

***BIRMINGHAM PUPIL RECORD KEEPING AND
MANAGEMENT GUIDANCE
An Essential Guide for Schools, Education and
Early Years Settings***

Approvals

This document was approved by the following:

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Revision History

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April 2015	Micho H Moyo (Principal Officer Safeguarding- Schools and Education Services CP Advisor)	2	The need to review past guidance arose from the many changes in the national guidance, Good Practice and learning from serious case reviews since 2010.	WTSC (2015 KCSIE(2015) RMT for Schools, Version 4 April 2012);

This Guidance will next be reviewed in May 2016.

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SECTION 1: INTRODUCTION

The purpose of the guide is to provide a framework for schools, education and early years settings (hereafter referred to as 'schools') to assist in the development and implementation of effective, maintainable School Record Keeping Policy and System.

The policy and system are designed to ensure appropriate and efficient sharing of information in order to promote the well-being of children by creating an accurate record of the child's' history, that remains with the child as s/he moves through the education system and from setting to setting. In order to safeguard children effectively and to provide them with the best educational experience, records need to be passed on from one school to another and from one phase to the next.

These guidelines are equally applicable to practice in private, voluntary and independent settings. They reflect, and should be read in conjunction with, the following documents:

- Records Management Toolkit for Schools, Version 4 (Records Management Society April 2012);
http://www.irms.org.uk/images/resources/infoguides/records_management_toolkit_for_schools_version_4_may_2012.pdf
- Working together to Safeguard Children 2015.
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/281368/Working_together_to_safeguard_children.pdf
- School to School Service: How to Transfer Information (DfE)
<https://www.gov.uk/school-to-school-service-how-to-transfer-information>
- The Birmingham Safeguarding Children Board Child Protection Procedures
<http://www.proceduresonline.com/birmingham/scb/>
- Keeping children safe in education and other settings(DfE:2015)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/418686/Keeping_children_safe_in_education.pdf

Schools and Education Settings should ensure that all staff, including volunteers, are aware of record keeping requirements, and that these requirements are regularly reviewed within the staff group. Lead staff should ensure that arrangements are in place for the effective monitoring of record

keeping standards, and for action to be taken to promptly address failings in the meeting of standards.

SECTION 2: THE LAW AND GUIDANCE

2.1 The Legislative Framework

All organisations that work with children, young people and families share a commitment to safeguard and promote their welfare, and for many agencies that is underpinned by a statutory duty or duties. The following is a brief summary of the legislation most relevant to work to safeguard and promote the welfare of children:

2.2 Children Act 2004

Section 10 requires each Local Authority to promote co-operation between the Authority and other appropriate persons or bodies with a view to improving the well-being of children.

Section 11 requires a range of organisations to make arrangements for ensuring that their functions, and services provided on their behalf, are discharged having regard to the need to safeguard and promote the welfare of children.

Section 13 requires a range of organisations to take part in Local Safeguarding Children Boards.

2.3 Education Act 2002

Section 175 places a duty on local education authorities and on governing bodies of schools to make arrangements for carrying out their functions with a view to safeguarding and promoting the welfare of children.

2.4 Statutory Guidance

Statutory guidance on safeguarding and promoting the welfare of children, where concerns exist that they may have been abused, is set out in **Working Together to Safeguard Children 2015**.

WTSC (2015) marks another watershed in safeguarding. The revised Guidance's focus on principles and legal requirements presumes legal and safeguarding expertise within settings. It imposes less regulation and requires more responsibility at local level. Sector led professional guidance and local innovation (agreed with the LSCB) is encouraged.

2.5 Keeping Records – The Law

Each school has a responsibility to maintain its records and record keeping systems. Although schools will have their own methods of creating and keeping records and sharing information with staff, students, parents and the general public, they should be aware that, in doing so, they need to take account of SAFEGUARDING along with matters such as: the common law duty of confidentiality; the Data Protection Principles; and the European Convention on Human Rights, all which must be considered when obtaining, processing or sharing personal or sensitive information or records.

Schools should register themselves as data controllers under the Data Protection Act 1998, unless certain exemptions apply. Advice on this subject can be obtained from the Information Commissioner's Office.

2.6 Pupils' Educational Records

The Education (Pupil Information) (England) Regulations 2005, (with Amendments in 2013) require maintained schools (other than nursery schools) to keep a curricular record for each pupil, to update it at least annually, and to disclose it on request to their parent.

www.practicallaw.com/6-386-3827

Under these Regulations, maintained schools must transfer a pupil's educational record to their new school when they change schools.

2.7 Keeping a Curricular Record for Every Pupil

The governing body is responsible for ensuring that a curricular record is kept for every pupil registered at the school and that it is updated at least once every school year. The curricular record means a formal record of a pupil's academic achievements, his or her other skills, and abilities and progress in school.

2.8 The Educational Record

The pupil's educational record is any record of information which:

- is processed by, or on behalf of, a governing body of, or a teacher at, any school maintained by a local authority
- relates to any person who is or has been a pupil at any such school; and originates from, was supplied by, or is on behalf of
 - any employee of the local authority which maintains the school attended by the pupil to whom the record relates
 - any teacher or other employee at the school where the school is a voluntary aided, foundation or foundation special school
 - the pupil to whom the record relates
 - a parent of that pupil

But it does not include any information which is processed by a teacher solely for the teacher's own use.

In addition, the educational record includes:

- any statement of special educational need held in respect of the pupil;
- Any Personal Educational Plan (PEP) held in respect of the pupil.
The PEP is a document that is initiated by children's social care when a child is taken into care and is then maintained by the child's school. It provides a record of educational needs, objectives and progress and achievements.

2.9 Parents' Requests to See or Have Copies of Their Child's Educational Record

The governing body is responsible for making available a pupil's educational record to his or her parent, free of charge, within 15 school days of receipt of the parent's written request. If a parent makes a written request for a copy of the record, this must be provided to them, also within 15 school days of that request being received. The governing body can charge a fee for the copy, but if it does this, it must not be more than the cost of supply and it must be authorised by the school's charges and remissions policy. The educational record should include the curricular record, but also other information about the pupil that may be kept by the school, such as details of behaviour and family background (definition given above).

2.10 Requests by Pupils to see their Educational Record

Any pupil may ask to see or have a copy of the information relating to them which is held on their education record. The school must comply with the request unless it is clear that the pupil does not have the mental capacity to understand the implications of the request. Advice on this can be sought from: Steve Cullen, Information Governance Manager: Birmingham City Council, Tel: 0121 464 4591 - Email: steve.cullen@birmingham.gov.uk.

2.11 Pupils with an Education, Health and Care Plan

Where a child has an education health and care plan, that plan forms part of the child's educational record.

2.12 Transferring a Pupil's Educational Record When they Move to a New School

When a pupil ceases to be registered at one school and becomes registered at another (either maintained or independent) in England, the governing body of the old school is responsible for transferring their educational record to the new school. **This must be done no later than 15 school days after the day when the pupil ceases to be registered at the old school.**

2.13 The Common Transfer File

When pupils transfer schools it is important that their new school has, and acts on, information about previous performance. The requirement to send the common transfer file from the old school to the new school ensures specific information about the pupil is transferred with them.

[Regulation 9](#) of the Education (Pupil Information) (England) Regulations 2005 requires that the old school must send the pupil's common transfer file and educational record to the new school within 15 school days after the day on which the pupil ceases to be registered at the old school. [Schedule 2](#) of these Regulations sets out the information that must be included in the common transfer file.

2.14 Freedom of Information Act (FOIA) 2000

Under the Freedom of Information Act 2000, it is now a legal right for any person to ask a school for access to information that it holds that does not relate to any identifiable living person. Schools are under a duty to provide advice and assistance to anyone requesting information and must respond to the enquiry promptly, and in any event, within 20 working days of receipt (not including school holidays).

The FOIA provides a series of exemptions. The exemptions most likely to be used by schools are:

- a request for personal information covered by the Data Protection Act (that is information which relates to any identifiable person)
- information accessible by other means, for example, information available from a publication scheme, or information that other legislation requires a school to give

2.12 Learning from Serious Case Reviews

All schools and other education settings should have a robust system for recording any injuries or welfare concerns about a child identified by staff, and the actions taken to address these concerns.

SECTION 3: WRITING EFFECTIVE RECORDS

Remember: It is not enough simply to record an event or occurrence. Appropriate action, in any given situation, must be taken without delay.

Pastoral/Child Protection recording

There are many different formats in which records can be made. Records can be made on paper systems, electronically or a mixture of the two. The common features of effective records are that they:

- Are Clear;
- Are Concise;
- Are Accurate;
- Avoid the use of jargon;
- Explain all abbreviations;
- Contain all relevant information including times, dates and names of persons involved;
- Are signed and dated by the author and their name is clearly printed; and
- Can be easily read and understood by persons not involved in the school system, for example a child's parents.

3.1 WHAT types of things must be recorded?

Remember: Where there is uncertainty or lack of clarity regarding an event or situation advice and guidance must be sought regarding the appropriate action without delay.

- When a child arrives at a new school information about them must be sought *from* the parent/carer using the Pupil Information Form (Appendix 1)

All schools and other education settings should maintain complete and accurate personal details of each child and contact details of parents/carers and professional agencies working with the child/family.

Within the context of general safety of children and in light of the real risks of Child-abduction, Child-sexual- exploitation and radicalisation an up-to-date photo could save a child's life. It is recommended that schools keep an up-to-date photo of each child enrolled as part of their personal pupil record.

Advice on the use of photo/video records for school purposes

Schools take images of pupils for various reasons e.g. ID. Cards, Personal Information Record, the prospectus; recognition of achievement, prize giving, sports day etc.; functions (discos, charity events etc.); curricular activities; performance in dance, field trips etc.); extra-curricular activities (school excursions, class outings etc.). It is also recognised that digital technology has vastly increased the use, and potential opportunities for misuse of photography.

However, the risk of a child being directly targeted for abuse through being identified by a stranger from a school photograph is so small that, providing that the reasonable precautions are taken, the benefit of the regular practice of photography, for above purposes far outweighs the perceived risks.

Consent

Schools are also reminded that an image of a person is considered personal data under the terms of the Data Protection Act 1998 and it is a requirement of the Act that consent from the parent of a child or young person under the age of 18 years (the views of the child are also important) is obtained for any photograph or video recording to be taken and used.

See also the DfE Guidance on Biometric data [\[Here\]](#).

- Once a pupil is on roll at school any cause for concern about their well being must be recorded.
- Where a pupil is displaying visible injury or disclosing information about non-accidental harm it is clear that the matter must be passed on to the Designated Safeguarding Lead (DSL) immediately for referral to Children Social Care.
- There are many other situations where concerns are less clear. In these cases, staff need to make a judgement as to whether an event, behaviour or interaction could be a cause for concern and whether they should make a Note of Concern.
- Staff must also be aware of the importance of logging significant information which will enable an ongoing assessment. For example, a sudden change in behaviour on its own may not trigger a referral to the Designated Safeguarding Lead or Children Social Care, but it may do so when a pattern of concerns is identified through the pupil's records.
- Whether a Note of Concern is made is a matter of professional judgement. The following, non- exhaustive list, suggests a few instances that may trigger a Note of Concern:

Pupil is persistently tired; asks frequently to go to the toilet; begins to show inappropriate behaviour; displays weight loss; becomes withdrawn; is persistently angry; is inexplicably agitated or aggressive; is tearful for no apparent reason; starts hurting other pupils; steals food; appears unkempt etc.

- Where a Note of Concern is made it must include information about what action the concern triggered and the outcome. If no action was triggered the rationale for this must be recorded.
- The school must have a simple system for notifying the responsible person when a Note of Concern is made. The responsible person will

usually be a person who has regular contact with the child, for example a form tutor or class teacher. In this way they will have an up to date overview of events relating to the child and they will be the decision maker in terms of consulting with or referring to the Designated Safeguarding Lead. Once the matter has been referred to the Designated Safeguarding Lead, care must be taken to monitor and review the circumstances and resulting actions. Schools must clearly specify their monitoring and reviewing system within their own policy and procedure.

Staff **MUST** record children's disclosures of abuse or anything that is of a potential child protection nature and it must be referred to the Designated Safeguarding Lead for immediate action.

Staff **MUST** record anything that is of a potentially questionable conduct towards child by an adult.

Refer to BSCB Child Protection Procedures and to your Designated Safeguarding Lead for detailed guidance.

Staff must record:

- the nature of the event, observation or information
- the action taken and by whom
- the dates and times of events and actions taken
- the names of all people and services in full
- your name clearly in print followed by your signature and the date the recording is made
- **Staff must record facts rather than your interpretation of what has happened. It is perfectly acceptable to include a professional opinion as to the cause or the probability of a situation, but you must clearly state that this is your opinion**

Incident Recording (Use of Physical Intervention)

- The majority of allegations against staff arise from the context of managing challenging pupil behaviour, especially in circumstances, where school staff have to use force. The DfE Guidance: Use of reasonable force Advice for headteachers, staff and governing bodies (2013) provides clarification on the use of force to help school staff feel more confident about using this power when they feel it is necessary.
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/355362/use_of_reasonable_force.pdf
- However, it necessary to record the lawful use of the physical intervention as this would help provide a defence to any related criminal prosecution or other legal action. It also helps understand

better the triggers of behaviour in order to inform Behaviour Management Plans.(See Appendix 5)

3.2 WHO should make records?

- Every member of school staff must be aware of the safeguarding procedures, their responsibilities regarding safeguarding issues and where and how to make referrals to the Designated Safeguarding Lead.
- Each member of staff has a responsibility to record information about any pupil where a Note of Concern is indicated: therefore all staff, including teaching staff, administrative staff and any other staff must be aware of the schools agreed Pupil Concern Record Keeping System and how to access it. In order for this to happen effectively good record keeping needs to be embedded within the school and a clear reporting system in place.
- Where staff are not employed directly by the school but are contracted such as kitchen staff, or where staff do not have access to record keeping making facilities such as lunch time supervisors, a clear verbal reporting system must be in place. All staff and all visiting staff must be aware of this system so that any person within the school who has a concern is aware of how, where and through whom they must raise that concern - for example the caretaking staff may report concerns to a named deputy head teacher. The Head of the Establishment must make it clear in any service level agreement that every adult has a responsibility to report concerns.
- The Head of the Establishment must ensure that there is a School Record Keeping Policy and accompanying robust School Record Keeping System. This system must include arrangements to coordinate, monitor, review and action the Pupil Concern Records. Clear roles and responsibilities must be included. It is suggested that the Designated Safeguarding Lead coordinates and is accountable for this vital task.

3.3 WHERE records should be made?

The Head of the Establishment must ensure that there is a clear, agreed Record Keeping System with appropriate documentation in place. Information must be transferred to a formal log in a timely manner. This does not mean that a note cannot be made in a diary, for example, but that it must be written up, signed and dated as soon as is practicable.

Any system must ensure that the following basic elements are in place:

- There must be one school file for each pupil - the Pupil File. It must not be a “family file”, though cross references to other family members

should be made. This single file may have sub-files within it, for example, there may be a section for SEN. When sub-files are removed from the Pupil File it must be clearly indicated when it was removed, by whom and where it is currently located. Similarly, when it is returned to the Pupil File this should be recorded. These and any other records which relate to the pupil must be incorporated into the Pupil File on a regular and timely basis as specified in the Schools Record Keeping Policy.

- Where there is a Child Protection Record or a pupil is a “looked after child”, there should be a separate file held in a locked cabinet. It is essential that the Pupil File clearly indicates that there is a Child Protection file.
- The main Pupil File is kept in an approved appropriate place within the school.
- Any electronic records must be kept with similar diligence, backed up and retained, giving due consideration to confidentiality, and the Data Protection Act.

The main pupil file should include:

- Pupil Information form (copy of)
- Attendance Records
- Standards of Attainment & other achievements
- School reports,
- Copies of Special Educational Needs Reviews
- Individual Educational Plans,
- Individual Behaviour Plans,
- Statement of Special Educational Needs & associated documentation
- Exclusion documentation
- Common Assessment Framework documentation,
- Correspondence related to the pupil and/or their circumstances,
- Social and emotional pupil records
- Learning mentor’s or other professional’s notes
- Medical records
- Copies of referrals and reports back from other agencies
- Other

It is recommended good practice that the main pupil file should be divided into appropriate sections under the following headings:-

- Contact Details
- Academic & Achievement
- Special Educational Needs
- Social and Emotional Wellbeing
- Medical

- Miscellaneous Correspondence

3.4 Using records to promote pupil wellbeing and safeguard children

Records, in particular, the Notes of Concern, provide us with a mechanism for assessing the extent of a pupil's vulnerability but they are only of use when an effective system is in place to review and act upon the information recorded. As such it is essential that information is reviewed regularly and appropriate action taken.

As with any record pertaining to a child it is essential that Notes of Concern are written in a professional manner and that the meaning is clear to those who may read it in the future, including other professionals, the child, and parents or carers. We must record factual information clearly, identify when a professional opinion is being expressed and state the evidence on which that opinion is based.

As a minimum requirement each entry must be signed and dated, the signatory's name printed and the detail of the event recorded.

It is for each school to decide how this will take place. It is essential that the responsible person, usually the form tutor or class teacher, is made aware of all concerns in order to maintain an overview and refer to the Designated Safeguarding Lead if they assess that immediate intervention is required.

Schools may find it useful to convene a regular forum for discussion of cases of concern. This might include, for example, the Designated Safeguarding Lead, Behaviour Co-Coordinator and SENCO. In any event, action planning, review and evaluation must take place in a timely manner as must referral to, or discussion with other agencies. The Head of the Establishment must ensure that this process, together with the reporting system and timelines are clear within the School Record Keeping Policy.

It is not for this guidance to give detailed advice on thresholds for referral to Designated Safeguarding Leads or other agencies, including Children Social Care. That is a matter of professional judgement informed by the LSCB procedures, training, and experience. Where professional support and guidance is required, the Designated Safeguarding Lead should contact Micho H Moyo, (Principal Officer Safeguarding- Schools and Education Services CP Advisor) on Tel: 0121 675 1669.

3.5 Confidentiality

No one can ever guarantee children and young people complete confidentiality. TOTAL CONFIDENTIALITY MUST NOT BE PROMISED TO PUPILS

Meetings and notes of meetings with a pupil cannot be kept completely confidential. Anyone meeting on a one to one basis with a pupil must keep a

record of that contact. The information from that significant contact should be shared with the appropriate member of the SMT and appropriate action taken. If the member of staff reporting the information is dissatisfied or concerned about the action taken, they MUST discuss this with the Head Teacher. We all have an individual responsibility to protect children. If a member of staff feels that a referral to an outside agency is necessary they must make this referral and their advice and actions must be recorded and monitored by a member of Senior Management within the school, and appropriate action taken. This should be reflected in the school's confidentiality policy.

Learning mentors and similar post holders must be given training in respect of child protection, safeguarding, confidentiality, record keeping and information sharing.

Child protection records are confidential and should be shared on a need to know basis only. These should not be stored in the main pupil file but the file should clearly indicate that a separate record exists.

3.6 WHY record?

Records are kept in the first instance to ensure the appropriate level of support and safeguarding of every child in order to give them the best possible education and life opportunities.

Clear recording is essential to check and monitor progress and/or risky situations. In Child Protection terms, clear recording can demonstrate the level of need before crisis is reached. We are all accountable for our actions: clear record keeping will show that we have acted appropriately in a timely manner and in the child's best interests.

We record not just for ourselves but for external agencies that may monitor and review our actions. We also record information that parents may want to read.

3.7 WHEN do we record?

Recording of Child Protection information or issues of concern should wherever possible be contemporaneous. Where this is not possible, a full note should be taken as soon as possible and transferred to the appropriate record keeping system without delay. The original note should also be kept and attached to the file. A note that a child protection file has been created or added to should be clearly recorded be prominent and easily visible in the pupil's records.

Throughout the year there may be information updates regarding the pupil and it is essential that updated information is communicated effectively. A senior member of administrative staff should be designated to oversee the

effective distribution of pupil information, and the school should update pupil and family information every September.

Other record keeping should also ideally be contemporaneous, and recorded on the appropriate system. Where this is not possible it can be recorded in a diary or notebook but must be transferred as soon as is reasonably possible. For example, although you might note in your diary that you have referred pupil A to the school nurse at 11.10am on the 10/01/15, you should also ensure that this is entered in the school record as well, wherever possible immediately, in accordance with the school's specified pupil record documentation.

N.B WHILST THE RECORDING OF THE INFORMATION IS ESSENTIAL IT IS THE ACTION TAKEN FOLLOWING THE RECEIPT OF THE INFORMATION THAT IS CRUCIAL TO THE SAFEGUARDING OF THE INDIVIDUAL CHILD.

Example from a Serious Case Review:

- Health and welfare concerns first noted by the school in the autumn 2011 - approximately midway through the term. It was brought to the head teacher's attention that the child was eating excessive amounts of food, including taking it from other children's lunch boxes and eating secretively.
- The response of the school was to lock the food away. The reason for this response was that they considered the child's problem to be a medical one.
- Two teaching assistants were concerned about him being hungry.
- Mother insisted that child must not eat anything at school other than what she provided for him. However she was not seen as a potential source of the Child's problems: she was generally viewed as a caring mother.
- One teaching assistant recalled that mother always seemed cross with him and that he always walked home twenty paces behind his mother.
- Other school staff considered mother as very stern with the child and one teacher said later that she had stopped telling mother of child's continuing eating problems at school because of her negative reaction to him as a result.
- The school staff recognised that child was not growing, and felt that he was losing weight, with one teaching assistant stating in the later criminal proceedings that "he was wasting away", but no school staff member asked for the school to make a referral to children's social care about possible neglect – the mother's statement that this was a medical problem was accepted.
- *There was a disparity of views about the mother's parenting ability and attitude to the child, but this was not resolved among school staff.*

Each opportunity which presents itself to protect a child must be taken. A *child protection concern must always be actioned immediately, and in all cases on the first day it is discovered.*

Section 4: PRACTICALITIES

4.1 Storing Records

Schools **MUST** have a clear policy and clear procedures for record keeping. A main school file for each pupil should be created.

The Data Protection Act 1998 requires that technical and organisational measures must be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data. In short, records including both paper and electronic records must be kept securely.

In addition to a pupil's main file, a separate file containing Child Protection information must be stored in a locked cabinet or if held electronically the file must be password protected and encrypted.

It is important that other records make clear reference to the fact that a Child Protection file is in existence.

4.2 Retention of Records

Please see the Information and Records Management Society Toolkit for Schools.

<http://www.irms.org.uk/resources/information-guides/199-rm-toolkit-for-school>

No original records of any description should be retained once a pupil has left primary school. In relation to secondary schools, records should be retained in accordance with the above guidelines - this includes Child Protection Records. This is to ensure that there is only one main file for each pupil, and that file travels with the pupil from setting to setting.

4.3 Transfer of Records

NOTE: All original documentation in relation to a pupil must be forwarded to a receiving school.

4.3.1 Missing Pupils

In cases where a pupil goes missing, or has left apparently without trace, it is essential that the school immediately refers the matter to the Education Welfare Service for their enquiry and for the pupil to be registered with the LAs Children Missing Education (CME) Tracking Officer, Pupil Connect

Where there are any reasons for concern the matter must be immediately referred to the Police or Social Care as appropriate, for action. It is important that the school secures and retains the pupil file until requested to release the file to one of the statutory services as above, and at that time the school should retain a copy of the file for future reference.

4.3.2 Common Assessment Framework (CAF)

CAF documents will be held by the parents/young person and so will move with the child between settings. However, a copy should move with the child's school records. Where a child moves across Local Authority boundaries the CAF documents will be transferred to the receiving LA via the practitioners and via the CAF Co-ordinator (once the coordinator is informed of the move).

Transfer from Childminder/Nursery to Primary, Primary to Primary, Primary to Secondary, Secondary to Secondary, or Secondary to another Educational setting.

Schools must not take a pupil off roll unless they have obtained confirmation from the receiving school that the pupil is on roll and attending.

Where a pupil's destination is not known a pupil must not be removed from roll until a referral has been made to, and investigated by the Education Welfare Service.

The Pupil's Records should be retained by the school and remain accessible. Records of pupils where destination is unknown should be archived where they can be accessed and transferred once their whereabouts are confirmed.

It is vital that a clear record of the pupil's destination is made prior to their removal from school roll. Unsafe removal from the school roll is a Child Protection issue and will be challenged.

A pupil's file should be sent either by hand delivery or by recorded delivery post within 15 school days of a child leaving a school. A Transfer of Records Form (Appendix 2) should be completed and a copy held by the sending school as well as the receiving school.

It is best practice that if there are concerns about a child, including when a CAF is in progress, a phone call or face to face visit to the Head Teacher/ Designated Safeguarding Lead of the receiving school takes place prior to the child starting the new school. It is essential that relevant information is exchanged in order to safeguard the child's wellbeing.

In the event of a school closing down records are sent to the Closed School Records Office on: 0121 464 1801.

If there are concerns about a pupil, a phone call to the Head Teacher/ Designated Safeguarding Lead of the receiving school must take place prior to the child starting the new setting.

4.3.3 Children Educated Otherwise than at school

Where a pupil is removed from roll to be electively home educated, attend college placement or alternative provision, the records must be transferred to Pupil Connect. This is in accordance with the Records Management Toolkit for Schools which specifies that the file should be lodged with the Local Authority.

4.4 Transfer of Child Protection Records

When a pupil leaves the school their Child Protection Records must be passed on to the receiving school. Copies of the records should not be retained. The transfer of the records is recorded on the Transfer of Records Form (See Appendix 2). The school must then ensure that the records are sent and a telephone call or face to face contact to the Head Teacher/ Designated Safeguarding Lead of the receiving school is made. This call should be logged by both schools. This means that there will only be one set of records following the pupil.

Note:

The DfE 2015 states that,

Where children leave the school or college ensure their child protection file is transferred to the new school or college as soon as possible. This should be transferred separately from the main pupil file, ensuring secure transit and confirmation of receipt should be obtained. (KCSE 2015:49)

4.5 Medical Records

The School Nurse will ensure the transfer of medical records to a new school.

SECTION 5: COMMUNICATION FOR PUPILS – IT’S GOOD TO TALK

Providing a school ethos which encourages communication and offers opportunities to form appropriate trusting relationships with relevant adults within school helps to safeguard children and to provide a nurturing and productive environment.

There are recommended mechanisms which can be used to enable children and young people to communicate their feelings and that can act as safeguarding mechanisms. These include, for example:

- Circle Time
- Primary and Secondary Social and Emotional Aspects of Learning (SEAL)
- Personal, Social Health and Economic Education (PSHE)
- Appropriately trained staff and peer mentors
- School Councils

Whilst the concept of providing an easy, child friendly means of communication for children and young people is theoretically a positive action, experience has unfortunately demonstrated that the use of Worry/Happy, Sad / Feelings/Bully Books or Boxes, or any similar arrangements is inherently dangerous unless careful management procedures are put in place.

The effective management of such mechanisms is extremely difficult. Unless every comment that is made is immediately and rigorously followed up it places the pupil and the school in a position of vulnerability. Where anonymous comments are made this is particularly difficult.

There have been a number of examples where the use of Worry Books/Boxes has raised serious concerns. For example:

- A pupil who was believed to be a known bully put a comment into the box saying: ' I'm being bullied, I just can't take it'. No action was taken as the perception was that this pupil was always in trouble for bullying others at school and was trying to deflect attention from his own behaviour. The following week it was reported to the school that the pupil had attempted suicide and had reported that he had been persistently bullied at school.
- A pupil recorded their concerns in the class Worry Book. This book was checked on a weekly basis and therefore, their concerns were not discovered until after their tragic death.

The implication in these cases, and others, is that had the information been collected and dealt with differently the outcome for the pupil may have been different.

Based on recommendations from Serious Case Reviews, worry books, boxes, and similar devices should not be used.

FOR THE PURPOSES OF SAFEGUARDING WE STRONGLY ADVISE AGAINST THE USE OF ANY OF THESE SYSTEMS UNLESS SCHOOLS HAVE A ROBUST MONITORING, ACTIONING AND REPORTING PROCESS WHICH IS CARRIED OUT AND EVIDENCED ON A DAILY BASIS.

As a minimum:

- Children using these systems must be identifiable in order that their concerns are acted upon
- The information must be checked, and any areas of concern followed up with the child **on the same day**.
- There must be no promise of confidentiality.

It must be remembered that when a child has recorded their feelings or need for help, they are very likely to trust and believe that someone will help them, and this may give them a sense of hope and security and prevent them raising the issue elsewhere.

Recording to Prevent, and Tackle Bullying Incidents in Schools

The school's response to bullying should not start at the point at which a child has been bullied. Rather, schools should develop a more sophisticated approach and tools by which school staff proactively gather and record intelligence about individual pupil vulnerabilities and about issues between pupils which might provoke conflict all with a view to preventing bullying in the first place.

Recording to Protect Children from particular Risk Factors.

Ofsted have lately challenged schools to demonstrate policy attention to safeguarding from a number of risks listed in the WTSC 2015, Appendix C: (trafficking, gang activity, female genital mutilation, Forced marriage, abuse linked to faith or belief, sexual exploitation, fabricated or induced illness, cyber- bullying, radicalisation)

Schools are therefore advised to be proactive and to maintain logs of possible signs noted and their actions to tackle risk factors.

Early Help

Do not just observe and record. You are not alone. Act upon your concerns, talk to someone, initiate "Early Help", track developing patterns, escalate, follow-up referrals, and challenge when necessary.

What do we mean by Early Help?

Early Help means taking action to support a child, young person or their family early in the life of a problem, as soon as it emerges. See further information [\[here\]](#) .

Right Service, Right Time – Delivering effective support for children and families in Birmingham

The RSRT framework provides you with clear advice about what to do and how to respond if a child and their family need extra support. See further information [\[here\]](#) .

APPENDIX 1 Example Pupil Information Form

Data Protection Act 1998

This information is being collected to administer your child's progress through the education system. It may be shared with the Birmingham City Council Children's Services, the Department for Children Young People and Families, Connexions, relevant health and welfare practitioners, Church or faith Authorities and other schools or educational establishments with whom your child becomes associated.

Personal Details & Contact Form		
NOTE Parents/carers will be asked to provide their date of birth and password whenever they contact school in order to verify their identity. This is to ensure confidentiality and safeguard children.		
Child's Surname:	Date of Birth:	
Forenames:	Male/Female:	
Year Group:	Nationality:	
Home Address 1 Post Code Home Telephone No. 1 Mobile No. 1 Email address 1	When resident at main home address? Please tick <input type="checkbox"/> Monday <input type="checkbox"/> Tuesday <input type="checkbox"/> Wednesday <input type="checkbox"/> Thursday <input type="checkbox"/> Friday	Name of parent/carer 1: Relationship to child: Date of Birth: Password: Password hint: Has parental responsibility: Yes <input type="checkbox"/> No <input type="checkbox"/>
Home Address 2 Post Code Home Telephone No. 2 Mobile No. 2 Email address 2	When usually staying at this address? Please tick <input type="checkbox"/> Monday <input type="checkbox"/> Tuesday <input type="checkbox"/> Wednesday <input type="checkbox"/> Thursday <input type="checkbox"/> Friday	Name of parent/carer 2: Relationship to child: Date of Birth: Password: Password hint: Has parental responsibility: Yes <input type="checkbox"/> No <input type="checkbox"/>
List all people who have parental responsibility for this child:		
Is there any reason e.g. court order, which might prevent another individual: having contact with your child or the school, or from receiving information from the school? Yes <input type="checkbox"/> No <input type="checkbox"/> Name of person/s:- Reasons why information should not be shared or access given List of evidence seen by school. (E.g. a court order)		
EMERGENCY CONTACT NAMES AND NUMBERS		
1. Parents/carer 1 day time telephone number/contact place	2. Parents/carer 2 daytime telephone number/contact place	
Further emergency contact name/number/address	Further emergency contact name/number/address	
Relationship to child: (Grandparent, aunt, uncle etc.)	Relationship to child: (Grandparent, aunt, uncle etc.)	

<p>List people who have parental responsibility for this child:</p>	<p>Is there any reason e.g. court order, which might prevent another individual: having contact with your child or the school, or from receiving information from the school? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Details of parents view:-</p> <p>Evidence seen by school. (E.g. a court order)</p>
---	---

<p>Education History: Name and address of Previous School (s) and dates attended Dates when child not receiving education at a school and reasons (e.g. seeking school place)</p>
--

1

2

3

4

5

<p>Does he/she have any younger/older brothers or sisters or relatives in this school (please give names and ages)</p>
--

Medical History

Does your child suffer with any medical conditions? (E.g. asthma, wear glasses etc.)

Does he/she have any allergies?

Name and Address and Telephone Number of Family Doctor:

NHS Number: (if available)

Meal Arrangements (please tick option)

Any Special Dietary Requirements (vegetarian etc.):

Entitled to free meals
but bring sandwiches:

Entitled to free meals
and wishes to
receive one:

Paid School Meals:

Sandwiches:

Further Information about your child or their circumstances which school should know

Other agencies involved with your child and family e.g. Hospitals, Children's Services

Agency

Address

Contact Name

Telephone no:

Signed:

Date:

APPENDIX 2
Example Transfer of Records Form

N.B Records must be transferred not more than 15 school days after the day when the pupil ceases to be a pupil at the previous school.

Both sending School & Receiving School MUST keep a copy of this sheet

Transfer Records from: School Name Address Tel No Name of contact	Transfer Records to: School Name Address Tel No Name of contact
Name of child	DoB UPN
Parent/Carer 1 Address New Address (if moving home) Tel No	Parent/Carer 2 Address (if different) New Address (if moving home) Tel No

NOTE: All original documentation in relation to a pupil must be forwarded to receiving school

Please Tick if included	Document
	Pupil Information Form
	Achievements (sporting/musical/school council/mediator; Gifted and Talented etc)
	Pupil Record Form/School File No. of pages
	Social and emotional pupil records
	Learning mentor
	Pastoral Records
	Other professionals working with the pupil
	Other (please list)
	SATS and End of Year Assessments for years (please list)
	School report for years; (please list)
	Attendance print out
	Copies of Attendance related referrals, if appropriate I.E.P <input type="checkbox"/> I.B.T <input type="checkbox"/> PS&E Plan <input type="checkbox"/> Exclusions <input type="checkbox"/> Other <input type="checkbox"/>
	Medical Information <input type="checkbox"/> School Nurse informed of transfer <input type="checkbox"/> Date
	Child Protection records
	Common Assessment Framework (CAF) historic or current
	Other reports/referrals/correspondence relating to the child (Please list below)
Yes <input type="checkbox"/> No <input type="checkbox"/>	Issues identified triggering direct contact with Head Teacher or Designated Safeguarding Lead of receiving school
Contact made via telephone/face to face by: Name Date	With Name Date

Outcome:

Records sent by Recorded delivery..... (Date)

Hand delivered to Name by Name & Date.....

Received at..... school on..... (Date)

APPENDIX 3 Example of Pupil School Record Keeping Policy

The school follows and adheres to the Birmingham Pupil record Keeping and Management Guidance issued by Birmingham City Council.

In order to fulfill its educational role and to function efficiently as an organisation, the school has to hold and process a variety of pupil data. This data includes, for example:

1. Pupils:

- Pupil Information forms
- Attendance Records
- Records of Achievement
- School Reports
- Education Health and Care Plans and associated documentation
- Exclusion documentation
- Common Assessment Framework documentation
- Correspondence related to the pupil and/or their circumstances
- Social and emotional pupil records;
- Learning mentor's or other professional's notes;
- Medical records;
- Copies of referrals and reports back from other agencies;
- Child Protection and Safeguarding records.

The school recognises that it has responsibilities towards its pupils, and parents in the way that it processes pupil data. In our practice we seek to comply with the Data Protection Act 1998 principles so that data, whether held manually or electronically is:

- Fairly and lawfully processed;
- Processed for limited purposes;
- Adequate, relevant and not excessive;
- Accurate and kept up to date;
- Not kept longer than necessary, and
- Secure.

The school is registered under the Data Protection Act and the Head Teacher carries out the duties of Data Controller under the Act. The school has a duty to treat all personal information held as confidential. There will however be situations when personal information will need to be shared with other agencies particularly where it is in the best interests of a child, for example in cases where there are child protection concerns.

If a pupil leaves a school, all the records will be transferred to the receiving school. If a pupil leaves to be educated otherwise, any records will be transferred to the Education Otherwise Team at the Local Authority. If the school does not know where a pupil is moving to, the records will be stored by that school and this will be reported to the Local Authority.

Date:

APPENDIX 4
Example of Pupil Note of Concern

ALL ENTRIES MUST BE SIGNED, DATED AND NAME OF RECORDER PRINTED CLEARLY. DATE OF EVENT MUST BE RECORDED ALL NAMES & ROLES OF PEOPLE REFERRED TO MUST **BE RECORDED IN FULL**

School Record for (child's name)..... Class/Form..... Year Group..... Sheet No

Date of Event	Details	Action Taken, reasons for decision & Outcome	Date of Note	Passed to for further action	Name & Signature	Cross Reference to Other Records Eg C P File
				Name: Date:	Print Name: Signature:	
				Name: Date:	Print Name: Signature:	

All information pertaining to this child and contacts with parents and other agencies is recorded here:

e.g. Pupil is persistently tired, asks frequently to go to the toilet, begins to show inappropriate behaviour, displays weight loss, becomes withdrawn, is persistently angry, inexplicably agitated or aggressive, is tearful for no apparent reason, starts hurting other pupils, steals food, appears unkempt etc.

It must be clearly indicated on this form when other records have been triggered. The content of the new record does not need recording here, only that a new record has been generated and its location. This may include:

- If there are child protection concerns and or referral to children's services this must generate a child protection record
- New medical information
- Confidential family information
- Changes to custody or parental contact arrangements
- Any other sensitive or confidential information
- Record all decision making & rationale behind those decisions

APPENDIX 5: Example of Physical Intervention: Incident Record Form

DATE OF INCIDENT	
Name of Pupil:	
Year Group:	
Staff Involved:	
Designation:	

Where did the events leading up to the Physical Intervention start?

What was happening at the time? Describe the Events that Occurred (When? Date, Time & Where?

What action did you take to try to de-escalate the situation before using/ physical intervention or restraint?

What behaviour was the child presenting that warranted restraint/physical intervention (Please encircle as appropriate)

- ✓ At risk of injury to self or others
- ✓ At risk of significant damage to property
- ✓ Compromising good order and

✓ At risk of committing a criminal offence discipline

What do you believe would have happened if there had been no physical intervention?

How was the pupil held?

How long did the pupil need to be held/restricted? -----

Was anybody injured? YES/NO If yes, please give details

Name of member of staff who verbally checked pupil for injury after the hold:

Has the pupil been physically restricted or restrained before? **YES/NO**

Implications for Future Planning

Does this pupil have an individual behaviour programme/education plan? **YES/NO**

Do changes need to be made to any of the following? (Please encircle as appropriate box)

- ✓ The environment e.g. organisation, curriculum Targets for teaching new skills
- ✓ Reinforcement strategies Defusing and calming strategies
- ✓ Other Please specify -----

Do other agencies need to be involved in the future **YES/NO?**

If yes, please specify who and with what aim;

AGENCY	PROPOSED INTERVENTION

Follow Up Action

Medical intervention was needed **YES/NO**

Has school nurse/doctor been informed **YES/NO?**

Please specify other recording procedures used:

ACCIDENT BOOK	
Accident form	
Child Protection Record	
LADO Referral Form	

Has Parent/Carer been informed by: Telephone / Letter / Direct Contact

Form completed by -----

Post held -----

Form Reviewed on by-----

Principal's signature----- Date -----

A copy should be sent to the named Safeguarding Lead of the Board of Governors.

