



The Fernwood School

"High Achievement with Care & Discipline for All"

Records Management Policy

This notice will be monitored regularly and evaluated so that it remains responsive to current issues. This will be co-ordinated by the Data Protection Lead.

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Purpose and Scope

The purpose and scope of this policy is to define the controls required for the establishment, maintenance and control of documents and data that support the activities of The Fernwood Academy Trust.

The Record Management policy 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.

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 all information, regardless of the media in which they are stored.

Documented Information

The 'management system' is the collective term used to describe the occupational activities (processes) and written information to control and reflect this (policies, manuals, procedures, arrangements, forms, etc.). This Documented Information can exist in hard copy and/or electronic format however any printed or distributed item is always to be considered 'uncontrolled'.

Instructional documents, such as; policy statements, manuals, handbooks, procedures, flow charts arrangements, work orders, method statements, etc., are available to read, providing guidance on the organisation's requirements and the way in which processes should function.

Working documents include; forms, spreadsheets, databases, drawings, etc. These maybe project or time specific and information may be added to these during the process, thus creating 'records'. It is essential that the most up to date version of a document be held, understood and in place at the point of use.

Control of Records

Physical records generated as a result of operational activity shall be stored under suitable conditions and adequately protected in order to ensure that they remain legible, readily identifiable and retrievable.

The information recorded in hard copy may also available electronically, however, for ease of reference all hard copy records that are of no further administrative use will be a secure location (the School Archives) or with an approved archiving company at an offsite location. The retention period of hard copy records will follow the retention criteria found in the Document Retention section of the policy.

Once the retention period has expired, a senior leader shall authorise destruction via shredding of any sensitive items, prior to disposal with general company waste paper.

Electronic records created are held centrally on The Fernwood Academy Trust's servers. Daily back-ups of data are carried out internally with full system weekly backups copied to tapes. Full annual system backups are made annually and retained in accordance with our data Record Management policy. Daily backups of critical data are also copied to an external service provider.

Data Protection

Data Protection, confidentiality and the best practices to adopt will form part of our training for all staff and starts with the confidential nature of documentation and records. It is accepted that all documents are uncontrolled once printed, however it remains imperative that all documentation and records are treated as operationally sensitive with consideration of data protection and safeguarding risks.

Document Retention

Once data records are of no further use to the operational administrative requirements of the establishment the data retention period should be applied. At the end of the data retention period data records should be destroyed. Please find below definitions of actions which may apply to the retention or disposal of data record.

Disposal

Where records have been identified for destruction they should be disposed of in an appropriate way. All records containing personal information, or sensitive policy information should be shredded before disposal (Secure Disposal). Records that contain personal information that made freely available to the public and contain no sensitive data may be disposed using general waste manage facilities

Transfer of records to the School Archives (Retain)

Where records have been identified as being worthy of long term or permanent preservation, arrangements should be made to transfer the records to the School Archives.

Transfer of information to other media (Transfer)

Where lengthy retention periods have been allocated to records, members of staff may wish to consider converting paper records to other media such as digital media. The lifespan of the media and the ability to migrate data where necessary should always be considered.

1. Management of The Fernwood Academy Trust

1.1 Governing Body				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
1.1.1	Agendas for Governing Body meetings	There may be data protection issues if the meeting is dealing with confidential issues relating to staff	One copy will be retained with the master set of minutes. All other copies are to be securely disposed.	SECURE DISPOSAL
1.1.2	Minutes of Governing Body meetings	There may be data protection issues if the meeting is dealing with confidential issues relating to staff		
	Principal Set (signed)		PERMANENT	If the Trust is unable to store these then they will be offered to the County Archives Service
	Inspection Copies		Date of meeting + 3 years	If these minutes contain any sensitive, personal information they must be shredded.
1.1.3	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. However, if the minutes refer directly to individual reports then the reports should be kept permanently	SECURE DISPOSAL or retain with the signed set of the minutes
1.1.4	Meeting papers relating to the annual parents' meeting held under section 33 of the Education Act 2002	No	Date of the meeting + a minimum of 6 years	SECURE DISPOSAL

1.1 Governing Body (continued...)				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
1.1.5	Instruments of Government including Articles of Association	No	PERMANENT	These will be retained in the school whilst the Trust is open and then offered to County Archives Service if the Trust closes.
1.1.6	Trusts and Endowments managed by the Governing Body	No	PERMANENT	These will be retained in the school whilst the Trust is open and then offered to County Archives Service if the Trust closes.
1.1.7	Action plans created and administered by the Governing Body	No	Life of the action plan + 3 years	SECURE DISPOSAL
1.1.8	Policy documents created and administered by the Governing Body	No	Life of the policy + 3 years	SECURE DISPOSAL
1.1.9	Records relating to complaints dealt with by the Governing Body	Yes	Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes	SECURE DISPOSAL
1.1.10	Annual Reports created under the requirements of the Education (Governor's Annual Reports)(England) (Amendment) Regulations 2002	No	Date of report + 10 years	SECURE DISPOSAL
1.1.11	Proposals concerning the change of status of a maintained school including Specialist Status Schools and Academies	No	Date proposal accepted or declined + 3 years	SECURE DISPOSAL

1.2 Head Teacher and Senior Management Team				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
1.2.1	Log books of activity in the school maintained by the Head Teacher	There may be data protection issues if the log book refers to individual pupils or members of staff	Date of last entry in the book + a minimum of 6 years then review	If the data is considered to be of permanent historical value they will be offered to the County Archives Service if appropriate
1.2.2	Minutes of Senior Management 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 + 3 years then review	SECURE DISPOSAL
1.2.3	Reports created by the Head Teacher or the Management Team	There may be data protection issues if the report refers to individual pupils or members of staff	Date of the report + a minimum of 3 years then review	SECURE DISPOSAL
1.2.4	Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	There may be data protection issues if the records refer to individual pupils or members of staff	Current academic year + 6 years then review	SECURE DISPOSAL
1.2.5	Correspondence created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	There may be data protection issues if the correspondence refers to individual pupils or members of staff	Date of correspondence + 3 years then review	SECURE DISPOSAL
1.2.6	Professional Development Plans	Yes	Life of the plan + 6 years	SECURE DISPOSAL
1.2.7	School Development Plans	No	Life of the plan + 3 years	SECURE DISPOSAL

1.3 Admissions Process				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
1.3.1	All records relating to the creation and implementation of the School Admissions' Policy	No	Life of the policy + 3 years then review	SECURE DISPOSAL
1.3.2	Admissions – if the admission is successful	Yes	Date of admission + 1 year	SECURE DISPOSAL
1.3.3	Admissions – if the appeal is unsuccessful	Yes	Resolution of case + 1 year	SECURE DISPOSAL
1.3.4	Register of Admissions	Yes	Every entry in the admission register must be preserved for a period of three years after the date on which the entry was made.	Review If there are no session register permanently as often schools receive enquiries from past pupils to confirm the dates they attended the school.
1.3.5	Admissions – Secondary Schools – Casual	Yes	Current year + 1 year	SECURE DISPOSAL
1.3.6	Proofs of address supplied by parents as part of the admissions process	Yes	Current year + 1 year	SECURE DISPOSAL
1.3.7	Supplementary Information form including additional information such as religion, medical conditions etc	Yes		
	For successful admissions		This information will be added to the pupil file	SECURE DISPOSAL
	For unsuccessful admissions		Until appeals process completed	SECURE DISPOSAL

1.4 Operational Administration				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
1.4.1	General file series	No	Current year + 5 years then review	SECURE DISPOSAL
1.4.2	Records relating to the creation and publication of the school brochure or prospectus	No	Current year + 3 years	STANDARD DISPOSAL
1.4.3	Records relating to the creation and distribution of circulars to staff, parents or pupils	No	Current year + 1 year	STANDARD DISPOSAL
1.4.4	Newsletters and other items with a short operational use	No	Current year + 1 year	STANDARD DISPOSAL
1.4.5	Visitors' Books and Signing in Sheets	Yes	Current year + 6 years then review	SECURE DISPOSAL
1.4.6	Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations	No	Current year + 6 years then review	SECURE DISPOSAL

2. Human Resources

2.1 Recruitment				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
2.1.1	All records leading up to the appointment of a new headteacher	Yes	Date of appointment + 6 years	SECURE DISPOSAL
2.1.2	All records leading up to the appointment of a new member of staff – unsuccessful candidates	Yes	Date of appointment of successful candidate + 6 months	SECURE DISPOSAL
2.1.3	All records leading up to the appointment of a new member of staff – successful candidate	Yes	All the relevant information will be added to the staff personal file (see below) and all other information retained for 6 months	SECURE DISPOSAL
2.1.4	Pre-employment vetting information – DBS Checks	No	The school retains copies of DBS certificates for a period of 6 months.	SECURE DISPOSAL
2.1.5	Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure	Yes	All the relevant information will be added to the staff personal file (see below).	SECURE DISPOSAL
2.1.6	Pre-employment vetting information – Evidence proving the right to work in the United Kingdom	Yes	All the relevant information will be added to the staff personal file (see below).	SECURE DISPOSAL

2.2 Operational Staff Management				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record

2.2.1	Staff Personal File	Yes	Termination of Employment + 6 years	SECURE DISPOSAL
2.2.2	Timesheets	Yes	Current year + 6 years	SECURE DISPOSAL
2.2.3	Annual appraisal/ assessment records	Yes	Current year + 5 years	SECURE DISPOSAL

2.3 Management of Disciplinary and Grievance Processes

Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
2.3.1	Allegation of a child protection nature against a member of staff including where the allegation is unfounded	Yes	Allegations that are found to be malicious will be removed from personnel file. If the allegations are founded they are to be kept on the file and a copy provided to the person concerned. The data will then be retained until the person's normal retirement age, or 10 years from the date of the allegation, whichever is the longer. It will then be reviewed.	SECURE DISPOSAL
2.3.2	Disciplinary Proceedings	Yes		
	oral warning		Date of warning + 6 months	SECURE DISPOSAL [If warnings are placed on personal files then they will be weeded from the file]
	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	

	case not found		If the incident is child protection related then see above otherwise dispose of at the conclusion of the case.	SECURE DISPOSAL
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2.4 Health and Safety				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
2.4.1	Health and Safety Policy Statements	No	Life of policy + 3 years	SECURE DISPOSAL
2.4.2	Health and Safety Risk Assessments	No	Life of risk assessment + 3 years	SECURE DISPOSAL
2.4.3	Records relating to accident/ injury at work	Yes	Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied	SECURE DISPOSAL
2.4.4	Accident Reporting	Yes		
	Adults		Date of the incident + 6 years	SECURE DISPOSAL
	Children		DOB of the child + 25 years	SECURE DISPOSAL
2.4.5	Control of Substances Hazardous to Health (COSHH)	No	Current year + 40 years	SECURE DISPOSAL
2.4.6	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	No	Last action + 40 years	SECURE DISPOSAL
2.4.7	Process of monitoring of areas where employees and persons are likely to have become in contact with radiation	No	Last action + 50 years	SECURE DISPOSAL
2.4.8	Fire Precautions log books	No	Current year + 6 years	SECURE DISPOSAL

2.4 Payroll and Pensions

Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
2.5.1	Maternity pay records	Yes	Current year + 3 years	SECURE DISPOSAL
2.5.2	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes	Current year + 6 years	SECURE DISPOSAL

3. Financial Management of The Fernwood Academy Trust

3.1 Risk Management and Insurance				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
3.1.1	Employer's Liability Insurance Certificate	No	Closure of the Trust + 40 years	SECURE DISPOSAL
3.1.2	Claims made against insurance policies – damage to property	Yes	Case concluded + 3 years	SECURE DISPOSAL
3.1.3	Claims made against insurance policies – personal injury	Yes	Case concluded + 6 years	SECURE DISPOSAL

3.2 Asset Management				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
3.2.1	Inventories of furniture and equipment	No	Current year + 6 years	SECURE DISPOSAL
3.2.2	Burglary, theft and vandalism report forms	No	Current year + 6 years	SECURE DISPOSAL

3.3 Accounts and Statements including Budget Management				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
3.3.1	Annual Accounts	No	Current year + 6 years	STANDARD DISPOSAL
3.3.2	Loans and grants managed by the Trust	No	Date of last payment on the loan + 12 years then reviewed	SECURE DISPOSAL
3.3.3	Student Grant applications	Yes	Current year + 3 years	SECURE DISPOSAL
3.3.4	All records relating to the creation and management of budgets including the Annual Budget statement and background papers	No	Life of the budget + 3 years	SECURE DISPOSAL

3.3.5	Invoices, receipts, order books and requisitions, delivery notices	No	Current financial year + 6 years	SECURE DISPOSAL
3.3.6	Records relating to the collection and banking of monies	No	Current financial year + 6 years	SECURE DISPOSAL
3.3.7	Records relating to the identification and collection of debt	No	Current financial year + 6 years	SECURE DISPOSAL

3.4 Contract Management

Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
3.4.1	All records relating to the management of contracts under seal	No	Last payment on the contract + 12 years	SECURE DISPOSAL
3.4.2	All records relating to the management of contracts under signature	No	Last payment on the contract + 6 years	SECURE DISPOSAL
3.4.3	Records relating to the monitoring of contracts	No	Current year + 2 years	SECURE DISPOSAL

3.5 School Fund

Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
3.5.1	School Fund - Cheque books	No	Current year + 6 years	SECURE DISPOSAL
3.5.2	School Fund - Paying in books	No	Current year + 6 years	SECURE DISPOSAL
3.5.3	School Fund - Ledger	No	Current year + 6 years	SECURE DISPOSAL
3.5.4	School Fund - Invoices	No	Current year + 6 years	SECURE DISPOSAL
3.5.5	School Fund - Receipts	No	Current year + 6 years	SECURE DISPOSAL
3.5.6	School Fund - Bank statements	No	Current year + 6 years	SECURE DISPOSAL

3.5.7	School Fund – Journey Books	No	Current year + 6 years	SECURE DISPOSAL
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3.6 School Meals				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
3.6.1	Free School Meals Registers	Yes	Current year + 6 years	SECURE DISPOSAL
3.6.2	School Meals Registers	Yes	Current year + 3 years	SECURE DISPOSAL
3.6.3	School Meals Summary Sheets	No	Current year + 3 years	SECURE DISPOSAL

4. Property Management

4.1 Property Management				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
4.1.1	Title deeds of properties belonging to the Trust	No	PERMANENT These should follow the property unless the property has been registered with the Land Registry	
4.1.2	Plans of property belong to the Trust	No	These should be retained whilst the building belongs to the Trust and should be passed onto any new owners if the building is leased or sold.	
4.1.3	Leases of property leased by or to the Trust	No	Expiry of lease + 6 years	SECURE DISPOSAL
4.1.4	Records relating to the letting of Trust premises	No	Current financial year + 6 years	SECURE DISPOSAL

4.2 Maintenance				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
4.2.1	All records relating to the maintenance of the school carried out by contractors	No	Current year + 6 years	SECURE DISPOSAL
4.2.2	All records relating to the maintenance of the school carried out by school employees including maintenance log books	No	Current year + 6 years	SECURE DISPOSAL

5. Pupil Management

5.1 Pupil's Educational Record				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
5.1.1	Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005	Yes	Date of Birth of the pupil + 25 years	SECURE DISPOSAL
5.1.2	Examination Results - Pupil Copies	Yes		
	Public		This information should be added to the pupil file	All uncollected certificates should be returned to the examination board.
	Internal		This information should be added to the pupil file	
5.1.3	Child Protection information held on pupil file		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.	SECURE DISPOSAL
5.1.4	Child protection information held in separate files		DOB of the child + 25 years then reviewed.	SECURE DISPOSAL

5.2 Attendance				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
5.2.1	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.	SECURE DISPOSAL
5.2.2	Correspondence relating to authorized absence		Current academic year + 2 years	SECURE DISPOSAL

5.3 Special Educational Needs				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
5.3.1	Special Educational Needs files, reviews and Individual Education Plans	Yes	Date of Birth of the pupil + 25 years	Review for SECURE DISPOSAL If the decision is made to keep the records longer than the minimum retention period the reasons will be documented.
5.3.2	Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement	Yes	Date of birth of the pupil + 25 years [This would normally be retained on the pupil file]	SECURE DISPOSAL unless the document is subject to a legal hold

6. Curriculum Management

6.1 Statistics and Management Information				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
6.1.1	Curriculum returns	No	Current year + 3 years	SECURE DISPOSAL
6.1.2	Examination Results (Schools Copy)	Yes	Current year + 6 years	SECURE DISPOSAL
	Results		<p>If the SATS results have been recorded on the pupil's educational file from the previous school the data will be retained until the pupil reaches the age of 25 years.</p> <p>The school may wish to keep a composite record of all the whole year SATs results. These could be kept for current year + 6 years to allow suitable comparison</p>	SECURE DISPOSAL
	Examination Papers		The examination papers should be kept until any appeals/validation process is complete	SECURE DISPOSAL
6.1.3	Published Admission Number (PAN) Reports	Yes	Current year + 6 years	SECURE DISPOSAL
6.1.4	Value Added and Contextual Data	Yes	Current year + 6 years	SECURE DISPOSAL
6.1.5	Self-Evaluation Forms	Yes	Current year + 6 years	SECURE DISPOSAL

6.2 Implementation of Curriculum				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
6.2.1	Schemes of Work	No	Current year + 1 year	Review these records at the end of each year and allocate a further retention period or SECURE DISPOSAL
6.2.2	Timetable	No	Current year + 1 year	
6.2.3	Class Record Books	No	Current year + 1 year	

6.2.4	Mark Books	No	Current year + 1 year	
6.2.5	Record homework set	No	Current year + 1 year	
6.2.6	Pupils' Work	No	Where possible pupils' work should be returned to the pupil at the end of the academic year, uncollected work may be retained for up to 1 year.	SECURE DISPOSAL

7. Extra Curriculum Management

7.1 Educational Visits outside the Classroom				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
7.1.1	Records created by trusts to obtain approval to run an Educational Visit outside the Classroom	No	Date of visit + 10 years	SECURE DISPOSAL
7.1.2	Parental consent forms for school trips where there has been no major incident	Yes	Conclusion of the trip	SECURE DISPOSAL
7.1.3	Parental permission slips for school trips – where there has been a major incident	Yes	DOB of the pupil involved in the incident + 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	

7.2 Family Liaison Officers and Home School Liaison Assistants				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
7.2.1	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	
7.2.2	Referral forms	Yes	While the referral is current	

7.2.3	Contact data sheets	Yes	Current year then review, if contact is no longer active then destroy	
7.2.4	Contact database entries	Yes	Current year then review, if contact is no longer active then destroy	
7.2.5	Group Registers	Yes	Current year + 2 years	

8. Central Government and Local Authority

8.1 Local Authority				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
8.1.1	Attendance Returns	Yes	Current year + 1 year	SECURE DISPOSAL
8.1.2	School Census Returns	No	Current year + 5 years	SECURE DISPOSAL
8.1.3	Circulars and other information sent from the Local Authority	No	Operational use	SECURE DISPOSAL

8.2 Central Government				
Ref	Basic file description	Data Protection Issues	Retention Period [Operational]	Action at the end of the administrative life of the record
8.2.1	OFSTED reports and papers	No	Life of the report then review	SECURE DISPOSAL
8.2.2	Returns made to central government	No	Current year + 6 years	SECURE DISPOSAL
8.2.3	Circulars and other information sent from central government	No	Operational use	SECURE DISPOSAL