



Shropshire
Council

Shropshire Council

Information Management Toolkit Early Years

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1. Introduction

This Information Management toolkit is designed to assist Early Years providers to fulfil their obligations under Statutory Framework for the Early Years Foundation Stage 2017 (EYFS) by keeping their records to the appropriate standards in the Corporate Retention Schedule.

The EYFS states that 'Providers must maintain records and obtain and share information (with parents and carers, other professionals working with the child, the police, social services and Ofsted or the childminder agency with which they are registered, as appropriate) to ensure the needs of all children are met'.

2. Using the Information Management Toolkit

The retention guidelines are intended to be as exhaustive as possible and they are only guidelines. If in doubt, take legal advice. The responsibility of maintaining and retaining appropriate records remains with individual settings. Business risk assessments should be considered if the retention and disposal periods detailed are not appropriate for local service requirements.

Any queries should be directed to the Records Manager.

3. Information Sharing

Information sharing can take place with many organisations and individuals. It is important that information is shared with the right people, in the right way.

Before sharing information with agencies, or partners outside of the setting, you must check that you have permission, and in the case of sensitive and personal information, the explicit consent of the data subject (other than when such sharing is a statutory requirement).

When parents or individuals request access to information, this should be dealt with in accordance with providers obligations under the General Data Protection Regulation (GDPR) and where relevant, the Freedom of Information Act 2000. Further guidance is available from the Information Governance Officer, Shropshire Council.

4. Retention Guidelines

Early Years - Records to be kept by Registered Persons

Ref	Record Title	Description	Notes	Trigger Event	Authority	Retention Period	Disposal
CSS7.1	Early Years creche packs	The provision of early years education for children aged from 3 months to 5 years	The Crèche packs contain child client information together with Parent responsibilities and associated medical information. Records such as planning / observations and diaries are subject to Ofsted inspections	Date child leaves the crèche	Children Care Act 2006	5 years	Destroy
CSS7.2	Child particulars at premises	The name, home address and date of birth of each child who is looked after on the premises	These could be required to show whether an individual child attended the setting in a child protection investigation	Closure of setting	Statutory Framework for the Early Years Foundation Stage September 2017 - page 30	50 years	Destroy
CSS7.3	Parent particulars of child	The name, home address and telephone number of a parent of each child who is looked after on the premises	If this information is kept in the same book or on the same form as in the child, then the same retention period should be used. 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).	Child leaves setting	Statutory Framework for the Early Years Foundation Stage September 2017 - page 30	After trigger event	Destroy
CSS7.4	Accident and incident records	Accident records and reporting books of incidents on the premises.	Date of birth 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	Date of accident or incident	Statutory Framework for the Early Years Foundation Stage September 2017 - page 26	Date of birth of the child + 25 years. If an adult is injured + 7 years	Destroy

Ref	Record Title	Description	Notes	Trigger Event	Authority	Retention Period	Disposal
CSS7.5	Record of any medicinal product administered	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	Contains personal data	Date of birth of the child being given/taking the medicine	Statutory Framework for the Early Years Foundation Stage September 2017 - page 25	25 years	Destroy
CSS7.6	Registered personnel at premises	The name and address and home telephone number of the registered person and every other person living or employed on the premises, including those who will be looking after children	These could be required to show if an individual was employed by the setting in a child protection investigation.	Closure of setting	Statutory Framework for the Early Years Foundation Stage September 2017 - page 30/31	50 years	Destroy
CSS7.7	Fire or accident	A statement of the procedure to be followed in the event of a fire or accident	Procedure superseded + 7 years	Date of fire or incident	Statutory Framework for the Early Years Foundation Stage September 2017 - p27	7 years	Destroy
CSS7.8	Child lost or not collected	A statement of the procedure to be followed in the event of a child being lost or not collected	Procedure superseded + 7 years	Date of loss or incident	Statutory Framework for the Early Years Foundation Stage September 2017 - p30	7 years	Destroy

Ref	Record Title	Description	Notes	Trigger Event	Authority	Retention Period	Disposal
CSS7.9	Complaint from parent	A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person	Until superseded	Date of complaint	Statutory Framework for the Early Years Foundation Stage September 2017 - p16 to 17	Review	Destroy if no further retention
CSS7.10	Safeguarding procedures records	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	These could be required to show if an individual child attended the setting in a child protection investigation.	Closure of setting	Statutory Framework for the Early Years Foundation Stage September 2017 - p30 to 32	50 years	Destroy
CSS7.11	Visits to providers	Records by service providers		Date of visit	Local Service Requirement	5 years	Destroy
CSS7.12	School Inspections	Pre-school inspections		Date of inspection	Local Service Requirement	10 years	Destroy
CSS7.13	Daily records of children	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	These records should be retained for a reasonable period from when the child leaves (for example 3 years). However, if these records are likely to be needed in a child protection setting, then the records should be retained for closure + 50 years	When the child leaves the premises	Statutory Framework for the Early Years Foundation Stage September 2017 - page 30	Review (3 years or 50 years)	Destroy

Ref	Record Title	Description	Notes	Trigger Event	Authority	Retention Period	Disposal
CSS7.14	Records of transfer	When a child is transferred to a Primary school	One copy is given to the parents, one copy is transferred to the Primary school where the child is placed	Date of transfer	Local Service Requirement	After trigger event	Destroy
CSS7.15	Child workings	Portfolio and observational work of the child on the premises	To be sent home with the child	When the child leaves the premises	Local Service Requirement	After trigger event	Destroy
CSS7.16	Birth certificates	Original birth certificates examined on the premises	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 retain a copy.	After sight	Local Service Requirement	After trigger event	Family to retain
RS - Finance Section	Financial accounts	Statements, invoices, petty cash books etc	Not European funded finance records	End of current year	Local Service Requirement	6 years	Destroy
RMI3.3	Insurance policies	Employers liability	The policies are retained for a minimum of 6 years and a maximum of 40 years, depending on the type of policy	Policy end	Employers Liability Regulations (compulsory insurance) 1998	6 years or 40 years	Destroy
RMI2.1	Property insurance claims	Claims made against insurance policies	Concerning damage to property	Case concluded	Limitation Act 1980 (Section 2)	6 years	Destroy
RMI2.2	Personal insurance claims	Claims made against insurance policies	Concerning personal injury	Case concluded	Limitation Act 1980 (Section 11)	6 years	Destroy
HR8.17	Personal file	Records relating to an individual's employment history	Staff working with children	Termination of employment	IRMS 6.3	25 years	Destroy
HR8.14	Pre-employment vetting	Pre-employment vetting information (including DBS checks)	DBS procedures	Date of check	DBS guidelines	6 months	Destroy
HR16.7	Staff training records	All general training records	Personal information	End of current year	Local Service Requirement	2 years	Destroy

Ref	Record Title	Description	Notes	Trigger Event	Authority	Retention Period	Disposal
HR16.8	Proof of training records	Training. Proof of completion, such as certificates, awards, exam results	Personal information	Last action	Local Service Requirement	7 years	Destroy
CP12.11	Building maintenance	Premises files relating to maintenance	Cessation of use of building + 7 years then review	Cessation of building	Local Service Requirement	7 years	Review
HS2.1	Risk Assessments	Premises risk assessments	Date the risk assessment superseded + 4 years	Date of assessment	Local Service Requirement	4 years	Destroy

5. Appropriate Records Storage

Records (whether physical or electronic) must be managed to ensure they cannot be lost, damaged or prematurely destroyed. Records and information being maintained locally by teams must be safeguarded.

Closed or semi-current records must be considered for transfer to the Records Management Service at the Shirehall. Records can be secured and retained according to retention schedule guidelines. For further information about the Records Management Service, including how to transfer records [Select Here](#).

Records maintained locally by teams outside of the Records Management Service may involve the purchase of high quality storage equipment. Any buildings/rooms/stores chosen for **physical** records storage should:

.....Be entirely waterproof:	Water can cause considerable damage to records, so do not store any records in buildings prone to leaks or vulnerable buildings such as garages and sheds.
.....Be in a location free from threats of arson or acts of vandalism:	Arson is a serious threat to records, so buildings located in areas with high crime or vandalism rates should not be used.
.....Have a free circulation of air around the room:	This will prevent the formation of mould in the room.
.....Have adequate fire protection apparatus:	At a minimum, this should include heat/smoke detection equipment.

.....Be secured against unauthorised access and should have appropriate security measures in place:	Records should be kept secure when not in use in lockable filing cabinets, or cupboards. This will help to ensure any risks associated with inappropriate access are eradicated. It will also help to ensure the security of personal data of customers and staff is protected.
.....Not to be stored on the floor:	Records should be stored at least 2,5” (6.5cm) off the ground and either in cupboards, cabinets or drawers to protect them from water or fire damage.

If you are unable to safeguard any physical records under the conditions highlighted above, contact the Records Management Service.

6. Information Security

Information Security breaches can cause real harm and distress to the individuals they affect – lives may even be put at risk. Not all security breaches have such grave consequences, of course. Many cause less serious embarrassment, or inconvenience to the individuals concerned.

High profile losses of large amounts of personal data have brought attention to the issue of information security; as a result, the law changed to allow the Information Commissioner to issue fines of up to £500,000 for serious breaches of Data Protection.

For further information about Information security [Select Here](#)

If you have any queries regarding information governance, (access to information, data protection, freedom of information, environmental information regulations, IT security and the reuse of public sector information) please contact the Information Governance Officer at Shropshire Council.

Think about the following:

Ensure all electronic mobile devices are encrypted if they hold personal data i.e. Shropshire Council laptop

All personal information should be kept in lockable filing cabinets

If 'archiving' records, keep them in a separate room if possible and make sure that the door can be locked and the key secured

Ensure that personal information held on authorised computer systems is adequately protected

Do not share your user ID or password with anyone and do not write down passwords

Ensure that your computer screen cannot be viewed by any unauthorised personnel and enable password protected screen savers to protect screen content

Operate a clear desk policy

Be careful about giving out personal information over the phone

Do not hold or wedge open doors to areas where sensitive data is held, processed or stored

Do not leave the Internet logged on when leaving the computer unattended

Immediately report any suspicious activities or security breaches

If transporting personal information off the premises, make sure it is protected and if possible secured in a lockable container

Remember..... at all times, try and treat people's personal information as you would expect and wish your personal information to be treated

7. Disposal of Records

Records (electronic or hard copy) which have been identified for disposal must be destroyed in a way which reflects the sensitivity, or confidentiality of the information which the record contains.

Inappropriate disposal of information could lead to an information security breach. This could result in a fine from the Information Commissioners Office (ICO) and serious reputational damage.

Any hard copy records containing sensitive or personal information should be placed in the secure confidential waste bins provided by Shropshire Council. Electronic records should be deleted from storage media. Any records stored on CD/DVD can be destroyed courtesy of Facilities Management.

Staff must keep a record of when and which records have been destroyed. A simple spreadsheet used as a disposal schedule can be used and it will require the following information:

- File reference
- Brief description
- On whose authority
- Method of disposal

8. Information, Advice and Guidance

Further information and guidance relating to records management, information security and information sharing, the GDPR and FOI Act is available from the following links:

Useful Information

Document	Location
Corporate Retention schedule	Intranet – Records Management
Records Management Service	Intranet
Information Governance	Intranet – Information Governance

Useful Contacts

Name	Telephone
Advice on records management, please contact: Dale Pitt – Records Manager	01743 252855 dale.pitt@shropshire.gov.uk
Advice on Information Governance and Information Security, please contact: Roy Morris – Information Governance	01743 252744 roy.morris@shropshire.gov.uk
Advice on electronic records using SharePoint please contact: Anthony Lacey – EDRMS Analyst	01743 258662 anthony.lacey@shropshire.gov.uk

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