

21.1 INFORMATION GOVERNANCE

21.1.1 Please refer to the **School Information Governance Manual**. This can be found at:

<http://cyps.northyorks.gov.uk/index.aspx?articleid=16018>.

Where applicable the relevant sections of the manual have been included in brackets throughout this chapter.

21.1.2 Schools are responsible for their own information governance and as such are classed as “data controllers”. The County Council plays a nominal role in relation to information governance within schools which includes the offer of support, advice and guidance to enable schools to comply with legislation and maintain good practice in relation to the collection, storage, use and disclosure of information. The School Information Governance Manual is intended to assist schools in ensuring that documentation and systems are in place to support this.

21.1.3 The County Council’s records management policy does not apply to schools but it should be considered as a model policy for schools to adopt. This can be found via the North Yorkshire County Council intranet.

The objective of a policy is the creation and management of authentic, reliable and useable records that support the business functions of the school for as long as they are needed. It should be derived from analysis of the school’s business functions and should take account of the legislative environment in which schools operate. It should be reviewed regularly, i.e. annually, to ensure that it reflects the school’s business needs. (Section F)

21.1.4 Schools should be aware that there are three areas of legislation that deal with access to information:

- i. Data Protection Act 1998 (Section C)
- ii. Environmental Information Regulations 2004 (Section D)
- iii. Freedom of Information Act 2000 (Section E)

In relation to responsibilities under the above legislation, schools are separate legal entities rather than part of the Local Authority.

21.2 TRANSFER OF EDUCATIONAL RECORDS

21.2.1 When pupils transfer from one school to another, headteachers must send to the new school all educational records relating to the pupil, including copies of their pupil reports within 15 days of the pupil ceasing to be registered at the old school.

21.2.2 Schools should ensure that they are using the most up to date guidance on the transfer of educational records. Further information can be found at

<http://www.education.gov.uk/schools/adminandfinance/schooladmin/ims>

21.2.3 Guidance specific to the common transfer file (CTF) can be found at

<http://www.education.gov.uk/schools/adminandfinance/schooladmin/ims/datatransfers/ctf>

21.3 SECURITY OF EQUIPMENT & EQUIPMENT INVENTORIES

21.3.1 The use of a liquid marking solution system that acts as a deterrent against theft is recommended. The use of property marking within school should be clearly displayed. Such systems are subject to a county procurement exercise. Identifiable property is difficult to dispose of and there is an increased likelihood of stolen property being returned to the school. Thieves may attempt to deface or remove markings but this reduces the resale value.

The liquid marking solution is provided free to schools that join the Balance of Risks Insurance Scheme (see Chapter 23: Insurance) as it is a condition of the policy that all audio-visual electronic and ICT equipment are marked accordingly otherwise theft is not covered.

The Balance of Risks Insurance Scheme requires that

- i. electronic equipment should be kept in a locked room/storage area that is alarmed if possible;
- ii. all keys including duplicate keys relative to the security of the premises will be removed from the secured premises whenever they are closed or unattended unless the keys are kept in a secure place, i.e. a key safe (claims will be repudiated if insufficient care has been taken in this regard); and
- iii. any intruder alarm installed at the premises will be fitted in accordance with the manufacturer's requirements and will be kept in good order and put into full and effective operation when the premises are closed for business or are unattended. Schools should notify the Insurance and Risk Management Section of any notice from police or a security organisation that the intruder alarm system signals will be disregarded or response times reduced; and if the intruder alarm system cannot be returned to or maintained in full working order.

21.3.2 Requirement to Maintain an Inventory Record

All schools should maintain an Inventory Record using the standard inventory template which can be found at <http://cyps.northyorks.gov.uk/index.aspx?articleid=13811>. Inventory books, ED7, are no longer supplied by Children and Young People's Finance.

The inventory should be updated as and when new items of equipment are purchased, and existing items either transferred or disposed of.

The inventory should include serial numbers and any identification marks. Such information will need to be readily available in the event of theft.

It is the responsibility of the Headteacher to ***ensure that a full inventory check is conducted at least once a year by an independent member of staff and that the inventory is certified to that effect.*** To enable this annual check, the full inventory should be printed, authorised post completion and retained for audit purposes.

The size of the school will largely determine how inventory records are maintained. A larger school may wish to have a sheet/tab per department or room whereas a small primary school may wish to identify the location of the individual items by the use of the "other notes" column and so use only one sheet/tab.

For larger schools where the use of separate inventories for individual rooms/departments is appropriate, it is essential that a central index of all inventories be maintained.

21.3.3 Items that should be recorded in the Inventory

Any individual item of equipment costing more than £100 must be recorded unless specifically exempted as defined under paragraph 21.2.3 below.

Other items of a lesser value should also be included if they are particularly vulnerable to theft, etc such as digital cameras and smaller items of electrical equipment.

Any item acquired on rental/lease agreements, i.e. TVs and photocopiers must be recorded in the Inventory.

The following list gives a general idea of the items of equipment and furniture that should be included in the inventory:

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Audio Visual	TV, DVD, CD and music systems
Craft Equipment	Lathes, drills, kilns and pottery wheels
Home Economics	Cookers, fridge freezers, sewing machines
IT Equipment	PCs, laptops, printers and scanners
Musical Equipment	Musical instruments, speakers etc
Office Equipment and Furniture	Photocopiers, filing cabinets, bookcases
PE Equipment	Any equipment that is not fixed
"Gifts"	i.e purchased from PTA or private funds

When completing the Inventory record a source of finance should be indicated as follows:-

- E Establishment funds (i.e. from the school's own resource allocation).
- G Gifts to School (i.e. PTA or Trustees)
- P Private Funds

Where items are obtained on rental or leasing arrangements, this should be indicated by adding the suffix "R" or "L" to the "Source of Finance" code, i.e. a photocopier obtained on a lease agreement and financed by funds made available to a school under LMS should be shown as EL.

21.3.4 Items that should not be recorded in Inventory

- Classroom and office furniture such as desks and chairs.
- Fixed furniture and equipment, i.e. fixed PE equipment, carpets, curtains, cooking ranges (i.e. island modules).
- Catering equipment - details of this equipment is now kept in separate registers maintained by the Client Catering Manager, and the approved Contractor. However, if the school operates its own catering service a separate inventory should be maintained.
- Cleaning equipment - following the introduction of competitive tendering, details of this equipment are now kept in separate registers maintained by the approved Contractor.

21.3.5 Disposal/Transfer of Items

An item or group of items with an estimated total sale value of below £250 may be sold at the Headteacher's discretion by means of the following procedure:

- i. Where economically practicable - advertise in the local press or a local shop. A closing date must be specified and the highest offer accepted. If an item is likely to be of interest to other schools, it should be advertised through the Marketplace on the intranet.
- ii. Smaller items may be offered in circulars to parents, sold at school fundraising activities (i.e. fetes, open days, etc) or sold to playgroups, youth organisations, church organisations etc.

If in doubt as to the sale value of an item consult Children & Young People's Finance for guidance.

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For item(s) with an estimated sale value in excess of £250 please notify Children & Young People’s Finance, in writing, stating your proposals.

Private Funds (i.e. PTA)

It is recommended that the disposal procedure is carried out as detailed above, but only after consultation with the donor.

Scrap

If it proves impossible to sell an item of little value either for use or as scrap locally, it should be disposed of as refuse. **However, advice should be sought from the Schools ICT Service before any ICT equipment is disposed of.**

Inventory Record

The Inventory Record should be updated to show the disposal of any items, and the proceeds obtained.

21.3.6 Loan of School Equipment to Staff and/or Pupils

The practice of borrowing equipment and/or materials from an establishment is not to be encouraged, but on those occasions when it is considered essential for staff and/or pupils to make use of equipment away from the establishment's premises the **following rules should apply:-**

- i. Written permission should be given for each loan.
- ii. Loans may only be made to enable members of staff to carry out work directly associated with their official duties including preparation of work for pupils. This can include the loan of equipment to complete an in-service training course or as part of an agreed familiarisation programme to enable maximum benefit to be obtained, at work, from the equipment. **Equipment which gives rise to risk of injury in operation, i.e. powered tools and other "workshop equipment", must not be loaned.**
- iii. Loans may only be made to pupils if it is essential for the furtherance of course work.
- iv. Loans specifically for the **private use** of equipment by staff **MUST NOT BE MADE.**
- v. A loan record, linked to the school inventory, must be kept to record each loan. This must comprise of the following information:
 - Signature of Borrower }
 - Date of Issue }
 - Purpose of Loan } completed prior to loan
 - Brief Description of Item Loaned }
 - Expected Date of Return }
 - Signature of Member of Staff to Whom }
 - Equipment is Returned } completed at end of loan
 - Date of Return }
 - vi. Equipment should be loaned for the minimum period necessary to carry out the authorised activity. However, teacher’s laptops may be recorded as semi-permanent loans. This period should not normally include holiday periods.
 - vii. Equipment should be used exclusively by the person to whom it has been issued and the use of the equipment be related only to the authorised purpose of the loan.

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- viii. Any loss or damage to the equipment arising from its unauthorised use or the failure to adhere to these guidelines will be the personal responsibility of the individual. This should be made clear to the person concerned when the loan is being approved.

The Balance of Risks Insurance Scheme covers equipment at home or in transit to/from homes or on a visit anywhere in the world whilst:

- i. Being used by a pupil in respect of the delivery of the School's or Pupil Referral Unit's Curriculum;
- ii. In the possession of an employee in connection with the INSURED's BUSINESS

Provided the equipment/instrument has been approved for this purpose by the school and the following exclusions under Theft will apply:

- i. There is no cover for theft where there is no evidence of forcible or violent entry and/or exit
- ii. There is no cover for theft from an unattended vehicle unless:
 - The property insured is concealed from view in a glove compartment or locked luggage compartment; and
 - All doors are locked; and
 - All windows and the roof are closed and fastened; and
 - All security devices are put into full and effective operation; and
 - All keys or any other removable ignition device of the vehicle are removed
 - If left overnight, the vehicle is garaged or kept in secure premises.

21.4 GENERAL SCHOOL SECURITY

21.4.1 All schools should have appropriate security measures in place and **all** staff, whether teaching or non-teaching, should be familiar with the school's security procedures.

21.4.2 Security and personal safety should be dealt with from a risk management point of view, i.e. taking steps to reduce the likelihood of loss or damage to the school or injury to staff and pupils.

21.4.3 Money that is spent on repairing or replacing buildings and contents, or on repairing damage caused by vandalism and criminal damage and on replacing items of equipment due to theft may mean less resources being available to provide essential and extra items in all schools.

21.4.4 The most common crimes on school sites are vandalism/malicious damage, theft and arson. Good security generally involves a combination of physical, electronic and procedural measures. However, no amount of physical or electronic security will totally eliminate the risk of criminal attack, but security improvements greatly decrease the risk of criminal damage by increasing the degree of difficulty for, and the risk of detection of, the criminals.

21.4.3 School Office / Reception access control

Procedures should be in place to ensure as far as is reasonably practicable that no one is able to access the school buildings unacknowledged and that, once in the building, systems are in place to protect or help pupils and staff should support become necessary.

Recommendations include:

- i. All visitors, including contractors, should be directed by means of prominent, unambiguous notices to a single entrance door and reception point;

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- ii. Casual access to other parts of the school building(s) should, as far as possible, be prevented, i.e. by locked external doors, by fences used as barriers;
- iii. Generally, visitors should be escorted to and from their destination within the building – this would not always be necessary for regular visitors, i.e. school governors;
- iv. All visitors should sign in and out providing their name, organisation worked for, person being met and car registration (if applicable);
- v. All visitors should be asked to produce evidence of identity, if appropriate;
- vi. All visitors should be provided with a badge to wear whilst they remain on site; and
- vii. Members of staff should be instructed to challenge anyone encountered on the site whom they do not recognise and who is not wearing a badge.

To support this system, it is recommended that all school staff wear ID badges.

Where pupils man a reception desk careful consideration should be given to their health and safety.

21.4.5 Daytime security of vulnerable areas

Offices, staff rooms, IT suites and store rooms etc within a school will require additional security measures to protect against any casual walk in thief. Doors to such areas should be fitted with suitable access control locks and access limited to authorised personnel only.

Secure storage areas should always be considered for the storage those items most at risk such as laptops, projectors, digital cameras, iPads, Kindles, musical instruments, money etc.

Whilst all computers, including those used for administrative purposes, require additional security features to prevent their theft or being tampered with, these items or parts of such as bulbs, keyboards, optical mice, etc can be targeted by both professional and opportunist thieves.

Having any computer stolen or damaged impacts not only on the budget but the inconvenience and disruption from the loss of the asset and any material or records held on it.

21.4.6 Community use of school facilities

See Chapter 12: Hire of Educational Premises

21.5 CASH HANDLING

21.5.1 The following advice relates to cash handling security measures and is replicated from Chapter 11: Income:

- i. All cash and cheques should be ideally held in a locked cash box or sealed packet and placed in the most secure location available within the school, such as a safe, vault or secure store. Key holders should be restricted to a minimum number and keys should be retained on the individual's person and not left in drawers or filing cabinets. These principles should be adhered to both overnight and wherever possible during the working day. On no account should cash or cheques be left unattended prior to storing or banking.
- ii. The records of all such holdings which are, in any event, maintained by the school shall be located separately in order to substantiate any losses should theft take place.
- iii. Schools should bank at least monthly or whenever the total of cash and cheques held exceed the insurance limit on the safe. For schools with no safe, the insurance limit is £250 for cash and cheques stored in a locked receptacle.

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- iv. Further detailed information on insurances for cash holding and cash movement can be obtained from the Insurance and Risk Manager at County Hall.
- v. Whenever possible variations should be made to the timing and route taken by personnel banking monies. If the sum to be banked exceeds £2,000 this duty should be performed by two people.
- vi. Money should always be conveyed in a secure but “anonymous” type of bag.
- vii. Should you have any doubt concerning general security or you require further assistance please contact your local Crime Prevention Officer.

21.5.2 In addition, cash should never be handled in areas visible to visitors or members of staff at large. Cash counting should be carried out in a screened off area, if not another room.

21.5.3 Any safe used in school should have an adequate cash limit.

21.6 OTHER USEFUL INFORMATION

- i. Establishing Procedures and Guidelines
<http://cyps.northyorks.gov.uk/index.aspx?articleid=22180>
- ii. Getting Started - outlines the importance of good records management and introduces the key principles
<http://cyps.northyorks.gov.uk/index.aspx?articleid=22179>
- iii. Electronic Records Management
<http://cyps.northyorks.gov.uk/index.aspx?articleid=22328>
- iv. E-mail Management
<http://cyps.northyorks.gov.uk/index.aspx?articleid=22330>
- v. Risk Assessment and Business Continuity Plans
<http://cyps.northyorks.gov.uk/index.aspx?articleid=22329>
- vi. Health and Safety Risk Management
<http://cyps.northyorks.gov.uk/index.aspx?articleid=13796>
- vii. Guidance on Risk Management within Extended Services and the Community Use of School Buildings
<http://cyps.northyorks.gov.uk/index.aspx?articleid=21019>