



# **Tuition, Medical and Behaviour Support Service**

## **Records Management and Service Retention Policy**

<b>Adopted:</b>	October 2019
<b>Reviewed:</b>	September 2021
<b>Next Review:</b>	September 2022
<b>Governing Committee:</b>	8 October 2019
<b>Responsibility:</b>	Andre Savchenko

The Service 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 Service. 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:

- 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 Service in the course of varying out its functions.
- 1.2 Records are defined as all those documents which facilitate the business carried out by the Service 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 school's records will be selected for permanent preservation as part of the County's archives and for historical research. This should be done in liaison with the County Archives Service.

### **2. Responsibilities**

- 2.1 The Service has a corporate responsibility to maintain its records keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Head of Service.
- 2.2 The person responsible for records management in the 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 in 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 school's records management guidelines.

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

This policy has been drawn up within the context of:

- Freedom of Information Policy (Shropshire Council)
- General Data Protection Regulations Policy
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the Service.

<b>Governors</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Agendas for Governing Body meetings	There may be issues if the meeting is dealing with confidential issues in relation to staff	Retain with Principal Set of Minutes	Permanent	Offer to archivist
Principal Set Minutes that are signed	There may be issues if the meeting is dealing with confidential issues in relation to staff	Retain in school for 6 years after closure and then transfer to archives	Permanent	Offer to archivist
Reports Presented to the Governing Body	There may be issues if the meeting is dealing with confidential issues in relation to staff	Retain in school for 6 years from date of report. However if the minutes refer directly to individual reports than the report should be kept permanently	6 Years / Permanent	Secure Disposal or retain with the signed set of minutes
Instruments of Government including Articles of Association	No	These should be retained in school whilst the school is open and then archived when the school closes	Permanent	Offer to archivist
Action Plans created and administered by the Governing body	No		Life of the Action Plan + 3years	Secure Disposal
Policy documents created and administered by the Governing body	No		Life of the Policy + 3 yes	Secure Disposal

Records relating to complaints dealt with by the Governing body	No		Date of the resolution of the complaint and a minimum of 6 years then review for further retention in case of contentious disputes	Secure Disposal
Annual Reports created under the requirements of the Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002`	No		Date of the report + 10 years	Secure Disposal
Proposals concerning the change of status of a maintained school	No		Date proposed accepted or declined + 3 years	Secure Disposal
Governor Contracts - Agreed contracts for School Governors including business interests forms	No		6 years	Secure Disposal

<b>Head of Service and Senior Leadership Team</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Minutes of Senior Leadership Team meetings and the meetings of other administrative bodies	There maybe data protection issues if individual pupils or members of staff are referred to		Date of meeting + 3 years then review	Secure Disposal
Reports created by the Head Teacher or the Management Team	There maybe data protection issues if individual pupils or members of staff are referred to		Date of the report + a minimum of 3 years then review	Secure Disposal
Records created by Head of Service, Deputy Head of Service, Assistant Head of Service and other members of staff with administrative responsibility	There maybe data protection issues if individual pupils or members of staff are referred to		Current academic year + 6 years then review	Secure Disposal
Correspondence created by Head of Service, Deputy Head of Service, Assistant Head of Service and other members of staff with administrative responsibility	There maybe data protection issues if individual pupils or members of staff are referred to		Date of correspondence + 3 years then review	Secure Disposal
Professional Development Plans	Yes		Life of the Plan + 6 years	Secure Disposal
Service Development Plan and Service Evaluation Plan	No		Life of the Plan + 6 years	Secure Disposal
School Complaint Files	Yes		6 years from date of resolution	Secure Disposal

<b>Admissions Process</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
All records relating to the creation and implementation of the Service Admissions' Policy	No		Life of the policy + 3 years then review	Secure Disposal
Supplementary information form including additional information such as religion, medical conditions etc:				
For successful admissions	Yes		The information should be added to the pupil file	See Pupil File
For unsuccessful admissions	Yes		Current academic year	Secure Disposal
<b>Operational Administration</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
General File Series	No		Current year + 5 years then review	Secure Disposal
Records relating to the creation and distribution of circulars to staff, parents or pupils	No		Current year + 1 years	Standard Disposal
Records relating to the creation and publication of the Service brochure or prospectus	No		Current year + 3 years	Standard Disposal
Newsletters and other items with a short operational use	No		Current year + 1 years	Standard Disposal
Visitors Books and Signing in Sheets	Yes		Current year + 6 years then review	Secure Disposal

<b>Human Resources</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
All records leading up to the appointment of a new head teacher	Yes		Date of appointment + 6 years	Secure Disposal
All records leading up to the appointment of a new member of staff - unsuccessful candidates	Yes		Date of appointment of success candidate + 6 months	Secure Disposal
All records leading up to the appointment of a new member of staff - successful candidate	Yes		All the information to be added to staff personal file	Secure Disposal
Pre-employment vetting checks information - DBS checks	No		Copies do not have to be kept of DBS certificates. If copies are kept they must not be retain for more than 6 months	Secure Disposal
Proof of identify 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 UK	Yes		Where possible these documents should be added to the staff personal file, but if they are kept separately then the Home Office requires that these documents are kept for termination of employment plus not less than 2 years	Secure Disposal
Staff Personal File	Yes		Termination of Employment plus 14 years	Secure Disposal
Maternity records	Yes		3 years	Secure Disposal
Timesheets	Yes		Current year + 6 years	Secure Disposal
Annual Appraisal / Assessment records	Yes		Current year + 5 years	Secure Disposal



<b>Management of Disciplinary and Grievance Processes</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Allegation of a child protection nature against a member of staff including where the allegation is unfounded	Yes		Until the persons normal retirement age or 10 years from the date of the allegation whichever is the longer than review - allegations that are found to be malicious should be removed from personal files. If found they are to be kept on the file and a copy provided to the person concerned	Secure Disposal
Disciplinary Proceeding:				
Oral Warning	Yes		Date of warning + 6 months	Secure Disposal
Written Warning 1	Yes		Date of warning + 6 months	Secure Disposal
Written Warning 2	Yes		Date or warning + 12 months	Secure Disposal
Final warning	Yes		Date of warning + 18 months	Secure Disposal

Case not found	Yes		If the incident is child protection related then see above - otherwise dispose of at the conclusion of case	Secure Disposal
Establishment lists	Yes		1 month	Secure Disposal

<b>Health and Safety</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Health and Safety Policy Statements	No		Life of Policy + 3 years	Secure Disposal
Health and Safety Risk Assessments	No		Life of Risk Assessment + 3 years	Secure Disposal
Records relating to accident / injury at work	Yes		Date of incident + 12 years - in the case of serious accidents further retention period will need to be applied	Secure Disposal
<b>Accident Reporting:</b>				
Adults	Yes		Date of the incident + 6 years	Secure Disposal
Children	Yes		DOB of the child + 25 years	Secure Disposal
Control of Substances Hazardous to Health (COSHH)	No		Current years + 40 years	Secure Disposal
Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	No		Current years + 40 years	Secure Disposal

Process of monitoring areas where employees and persons are likely to have in contact with radiation	No		Current years + 50 years	Secure Disposal
School Safety Audit Checks	No		Current year + 2 years	Secure Disposal
School Risk Assessments	No		Current year + 3 years	Secure Disposal
School Accessibility Plans	No		Current years + 6 years	Secure Disposal
Fire Precautions log book	No		Current year + 6 years	Secure Disposal
<b>Risk Management and Insurance</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Employers Liability Insurance Certificate	No		Closure of School + 40 years	Secure Disposal
<b>Asset Management</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Inventory of furniture and equipment	No		Current years + 6 years	Secure Disposal
Burglary, theft and vandalism report forms	No		Current years + 6 years	Secure Disposal

<b>Accounts and Statements including Budget Management</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Annual Accounts	No		Current year + 6 years	Secure Disposal
Loans and grants managed by the school	No		Date of last payment on the loan + 12 years then review	Secure Disposal
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
Invoices, receipts, order books and requisitions, delivery notices	No		Current financial year + 6 year	Secure Disposal
Records relating to the collection and banking of monies	No		Current financial year + 6 year	Secure Disposal
Records relating to the identification and collection of debts	No		Current financial year + 6 year	Secure Disposal

<b>Contract Management</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
All records relating to the management of contracts under seal	No		Last payment on the contract + 12 years	Secure disposal
All records relating to the management of contracts under signature	No		Last payment on the contract + 6 years	Secure disposal
Records relating to the monitoring of contracts	No		Current year + 2 years	Secure disposal
Service Level Agreements for Schools	No		Current year + 2 years	Secure disposal

<b>School Fund</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
School Fund - Cheque Books	No		Current years + 6 years	Secure disposal
School Fund - paying in books	No		Current years + 6 years	Secure disposal
School Fund - Ledger	No		Current years + 6 years	Secure disposal
School Fund - invoices	No		Current years + 6 years	Secure disposal
School Fund - Receipts	No		Current years + 6 years	Secure disposal
School Fund - Bank Statements	No		Current years + 6 years	Secure disposal
School Fund - Journey Books	No		Current years + 6 years	Secure disposal
<b>School Meals Management</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Free School Meals Registers	Yes		Current year + 6 years	Secure disposal

Pupils Educational Record				
Basic file description	Data Protection Issues	Notes	Retention Period	Disposal Action
Pupil Files	Yes	Pupils Education Record required by The Education (Pupil Information) (England) Regulations 2005	Date of birth of the pupil + 25 years	Secure disposal
Examination Results:				
Public	Yes		Added to Pupil File	All uncollected certificates should be returned to the examination boards
Internal	Yes		Added to Pupil File	
Work Experience Placements	Yes		Added to Pupil File	
Deceased pupil files	Yes		7 years	Secure disposal
<b>Child Protection</b>				
Basic file description	Data Protection Issues	Notes	Retention Period	Disposal Action
Child Protection Information held in Separate files	Yes		DOB of the child + 25 years then review.	Secure Disposal



<b>Attendance</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Attendance Registers	Yes		Every entry must be preserved for a period of three years after the date on which the entry was made	Secure disposal
Correspondence relating to authorised absence	Yes		Current academic year + 2 years	Secure disposal
<b>Special Education Needs</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
SEN Files, reviews and IEPs	Yes		Date of birth of the pupil + 25 years	Secure disposal
Statement/EHCP	Yes		Date of birth of the pupil + 25 years	Secure disposal
Advice and information provided to parents regarding educational needs	Yes		Date of birth of the pupil + 25 years	Secure disposal
Accessibility Strategy	No		Date of birth of the pupil + 25 years	Secure disposal

<b>Statistics and Management Information</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Curriculum returns	No		Current year + 3 years	Secure disposal
Examination results	Yes		Current year + 6 years	Secure disposal
SATS records:				
Results	Yes		Should be recorded on the pupils educational files and will therefore be retained for 25 years. If a composite record if the whole years SATs results - current year + 6 years	Secure disposal
Examination Papers	Yes		Until any appeals / validation process is complete	Secure Disposal
Self Evaluation Forms	Yes		Current Year + 6 years	Secure disposal

<b>Implementation of the Curriculum</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Schemes of work	No		Current year + 1 year then Review	Secure Disposal
Timetable	No		Current year + 1 year then Review	Secure Disposal
Class Record Books	No		Current year + 1 year then Review	Secure Disposal
Mark Books	No		Current year + 1 year then Review	Secure Disposal
Record of homework set	No		Current year + 1 year then Review	Secure Disposal
Pupils Work	No		Where possible the work should be returned to the pupil at the end of the academic year if this is not possible the schools policy + 1 year	Secure Disposal

<b>Educational Visits outside the Classroom</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Records created by schools to obtain approval to run an Educational visit outside the classroom - Primary Schools	No		Date of Visit + 14 years	Secure Disposal
Records created by schools to obtain approval to run an Educational visit outside the classroom - Secondary Schools	Yes		Date of Visit + 10 years	Secure Disposal
Parental consent forms for school trips where there has been no major incident	Yes		Conclusion of trip	Secure Disposal
Parental consent forms for school trips where there has been a major incident	Yes		DOB of the pupil involved in the incident + 25 years. All permission slips to be retained	Secure Disposal
<b>Local Authority</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Census Returns	Yes		Current year + 5 years	Secure Disposal
Circulars and other information sent from the LA	No		Operational use	Secure Disposal

<b>Central Government</b>				
<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Notes</b>	<b>Retention Period</b>	<b>Disposal Action</b>
Ofsted Reports and papers	No		Life of the report then review	Achieve
Returns made to Central Government	No		Current year + 6 years	Secure Disposal
Circulars and other information sent from central government	No		Operational use	Achieve