

St Anne's CE (Aided) Primary School



Records Management Policy

Updated March 2021

1. Objectives

1.1 We recognise that our records and the information contained within them are a vital school asset, and that their effective management is essential to;

- Support our core functions
- Provide evidence of transparency and accountability in decision-making
- Improve the overall management of the school
- Comply with our legal and regulatory obligations

We therefore have an obligation to put in place effective records management, in the shape of the necessary policies, procedures and practices, to maximise the use of our records, now and in the future.

This policy represents one essential component of the broader information management requirements.

2. Scope

2.1. In order to fulfil our statutory and operational obligations we have to collect, use, receive and share personal, special personal and crime data about living people, eg,

- Pupils and their families
- current, past, prospective employees
- clients and customers
- contractors and suppliers
- Governors

2.2 This policy applies to all records that are created, received and maintained by the school, and our staff, which represent evidence of our activities. It applies to all records regardless of format or storage medium, and therefore applies to electronic records, including e-mail, DVD's, CD's etc. The policy applies regardless of location of working environment

2.3 This policy reflects the commitment to data protection compliance to both UK and EU legislation, in particular the Data Protection Act 2018, the EU General Data Protection Regulation 2016 (GDPR).

3 Policy

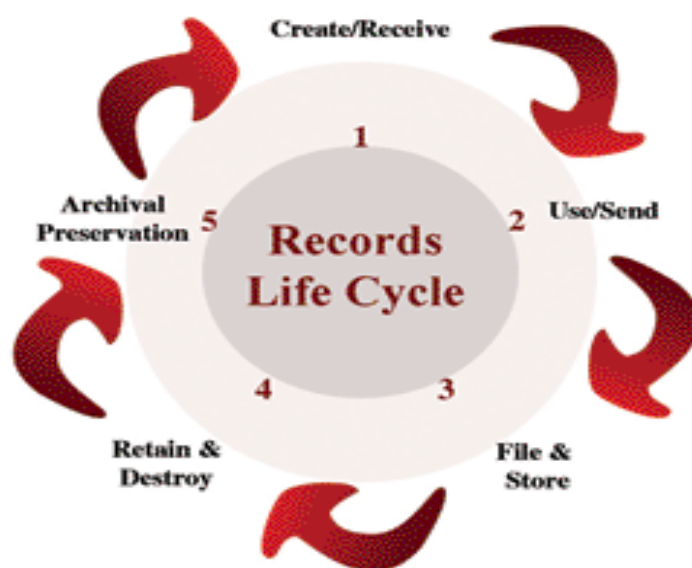
3.1 This framework will provide policy and process that result in meeting legal and operational requirements by:

- Creating and capturing records of a sufficient quality, ensuring the minimum records/data are kept for the business purposes they are needed for.
- Managing their operational use to protect their integrity as evidence
- Providing access in a controlled manner which allows secure sharing
- Creating a log of services records, both live, dormant and archived which will include the reasons for keeping them. (records of processing activities/Asset Register)
- Storing records in an appropriate environment

- Retaining records only for as long as is necessary for operational, statutory, regulatory or cultural purposes
- Disposing of records in a timely and secure manner
- Providing for the preservation of records with long-term value
- Training and supporting staff and governors in fulfilling their records management obligations and aspirations

The management of records adopts the “lifecycle management” model;

- Information, documents and records are created (born)
- Used (working life)
- Filed and Stored (dormant)
- Retained (retired)
- Disposed of (destroyed or permanently preserved as archives).



- Records can be in any format including (but not exclusively) paper or electronic pages, files or folders; databases, e-mails; diaries; faxes; intranet and internet web pages; blogs and wikis; audio and video recordings; microfiche and microfilm; maps, plan and photographs.
- Information is used to create documents which are used during the course of our business. If they need to be kept as evidence of an activity, decision or transaction carried out by or on behalf of the school they become “records”. Records are fixed, unchallengeable and kept for a specified time.
- Documents and records are “information assets”, which to be of value must be relevant, accurate and accessible. By default, the school must manage documents and records to;
 - Know what information is held, by whom and where
 - Make informed decisions
 - Deliver timely and quality services both internally and externally
 - Comply with legislation and regulation
 - Protect employees, elected members, contractors, customers and citizens
 - Make better use of resources and be open transparent and responsive
 - Assure **parents** that the information we hold is necessary, safe and accurate
 - Uphold people’s rights of access, portability, restriction, erasure or correction

- Inform employees, elected members, contractors or other authorised users of school systems and information, of their records management duties
- Design and implement information architecture and technical infrastructure to the highest industry standards
- Ensure the long-term preservation of important and vital records

3 Assessment and Monitoring

3.1 An assessment of compliance with requirements will be undertaken in order to provide:

- Assurance
- Gap analysis of policy and practice
- Examples of best practice
- Improvement and training plans

3.2 Reports will be submitted to the Board of Governors.

4 Responsibilities and Approvals

4.1 Governing Body:

The governing body has overall responsibility for ensuring that our school complies with all relevant data protection obligations.

4.2 Headteacher:

The Headteacher acts as the representative of the data controller on a day-to-day basis and is responsible for the approval of this policy.

4.3 Data Protection Officer:

The Data Protection Officer will be the key contact for the provision of independent advice on all things data protection. The DPO will provide advice and support when dealing data subject enquiries and communications with the Information Commissioners Office.

4.4 Governors/Employees:

All Governors and staff, whether permanent, temporary or contracted, including students, contractors and volunteers are responsible for ensuring they are aware of the data protection legislation requirements and for ensuring they comply with these on a day to day basis. Where necessary advice, assistance and training should be sought. Any breach of this policy could result in disciplinary action or could constitute a criminal offence.

File description	Retention Period	Action at end of life of record
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Child Protection		
Child Protection files	DOB + 25 years	Secure Disposal
Allegation of a child protection nature against a member of staff, including where the allegation is unfounded.	Until the person's normal retirement age, or 10 years from the date of the allegation if that is longer	Secure Disposal

Governors		
Minutes (Principal set – signed)	Permanent	Retain in Governors Hub.
Minutes (Copies)	Date of meeting + 3 years	Secure Disposal
Agendas	Date of meeting	Secure Disposal
Headteacher Reports	Date of report + 6 years	Retain in school for 6 years after date of meeting.
Instrument of Government	Permanent	Retain in school whilst school is open.
Trusts and Endowments	Permanent	Retain in school whilst operationally required.
Action Plans	Date of action plan + 3 years	Secure Disposal
Policy Documents	Expiry of policy	Retain in school whilst policy is operational.
Complaints file	Date of resolution of complaint + 6 years	Retain in school for the first 6 years. Secure disposal.

Management		
Minutes of SLT meetings	Date of meeting + 5 years	Secure Disposal
Head Teacher's report	Date of report + 6 years	Secure Disposal
Records created by members of staff with administrative responsibilities	Closure of file + 6 years	Secure Disposal
Professional development	Closure + 6 years	Secure Disposal

plans		
School Development Plans	Closure + 6 years	Review

Pupils		
Admissions	Date of admission + 6 years	Secure Disposal
Attendance registers	Date of Register + 3 years	Secure Disposal
Pupil files	Retain while the pupil is in school	Transfer to secondary school (or other Primary School) when pupil leaves.
SEN file and One Page profile	DOB of pupil + 25 years	Transfer to secondary school (or other Primary School) when pupil leaves.
Correspondence in relation to Authorised Absence	Date of Absence + 2 years	Secure Disposal
Exam results	Year of Exam + 3 years	Secure Disposal
Education and Healthcare Plan (EHC) maintained under The Education Act 2006 – Section 324. Proposed and amended	DOB + 30 years DOB + 30 years	Secure Disposal
Accessibility Strategy	Closure + 12 years	
Parental permission for school trips where there has been no major incident.	Conclusion of trip	Secure Disposal
Parental permission for school trips where there has been a major incident.	DOB of pupil involved + 25 years, and permission slips of all pupils involved.	Secure Disposal

Curriculum		
Curriculum Returns	Current year + 6 years	Secure Disposal
Schemes of Work	Current year + 3 years	Secure Disposal
Timetable	Current year + 1 year	Secure Disposal
Class Record books	Current year + 1 year	Secure Disposal

Mark Books	Current year + 1 year	Secure Disposal
Record of homework	Current year + 1 year	Secure Disposal
Samples of Pupils work	Current year + 1 year	Secure Disposal
SATS records	Current year + 3 years	Secure Disposal
PAN reports	Current year + 6 years	Secure Disposal
Value added & contextual Data	Current year + 3 years	Secure Disposal
Self-Evaluation forms	Current year + 3 years	Secure Disposal

HR		
Timesheets, Sick pay	Current year + 6 years	Secure Disposal
Staff files	Termination + 7 years	Secure Disposal
Interview notes & Recruitment records	Date of interview + 6 months	Secure Disposal
Pre-employment vetting checks	Date of check + 6 months	Secure Disposal
Disciplinary Proceedings	When disciplinary involves a child, see child protection guidance	
Disciplinary Proceedings Oral Warning	Date of warning + 6 months	Secure Disposal from personal file
Disciplinary Proceedings Written Warning level 1	Date of warning + 6 months	Secure Disposal from personal file
Disciplinary Proceedings Written Warning level 2	Date of warning + 12 months	Secure Disposal from personal file
Disciplinary Proceedings Final Warning	Date of warning + 18 months	Secure Disposal from personal file
Records relating to accident/injury at work	Date of incident + 12 years	Secure Disposal
Annual Appraisals	Current year + 5 years	Secure disposal
Maternity pay records	Current year + 3 years	Secure Disposal

Health & Safety		
Accident reporting (Adult)	Date of incident + 7 Years	Secure Disposal
Accident Reporting (pupil)	DOB of child + 25 years	Secure Disposal
COSHH	Current year + 10 years	
Incident reports	Current year + 20 years	Secure disposal
Policy Statements	Current year + 1 year	Secure Disposal
Risk Assessments	Current year + 3 years	Secure Disposal
Asbestos monitoring	Last action + 40 years	Secure Disposal
Radiation monitoring	Last Action + 50 years	Secure Disposal
Fire precautions	Current year + 6 years	Secure Disposal

Administrative		
Inventories	Current year + 6 years	Secure Disposal
School Prospectus	Current year + 3 years	Secure Disposal
Circulars & Newsletters	Current year + 1 year	Secure Disposal
Visitors book	Current year + 2 years	Secure Disposal
Visitors Covid Track & Trace	21 days	Secure Disposal
PTA	Current year + 6 years	Secure Disposal

Finance		
Annual Accounts	Current year + 6 years	Secure Disposal
Contracts	Contract completion date + 6 years	Secure Disposal
Invoices, Purchase orders, Delivery notes	Current year + 6 years	Secure Disposal
Annual Budget & monitoring	Current year + 6 years	Secure Disposal
School fund	Current year + 6 years	Secure Disposal
Imprest & Banking	Current year + 6 years	Secure Disposal

Property		
Title deeds	Permanent	
Plans	Permanent	Retain in school whilst operational
Maintenance & contractors	Current year + 6 years	Secure Disposal
Leases	Expiry of lease + 6 years	Secure Disposal
Lettings	Current year + 3 years	Secure Disposal
Burglary, theft and vandalism reports	Current year + 6 years	Secure Disposal
Maintenance log books	Current year + 6 years	Secure Disposal
Contractor reports	Current year + 6 years	Secure Disposal

Department for Education		
Ofsted Reports	Replace former report with new inspection report	
Returns	Current year + 6 years	Secure Disposal
Circulars from DFE	Whilst required	

School Meals		
Dinner Register	Current year + 3 years	Secure Disposal
School meals summary sheets	Current year + 3 years	Secure Disposal

Communication		
Telephone Conversations	Not recorded or retained unless specifically mentioned.	
Telephone Recordings	Kept for attendance purposes for 12 months.	Secure deletion.
Emails	'Info' mail box retained for 12 months. Individual mail boxes for 30 days.	Secure deletion.
Email attachments	All email attachments should be saved and then will follow retention policy for the	

	individual document.	
Meetings	No recordings of meetings will be kept unless official minutes are being taken. These are retained for 6 years.	Secure disposal.