



EMMANUEL
SCHOOLS FOUNDATION

Records Management and Retention Policy, and Schedule

Records Management and Retention Policy, and Schedule

Introduction

Emmanuel Schools Foundation (“ESF”) recognises that the efficient management of its records is necessary to comply with its legal and regulatory obligations and to contribute to the effective overall management of ESF. This document provides the policy framework through which this effective management can be achieved and audited.

Scope of the Policy and Schedule

This Policy and Schedule applies to all records created, received or maintained by staff of ESF in the course of carrying out its functions.

Records are defined as all those documents which facilitate the business carried out by ESF and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

A small percentage of ESF’s records will be selected for permanent preservation as part of ESF’s archives and for historical research.

Responsibilities

ESF has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The persons with overall responsibility for this Policy and Schedule are the executive of ESF.

The person responsible for records management in an ESF school will give guidance for good records management practice and to promote compliance with the Policy and Schedule so that information may be retrieved easily, appropriately and timely.

Employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with ESF’s Records Management guidelines.

This Policy and Schedule 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 ESF.

1. Child Protection

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
1.1	Child Protection files	Yes	Education Act 2002, s175, related guidance "Keeping Children Safe in Education" September 2016	DOB + 25 years	SECURE DISPOSAL	Pastoral
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	Pastoral

2. Governors

Last review: November 2018

Next review: As and when necessary

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
2.1	Minutes					Administration
	<ul style="list-style-type: none"> Principal set (signed) 	No		Date of meeting + 7 years	Retain in Academy/School for 7 years from date of meeting	Principal
	<ul style="list-style-type: none"> Inspection copies 	No		Date of meeting + 3 years	SECURE DISPOSAL (if these minutes contain any sensitive personal information they should be shredded)	Administration
2.2	Agendas	No		Date of meeting + 3 years	SECURE DISPOSAL	Administration
2.3	Reports	No		Date of report + 6 years	Retain in Academy/School for 6 years from date of meeting	Administration
2.4	Instruments of Government	No		Permanent	Retain in Academy/School whilst operationally required	Administration
2.5	Trusts and Endowments	No		Permanent	Retain in Academy/School whilst operationally required	Administration
2.6	Action Plans	No		Date of Action Plan + 3 years	SECURE DISPOSAL	Administration
2.7	Policy documents	No		Expiry of policy	Retain in Academy/School whilst policy is operational (this includes if the expired policy is part of a past decision-making process)	Administration
2.8	Complaints files	Yes		Date of resolution of complaint + 7 years	Retain in Academy/School for the first 6 years. Review for further retention in the case of contentious disputes	Administration

					SECURE DISPOSAL of routine complaints	
2.9	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	Dispose	Administration
2.10	Proposals for schools to become or be established as Specialist Status schools	No		Current year + 3 years	SECURE DISPOSAL	Administration

3. Management

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
3.1	Log Books	Yes		Date of last entry in the book + 6 years	SECURE DISPOSAL	Administration
3.2	Minutes of the Senior Management Team and other internal administrative bodies	Yes		Date of meeting + 5 years	SECURE DISPOSAL	Administration
3.3	Reports made by the Principal or the management team	Yes		Date of report + 3 years	SECURE DISPOSAL	Administration
3.4	Records created by Principal, Senior Management Team,, Heads of Department and other members of staff with administrative responsibilities	Yes		Closure of file + 6 years	SECURE DISPOSAL	Administration
3.5	Correspondence created by Principal, Senior Management Team, Heads of Department and other members of staff with administrative responsibilities	No		Date of correspondence + 3 years	SECURE DISPOSAL	Administration
3.6	Professional development plans	Yes		Closure + 6 years	SECURE DISPOSAL	Administration
3.7	Academy/School development plans	Yes		Closure + 6 years	SECURE DISPOSAL	Administration
3.8	Admissions – if the admission is successful	Yes		Admission + 1 years	SECURE DISPOSAL	Administration
3.9	Admissions – if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SECURE DISPOSAL	Administration
3.10	Admissions – Secondary Schools – Casual	Yes		Current year + 1 year	SECURE DISPOSAL	Administration
3.11	Proofs of address supplied by parents as part of the admissions process	Yes		Current year + 1 year	SECURE DISPOSAL	Administration

4. Students

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
4.1	Admission Registers	Yes		Date of last entry in the book (or file) + 6 years	Retain in the Academy/School for 6 years from date of the last entry then consider transfer to Archives	Administration
4.2	Attendance registers	Yes		Date of register + 3 years	SECURE DISPOSAL (Records retained electronically: any back-up copies to be destroyed at the same time).	Administration
4.3	Student files retained in the Academy/School	Yes				Administration
4.3.1	<ul style="list-style-type: none"> Primary Years 			Retain for the time which the student remains in the Primary Years	Transfer to the Secondary Years (or other primary school) when the child leaves the Academy/School. In the case of exclusion, it may be appropriate to transfer the record to the Pupil Referral Unit	Administration
4.3.2	<ul style="list-style-type: none"> Secondary Years 		Limitation Act 1980	DOB of the student + 25 years	SECURE DISPOSAL	Administration
4.4	Student files					Administration
4.4.1	<ul style="list-style-type: none"> Primary Years 	Yes		Retain for the time which the student remains in the Primary Years	Transfer to the Secondary Years (or other primary school) when the child leaves the Academy/School. In the case of exclusion it may be appropriate to transfer the record to the Pupil Referral Unit	Administration
4.4.2	<ul style="list-style-type: none"> Secondary Years 	Yes	Limitation Act 1980	DOB of the student + 25 years	SECURE DISPOSAL	Administration
4.5	Special Educational Needs files, review and Individual Education Plans	Yes		DOB of the student + 25 years of the review date. Note: This retention period is the minimum period that any student file should be kept.	SECURE DISPOSAL	Administration / Pastoral

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
				Some schools may choose to keep SEN files for a longer period of time to defend themselves in a “failure to provide a sufficient education” case.		
4.6	Correspondence relating to authorised absence and issues	No		Date of absence + 2 years	SECURE DISPOSAL	Administration
4.7	Examination results	Yes				Administration
4.7.1	<ul style="list-style-type: none"> Public 	No		Year of examinations + 6 years	SECURE DISPOSAL	Administration
4.7.2	<ul style="list-style-type: none"> Internal examination results 	Yes		Current Year + 5 years	SECURE DISPOSAL	Administration
4.8	Any other records created in the course of contact with students	Yes/No		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or secure disposal	Administration
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	Administration / Pastoral
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	Administration / Pastoral
4.11	Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 6 years	SECURE DISPOSAL unless legal action is pending	Administration / Pastoral
4.12	Accessibility strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SECURE DISPOSAL unless legal action is pending	Administration / Pastoral
4.13	Parental permission slips for Academy/School trips – where there has been no major incident	Yes		Conclusion of the trip	SECURE DISPOSAL	Administration
4.14	Parental permission slips for school trips – where there has been a major incident	Yes	Limitation Act 1980	DOB of the student involved in the incident + 25 years. The permission slips for all students on the trip need to be retained to show that the rules had been followed for all students	SECURE DISPOSAL	Administration

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
4.15	Records created to obtain approval to run an Educational Visit outside the classroom – Primary Years	No	3-part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998)	Date of visit + 14 years	Dispose	Administration
4.16	Records created by the Academy/School to obtain approval to run an Educational Visit outside the classroom – Secondary Years	No	3-part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998)	Date of visit + 10 years	Dispose	Administration
4.17	Parental agreements including consent forms for biometric data and visual images	Yes	Data Protection Act 2018, General Data Protection Regulations 2018	Retain for the time the child remains at school	Dispose	Administration

5. Curriculum

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
5.1	Academy/School/School development plan	No		Current year + 6 years	SECURE DISPOSAL	Administration
5.2	Curriculum returns	No		Current year + 3 years	SECURE DISPOSAL	Administration
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	Administration
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	Administration
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	Administration
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	Administration
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	Administration
5.8	Students' 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	Administration
5.9	Examination results	Yes		Current year + 6 years	SECURE DISPOSAL	Administration
5.10	SATS records – Examination papers and results	Yes		Current year + 6 years	SECURE DISPOSAL	Administration
5.11	PAN reports	Yes		Current year + 6 years	SECURE DISPOSAL	Administration
5.12	Value Added and Contextual Data	Yes		Current year + 6 years	SECURE DISPOSAL	Administration
5.13	Self-Evaluation forms	Yes		Current year + 6 years	SECURE DISPOSAL	Administration

6. Employment Documents

	Employment Document Retention Basic document description	Data Protection Issues	Reasons for retention	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
6.1	Timesheets, sick pay	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL	Personnel/HR
6.2	Staff Contracts, NI , Tax and fact of employment	Yes	GDPR - Necessary for the establishment, exercise or defence of legal claims	Termination + 7 years	SECURE DISPOSAL	Personnel/HR
6.3a	Interview notes and recruitment records – UNSUCCESSFUL	Yes	GDPR - Necessary for the establishment, exercise or defence of legal claims	Date of interview + 6 months	SECURE DISPOSAL	Personnel/HR
6.3b	Interview notes and recruitment records – SUCCESSFUL	YES	GDPR - Necessary for the establishment, exercise or defence of legal claims. Demonstrating safeguarding checks, and establishing contractual arrangements.	Termination + 6 months	SECURE DISPOSAL	Personnel/HR
6.3c	Right to work in the UK evidence – pre-employment and visa re-checks	YES	Compliance with UK immigration regulations GDPR – Necessary for the establishment, exercise or defence of legal claims	Termination + 12 months. Original documents should be viewed & copied. The person completing the check should date, and sign the copy and retain on the individual’s file	SECURE DISPOSAL	PERSONNEL/HR
6.4	Pre-employment vetting information (including DBS checks)	No	DBS guidelines	Date of check + 6 months	SECURE DISPOSAL (by the designated member of staff)	Personnel/HR
6.5a	Disciplinary proceedings: Where the warning, or case, relates to child protection issues	Yes	Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) Education Act 2002 guidance “Dealing with Allegations of Abuse against	Until the person’s normal retirement age, or 10 years from the date of the allegation whichever is the longer	SECURE DISPOSAL	Personnel/HR

	Employment Document Retention Basic document description	Data Protection Issues	Reasons for retention	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
			Teachers and Other Staff” November 2005			
6.5b	Disciplinary Proceedings: OTHER CIRCUMSTANCES INCLUDING CAPABILITY					
6.5.1	<ul style="list-style-type: none"> Management advice 	Yes	GDPR - Necessary for the establishment, exercise or defence of legal claims	Termination + 6 months	SECURE DISPOSAL	Personnel/HR
6.5.2	<ul style="list-style-type: none"> First Written warning 	Yes		Termination + 6 months	SECURE DISPOSAL	Personnel/HR
6.5.3	<ul style="list-style-type: none"> Final Written warning 	Yes		Termination + 6 months	SECURE DISPOSAL	Personnel/HR
6.5.4	<ul style="list-style-type: none"> Action short of dismissal 	Yes		Termination + 6 months	SECURE DISPOSAL	Personnel/HR
6.5.5	<ul style="list-style-type: none"> Case not substantiated 	Yes		TERMINATION + 6 months	SECURE DISPOSAL	Personnel/HR
6.6	Records relating to accident/injury at work	Yes	RIDDOR 1995 (SI1995/3163) as amended and Limitation Act 1980. (Special rules apply involving hazardous substances)	Date of incident + 12 years In the case of serious accidents, a further retention period will need to be applied	SECURE DISPOSAL	Personnel/HR
6.7	Annual appraisal/assessment records	Yes	GDPR - Necessary for the establishment, exercise or defence of legal claims	TERMINATION + 6 months, unless there is an education reason?	SECURE DISPOSAL	Principal / Teaching and Learning
6.9	Maternity, Paternity, Adoption, Shared Parental, and Unpaid Parental Leave and pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567) GDPR - Necessary for the establishment, exercise or defence of legal claims	Termination plus 6 months	SECURE DISPOSAL	Personnel / ESF
6.10	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	SECURE DISPOSAL	Personnel / ESF
6.11	Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure	Yes	GDPR - Necessary for the establishment, exercise or defence of legal claims Compliance with a statutory duty (Safeguarding)	Where possible these should be checked and a note kept of what was seen and what has been checked. Copy	SECURE DISPOSAL	Personnel/HR

	Employment Document Retention Basic document description	Data Protection Issues	Reasons for retention	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
			Legitimate interest	documentation may be placed on the member of staff's personal file and retained until termination or employment		
6.12	Staff training records - general	Yes	GDPR Legitimate interest	Termination + 6 month	SECURE DISPOSAL	Personnel/HR
6.13	Training (proof of completion such as certificates, awards, exam results)	Yes	GDPR Legitimate interest	Last action + 7 years	SECURE DISPOSAL	Personnel/HR
6.14	SICKNESS ABSENCE RECORDS					
	RTW Forms	Yes	GDPR Legitimate interest, performance of a contract, duty of care. Necessary for the establishment, exercise or defence of legal claims	WORK RELATED ILLNESS Termination + 6 years	SECURE DISPOSAL	Personnel/HR
	Med 3 (Fit Note)	Yes		OTHER Termination + 6 months		
	OH Health Records	Yes		SURVEILLANCE IN CONNECTION WITH RISK OF INDUSTRIAL DISEASE Termination + 40 years OTHER Termination plus 6 months		
	Sickness monitoring meetings	Yes				
	OH Surveillance	Yes				
6.15	OTHER ABSENCE REQUESTS					
	Holiday requests Leave of absence requests.	Yes	GDPR Legitimate interest, performance of a contract and necessary for the establishments, exercise or defence of a legal claim	Current leave year, unless pertain to grievance investigations	SECURE DISPOSAL	Personnel/HR
6.16	GRIEVANCE RECORDS					
		Yes	GDPR Legitimate interest, performance of a contract and necessary for the establishments, exercise or defence of a legal claim	Termination plus 6 months	SECURE DISPOSAL	Personnel/HR

7. Health and Safety

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
7.1	Accessibility plans		Disability Discrimination Act	Current year + 6 years	SECURE DISPOSAL	Personnel
7.2	Accident reporting		Social Security (Claims and Payments) Regulations 1979 Regulations 25, Social Security Administration Act 1992 Section 8. Limitation Act 1980			Administration
7.2.1	<ul style="list-style-type: none"> Adults 	Yes		Date of incident + 7 years	SECURE DISPOSAL	Administration
7.2.2	<ul style="list-style-type: none"> Children 	Yes		DOB of child + 25 years	SECURE DISPOSAL	Administration
7.2.3	COSHH			Current year + 10 years (where appropriate an additional retention period may be allocated)		Administration
7.4	Incident reports	Yes		Current year + 20 years	SECURE DISPOSAL	Administration
7.5	Policy statements			Date of expiry + 1 year	SECURE DISPOSAL	Administration
7.6	Risk assessments	Yes		Current year + 3 years	SECURE DISPOSAL	Administration
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	Administration
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	Administration
7.9	Fire Precautions log books			Current year + 6 years	SECURE DISPOSAL	Administration

8. Administrative

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
8.1	Employer's Liability certificate			Closure of Academy/School + 40 years	SECURE DISPOSAL	Finance / ESF
8.2	Inventories of equipment and furniture			Current year + 6 years	SECURE DISPOSAL	Facilities Manager
8.3	General file series			Current year + 5 years	Review to see whether a further retention period is required	Office Manager
8.4	Academy/School brochure or prospectus			Current year + 3 years	Dispose	Office Manager
8.5	Circulars (staff/parents/students)			Current year + 1 year	SECURE DISPOSAL	Office Manager
8.6	Newsletters			Current year + 1 year	Review to see whether a further retention period is required	Office Manager
8.7	Visitors' book			12 months		Office Manager

9. Finance

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
9.1	Annual Accounts		Financial Regulations	Current year + 6 years	Dispose	Administration / Finance
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	Administration / Finance
9.3	Contracts					Administration
9.3.1	<ul style="list-style-type: none"> Under Annual Budget and background papers seal 			Contract completion date + 12 years	SECURE DISPOSAL	Administration
9.3.2	<ul style="list-style-type: none"> Under signature 			Contract completion date + 6 years	SECURE DISPOSAL	Administration
9.3.3	Monitoring records			Current year + 2 years	SECURE DISPOSAL	Administration / Finance
9.4	Copy orders			Current year + 2 years	SECURE DISPOSAL	Administration / Finance
9.5	Budget reports, budget monitoring, etc			Current year + 3 years	SECURE DISPOSAL	Administration / Finance
9.6	Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.7	Annual budget and background papers			Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.8	Order books and requisitions			Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.9	Delivery documentation			Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.10	Debtors' records		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.11	Academy/School fund – cheque books			Current year + 3 years	SECURE DISPOSAL	Administration / Finance
9.12	Academy/School fund – paying in books			Current year + 6 years then review	SECURE DISPOSAL	Administration / Finance
9.13	Academy/School fund – ledger			Current year + 6 years then review	SECURE DISPOSAL	Administration / Finance
9.14	Academy/School fund – invoices			Current year + 6 years then review	SECURE DISPOSAL	Administration / Finance

9.15	Academy/School fund – receipts			Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.16	Academy/School fund - bank statements			Current year 6 years then review	SECURE DISPOSAL	Administration / Finance
9.17	Academy/School fund – Academy/School Journey books			Current year 6 years then review	SECURE DISPOSAL	Administration / Finance
9.18	Student grant applications			Current year + 3 years	SECURE DISPOSAL	Administration / Finance
9.19	Free School Meals registers	Yes		Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.20	Petty cash books			Current year + 6 years	SECURE DISPOSAL	Administration / Finance
9.21	Insurance policies – Employer’s Liability		Employer’s Liability Financial Regulations	Minimum of 6 years – maximum of 40 years depending on the type of policy	SECURE DISPOSAL	Administration / Finance
9.22	Claims made against insurance policies – damage to property	Yes		Case concluded + 3 years	SECURE DISPOSAL	Administration / Finance
9.23	Claims made against insurance policies – personal injury	Yes		Case concluded + 6 years	SECURE DISPOSAL	Administration / Finance

10. Property

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
10.1	Title Deeds			Permanent	Permanent, these should follow the property unless the property has been registered at the Land Registry	Administration
10.2	Plans			Permanent	Retain in Academy/School whilst operational	Administration
10.3	Maintenance and contractors		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	Administration / Facilities
10.4	Leases			Expiry of lease + 6 years	SECURE DISPOSAL	Administration / Facilities
10.5	Lettings			Current year + 3 years	SECURE DISPOSAL	Administration / Finance
10.6	Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL	Administration / Facilities
10.7	Maintenance log books			Current year + 6 years	SECURE DISPOSAL	Administration / Facilities
10.8	Contractors' reports			Current year + 6 years	SECURE DISPOSAL	Administration / Facilities
10.9	CCTV			14 days	All archived footage will be deleted after 14 days unless the administrator is instructed to move it to permanent storage for use as evidence	Administration/ Facilities

11. Department for Education

	Basic file description	Data Protection Issues	Statutory provisions	Retention Period (operational)	Action at the end of the administrative life of the record	Responsibility
11.2	OFSTED reports and papers			Replace former report with any new Inspection report	Review to see whether a further retention period is required	Administration / Principal
11.3	Returns			Current year + 6 years	SECURE DISPOSAL	Administration / Principal

12. Early Years provision

	Basic file description	Data Protection Issues	Statutory provisions	Action at the end of the administrative life of the record	Responsibility
12.1	Records to be kept by Registered Persons – All cases				Administration / Pastoral
12.1.1	The name, home address and DOB of each child who is looked after on the premises	Yes		Closure of setting + 25 years (these could be required to show whether or not an individual child attended the setting in a child protection investigation)	Administration / Pastoral
12.1.2	The name, address and telephone number of a parent of each child who is looked after on the premises	Yes		Closure of setting + 25 years (these could be required to show whether or not an individual child attended the setting in a child protection investigation)	Administration / Pastoral
12.1.3	The name, address and telephone number of any person who will be looking after children on the premises	Yes		Termination + 6 years then review	Administration / Pastoral
12.1.4	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 state that these records should be kept for 2 years (SI2003 1996 7(1b)). If these records are likely to be needed in a child protection setting then the records should be retained for closure of setting + 50 years	Administration / Pastoral
12.1.5	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	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	Administration / Pastoral
12.1.6	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 himself, together with a record of parent's consent	Yes	The Day Care and Child Minding (National Standards (England) Regulations 2003	DOB of the child being given/taking the medicine + 25 years	Administration / Pastoral

	Basic file description	Data Protection Issues	Statutory provisions	Action at the end of the administrative life of the record	Responsibility
12.1.7	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	Administration
12.1.8	Portfolio of work, observations, etc	Yes		To be sent with the child	Administration
12.1.9	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.	Administration
12.2	Records to be kept by Registered Persons – Day Care				Administration
12.2.1	The name and address and telephone number of the registered person and every other person living or employed on the premises	Yes		Termination + 6 years then review	Administration
12.2.2	A statement of the procedure to be followed in the event of a fire or accident	No		Procedure superseded + 7 years	Administration
12.2.3	A statement of the procedure to be followed in the event of a child being lost or not collected	No		Procedure superseded + 7 years	Administration / Pastoral
12.2.4	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	Administration / Pastoral
12.2.5	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 + 25 years (These could be required to show whether or not an individual child attended the setting in a child protection investigation)	Administration / Pastoral

References:

www.irms.org.uk/resources/infoguides/RMToolkit

www.specialist.entrust-ed.co.uk