**Records Management Policy and Record Retention Schedule**

**History of Document**

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| **Issue No** | **Author/Owner** | **Date written** | **Date Approved by Governors** | **Comments** | **Review** |
| 1 |  |  |  | Based on IRMS Toolkit for Schools 2019 documentation |  |

Signed: …………………………………………………… Name: …………………………………

# Introduction

Bealings School recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the school. Records provide evidence for protecting the legal rights and interests of the school and provide evidence for demonstrating performance and accountability.

# Scope of the Policy

This policy applies to all records created, received or maintained by permanent and temporary staff of the school in the course of carrying out its functions. Also, by any agents, contractors, consultants or third parties acting on behalf of the school.

Records are defined as all those documents which facilitate the business carried out by the school and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronic format e.g. paper documents, scanned documents; emails which document business activities and decisions; audio and video recordings; text messages; notes of telephone, Zoom, Skype conversations; spreadsheets; Word documents; presentations etc.

# Responsibilities

## The governing body of Bealings School has a statutory responsibility to maintain the school records and record keeping systems in accordance with the regulatory environment specific to the school. The responsibility is delegated to the Headteacher.

## The person responsible for day-to-day operational management in the school will give guidance on good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately.

## The school will manage and document its records disposal process in line with the Records Retention Schedule. This will help to ensure that it can meet Freedom of Information requests and respond to requests to access personal date under data protection legislation (subject access requests ‘SARS’).

## Individual staff and employees must ensure, with respect to records for which they are responsible, that they:

### manage the school’s records consistently in accordance with the school’s policies and procedures;

### properly document their actions and decisions;

### hold personal information securely;

### only share personal information appropriately and do not disclose it to any unauthorised third party; and

### dispose of records securely in accordance with the school’s Record Retention Schedule.

# Relationship with Existing Policies

This policy has been drawn up within the context of:

* Freedom of Information Policy; and
* Data Protection Policy.

# Document Retention Schedule

Extract from the Information Management Toolkit for schools 2016

|  |  |  |
| --- | --- | --- |
| Record | Personal Data Category | Retention Period |
| **Governance** | | |
| Instruments of government including Articles of Association | N/A | For the life of the school |
| Records relating to the election of parent and staff governors not appointed by the governors | Personal data | Data of election + 6 months |
| Records relating to the terms of office of serving governors, including evidence of appointment | Personal data | Date appointment ceases + 6 years |
| Records relating to governor declaration against disqualification criteria | Personal data | Date appointment ceases + 6 years |
| Records relating to the election of chair and vice chair | N/A | Once the decision has been recorded in the minutes, the records relating to the election can be destroyed. |
| Records relating to the appointment of a clerk to the governing body | Personal data | Date on which clerk appointment ceases + 6 years |
| Records relating to the training required and received by governors | N/A | Data governor steps down + 6 years |
| Records relating to the induction programme for new governors | N/A | Date appointment ceases + 6 years |
| Records relating to DBS checks carried out on clerk and members of the governing body | Personal data | Date appointment ceases + 6 years |
| Governor personnel files | Personal data | Date appointment ceases + 6 years |
| Scheme of delegation and terms of reference for committees | N/A | Until superseded or whilst relevant |
| Meetings schedule | N/A | Current year |
| Register of Interests (governors and staff) | Personal data | 6 years + current |
| Agendas for Governing Body meetings (one copy to be retained with master set of minutes) | Special categories of personal data | PERMANENT |
| Minutes of Governors Meetings – principal signed set (including confidential minutes/reports) | Special categories of personal data | PERMANENT |
| Minutes of Governors Meetings – public inspection set (not to include confidential minutes/reports) | N/A | Date of the meeting + 3 years |
| Records relating to Governor Monitoring Visits | N/A | Date of the visit + 4 years |
| **Management** | | |
| Minute/notes of meetings of SLT | Special categories of personal data | Date of the meeting + 3 years |
| Correspondence sent and received by the Governing Body or Head | N/A | General correspondence should be retained for current year + 3 years |
| Reports created by SLT | N/A | Date of the report + 3 years |
| Records created by SLT | N/A | Current year + 6 years |
| Correspondence created by SLT | N/A | Date of the correspondence + 3 years |
| Policy documents and action plans | N/A | Until superseded or whilst relevant. All policies relating to safeguarding, child protection or other pupil related issues such as exclusion to be kept + 3 years. |
| School Development Plan | N/A | Life of the report/policy + 3 years |
| Proposals relating to the change of status of a maintained school | N/A | Date proposal accepted or declined + 3 years |
| Records of complaints dealt with by the Governing Body | Special categories of personal data | Date of the resolution of the complaint plus a minimum of 6 years |
| Records relating to creation of school brochure/website | N/A | Current year +3 |
| Records relating to circulars to staff, parents or pupils | N/A | Current year + 1 |
| School privacy notices | N/A | Until superseded + 6 years |
| Subject Access Requests | Special categories of personal data | Response and data - 6 months  Details of request -current year +1 |
| Newsletters | N/A | Current year + 1 |
| Visitors' signing in book/management system | Personal data | Current year + 6 years |
| Records relating to creation and management of Friends of School | N/A | Current year + 6 years |
| **Pupils** | | |
| All records relating to the creation and implementation of the School Admissions’ Policy | N/A | Life of the policy + 3 years |
| Admissions paperwork | Special categories of personal data | Date of admission + 1 year |
| Unsuccessful admissions | Special categories of personal data | Resolution of case + 1 year |
| Supplementary Information form | Special categories of personal data | Retain until point of transfer.  For unsuccessful applicants – resolution of case + 1 year |
| Register of Admissions | Personal data | PERMANENT |
| Pupil's Educational Record (Curriculum blue file) | Personal data | Retained until point of transfer.  If pupil dies whilst at primary school file should be returned to Local Authority.  If pupil transfers to an independent school, transfers to home schooling or leaves the country, the file should be returned to the Local Authority. |
| Pupil’s electronic record  (Management Information System) | Special categories of personal data | Retained until point of transfer + 3 months. |
| Special Educational Needs data (EHCP) | Special categories of personal data | Retained until point of transfer. |
| Child Protection files | Special categories of personal data | Retained until point of transfer. |
| Parent/carer contact details | Personal data | Deleted as soon as child leaves the school |
| Consent forms - residential off-site activities | Special categories of personal data | Conclusion of the trip – except where there has been a major incident – DOB + 25 years |
| Educational visit paperwork (risk assessments) | N/A | Date of visit + 14 years |
| Accident reports | Personal data | Adults: Date of the incident + 6 years  Children: DOB of the child + 25 years |
| Attendance registers | Personal data | 3 years after the date on which the entry was made |
| Authorised absence records (Holiday forms) | Personal data | Current academic year + 2 years |
| SATS results | Personal data | Individual pupils retained until point of transfer. |
| **Curriculum Management** | | |
| Curriculum returns | N/A | Current year + 1 |
| SATS results (composite record) | N/A | Current year + 6 |
| Schemes of work | N/A | Current year + 1 |
| Timetables | N/A | Current year + 1 |
| Class record books | N/A | Current year + 1 |
| Mark books | N/A | Current year + 1 |
| Record of homework set | N/A | Current year + 1 |
| Pupils work | N/A | Current year + 1 |
| **Staff** | | |
| All records leading up to the appointment of a new headteacher | Special categories of personal data | Date of appointment + 6 years |
| All records leading up to the appointment of a new member of staff – successful candidate | Special categories of personal data | All relevant information should be added to staff personal file (see below) and all other information retained for 6 months |
| All records leading up to the appointment of a new member of staff – unsuccessful candidates | Special categories of personal data | Date of appointment of successful candidate + 6 months |
| Pre-employment vetting information – DBS checks – successful candidates | Personal data | Application forms, references and other documents for the duration of the employee’s employment + 6 years  DBS certificates 6 months maximum. |
| Forms of proof of identity collected as part of the process of checking ‘portable’ enhanced DBS disclosure | Personal data | Where possible this process should be carried out using an online system. If it is necessary to take a copy of communication then it should be retained on the staff personal file. |
| Pre-employment vetting information – evidence providing the right to work in the UK – successful candidates | Personal data | Where possible these documents should be added to the staff personnel file, but if they are kept separately then the Home Office requires that the documents are kept for termination of employment +not less than 2 years. |
| Staff Personal File | Special categories of personal data | Termination of appointment + 6 years |
| Performance management review records and CPD data | Personal data | Current year + 6 years |
| Sickness absence monitoring | Special categories of personal data | Current year + 3 years |
| Staff training – where the training leads to continuing professional development | N/A | Length of time required by the professional body |
| Staff training – except where dealing with children e.g. first aid or health and safety | N/A | Should be retained on personnel file |
| Staff training – where the training relates to children e.g. safeguarding or other child related training | N/A | Date of the training + 40 years |
| Timesheets | Special categories of personal data | Current year + 3 years |
| Maternity Pay Records | Personal data | Current year + 3 years |
| Sickness records | Special categories of personal data | Current year + 3 years |
| Allegation of a child protection nature against a member of staff, including where the allegation is unfounded | Personal data | Until the person’s normal retirement age, or 10 years from the date of the allegation, whichever is the longer then REVIEW.  Note: allegations that are found to be malicious should be removed from personnel files. If found they are to be kept on the file and a copy provided to the person concerned |
| Disciplinary records | Personal data | Oral warning: date of warning + 6 months  Written warning – level 1: date of warning + 6 months  Written warning – level 2: date of warning + 12 months  Final warning: date of warning + 18 months |
| **Health and Safety** | | |
| Incident Report Form – children | Special categories of personal data | DOB + 25 years |
| Incident Report Form – adults | Special categories of personal data | Date of incident + 12 years (longer for serious accidents |
| HSE Accident reporting - Adults | Special categories of personal data | Date of incident + 6 years |
| HSE Accident reporting – children | Special categories of personal data | DOB + 25 years |
| Health and Safety Policy Statements | N/A | Life of policy + 3 years |
| Health and Safety Risk Assessments | N/A | Life of risk assessment + 3 years |
| Control of Substances Hazardous to Health (COSHH) | N/A | Current year + 40 years |
| Asbestos log book | N/A | Last action + 40 years |
| Process of monitoring of areas where employees and persons are likely to have become in contact with radiation | N/A | Last action + 50 years |
| Fire precaution log books (including fire risk assessment) | N/A | Current year + 6 years |
| **Financial Management of the School** | | |
| Employer's Liability Insurance Certificate | N/A | Closure of the school + 40 years |
| Inventories of furniture and equipment | N/A | Current year + 6 years |
| Burglary, theft and vandalism report forms | N/A | Current year + 6 years |
| Annual Accounts | N/A | Current year + 6 years |
| Loans and grants managed by the school | N/A | Last payment + 12 years |
| Budget plan and associated paperwork | N/A | Current financial year + 3 years |
| Cashless payment systems | Personal data | Deleted as soon as child leaves the school |
| Invoices, receipts, order books, requisitions and delivery notes | N/A | Current financial year + 6 years |
| Records relating to the collection and banking of monies | N/A | Current financial year + 6 years |
| Debt incurred, e.g. Dinner Money | Personal data | Current financial year + 6 years |
| Staff cost calculations for budget setting | Personal data | Current financial year + 6 years |
| School letting information | Personal data | Current year + 6 years |
| All records relating to management of contracts under seal | N/A | Last payment + 12 years |
| All records relating to management of contracts under signature | N/A | Last payment + 6 years |
| Contract monitoring records | N/A | Current year + 2 years |
| Student Grant applications | Personal data | Current year + 3 years |
| Free School Meals Registers | Personal data | Current year + 6 years |
| Pupil Premium Fund records | Personal data | Current year + 6 years |
| All records relating to management of contracts under seal | N/A | Last payment on the contract + 12 years |
| All records relating to the management of contracts under signature | N/A | Last payment on the contract + 6 years |
| Records relating to the monitoring of contracts | N/A | Life of contract + 6 or 12 years |
| **Property Management** | | |
| Title deeds of property | N/A | PERMANENT |
| Plans of property | N/A | PERMANENT |
| Leases of property leased by the school | N/A | Expiry of lease + 6 years |
| Records relating to letting of the school premises (lettings policy, booking form, insurance, safeguarding policy) | N/A | Current year + 6 years |
| Records relating to the maintenance of the school by contractors and employees (Premises Log Book) | N/A | Current year + 6 years |
| **Local Authority and Central Government** | | |
| Secondary Transfer Sheets | Personal data | Current year + 2 years |
| Attendance Returns | Personal data | Current year +1 year |
| School Census Returns | No | Current year + 5 years |
| Circulars and other information sent from the Local Authority | No | Operational use |
| OFSTED reports and papers | No | Life of the report then REVIEW |
| Returns made to central government | No | Current year + 6 years |
| Circulars and other information sent from central government | No | Operational use |