

**Madley Brook School**



**Records Management Policy**  
**May 2018**

## **Records management policy**

The School 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 school, 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:

1. Scope
2. Responsibilities
3. Relationships with other policies

Appendix Retention Schedule

### **1 Scope of the policy**

- 1.1 This policy applies to all records created, received or maintained by staff of the 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 school and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created or received, and then stored, in hard copy or electronically.
- 1.3 A small percentage of the school's records may be selected for permanent preservation as part of the institution's archives and for historical research.

### **2 Responsibilities**

- 2.1 The 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 Headteacher.
- 2.2 The Business Manager, who has day to day responsibility for records management in the school, will give guidance about good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. S/he 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 school's records management guidelines.

### **3 Relationship with existing policies**

This policy should be read in association with the following policies:

- Freedom of Information
- Data Protection

and with other legislation or regulations (including audit and equal opportunities and ethics) affecting the school

## **Appendix: Retention Schedule**

This schedule contains retention periods for the different record series created and maintained by the School in the course of its business. The schedule refers to all information regardless of the medium in which it is stored. Some retention periods are governed by statute. Others follow best practice guidance. Every effort has been made to ensure that these retention periods are compliant with the requirements of the [General Data Protection Regulation \(GDPR\)](#) and the expected provisions of the Data Protection Act 2018 (DPA 2018) as set out in the [Data Protection Bill](#), and the Freedom of Information Act 2000.

## Retention periods for documents with data protection issues and/or with statutory provisions

### Management of the school

#### Governing Body

Description	Retention period	Action at end	Role responsible	Location of records
Records relating to complaints dealt with by the Governing Body	Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes	Secure disposal	Clerk to the Governors	

#### Headteacher, Leadership Team, Middle Leadership

Description	Retention period	Action at end	Role responsible	Location of records
Minutes of team meetings (with reference to individual pupils or staff members)	Date of the meeting + 3 years then review	Secure disposal		
Reports (with reference to individual pupils or staff members)	Date of the meeting + 3 years then review	Secure disposal		
Records (with reference to individual pupils or staff members)	Current academic year + 6 years then review	Secure disposal		
Correspondence (with reference to individual pupils or staff members)	Date of correspondence + 3 years then review	Secure disposal		

## Admissions Process

<b>Description</b>	<b>Retention period</b>	<b>Action at end</b>	<b>Role responsible</b>	<b>Location of records</b>
School Admissions Policy	Life of the policy + 3 years then review	Secure disposal		
Admissions – if the admission is successful	Date of admission + 1 year	Secure disposal	Local Authority Admissions Team	
Admissions – if the appeal is unsuccessful	Resolution of case + 1 year	Secure disposal	Local Authority Admissions Team	
Register of admissions	Date of entry + 3 years	Review <i>Schools may consider keeping the admissions register permanently to enable them to confirm dates pupils attended the school</i>		

## Operational Administration

<b>Description</b>	<b>Retention period</b>	<b>Action at end</b>	<b>Role responsible</b>	<b>Location of records</b>
Visitors' Books and Signing in Sheets	Current year + 6 years then review	Secure disposal		

## Human Resources

### Recruitment

Description	Retention period	Action at end	Role responsible	Location of records
Records relating to appointment of a new Headteacher	Date of appointment + 6 years	Secure disposal		
Records relating to appointment of a new member of staff – unsuccessful candidates	Date of appointment of successful candidate + 6 months	Secure disposal		
Records relating to appointment of a new member of staff – successful candidate	Add relevant information to the staff personal file; Otherwise Date of appointment + 6 months	Secure disposal		
Copies of DBS certificates	Not required; copy must NOT be retained for more than 6 months	-		
Proofs of identity	Copy added to the staff personal file	-		
Evidence of right to work in the UK	Copy added to the staff personal file; Home Office requires Date of termination of employment + at least 2 years	-		

### Operational Staff Management

Description	Retention period	Action at end	Role responsible	Location of records
Staff personal file	Termination of employment + 6 years	Secure disposal		
Timesheets	Current year + 6 years	Secure disposal		
Annual appraisal record	Current year + 5 years	Secure disposal		

## Management of Disciplinary and Grievance Processes

Description	Retention period	Action at end	Role responsible	Location of records
Allegation of a child protection nature against a member of staff, including where the allegation is unfounded	Whichever is the longer of: Person's normal retirement age OR Date of allegation + 10 years Then review  <i>Note allegations that are found to be malicious should be removed from files</i>	Secure disposal <i>These records must be shredded</i>		
Disciplinary proceedings: Oral warning  Written warning – level 1 Written warning – level 2 Final warning  Case not found	Date of warning + 6 months Date of warning + 6 months Date of warning + 12 months Date of warning + 18 months  Conclusion of case (unless CP related)	Secure disposal		

## Health and safety

Description	Retention period	Action at end	Role responsible	Location of records
Records relating to accident/injury at work	Date of incident + 12 years <i>In case of serious accidents a further retention period will need to be applied</i>	Secure disposal		
Accident reporting – adults	Date of incident + 6 years	Secure disposal		
Accident reporting – children		Secure disposal		
Control of Substances Hazardous to Health (COSHH)	Current year + 40 years	Secure disposal		
Monitoring of areas where employees and persons are likely to have come into contact with asbestos	Last action + 40 years	Secure disposal		

## Payroll and Pensions

<b>Description</b>	<b>Retention period</b>	<b>Action at end</b>	<b>Role responsible</b>	<b>Location of records</b>
Maternity pay records	Current year + 3 years	Secure disposal		
Records held under Retirements Benefits Schemes (Information Powers) Regulations 1995	Current year + 6 years	Secure disposal		

## Financial Management of the School

### Contract management

<b>Description</b>	<b>Retention period</b>	<b>Action at end</b>	<b>Role responsible</b>	<b>Location of records</b>
Records relating to management of contracts under seal	Last payment on contract + 12 years	Secure disposal		
Records relating to management of contracts under signature	Last payment on contract + 6 years	Secure disposal		



## Pupil Management

### Pupil's Educational Record

Description	Retention period	Action at end	Role responsible	Location of records
Pupil's Educational Record	DOB of pupil + 25 years	Secure disposal <i>The file should follow the pupil if s/he transfers to another secondary school</i>		
Examination results – pupil copies (public and internal)	Add to pupil file	-		
Child protection information (held in separate files)	DOB of pupil + 25 years	Secure disposal <i>These records must be shredded</i> <i>The file should follow the pupil when s/he transfers to another education institution</i>		

### Attendance

Description	Retention period	Action at end	Role responsible	Location of records
Attendance registers	Date entry made + 3 years	Secure disposal		
Correspondence relating to authorized absence	Current academic year + 2 years	Secure disposal		

### Special Educational Needs

Description	Retention period	Action at end	Role responsible	Location of records
Special educational needs files, reviews and Individual Education Plan	DOB of pupil + 25 years <i>Note this retention period is the minimum retention period that any pupil file should be kept</i>	Secure disposal		
Statement of SEN/ EHCP and any amendments	DOB of pupil + 25 years	Secure disposal		
Advice and information provided to parents regarding educational needs	DOB of pupil + 25 years	Secure disposal		

## Curriculum Management

### Statistics and Management Information

Description	Retention period	Action at end	Role responsible	Location of records
Examination results (Schools' copy)	Current year + 6 years	Secure disposal		

## Extra Curricular Activities

### Educational Visits Outside the Classroom

Description	Retention period	Action at end	Role responsible	Location of records
Records created to obtain approval to run educational visit outside the classroom	Date of visit + 10 years	Secure disposal		
Parental consent forms for school trips where there has been no major incident	Conclusions of the trip	Secure disposal		
Parental consent forms for school trips where there has been a major incident	DOB of the pupil involved in the incident + 25 years	Secure disposal		