkit for Schools

Version 4

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1. Child Protection					
	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 <sup>1</sup>	SECURE DISPOSAL
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	SECURE DISPOSAL

<sup>1</sup>This amendment has been made in consultation with the Safeguarding Children Group.

<sup>2</sup> 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.

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"> <li>Principal set (signed)</li> </ul>	No		Permanent	Retain in school for 6 years from date of meeting
	<ul style="list-style-type: none"> <li>Inspection copies</li> </ul>	No		Date of meeting + 3 years	SECURE DISPOSAL [If these minutes contain any sensitive personal information they should be shredded]
2.2	Agendas	No		Date of meeting	SECURE DISPOSAL
2.3	Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting
2.4	Annual Parents' meeting papers	No		Date of report + 6 years	Retain in school for 6 years from date of meeting
2.5	Instruments of Government	No		Permanent	Retain in school whilst school is open
2.6	Trusts and Endowments	No		Permanent	Retain in school whilst operationally required
2.7	Action Plans	No		Date of action plan + 3 years	SECURE DISPOSAL
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)

2. Governors					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
2.9	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 SECURE DISPOSAL routine complaints
2.10	Annual Reports required by the Department for Education	No	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171	Date of report + 10 years	
2.11	Proposals for schools to become, or be established as Specialist Status schools	No			Current year + 3 years

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		Date of last entry in the book + 6 years	Retain in the school for 6 years from the date of the last entry
3.2	Minutes of the Senior Management Team and other internal administrative bodies	Yes		Date of meeting + 5 years	Retain in the school for 5 years from meeting
3.3	Reports made by the head teacher or the management team	Yes		Date of report + 3 years	Retain in the school for 3 years from meeting
3.4	Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	Yes		Closure of file + 6 years	SECURE DISPOSAL
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	SECURE DISPOSAL
3.6	Professional development plans	Yes		Closure + 6 years	SECURE DISPOSAL
3.7	School development plans	Yes		Closure + 6 years	Review
3.8	Admissions - if the admission is successful	Yes		Admission + 1 year	SECURE DISPOSAL
3.9	Admissions - if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SECURE DISPOSAL

3. Management					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
3.10	Admissions - Secondary Schools - Casual	Yes		Current year + 1 year	SECURE DISPOSAL
3.11	Proofs of address supplied by parents as part of the admissions process	Yes		Current year + 1 year	SECURE DISPOSAL
3.12	Supplementary Information form including additional information such as religion, medical conditions etc.				

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 Re consider Retention Period. Feedback from Teaching Relative was thought to be 7 Year Retention. These records are no longer generated in paper but electronically held using SIMS BROCON software.	Retain in the school for 6 years from the date of the last entry then consider transfer to the Archives
4.2	Attendance registers	Yes		Date of register + 3 years	SECURE DISPOSAL [If these records are retained electronically any back up copies should be destroyed at the same time]

4. Pupils					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
4.3	Pupil Files Retained in Schools	Yes			
4.3a	<ul style="list-style-type: none"> <li>Primary</li> </ul>			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 Pupil Referral Unit
4.3b	<ul style="list-style-type: none"> <li>Secondary</li> </ul>		Limitation Act 1980	DOB of the pupil + 25 years <sup>3</sup>	SECURE DISPOSAL
4.4	Pupil files	Yes			
4.4a	<ul style="list-style-type: none"> <li>Primary</li> </ul>			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 Pupil Referral Unit
4.4b	<ul style="list-style-type: none"> <li>Secondary</li> </ul>		Limitation Act 1980	DOB of the pupil + 25 years <sup>4</sup>	SECURE DISPOSAL
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.	SECURE DISPOSAL

<sup>3</sup> 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.

<sup>4</sup> 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
4.6	Correspondence Relating to Authorised Absence and Issues	No		Date of absence + 2 years	SECURE DISPOSAL
4.7	Examination results	Yes			
4.7a	• Public	No		Year of examinations + 6 years	SECURE DISPOSAL
4.7b	• Internal examination results	Yes		Current year + 5 years <sup>5</sup>	SECURE DISPOSAL
4.8	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 SECURE DISPOSAL
4.9	Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SECURE DISPOSAL unless legal action is pending
4.10	Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SECURE DISPOSAL unless legal action is pending
4.11	Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
4.12	Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
4.13	Parental permission slips for school trips - where there has been no major incident	Yes		Conclusion of the trip	SECURE DISPOSAL

<sup>5</sup> 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
4.14	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	SECURE DISPOSAL
4.15	Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Primary Schools	No	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 14 years <sup>6</sup>	N
4.16	Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Secondary Schools	No	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 10 years	N
4.17	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	SECURE DISPOSAL [If these records are retained electronically any back up copies should be destroyed at the same time]

<sup>6</sup> 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	School Development Plan	No		Current year + 6 years	SECURE DISPOSAL
5.2	Curriculum returns	No		Current year + 3 years	SECURE DISPOSAL
5.3	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 SECURE DISPOSAL
5.4	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 SECURE DISPOSAL
5.5	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 SECURE DISPOSAL
5.6	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 SECURE DISPOSAL
5.7	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 SECURE DISPOSAL
5.8	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 SECURE DISPOSAL

5. Curriculum					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
5.9	Examination results	Yes		Current year + 6 years	SECURE DISPOSAL
5.10	SATS records - Examination Papers and Results	Yes		Current year + 6 years	SECURE DISPOSAL
5.11	PAN reports	Yes		Current year + 6 years	SECURE DISPOSAL
5.12	Value Added & Contextual Data	Yes		Current year + 6 years	SECURE DISPOSAL
5.13	Self Evaluation forms	Yes		Current year + 6 years	SECURE DISPOSAL

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	SECURE DISPOSAL
6.2	Staff Personal files	Yes		Termination + 7 years	SECURE DISPOSAL
6.3	Interview notes and recruitment records	Yes		Date of interview + 6 months	SECURE DISPOSAL
6.4	Pre-employment vetting information (including CRB checks)	No	CRB guidelines	Date of check + 6 months	SECURE DISPOSAL [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. 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
6.5a	• oral warning			Date of warning + 6 months	SECURE DISPOSAL <sup>7</sup>
6.5b	• written warning - level one			Date of warning + 6 months	SECURE DISPOSAL
6.5c	• written warning - level two			Date of warning + 12 months	SECURE DISPOSAL
6.5d	• final warning			Date of warning + 18 months	SECURE DISPOSAL
6.5e	• case not found			If child protection related please see 1.2 otherwise SECURE DISPOSAL immediately at the conclusion of the case	SECURE DISPOSAL
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	SECURE DISPOSAL
6.7	Annual appraisal/assessment records	No		Current year + 5 years	SECURE DISPOSAL
6.8	Salary cards	Yes		Last date of employment + 85 years	SECURE DISPOSAL
6.9	Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year +3yrs	SECURE DISPOSAL
6.10	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	SECURE DISPOSAL

<sup>7</sup> 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
6.11	Proofs of identity collected as part of the process of checking "portable" enhanced CRB 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.	

Comment: CRB Guidelines all falls under the heading of Data Recruitment Polices. Consideration needs to be applied to adding a separate category maybe.

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	SECURE DISPOSAL
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	• Adults	Yes		Date of incident + 7 years	SECURE DISPOSAL
7.2b	• Children	Yes		DOB of child + 25 years <sup>8</sup>	SECURE DISPOSAL
7.3	COSHH			Current year + 10 years [where appropriate an additional retention period may be allocated]	
7.4	Incident reports	Yes		Current year + 20 years	SECURE DISPOSAL

<sup>8</sup> 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.

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
7.5	Policy Statements			Date of expiry + 1 year	SECURE DISPOSAL
7.6	Risk Assessments	Yes		Current year + 3 years	SECURE DISPOSAL
7.7	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos			Last action + 40 years	SECURE DISPOSAL
7.8	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation			Last action + 50 years	SECURE DISPOSAL
7.9	Fire Precautions log books			Current year + 6 years	SECURE DISPOSAL

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	SECURE DISPOSAL
8.2	Inventories of equipment & furniture			Current year + 6 years	SECURE DISPOSAL
8.3	General file series			Current year + 5 years	Review to see whether a further retention period is required
8.4	School brochure or prospectus			Current year + 3 years	
8.5	Circulars (staff/parents/pupils)			Current year + 1 year	SECURE DISPOSAL

8. Administrative					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
8.6	Newsletters, ephemera			Current year + 1 year	Review to see whether a further retention period is required
8.7	Visitors book			Current year + 2 years	Review to see whether a further retention period is required
8.8	PTA/Old Pupils Associations			Current year + 6 years	Review to see whether a further retention period is required

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	
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
9.3	Contracts				
9.3a	• under seal			Contract completion date + 12 years	SECURE DISPOSAL
9.3b	• under signature			Contract completion date + 6 years	SECURE DISPOSAL
9.3c	• monitoring records			Current year + 2 years	SECURE DISPOSAL
9.4	Copy orders			Current year + 2 years	SECURE DISPOSAL
9.5	Budget reports, budget monitoring etc.			Current year + 3 years	SECURE DISPOSAL

9. Finance					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
9.6	Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SECURE DISPOSAL
9.7	Annual Budget and background papers			Current year + 6 years	SECURE DISPOSAL
9.8	Order books and requisitions			Current year + 6 years	SECURE DISPOSAL
9.9	Delivery Documentation			Current year + 6 years	SECURE DISPOSAL
9.10	Debtors' Records		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL
9.11	School Fund - Cheque books			Current year + 3 years	SECURE DISPOSAL
9.12	School Fund - Paying in books			Current year + 6 years then review	SECURE DISPOSAL
9.13	School Fund - Ledger			Current year + 6 years then review	SECURE DISPOSAL
9.14	School Fund - Invoices			Current year + 6 years then review	SECURE DISPOSAL
9.15	School Fund - Receipts			Current year + 6 years	SECURE DISPOSAL
9.16	School Fund - Bank statements			Current year + 6 years then review	SECURE DISPOSAL
9.17	School Fund - School Journey books			Current year + 6 years then review	SECURE DISPOSAL
9.18	Student grant applications			Current year + 3 years	SECURE DISPOSAL
9.19	Free school meals registers	Yes		Current year + 6 years	SECURE DISPOSAL
9.20	Petty cash books			Current year + 6 years	SECURE DISPOSAL



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
10.2	Plans			Permanent	Retain in school whilst operational
10.3	Maintenance and contractors		Financial Regulations	Current year + 6 years	SECURE DISPOSAL
10.4	Leases			Expiry of lease + 6 years	SECURE DISPOSAL
10.5	Lettings			Current year + 3 years	SECURE DISPOSAL
10.6	Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL
10.7	Maintenance log books			Current year + 6 years	SECURE DISPOSAL
10.8	Contractors' Reports			Current year + 6 years	SECURE DISPOSAL

11. Local 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	SECURE DISPOSAL
11.2	Attendance returns	Yes		Current year + 1 year	SECURE DISPOSAL
11.3	Circulars from LEA			Whilst required operationally	Review to see whether a further retention period is required

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	
12.2	OFSTED reports and papers			Replace former report with any new inspection report	Review to see whether a further retention period is required
12.3	Returns			Current year + 6 years	SECURE DISPOSAL
12.4	Circulars from Department for Children, Schools and Families			Whilst operationally required	Review to see whether a further retention period is required

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	SECURE DISPOSAL
13.2	Work Experience agreement			DOB of child + 18 years	SECURE DISPOSAL

Are KPI's required? Consideration required as to whether this new item should be included.

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			Current year + 3 years	SECURE DISPOSAL
14.2	School Meals Summary Sheets			Current year + 3 years	SECURE DISPOSAL

## 15. Family Liaison Officers and Home School Liaison Assistants

	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
15.1	Day Books	Yes		Current year + 2 years then review	SECURE DISPOSAL
15.2	Reports for outside agencies - where the report has been included on the case file created by the outside agency	Yes		Whilst the child is attending the school then destroy	SECURE DISPOSAL
15.3	Referral forms	Yes		While the referral is current	SECURE DISPOSAL
15.4	Contact data sheets	Yes		Current year then review, if contact is no longer active then destroy	SECURE DISPOSAL
15.5	Contact database entries	Yes		Current year then review, if contact is no longer active then destroy	DELETE
15.6	Group Registers	Yes		Current year + 2 years	SECURE DISPOSAL

# Information and Records Management Society

## Retention Guidelines for Early Years Provision

### Version 4

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.

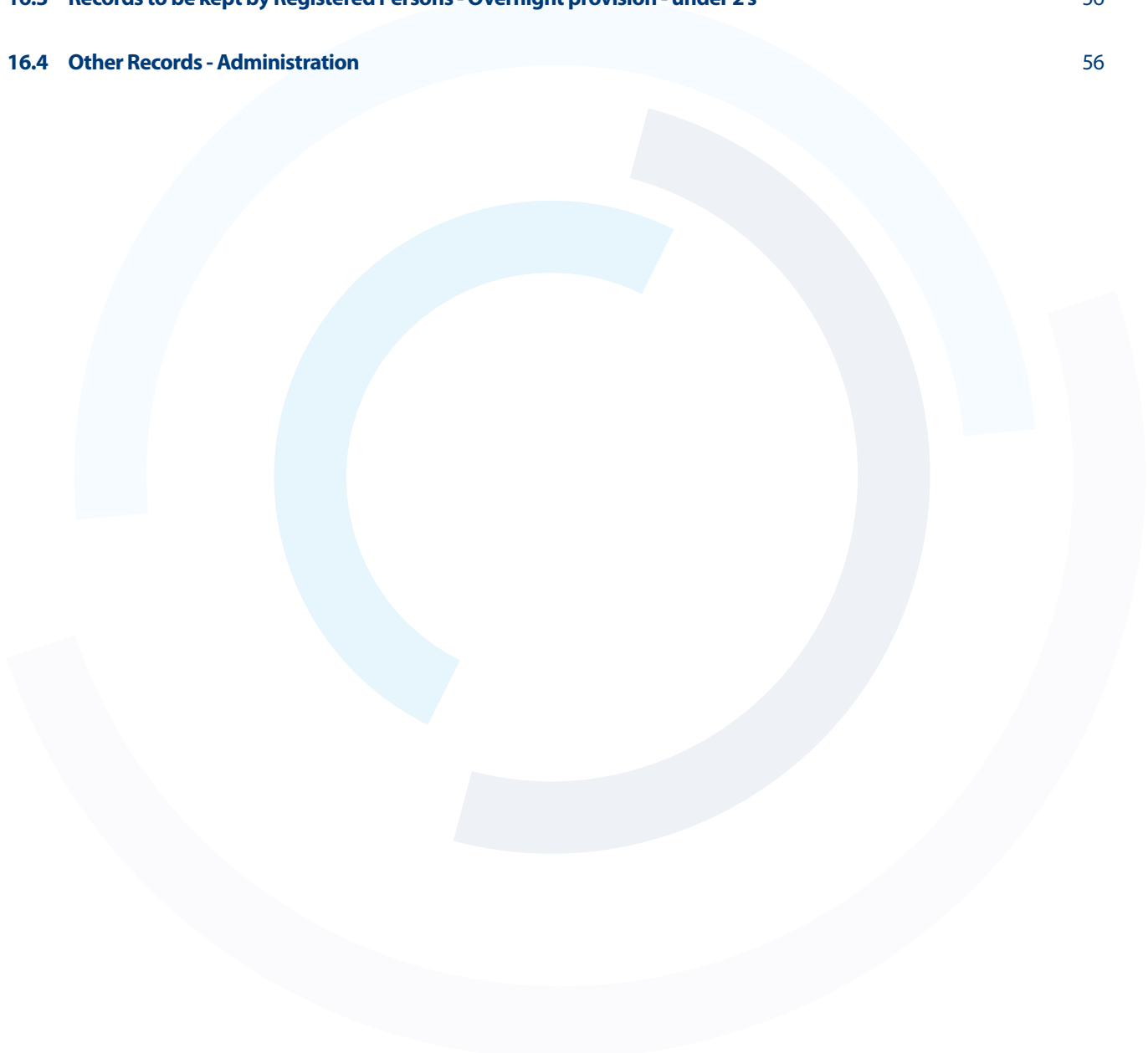
This document is a guideline only and liability is the liability of the end user and not of the IRMS.

# Records Management Toolkit for Schools

Version 4

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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	Yes		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	Yes		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	Yes		See 16.4.5 below
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	Yes	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	Yes	The Day Care and Child Minding (National Standards) (England) Regulations 2003 <sup>1</sup>	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	Yes	The Day Care and Child Minding (National Standards) (England) Regulations 2003 <sup>2</sup>	DOB of the child being given/taking the medicine + 25 years

<sup>1</sup>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.

<sup>2</sup>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]
16.1.7	Records of transfer	Yes		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	Yes		To be sent home with the child
16.1.9	Birth certificates	Yes		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. Early Years Provision		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	Yes		See 16.4 below
16.2.2	A statement of the procedure to be followed in the event of a fire or accident	No		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	No		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	No		Until superseded

16. Early Years Provision		16.2 Records to be kept by Registered Persons - Day Care		
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
16.2.5	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	No		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. Early Years Provision		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	Yes		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	Yes		Date of birth of the child who is the subject of the contract + 25 years

16. Early Years Provision		16.4 Other Records - Administration		
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
	<b>Financial Records</b>			
16.4.1	Financial records - accounts, statements, invoices, petty cash etc	No		Current year + 6 years



16. Early Years Provision		16.4 Other Records - Administration		
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
	<b>Insurance</b>			
16.4.2	Insurance policies - Employers Liability	No	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	Yes		Case concluded + 3 years
16.4.4	Claims made against insurance policies - personal injury	Yes		Case concluded + 6 years
	<b>Human Resources</b>			
16.4.5	Personal Files - records relating to an individual's employment history	Yes <sup>3</sup>		Termination + 6 years then review
16.4.6	Pre-employment vetting information (including CRB checks)	No	CRB guidelines	Date of check + 6 months
16.4.7	Staff training records - general	Yes		Current year + 2 years
16.4.8	Training (proof of completion such as certificates, awards, exam results)	Yes		Last action + 7 years
	<b>Premises and Health and Safety</b>			
16.4.9	Premises files (relating to maintenance)	No		Cessation of use of building + 7 years then review
16.4.10	Risk Assessments	No		Current year + 3 years

<sup>3</sup> 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)
  - oral warning 6 months
  - first level warning 6 months
  - second level warning 12 months
  - final warning 18 months



## Version Control

The following changes were made to the Records Management Toolkit - 10th February 2006 in preparation for the consultation document which will become Version 3 of the Records Management Toolkit for Schools.

- 1 Toolkit for schools Feb 06[1] withdrawn and issued as a number of individual documents (see below)
- 2 Part 1 of Toolkit for schools Feb 06[1] reissued as "Records Management Policy" [RecordsManagementToolkitRMS03.doc]
- 3 Part 2 of Toolkit for schools Feb 06[1] and Appendix B reissued as "Creating Information Management Systems" [RecordsManagementToolkitRMS04.doc]
- 4 Appendix C of Toolkit for schools Feb 06[1] reissued as "Managing E-mail" [RecordsManagementToolkitRMS05.doc]
- 5 Section 2.3.4 Toolkit for schools Feb 06[1] reissued as "Information Security" [RecordsManagementToolkitRMS06.doc] and "Business Continuity" [RecordsManagementToolkitRMS07]
- 6 Appendix A of Toolkit for schools Feb 06[1] reissued as "Managing E-mail" [RecordsManagementToolkitRMS08.doc]
- 7 New section "Managing Pupil Records" added [RecordsManagementToolkitRMS09.doc]
- 8 Sections 1-6 of Toolkit for schools retention schedule Feb 06 withdrawn and reissued as a number of individual documents (see below)
- 9 Sections 1-3, 5 of Toolkit for schools retention schedule Feb 06 withdrawn and reissued as "Introduction to the Retention Schedule" [RecordsManagementToolkitRMS11]
- 10 Section 4 of Toolkit for schools retention schedule Feb 06 withdrawn and reissued as "Safe disposal of records which have reached the end of their administrative life" [RecordsManagementToolkitRMS12]
- 11 New section "School Closures and Record Keeping" added [RecordsManagementToolkitRMS12]
- 12 Section 6 of Toolkit for schools retention schedule Feb 06 reissued as "Retention Guidelines for Schools" [RecordsManagementToolkitRMS10]. The following amendments have been made:
  - 12.1 Table of contents added using MSWord Heading function
  - 12.2 All entries given individual numbers
  - 12.3 Section 6.1 renumbered as section 1 and notes added to 1.2 relating to the provisions of the "Safeguarding Children and Safer Recruitment in Education" p60
  - 12.4 Section 6.2 renumbered as section 2
  - 12.5 Section 6.3 renumbered as section 3 and new items 3.8-3.11 added

- 12.6 Section 6.4 renumbered as section 4 and new items 4.15-16 added
- 12.7 Section 6.5 renumbered as section 5 and new item 6.11 added
- 12.8 Section 6.6 renumbered as section 6
- 12.9 Section 6.7 renumbered as section 7 and the retention periods in items 7.2a and 7.2b amended
- 12.10 Section 6.8 renumbered as section 8
- 12.11 Section 6.9 renumbered as section 9
- 12.12 Section 6.10 renumbered as section 10
- 12.13 Section 6.11 renumbered as section 11
- 12.14 Section 6.12 renumbered as section 12. All references to DfES replaced with Department for Children, Schools & Families
- 12.15 Section 6.13 renumbered as section 13
- 12.16 Section 6.14 renumbered as section 14
- 12.17 New section 15 for Family Liaison Officers/Parent Support Assistants added
- 12.18 New section 16 for Early Years Provision added

The following additional alterations were made as a result of the consultation process on 13th December 2007.

- 1 "Managing E-mail" [RecordsManagementToolkitRMS05.doc]: contents of document replaced with more up to date content.
- 2 "Managing Pupil Records" added [RecordsManagementToolkitRMS09.doc]. The following text was added "The file cover should also contain a note of the date when the file was opened and the date when the file is closed if it is felt to be appropriate."
- 3 "Retention Guidelines for Schools" [RecordsManagementToolkitRMS10]. The following amendments have been made:
  - 3.1 Sections 4.17 and 4.18 added with retention periods for "Records created by schools to obtain approval to run an Educational Visit outside the Classroom"
  - 3.2 Clarification note added to section 4.5
- 4 "Safe disposal of records which have reached the end of their administrative life" [RecordsManagementToolkitRMS12]: "Date action taken" added to section 1

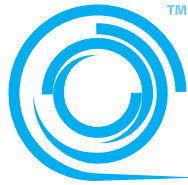
The following alterations were made to the toolkit to form Version 3.1

- 1 Item 4.19 added to the Retention Schedule (Walking Bus)

The following changes were made to the Records Management Toolkit Version 3.1 in preparation for the consultation document which will become Version 4 of the Records Management Toolkit for Schools.

- 1 Logo on all documents changed from the RMS logo to the IRMS logo.
- 2 All instances of Records Management Society and RMS changed to Information and Records Management Society (IRMS).
- 3 Fact sheet relating to the creation of Information Management Systems has been removed.
- 4 Fact sheet relating to information audits revised.
- 5 Fact sheet on email management revised.
- 6 Retention Guidelines: Text "SHRED" replaced with "SECURE DISPOSAL"

- 7 Retention Guidelines: Column relating to whether documents should be offered to Archives at the end of their administrative life removed.
- 8 Retention Guidelines: 3.12 added as a new item
- 9 Retention Guidelines: 4.7 removed from the retention schedule
- 10 Retention Guidelines: 4.8-4.13 renumbered to 4.7-4.12
- 11 Retention Guidelines: Early Years Retention Schedule separated from Schools' Retention Schedule
- 12 Retention Guidelines: 4.14 removed from retention schedule
- 13 Retention Guidelines: 4.15-4.19 renumbered to 4.13-4.17
- 14 Retention Guidelines: 5.1 - Curriculum Development replaced with School Development Plan  
Retention Guidelines: 5.3 removed
- 15 Retention Guidelines: 5.4-13 renumbered to 5:3-12  
Retention Guidelines:5.11 [renumbered to 5.10] text added to read "examination papers and results"
- 16 Retention Guidelines: 5.12 [renumbered to 5.11] text amended to read "Value Added & Contextual Data."
- 17 Retention Guidelines: 5.13 added to retention schedule
- 18 Retention Guidelines: 9.18 removed from the retention schedule
- 19 Retention Guidelines: Text "Financial Regulations" removed from 9.20-9.21
- 20 Retention Guidelines: 9.19-9.21 renumbered to 9.18-9.20
- 21 Retention Guidelines: 11, Text "Local Education Authority" amended to read "Local Authority"
- 22 Retention Guidelines: 15, Text "Parent Support Assistants" amended to read "Home School Liaison Assistants"
- 23 Information Security fact sheet and business continuity fact sheet combined to create Information & Records Security and Continuity fact sheet



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Tribal Education Ltd  
55 Saint Mary's Road  
Sheffield  
S2 4AN  
[www.tribalgroup.com](http://www.tribalgroup.com)

Tel: 07713 189 384

For further information contact:  
Dr Paul Duller: [paul.duller@tribalgroup.com](mailto:paul.duller@tribalgroup.com)

[www.irms.org.uk](http://www.irms.org.uk)