Records Management Policy & Disposal of Records Schedule

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Section 1 – Introduction – Records Management

The Trust/School recognises that the efficient management of its records is necessary to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with Existing Policies.

1 Scope of the Policy

This policy applies to all records created, received or maintained by staff of the Trust/School in the course of carrying out its functions.

    1.2   Records are defined as all those documents which facilitate the business carried out by the Trust/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 electronically.

    1.3   A small percentage of the Trust/School's records will be selected for permanent preservation as part of the institution's archives and for historical research.

2 Responsibilities

    2.1   The Trust/School has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the CEO/Headteacher.

    2.2   The person responsible for records management in the Trust/School will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and timely.

    2.3   Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the school's records management guidelines.

3 This policy has been drawn up within the context of:

- The Freedom of Information Act 2000
- The Data Protection Act 2018

and other legislation or regulations (including audit, equal opportunities and ethics) affecting the Trust and its schools.

Section 2 – Introduction – DISPOSAL SCHEDULE

1. Purpose of Disposal Schedule

This disposal schedule identifies the disposal arrangements for all records created by Extol Trust and all schools associated.   Records in MIS System (SIMS) are managed

by One IT Services in liaison with School Business Managers. Minimum retention periods for these records in SIMS are being adhered to.

2. Categories of Disposal

- Destruction
- Review
- Permanent preservation.

Section 3 – Operation of this Disposal of Records Schedule

1. Closure of Files

Manual records should be closed as soon as they have ceased to be of active use other than for reference purposes. When a file is due to be closed the appropriate member of staff should consult the disposal schedule and mark the front cover of the file, indicating the date on which the file can be destroyed, or whether it should be subject to the normal review procedures. Closing a file simply means that no further papers can be added but the file can be used for reference.

2. Minimum Retention Period

The minimum retention period required for each type of record is calculated from the point the file/record is closed.

3. Destruction

Where the disposal action is 'Secure Destruction' the records should be kept for the period stated and then securely destroyed by the school in accordance with the directions on recycling and shredding. A record must be maintained of the files that have been securely destroyed.

4. Review

Where the disposal action is 'Normal Review' the file will be subject to the normal review processes. The First Review of the file takes place 5 years from the date of the last paper on the file and should not be later than 10 years from the opening of the file. Records of long-term administrative use need not be brought forward for the First Review. This will be initiated by an appropriate official at the discretion of the school. The review procedures are as follows: -

(a) A member of staff should carry out a first review of each file based solely on its administrative value.

(b) The reviewing officer should keep a record of files that he/she wishes to keep for administrative purposes. This first review monitoring procedure will help to ensure that all types of files or file series have been covered in the disposal schedule or, if such files have been created since the disposal schedule was established, they can be added to a revised schedule.

5. Permanent Preservation

Where the disposal action is Permanent Preservation the records are exempt from the normal review procedures. In some cases the Public Record Office will seek transfer of files that are marked for permanent preservation.

6. Commitment to Preserving Files/Records

Extol Trust declares that it will take measures to ensure that the records it creates will be physically well maintained and cared for while they are in its custody (i.e. until either securely destroyed or retained for permanent preservation).

7. Roles and Responsibilities

The individual school's Heateacher is responsible for ensuring that records and information systems in their areas conform to this policy and to the requirements of legislation. **All members of staff** are responsible for documenting their actions and decisions in the records and for maintaining the records in accordance with good records management practice.

The role of the **appointed member of staff (SBM)** is to ensure compliance with records management standards within their area of responsibility, and to co-ordinate activities aimed at ensuring that information is recorded, stored, managed and disposed of both effectively and legally.

Section 4 – Definitions of Records held by Extol Trust in respect of each of its Functional Business Areas

There are six main functional business areas for which Extol Trust keeps records as follows:

1. **Management and Organisation**

2. **Legislation & Guidance**

3. **Pupils**

4. **Staff**

5. **Finance**

6. **Health & Safety**

The records contained within these functional areas provide evidence and information about its business activities that are important for the efficient operation of the school.

1. Management and Organisation

This category includes the main records which the individual schools hold in relation to the management and organisation of the school. Typical records would include the minutes of the Board of Governors, the Senior Leadership Team meetings which record the major decision making processes of the school. Also included are records detailing development, planning and curriculum policies as well as those that demonstrate how the school reports to its parents and other organisations. Records include the School Securing Improvement Plan, the School Prospectus, Curriculum policies, Emergency Planning and Business Continuity Plan along with the records of meetings, minutes, and policies documenting the decisions and actions taken within this business function.

2. Legislation and Guidance from Department of Education

Files maintained under this heading contain papers relating to legislation e.g. the Circulars, Guidance, and Bulletins from the Department of Education (DfE) etc.

Correspondence in connection with Statistical Returns and documents relating to DfE Inspections and Reports.

3. Pupils

Pupil files contain vitally important records which not only capture the progress of the child throughout their time at the school, but also document their personal details and information beneficial to their well-being within the school environment. Such records would include admission data, attendance records, class groupings, education/progress reports of pupils, Special Education Needs documentation, child protection information, disciplinary action taken, examination results, school trip details and medical records (details of medical conditions where medicines are required to be administered at school).

4. Staff

Records in this category refer to those required for the Human Resources Management function within the school. These include staff personnel records (recruitment, interview notes, appointments, training, staff development etc), staff salary records, staff induction, sickness records, staff performance review, supply teacher records and student teachers on teaching practice etc.

5. Finance

This business function within the school maintains records for a range of finance activities such as annual budgets, budget monitoring, annual statement of accounts, procurement, tender information and prices, reconciliation of invoices, audit reports etc.

6. Health & Safety

The health and safety of children and staff are of paramount importance in the school and such records to support this are retained e.g. Accident/Incident Book, Legal/Accident/Incident Forms, Risk Assessments, Fire Procedure, Security System files, Health and Safety Policy, maintenance records etc.

SECTION 5 - SCHOOL DISPOSAL SCHEDULE

1. Management & Organisation

Record	File Action	Minimum Retention Period	Action After Retention
Board of Governors (BOG) – general correspondence	Close at end of current school year	Permanent	Permanent Preservation
BOG Agendas and Minutes of Meetings (master)	Close at end of current school year	Permanent	Archive
BOG Meetings Minutes (inspection copies held by individuals)	Close at end of current school year	Date of meeting + 3 years	Secure Destruction
Records of complaints dealt with by the BOG	Close at resolution of complaint	Date of the resolution of the complaint + minimum 6 years	Secure Destruction
Senior Leadership Team Meeting Minutes	Close at end of current school year	Date of meeting + 5 years	Secure Destruction
Staff Meeting Minutes (any)	Close at end of current school year	Normal Review	Determination on Review
School Improvement Plan	Retain whilst valid – close when superseded	Closure + 6 years	Secure Destruction
Curriculum Policies	Retain whilst valid – close when superseded	Until superseded	Keep 1 copy of previous policies and secure destruction of all others
Policy Statements (Admissions, Data Protection, Internet, Health & Safety, Child Protection, Equality etc)	Retain whilst valid – close when superseded	Review regularly & retain latest version. Older versions: date of expiry + 3 years	Secure Destruction
Inventory Log	Close at end of current school year	End of current year + 2 years	Archive
Circulars/Newsletters to Staff, Parents and Pupils	Close at end of current school year	End of current year + 2 years	Destruction
Prospectus	Issued every academic year	6 years	Destruction
Complaints	Close at end of current school year	Date of resolution of complaint + 6 years	Archive
Copyright		During validity	Licensing Bodies may hold actual licences

Record	File Action	Minimum Retention Period	Action After Retention
Emergency Planning/Business Continuity Plan	Retain whilst valid – close when superseded	Until superseded	Secure Destruction
Correspondence created by Head of School, Assistant Headteachers, Phase Leaders, Inclusion Team and other members of staff with administrative responsibilities	Close at end of current school year	Current academic year + 6 years	Secure Destruction
Visitor Signing In Records (Inventry)	Retain whilst valid	Current academic year + 6 years	Secure Destruction
Records relating to the Parent Engagement Group management.	Close at end of current school year	Current academic year + 6 years	Secure Destruction
Schemes of Work / Planning / Mark Books / Homework Records	Close at end of current school year	Current academic year + 1 year	Secure Destruction

2. Legislation and Guidance from DFE

Record	File Action	Minimum Retention Period	Action After Retention
Education	Retain whilst valid	Until superseded	Secure Destruction
Circulars, Guidance, Bulletins from DfE	Retain whilst valid	During validity	Secure Destruction
Correspondence re: Statistical Returns to DfE (Census returns etc)	Retain whilst valid	6 school years	Secure Destruction
DfE Reports, Ofsted Inspections	Retain whilst valid	Normal Review	Permanent Preservation

3.   Pupils

Record	File Action	Minimum Retention Period	Action After Retention
Admission Data	Close when register ceases to be used	10 years from date register ceased to be used	Secure Destruction
Supplementary Information (Data Entry Form) including religion, medical conditions etc)	Close at end of the school year	6 school years	Secure Destruction
Admission Appeals	Close at end of school year in which appeal received	Resolution of case + 1 year	Secure Destruction
Applications for enrolment	Close at end of school year in which application received	3 years after enrolment	Secure Destruction
Attendance Registers	Close when register ceases to be used	Date of Register + 3 Years	Offer for Permanent Preservation
Authorised Absence Requests	Close at end of current academic year	Current academic year + 2 years	Secure Destruction
Education Records - School/Progress Reports etc	Close when pupil leaves school	Until pupil is aged 22 years old	Secure Destruction
Special Education Needs (paper based records)	Close when pupil leaves or transfers school. All data passed to new school and receipt obtained of delivery.	Until Pupil is aged 25 years old	Secure Destruction
Special Education Needs (electronic records)	Close when pupil leaves school.	Until Pupil is aged 25 years old	Secure Destruction
Child Protection	Retain in secure, confidential storage	Normal Review	Permanent Preservation
Disciplinary Action (Suspension/ Expulsion)/Offences – bullying etc	Close when pupil leaves school	Until pupil is 22 years old	Secure Destruction
Timetables + Class Groupings	Close at end of current academic year	Current School year + 1 Year	Secure Destruction
Examination Results	Close at end of current academic year	Current School Year + 6 years	Secure Destruction
Careers Advice	Close at end of current academic year	6 years	Secure Destruction
School Meals returns	Close at end of current financial year	Current financial year + 6 years	Secure Destruction

Record	File Action	Minimum Retention Period	Action After Retention
Free Meals registers	Close at end of current financial year	Current financial year + 6 years	Secure Destruction
School Trips – Financial & Administration details (consent slips etc where there was no major incident)	Close at end of current financial year	Current financial year + 6 years	Secure Destruction
School Trips – Financial & Administration details (consent slips where there was a major incident)	Close at end of current financial year	DOB of the pupil + 25 years	Secure Destruction
School Trips-Education Visit Assessments/Staff Ratios etc	Close on completion of trip	Current financial year + 14 years	Secure Destruction
Drug Abuse	Close at end of current academic year	General reference material – keep whilst valid.	Secure Destruction when superseded
Reports of Stolen/Damaged Items	Close at end of current academic year	7 years	Secure Destruction
Medical Records – records of pupils with medical conditions and details for the administration of medicines when necessary.	Close when pupil leaves school	Until pupil is aged 22 years old or in the case of a Special Needs pupil, until 25 years old	Secure Destruction

4.   Staff

Record	File Action	Minimum Retention Period	Action After Retention
Personnel Records (current staff appointment details, training, staff development etc.)	Close when member of staff leaves school	During validity +7 years after leaving employment	Secure Destruction
All records leading up to the appointment of a new member of staff (unsuccessful candidates)	Close when member of staff successfully appointed	Date of appointment of successful candidate + 6 months	Secure Destruction
Evidence proving a member of staff's right to work in the UK	Added to personal file	Termination of employment date + 2 years	Secure Destruction
Salary Records	Close at end of current financial year	Last Day of Employment + 85 Years	Archive For Pension purposes
Sickness Records (copies of medical certificates, self-certification forms etc)	Close at end of current academic year	Current academic year + 6 years	Secure Destruction

Record	File Action	Minimum Retention Period	Action After Retention
Supply Teacher Records	Close at end of current academic year	Current academic year + 6 years	Secure Destruction
Supply Staff Records – non teaching (cover for support staff)	Close at end of current academic year	Current academic year + 6 years	Secure Destruction
Student Records – non teaching (e.g. classroom assistants & pupils from schools on work experience)	Close at end of current academic year	Current academic year + 6 years	Secure Destruction
Student Teachers on Teaching Practice – student teacher progress	Close at end of current academic year	Current academic year + 6 years	Secure Destruction
Professional Development Plans	Close at the end of current academic year	Life of the plan + 6 years	Secure Destruction
Induction Procedures	Retain whilst valid	Until superseded	Secure Destruction
Attendance Records	Close after leaving employment	7 years after leaving	Secure Destruction
Performance Review Records	Close at end of review period covered	During validity + 15 years	Secure Destruction

5.   Finance

Record	File Action	Minimum Retention Period	Action After Retention
Annual Budget	Close at end of current financial year	Current financial year + 6 years	Secure Destruction
Budget Monitoring	Close at end of current financial year	Current financial year + 3 years	Secure Destruction
Annual Statement of Accounts (Outturn Statement)	Close at end of current financial year	Current financial year + 6 years	Archive
Orders, Invoices, Banking Records, Income Analysis, timesheets, overtime claims etc	Close at end of current financial year	Current financial year + 6 years	Secure Destruction
Cheque Books, Paying in Books	Close at end of current financial year	Current financial year + 6 years	Secure Destruction
Postage Book	Close at end of current financial year	Current financial year + 6 years	Secure Destruction

Record	File Action	Minimum Retention Period	Action After Retention
Purchasing – Tender Information & Quotes	Close at end of current financial year	Until superseded	Secure Destruction contract schedules when they expire.
Audit Reports	Close at end of current financial year	Current financial year + 6 years	Secure Destruction
Dinner money envelopes	Close at end of current financial year	Current financial year +1 year	Secure Destruction
School Fund	Close at end of current financial year	Current financial year + 6 years	Secure Destruction

6.   Health & Safety

Record	File Action	Minimum Retention Period	Action After Retention
Accident / Incident Book	Close at end of current academic year	Date of closure + 12 years	Secure Destruction
Legal /Accident/Incident Forms	Close at end of current financial year	Until pupil is at least 22 years old or in the case of an adult 4 years from the date of the accident	Secure Destruction
Risk Assessments – work experience locations/pupils/staff	Close at end of current financial year	7 years	Secure Destruction
H & S Reports	Close at end of current financial year	Current Year + 20 years	Secure Destruction
Fire Procedure	Close at end of current financial year	Until superseded	Retain copies of earlier versions
Security System File	Close at end of current financial year	For the life of the system	Secure Destruction
H&S Policy	Close at end of current financial year	Date of expiry + 1 Year	Secure Destruction
Records relating to maintenance of the school carried out by contractors	Close at end of current financial year	Current year + 6 years	Secure Destruction