

Retention Guidelines

for early years settings in Derbyshire

PUBLIC
Mark Smith

Version History

VI.0, quick reference version, based on full version, V6 (GN2020014)

Date

21/05/2021

Due to the ongoing Independent Inquiry into Child Sexual Abuse (IICSA) there are restrictions on destroying records relating to the care of children. For this reason, some record types are marked “DO NOT DESTROY (IICSA)”

For more information, speak to your Data Protection Officer or read the [Retention Instructions](#) published by the Inquiry

SUMMARY OF RETENTION PERIODS

Triggered by date of closure, last known use or last amendment.

CHILD PROTECTION		
SCH 1.1	Child Protection files	Transfer to next setting (see note overleaf)
SCH 1.5	Allegations against staff (including unfounded allegations)	DO NOT DESTROY (IICSA)
MANAGEMENT		
SCH 3.1	Log books	Offer to Derbyshire Record Office after 6 years
SCH 3.2	Management minutes	Offer to Derbyshire Record Office after 6 years
SCH 3.3	Management reports	Offer to Derbyshire Record Office after 6 years
SCH 3.5/6/7/8	Admission applications and proofs of home address	Retain for 1 year from date of admission (or refusal of admission)
CHILD RECORDS		
SCH 4.1	Admission records	Retain for 6 years
SCH 4.2	Attendance records	Retain for 3 years
SCH 4.3	Individual child files	Transfer to next setting (see note overleaf)
SCH 4.5	Special Educational Needs (SEN) records relating to individual child	Transfer to next setting (see note overleaf)
SCH 4.7	Absence letters	Retain for 2 years
SCH 4.10	SEN advice to parents/guardians	Retain for 12 years
SCH 4.11	Accessibility strategy	Retain for 12 years
TRIPS AND OUTINGS		
The following rules apply only if no accident/serious incident occurs, otherwise see SCH 7.3 overleaf		
SCH 4.12	Permission slips	Destroy after trip
SCH 4.14	Risk assessments and related records	Retain for 14 years
STAFF		
SCH 6.1	Staff file	DO NOT DESTROY (IICSA)

SCH 6.2	Recruitment information on successful candidates including interview notes	DO NOT DESTROY (IICSA)
SCH 6.3	Recruitment information on unsuccessful candidates including interview notes	Retain for 1 year from end of recruitment process
SCH 6.4	Pre-employment vetting (qualifications, right to work in UK)	DO NOT DESTROY (IICSA) Exception: retain DBS checks for 6 months only
SCH 6.5	Disciplinary: Level 1 warning	DO NOT DESTROY (IICSA)
SCH 6.6	Disciplinary: Level 2 warning	DO NOT DESTROY (IICSA)
SCH 6.7	Disciplinary: Final written warning	DO NOT DESTROY (IICSA)
SCH 6.8	Warning deemed to be based on an unfounded case	DO NOT DESTROY (IICSA)
SCH 6.9	Staff appraisals	DO NOT DESTROY (IICSA)

HEALTH AND SAFETY

SCH 7.1	Accessibility plans including Personal Emergency Evacuation Plan (PEEP)	Retain for 6 years
SCH 7.2	Accident report (adult)	Retain for 7 years
SCH 7.3	Accident report (child)	Retain until 25 years from date of birth
SCH 7.4	Asbestos monitoring	Retain for 40 years
SCH 7.5	Radiation monitoring	Retain for 50 years
SCH 7.6	Fire log books	Retain for 7 years
SCH 7.7	Administration of non-prescription or commonly prescribed medicines including painkillers, antibiotics, asthma inhalers	Retain for 1 year. Events significantly outside individual treatment plan: see SCH 7.8 below
SCH 7.8	Administration of other medication, including: peg feeding, injections, treatments for serious conditions such as ADHD or depression. Includes any record of a reported incident or problem with administering medicine	Retain for 21 years and 6 months from date of birth

VISITORS

SCH 8.5	Registers of visitors	Retain for 2 years
---------	-----------------------	--------------------

FINANCE

SCH 9.1	Annual accounts	Retain for 6 years
SCH 9.2	Invoices, receipts, other financial records	Retain for 6 years

Transfer to next nursery, school or other educational setting

Records of an individual child follow that child around the education system. As indicated above, you should send case records (including child protection and SEN) to the child's new setting. Whether the information is held electronically or on paper, you need to use a safe method of transfer, and confirm that it has been received. It is acceptable to set a short safety period to allow for any problems with this process to be spotted and put right – but then the data needs to be deleted from your system. The new setting is responsible for the record from this point on. If the child is not in formal education because:

- they are home educated: transfer the information to DCC Elective Home Education team
- they are missing from education: transfer the information to DCC Child Missing Education team
- they have moved outside the UK: retain 25 years from date of birth
- they have died: retain 25 years from date of birth

Any questions?

Search Derbyshire SchoolsNet for “Elective Home Education” or “Child Missing Education”, or contact the Records Manager on records.management@derbyshire.gov.uk or 01629 539203.