

Records Management Policy

The Trust and academies within the Trust 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 institution. Records provide evidence for protecting the legal rights and interests of the academy, and provide evidence for demonstrating performance and accountability. 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

1.1 This policy applies to all records created, received or maintained by staff of the academy 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 academy 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 academy's records will be selected for permanent preservation as part of the institution's archives and for historical research. This should be done in liaison with the County Archives Service.

2. Responsibilities

2.1 The academy 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 Chief Executive Officer for the Trust and along with the Head teacher / Principal for each academy within the Trust.

2.2 The person responsible for records management in the academy will give guidance for 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.

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 Trust's retention schedule.

3. Relationship with existing policies

This policy has been drawn up within the context of:

- Data Protection policy
- Personal Information Policy
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the trust.

The retention schedule sets out the length of time that records should be kept. The records management process at the Wensum Trust and academies within the trust works on the basis of short term (1 year), medium term (3 years) and long term (6+ years) retention.

Retention Schedule

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1. Management of the Academy

1.1 Governing Body				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
1.1.1	Agendas for Governing Body / Trustee meetings	One copy should be retained with the master set of minutes. All other copies should be disposed of	Secure disposal (<i>e.g. confidential waste bins or shredding</i>)	
1.1.2	Minutes of Governing Body / Trustee meetings			
	Principal Set (signed)	Permanent	If the academy is unable to store these then they should be offered to the County Archives Service	
	Inspection Copies	Date of meeting + 3 years	If the minutes contain sensitive, personal information then they must be shredded	
1.1.3	Reports presented to the Governing Body / Trustees	Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports then they should be kept permanently	Secure disposal or retain with the signed set of minutes	
1.1.4	Meeting papers relating to the annual parents' meeting held under section 33 of the Education Act 2002	Date of the meeting + minimum of 6 years	Secure disposal	Education Act 2002, Section 33
1.1.5	Instruments of Government including Articles of Association	Permanent	These should be retained in the academy whilst the academy is open and then offered to	

			County Archives Service when the academy closes.	
1.1.6	Trusts and Endowments managed by the Governing Body	Permanent		
1.1.7	Action plans created and administered by the Governing Body	Life of action plan + 3 years	Secure disposal	
1.1.8	Policy documents created and administered by the Governing Body	Life of the policy + 3 years	Secure disposal	
1.1.9	Records relating to complaints dealt with by the Governing Body	Date of 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	Date of report + 10 years	Secure disposal	Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171
1.1.11	Proposals concerning the change of status of a maintained academy including Specialist Status Academy and Academies	Date proposal accepted or declined + 3 years	Secure disposal	

1.2 Head Teacher and Senior Leadership Team				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
1.2.1	Log books of activity in the academy maintained by the Head Teacher	Date of last entry in the book + 6 years	Offered to County Archives Service if they hold historical value	
1.2.2	Minutes of Senior Leadership Team meetings and the meetings of other internal administrative bodies	Date of meeting + 3 years	Secure disposal	
1.2.3	Reports created by the Head Teacher or the Senior Leadership Team	Date of the report + 3 years	Secure disposal	
1.2.4	Records created by Head Teachers, Senior Leadership Team, Heads of Year / Subject and other members of staff with administrative responsibility	Current academic year + 3 years	Secure disposal	
1.2.5	Correspondence created by Head Teachers, Senior Leadership Team, Heads of Year / Subject and other members of staff with administrative responsibility	Date of correspondence + 3 years	Secure disposal	
1.2.6	Professional Development Plans	Life of plan + 6 years	Secure disposal	
1.2.7	Academy Improvement and Development Plans	Life of plan + 6 years	Secure disposal	
1.2.8	Academy Self Evaluation Plans	Life of plan + 6 years	Secure disposal	

1.3 Admissions Process				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
1.3.1	All records relating to the creation and implementation of the Academy Admissions' Policy	Life of the policy + 3 years	Secure disposal	Academy Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, academy adjudicators and admission appeals panels, December 2014
1.3.2	Admissions – if the admission is successful	Date of admission + 1 year	Secure disposal	Academy Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, academy adjudicators and admission appeals panels, December 2014
1.3.3	Admissions – if the appeal is unsuccessful	Resolution of case + 1 year	Secure disposal	Academy Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, academy adjudicators and admission appeals panels, December 2014
1.3.4	Register of Admissions	Date of entry + 3 years	Secure disposal	Academy Attendance: Department advice for maintained schools, academies, independent schools and local authorities, October 2014
1.3.5	Admissions – Secondary Schools – Casual	Current year + 1 year	Secure disposal	

1.3.6	Proof of address supplied by parents as part of the admissions process	Current year + 1 year	Secure disposal	Academy Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, academy adjudicators and admission appeals panels, December 2014
1.3.7	Supplementary information form including additional information such as religion, medical etc.	Successful admissions – added to the pupil file Unsuccessful admissions – until the appeals process is completed	Secure disposal	

1.4 Operational Administration				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
1.4.1	General file series	Current year + 3 years	Secure disposal	
1.4.2	Records relating to the creation and publication of the academy brochure of prospectus	Current year + 3 years	Standard disposal	
1.4.3	Records relating to the creation and distribution of circulars to staff, parents or pupils	Current year + 1 year	Standard disposal	
1.4.4	Newsletters and other items with a short operational use	Current year + 1 year	Standard disposal	
1.4.5	Visitors Books and Signing in sheets	Current year + 3 years	Secure disposal	
1.4.6	Records relating to the creation and management of Parent Teacher Associations	Current year + 3 years	Secure disposal	

2. Human Resources

2.1 Recruitment				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
2.1.1	All records leading up to the appointment of a new Head Teacher	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	Date of appointment of successful candidate + 1 year	Secure disposal	
2.1.3	All records leading up to the appointment of a new member of staff – successful candidates	Relevant information added to the staff personnel file Other information – 1 year	Secure disposal	
2.1.4	Pre-employment vetting information – DBS checks	Do not keep copies of DBS checks		DBS Update Service Employer Guide May 2018: Keeping children safe in education. September 2018 (statutory guidance from Department of Education) Sections 112-117
2.1.5	Proof of Identity collected as part of the process of checking 'portable' enhanced DBS	Do not keep copies – a note of what was seen and what has been checked should be kept.		
2.1.6	Pre-employment vetting information – Evidence proving the right to work in the UK	Added to staff personnel file		An employer's guide to right to work checks (Home Office, May 2015)

2.2 Operational Staff Management				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
2.2.1	Staff Personnel File	Termination of Employment + 6 years	Secure disposal	Limitation Act 1980 (Section 2)
2.2.2	Timesheets	Current year + 6 years	Secure disposal	
2.2.3	Annual appraisal / assessment records	Current year + 3 years	Secure disposal	

2.3 Management of Disciplinary and Grievance Processes				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
2.3.1	Allegation of 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, whichever is longer Allegations found to be malicious should be removed from the personnel file	Secure disposal	Keeping children safe in education Statutory guidance for schools and colleges, September 2018. Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children, July 2018.
2.3.2	Disciplinary Proceedings			
	Oral warning	Date of warning + 1 year	Secure disposal <i>If placed on personnel file they must be removed from the file and disposed of</i>	
	Written warning – level 1	Date of warning + 1 year	Secure disposal <i>If placed on personnel file they must be removed from the file and disposed of</i>	

	Written warning – level2	Date of warning + 1 year	Secure disposal <i>If placed on personnel file they must be removed from the file and disposed of</i>	
	Final warning	Date of warning + 1 year	Secure disposal <i>If placed on personnel file they must be removed from the file and disposed of</i>	
	Case not found	Conclusion of case <i>If child protection relating then see section 2.3.1</i>	Secure disposal	

2.4 Health and Safety				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
2.4.1	Health and Safety Policy Statements	Life of policy + 3 years	Secure disposal	
2.4.2	Health and Safety Risk Assessments	Life of risk assessment + 3 years	Secure disposal	
2.4.3	Records relating to accident / injury at work	Date of incident + 12 years <i>Further retention period may be required for serious accidents</i>	Secure disposal	
2.4.4	Accident Reporting	Adults: Date of incident + 6 years Children: DOB of the child + 25 years	Secure disposal	Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980.
2.4.5	Control of Substances Hazardous to Health (COSHH)	Current year + 40 years	Secure disposal	Control of Substances Hazardous to Health

				Regulations 2002. SI 2002 No. 2677 Regulation 11; records kept under the 1994 and 1999 Regulations to be kept as if the 2002 Regulations had not been made. Regulation 18(2)
2.4.6	Process of monitoring areas where employees and persons are likely to have become in contact with asbestos	Last action + 40 years	Secure disposal	Control of Asbestos at Work Regulations 2012 SI 1012 No. 632 Regulation 19
2.4.7	Process of monitoring of areas where employees and persons likely to have become in contact with radiation	Last action + 50 years	Secure disposal	
2.4.8	Fire Precautions log books	Current year + 6 years	Secure disposal	

2.5 Payroll and Pensions				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
2.5.1	Maternity pay records	Current year + 3 years	Secure disposal	Security Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)
2.5.2	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Current year + 6 years		Information Powers Regulation 1995

3. Financial Management of the Academy

3.1 Risk Management and Insurance				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
3.1.1	Employer's Liability Insurance Certificate	Closure of the academy + 40 years	Secure disposal	

3.2 Asset Management				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
3.2.1	Inventories of furniture and equipment	Current year + 6 years	Secure disposal	
3.2.2	Burglary, theft and vandalism report forms	Current year + 6 years	Secure disposal	

3.3 Accounts and Statements including Budget Management				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
3.3.1	Annual Accounts	Current year + 6 years	Standard disposal	
3.3.2	Loans and grants managed by the academy	Date of last payment of the loan + 12 years	Secure disposal	
3.3.3	Student Grant applications	Current year + 3 years	Secure disposal	
3.3.4	All records relating to the creation and management of budgets including the Annual	Life of budget + 3 years	Secure disposal	

	Budget statement and background papers			
3.3.5	Invoices, receipts, order books and requisitions, delivery notices	Current year + 6 years	Secure disposal	
3.3.6	Records relating to the collection and banking of monies	Current year + 6 years	Secure disposal	
3.3.7	Records relating to the identification and collection of debt	Current year + 6 years	Secure disposal	

3.4 Contract Management				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
3.4.1	All records relating to the management of contracts under seal	Last payment on the contract + 12 years	Secure disposal	Limitation Act 1980
3.4.2	All records relating to the management of contracts under signature	Last payment on the contract + 6 years	Secure disposal	Limitation Act 1980
3.4.3	Records relating to the monitoring of contracts	Current year + 3 years	Secure disposal	

3.5 Academy Fund				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
3.5.1	Academy Fund – cheque books	Current year + 6 years	Secure disposal	
3.5.2	Academy Fund – Paying in books	Current year + 6 years	Secure disposal	
3.5.3	Academy Fund - Ledger	Current year + 6 years	Secure disposal	

3.5.4	Academy Fund – Invoices	Current year + 6 years	Secure disposal	
3.5.5	Academy Fund – Receipts	Current year + 6 years	Secure disposal	
3.5.6	Academy Fund – Bank statements	Current year + 6 years	Secure disposal	
3.5.7	Academy Fund – Journey Books	Current year + 6 years	Secure disposal	

3.6 Academy Meals Management				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
3.6.1	Free Academy Meals Registers	Current year + 6 years	Secure disposal	
3.6.2	Academy Meal Registers	Current year + 3 years	Secure disposal	
3.6.3	Academy Meal Summary Sheets	Current year + 3 years	Secure disposal	

4. Property Management

4.1 Property Management				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
4.1.1	Title deeds of properties belonging to the trust	Permanent <i>These should follow the property unless the property has been registered with the Land Registry</i>		
4.1.2	Plans of property belonging to the trust	<i>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.</i>		
4.1.3	Leases of property leased by or to the trust	Expiry of lease + 6 years	Secure disposal	
4.1.4	Records relating to the letting of academy premises	Current financial year + 6 years	Secure disposal	

4.2 Maintenance				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
4.2.1	All records relating to the maintenance of the academy carried out by contractors	Current year + 6 years	Secure disposal	
4.2.2	All records relating to the maintenance of the academy carried out by trust employees including log books	Current year + 6 years	Secure disposal	

5. Pupil Management

5.1 Pupil's Educational Record				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
5.1.1	Pupil's Educational Record required by the Education (Pupil Information) (England) Regulations 2005	Primary: retain whilst the child remains at the primary school Secondary: DOB of the pupil + 25 years	Primary: the file should follow the pupil when they leave the school. This will include to another primary school, a secondary school, a pupil referral unit. If a pupil dies whilst at primary school the file should be transferred to the Local Authority to be retained for the statutory retention period. If a pupil transfers to an independent school, is home schooled or leaves the country the file should be transferred to the Local Authority to be retained for the statutory period. Secondary: Secure disposal	The Education (Pupil Information) (England) Regulations 2005 Limitation Act 1980 (Section 2)
5.1.2	Examination Results – Pupil Copies	Added to the pupil file (both internal and public)	All uncollected certificates should be returned to the examination board	
5.1.3	Child Protection information held on pupil file	Added to pupil file (in a sealed envelope)	Secure disposal	Keeping children safe in education Statutory guidance

				for schools and colleges, September 2018. Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children, July 2018.
5.1.4	Child Protection information held in separate files	DOB of child + 25 years <i>The principal copy of this information will be found on the Local Authority Social Services record</i>	Secure disposal	Keeping children safe in education Statutory guidance for schools and colleges, September 2018. Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children, July 2018.

5.2 Attendance				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
5.2.1	Attendance Registers	Date of entry + 3 years	Secure disposal	School attendance: Department advice for maintained schools, academies, independent schools and local authorities, October 2014
5.2.2	Correspondence relating to authorised absence	Current academic year + 3 years	Secure disposal	Education Act 1996 Section 7

5.3 Special Educational Needs				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
5.3.1	Special Educational Needs files, reviews and Individual Education Plans	DOB of child + 25 years	Secure disposal	Limitation Act 1980 (Section 2)
5.3.2	Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement	DOB of child + 25 years (as part of pupil file)	Secure disposal – unless the document is subject to a legal hold	Education Act 1996 Special Educational Needs and Disability Act 2001 Section 1
5.3.3	Advice and information provided to parents regarding educational needs	DOB of child + 25 years (as part of pupil file)	Secure disposal – unless the document is subject to a legal hold	Special Educational Needs and Disability Act 2001 Section 2
5.3.4	Accessibility Strategy	DOB of child + 25 years (as part of pupil file)	Secure disposal – unless the document is subject to a legal hold	Special Educational Needs and Disability Act 2001 Section 14

6. Curriculum Management

6.1 Statistics and Management Information				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
6.1.1	Curriculum returns	Current year + 3 years	Secure disposal	
6.1.2	Examination Results – Schools copy	Current year + 6 years	Secure disposal	
	SATS records – results	Individual pupils: added to pupil file Whole cohorts: Current year + 6 years	Secure disposal	
	SATS records – examination papers	Until the appeals / validation process is complete	Secure disposal	
6.1.3	Published Admission Number (PAN) Reports	Current year + 6 years	Secure disposal	
6.1.4	Value Added and Contextual Data	Current year + 6 years	Secure disposal	
6.1.5	Self-Evaluation Forms	Current year + 6 years	Secure disposal	

6.2 Implementation of Curriculum				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
6.2.1	Schemes of Work	Current year + 1 year	Secure disposal	
6.2.2	Timetable	Current year + 1 year	Secure disposal	
6.2.3	Class Record Books	Current year + 1 year	Secure disposal	
6.2.4	Mark Books	Current year + 1 year	Secure disposal	
6.2.5	Record of homework set	Current year + 1 year	Secure disposal	
6.2.6	Pupil's Work	Returned to the pupil at the end of the year or current year + 1 year if not possible	Secure disposal	

7. Extra-Curricular Activities

7.1 Educational Visits outside the Classroom				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
7.1.1	Records created by the academy to obtain approval to run an Educational Visit outside of the Classroom	Primary: Date of visit + 14 years Secondary: Date of visit + 14 years	Secure disposal	Outdoor Education Advisers' Panel National Guidance, Section 3 <i>Legal Frameworks and Systems</i> and Section 4 <i>Good Practice</i>
7.1.2	Parental consent forms for academy trips where there has been no major incident	Conclusion of the trip	Secure disposal	
7.1.3	Parental consent forms for academy trips where there has been a major incident	DOB of the pupil + 25 years <i>This relates to the DOB of the pupil involved in the incident. Consent forms for all other pupils should also be retained</i>	Secure disposal	Limitation Act 1980 (Section 2)

7.2 Walking Bus				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
7.2.1	Walking Bus Registers	Date of the register + 3 years	Secure disposal	

7.3 Family Liaison Officers and Home School Liaison Assistants				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
7.3.1	Day Books	Current year + 3 years	Secure disposal	
7.3.2	Reports for outside agencies – where the report has been included on the case file created by the outside agency	Whilst the child is attending the school	Secure disposal	
7.3.3	Referral forms	While the referral is current	Secure disposal	
7.3.4	Contact data sheets	While the contact is active	Secure disposal	
7.3.5	Contact database entries	While the contact is active	Secure disposal	
7.3.6	Group Registers	Current year + 3 years	Secure disposal	

8. Central Government and Local Authority

8.1 Local Authority				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
8.1.1	Secondary Transfer Sheets (Primary)	Current year + 1 year	Secure disposal	
8.1.2	Attendance Returns	Current year + 1 year	Secure disposal	
8.1.3	School Census Returns	Current year + 6 years	Secure disposal	
8.1.4	Circulars and other information sent from the Local Authority	Until end of operational use	Secure disposal	

8.2 Central Government				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
8.2.1	OFSTED reports and papers	Life of the report	Secure disposal	
8.2.2	Returns made to central government	Current year + 6 years	Secure disposal	
8.2.3	School Census Returns	Current year + 6 years	Secure disposal	
8.2.4	Circulars and other information sent from the central government	Until end of operational use	Secure disposal	

9. Lettings Administration

9.1 Lettings Administration				
	Basic file description	Retention Period	Action at the end of the administrative life of the record	Statutory Provisions
9.1.1	Email / other correspondence from hirers	Duration of hire	Secure disposal	
9.1.2	Email / other correspondence from public (non-hirer)	Date of correspondence + 1 year	Secure disposal	
9.1.3	Email / other correspondence from staff	Date of correspondence + 3 years	Secure disposal	
9.1.4	Hire forms / documentation from hirer	Duration of hire	Secure disposal	
9.1.5	Invoices – hirers	Current year + 6 years	Secure disposal	
9.1.6	Invoice reminders – hirers	Current year + 6 years	Secure disposal	