

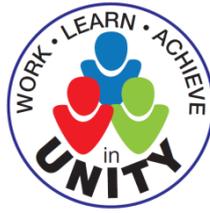
April | 18

# Unity Academy Trust

## Records Management Policy

Created March 2018

Review due March 2019



Unity Academy Trust

## **Records Management Policy**

### **1. The purpose of the retention guidelines**

Under the Freedom of Information Act 2000, schools are required to maintain a retention schedule listing the records which the school creates in the course of its business. The retention schedule lays down the length of time which the record needs to be retained and the action which should be taken when it is of no further administrative use.

The retention schedule lays down the basis for normal processing under both the Data Protection Act 2018 and the Freedom of Information Act 2000.

Members of staff are expected to manage their current record keeping systems using the retention schedule and to take account of the different kinds of retention periods when they are creating new record keeping systems.

The retention schedule refers to records regardless of the media in which they are stored.

### **2. Benefits of a retention schedule**

There are a number of benefits which arise from the use of a complete retention schedule:

Managing records against the retention schedule is deemed to be “normal processing” under the Data Protection Act 2018 and the Freedom of Information Act 2000. Members of staff should be aware that once a Freedom of Information request is received or a legal hold imposed then records disposal relating to the request or legal hold must be stopped.

Members of staff can be confident about safe disposal of information at the appropriate time.

Information which is subject to Freedom of Information and Data Protection legislation will be available when required. The school is not maintaining and storing information unnecessarily.

### **3. Maintaining and amending the retention schedule**

Where appropriate the retention schedule should be reviewed and amended to include any new records created and remove any obsolete records.

This retention schedule contains recommended retention periods for the different record series created and maintained by schools in the course of their business. The schedule refers to all information regardless of the media in which it is stored. Some of the retention periods are governed by statute. Others are guidelines following best practice. Every effort has been made to ensure that these retention periods are compliant with the requirements of the Data Protection Act 2018 and the Freedom of Information Act 2000. Managing

records using these retention guidelines will be deemed to be 'normal processing' under the legislation mentioned above. If records are to be kept for longer or shorter periods than laid out in this document the reasons for this need to be documented.

This schedule will be reviewed annually.

## **Using the Retention Schedule**

The Retention Schedule is divided into eight sections, with subheadings under each section for ease of use:

### **1. Management of the School**

- Governance (Local Governors, Trustees, Members)
- Headteacher and SLT
- Admissions process
- Operational administration

### **2. Human Resources**

- Recruitment
- Operational staff management
- Management of disciplinary and grievance processes
- Health and safety

### **3. Financial Management of the School**

- Risk management and insurance
- Asset management
- Accounts and statements incl budget management
- Contract management
- School fund
- School meals management

### **4. Property Management**

- Property management
- Maintenance

### **5. Pupil Management**

- Pupils' educational records
- Attendance
- SEN

### **6. Curriculum Management**

- Statistics and management information
- Implementation of curriculum

### **7. Extra-Curricular Activities**

- Educational visits outside the classroom
- Walking bus
- Family Liaison Officers (FLOs) and Parent Support Advisors (PSAs)

### **8. Central Government and Local Authority**

- Local authority

- Central government

## 1. MANAGEMENT OF THE SCHOOL

Governance			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Agendas for GB meetings	Possible	<b>Permanently</b> store one printed copy. EHT and HT also store electronically.	Yes
Minutes from GB meetings	Possible	<b>Permanently</b> store one signed printed copy. EHT and HT also store electronically.	Yes
Reports presented to the Governing Body	There may be data protection issues if the report deals with confidential issues relating to staff	Reports should be kept for a minimum of 6 years.	Retain with the signed set of the minutes.
Meeting papers relating to the Parents' Association AGM meeting held under section 33 of the Education Act 2002	No	Date of the meeting plus a minimum of 6 years.	Yes
Instruments of Government including Articles of Association	No	Permanent	
Trusts and Endowments managed by the Governing Body	No	Permanent	
Action plans created and administered by the Governing Body	No	Life of the action plan plus 3 years.	
Policy documents created and administered by the Governing Body	No	Life of the policy plus 3 year.	
Records relating to complaints dealt with by the Governing Body	Yes	Date of the resolution of the complaint plus a minimum of 6 years.	Yes

Headteacher and SLT			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Minutes of Senior Leadership Team meetings and the meetings of other internal administrative bodies	There may be data protection issues if the minutes refers to individual pupils or members of staff	Date of the meeting plus 3 years then review	Yes
Reports and correspondence created by the Head Teacher or the Senior Leadership Team	There may be data protection issues if the report refers to individual pupils or members of staff	Date of the report plus a minimum of 3 years then review.	Yes
School Development Plans	No	Life of the plan plus 3 years.	Yes

Admissions process			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
All records relating to the creation and implementation of the School Admissions' Policy	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels (December 2014 Document)	Life of the policy plus 3 years then review.	Yes
Admissions – if the admission is successful	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, school adjudicators and admission appeals panels December 2014	Date of admission plus 1 year or resolution	Yes
Proofs of address supplied by parents as part of the admissions process	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, school adjudicators and admission appeals panels December 2014	Current year plus 1 year.	Yes
Supplementary information form including additional information such as religion, medical conditions etc			
For successful admissions		This information should be added to the pupil file	Yes
For unsuccessful admissions		Until appeals process completed	Yes

Operational administration			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Visitors' Book and Signing in Sheets	Yes	Current year plus 6 years then <b>Review</b>	Yes
Records relating to the creation and management of Parent Associations	No	Current year plus 6 years the <b>Review</b>	Yes

## 2. HUMAN RESOURCES

Recruitment			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
All records leading up to the appointment of a new headteacher	Yes	Date of appointment plus 6 years	Yes
All records leading up to the appointment of a new member of staff – unsuccessful candidates	Yes	Date of appointment of successful candidate plus 6 months	Yes
All records leading up to the appointment of a new member of staff – successful candidate	Yes	All the relevant information should be added to the staff personal file (see below) and all other information retained for 6 months	Yes
Pre-employment vetting information – DBS Checks	No	The school does not have to keep copies of DBS certificates. If the school does so the copy must NOT be retained for more than 6 months.	
Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure	Yes	Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff’s personal file.	
Pre-employment vetting information – Evidence proving the right to work in the United Kingdom.	Yes	Where possible these documents should be added to the Staff Personal File (see below), but if they are kept separately then the Home Office requires that the documents are kept for termination of Employment plus not less than two years.	

Operational Staff Management			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Staff Personal File	Yes	Termination of Employment plus 6 years.	Yes
Timesheets	Yes	Current year plus 6 years.	Yes

Annual appraisal/assessment records.	Yes	Current year plus 5 years.	Yes
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## Management of Disciplinary and Grievance Processes

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Allegation of a child protection nature against a member of staff including where the allegation is unfounded.	Yes	Until the person's normal retirement age or 10 years from the date of the allegation whichever is the longer then <b>Review</b> . Note allegations that are found to be malicious should be removed from personnel files. If found proven they are to be kept on the file and a copy provided to the person concerned.	Yes. These records must be shredded.
Disciplinary Proceedings	Yes		
Oral warning		Date of warning plus 6 months.	Yes (If warnings are placed on personal files then they must be weeded from the file).
Written warning – level 1		Date of warning plus 6 months.	Yes (If warnings are placed on personal files then they must be weeded from the file).
Written warning – level 2		Date of warning plus 12 months.	Yes (If warnings are placed on personal files then they must be weeded from the file).
Final warning		Date of warning plus 18 months.	Yes (If warnings are placed on personal files then they must be weeded from the file).
Case not found		If the incident is child protection related then see above otherwise dispose of at the conclusion of the case.	Yes

## Health & Safety

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Health and Safety Policy Statements	No	Life of policy plus 3 years.	Yes
Health and Safety Risk Assessment	No	Life of risk assessment plus 3 years.	Yes
Records relating to accident/injury at work	Yes	Date of incident plus 12 years in the case of serious accidents a further retention period will need to be applied.	Yes
Accident Reporting	Yes		
Adults		Date of the incident plus 6 years	Yes
Children		DOB of the child plus 25 years.	Yes

Control of Substances Hazardous to Health (COSHH)	No	Current year plus 40 years	Yes
Process of monitoring of areas where employees and persons are likely to have come in contact with asbestos.	No	Last action plus 40 years	Yes
Process of monitoring of areas where employees and persons are likely to have come in contact with radiation.	No	Last action plus 50 years.	Yes
Fire Precautions log books	No	Current year plus 6 years.	Yes

### 3. FINANCIAL MANAGEMENT OF THE SCHOOL

#### Risk Management and Insurance

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Employers' Liability Insurance Certificate	No	Closure of the school plus 40 years.	Yes

#### Asset Management

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Inventories of furniture and equipment.	No	Current year plus 6 years.	Yes
Burglary, theft and vandalism report forms.	No	Current year plus 6 years.	Yes

#### Accounts and Statements incl Budget Management

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Annual Accounts	No	Current year plus 6 years.	Standard disposal
All records relating to the creation and management of budgets including the Annual Budget statement and background papers.	No	Life of the budget plus 3 years.	Yes
Invoices, receipts, order books and requisitions, delivery notices.	No	Current financial year plus 6 years.	Yes
Records relating to the collection and banking of monies.	No	Current financial year plus 6 years	Yes
Records relating to the identification and collection of debt.	No	Current financial year plus 6 years	Yes

#### Contract Management

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
All records relating to the management of contracts under seal.	No	Last payment on the contract plus 12 years.	Yes

All records relating to the management of contracts under signature.	No	Last payment on the contract plus 6 years.	Yes
Records relating to the monitoring of contracts.	No	Current year plus 2 years.	Yes

## Bank Account

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
School Fund – Cheque books.	No	Current year plus 6 years.	Yes
School Fund – Paying in books.	No	Current year plus 6 years.	Yes
School Fund – Ledger.	No	Current year plus 6 years.	Yes
School Fund – Invoices.	No	Current year plus 6 years.	Yes
School Fund – Receipts.	No	Current year plus 6 years.	Yes
School Fund – Bank statements.	No	Current year plus 6 years.	Yes

## School Meals Management

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Free School Meals Registers.	Yes	Current year plus 6 years.	Yes
School Meals Registers.	Yes	Current year plus 3 years.	Yes
School Meals Summary Sheets.	No	Current year plus 3 years.	Yes

## 4. PROPERTY MANAGEMENT

Property Management			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Title deeds of properties belonging to the school.	No	PERMANENT These should follow the property unless the property has been registered with the Land Registry	
Plans of property belonging to the school.	No	These should be retained whilst the building belongs to the school and should be passed onto any new owners if the building is leased or sold.	
Leases of property leased by or to the school.	No	Expiry of lease plus 6 years.	Yes
Records relating to the letting of school premises.	No	Current financial year plus 6 years.	Yes

Maintenance			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
All records relating to the maintenance of the school carried out by contractors.	No	Current year plus 6 years.	Yes
All records relating to the maintenance of the school carried out by school employees including maintenance log books.	No	Current year plus 6 years.	Yes

## 5. PUPIL MANAGEMENT

Pupils' Educational Records			
DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
<p>Pupil's Educational Record required by <b>The Education (Pupil Information) (England) Regulations 2005.</b></p>	<p>Yes</p>		
<p>Primary</p>		<p>Retain whilst the child remains at the primary school.</p>	<p>The file should follow the pupil when he/she leaves the primary school. This will include</p> <ul style="list-style-type: none"> <li>To another primary school</li> <li>To a secondary school</li> <li>To a pupil referral unit</li> <li>If the pupil dies whilst at primary school the file should be returned to the Local Authority to be retained for the statutory retention period.</li> </ul> <p>If the pupil transfers to an independent school, transfers to home schooling or leaves the country the file should be returned to the Local Authority to be retained for the statutory retention period. Primary Schools do not ordinarily have sufficient storage space to store records for pupils who have not transferred in the normal way. It makes more sense to transfer the record to the Local Authority as it is more likely that the pupil will request the record from the Local Authority</p>
<p>Child Protection information held on pupil file</p>	<p>Yes</p>	<p>If any records relating to child protection issues are placed on the pupil file, it should be in a sealed envelope and then retained for the same period of time as the pupil file.</p>	<p>Yes these records must be shredded</p>
<p>Child protection information held in separate files</p>	<p>Yes</p>	<p>DOB of the child plus 25 years then review. This retention period was agreed in consultation with the Safeguarding Children Group on the understanding that the principal copy of this information will be found on the Local Authority Social Services record.</p>	<p>Yes these records must be shredded</p>

## Attendance

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Attendance Registers	Yes	Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made.	Yes
Correspondence relating to authorised absence		Current academic year plus 2 years.	Yes

## Special Educational Needs

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Special Educational Needs files, reviews and Individual Education Plans	Yes	Date of Birth of the pupil plus 25 years.	Yes

## 6. CURRICULUM MANAGEMENT

### Statistics and Management Information

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Results		The SATs results should be recorded on the pupil's educational file and will therefore be retained until the pupil reaches the age of 25 years. The school may wish to keep a composite record of all the whole year SATs results. These could be kept for current year plus 6 years to allow suitable comparison.	Yes
Examination Papers		The examination papers should be kept until any appeals/ validation process is complete.	Yes
Published Admission Number (PAN) Reports	Yes	Current year plus 6 years	Yes
Value Added and Contextual Data	Yes	Current year plus 6 years	Yes
Self Evaluation Forms	Yes	Current year plus 6 years	Yes

### Implementation of Curriculum

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Schemes of Work	No	Current year plus 1 year	It may be appropriate to review these records at the end of each year and allocate a further retention period or SECURE DISPOSAL
Timetable	No	Current year plus 1 year	
Class Record Books	No	Current year plus 1 year	
Mark Books	No	Current year plus 1 year	
Record of homework set	No	Current year plus 1 year	
Pupil's work	No	Where possible pupil's work should be returned to the pupil at the end of the academic year. If this is not the school's policy then current year plus 1 year	Yes

## 7. EXTRA-CURRICULAR ACTIVITIES

### Educational Visits outside the Classroom

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Primary Schools.	No	Date of visit plus 14 years	Yes
Parental consent forms for school trips where there has been no major incident.	Yes	Conclusion of trip	
Parental permission slips for school trips – where there has been a major incident.	Yes	DOB of the pupil involved in the incident plus 25 years. The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all pupils.	

### Walking Bus

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Walking Bus Registers	Yes	Date of register plus 3 years. This takes into account the fact that if there is an incident requiring an accident report the register will be submitted with the accident report and kept for the period of time required for accident reporting.	Yes

### FLOs and Parent Support Workers

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Day Books	Yes	Current year plus 2 years then review	
Reports for outside agencies – where the report has been included on the case file created by the outside agency	Yes	Whilst child is attending school and then destroy	
Referral forms	Yes	While the referral is current	
Contact data sheets	Yes	Current year then review, if contact is no longer active then destroy	
Contact database entries	Yes	Current year then review, if contact is no longer active then destroy	

Group Registers	Yes	Current year plus 2 years	
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## 8. CENTRAL GOVERNMENT & LOCAL AUTHORITY

### Local Authority

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
Secondary Transfer Sheets (Primary)	Yes	Current year plus 2 years	Yes
Attendance Returns	Yes	Current year plus 1 year	Yes
School Census Returns	No	Current year plus 5 years	Yes

### Central Government

DESCRIPTION	DP ISSUES?	KEEP FOR...	SECURE DISPOSAL?
OFSTED reports and papers	No	Life of the report then <b>Review</b>	Yes
Returns made to central government	No	Current year plus 6 years	Yes