**Gillotts School**

**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)](http://data.consilium.europa.eu/doc/document/ST-5419-2016-INIT/en/pdf) and the provisions of the Data Protection Act 2018 (DPA 2018), 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 | Clerk’s officeIT systems |
| Records relating to Permanent Exclusions | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | PA to the Headteacher | PA office |

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 | PA to the Headteacher (LT meetings)Team leader | PA officeIT system |
| Reports (with reference to individual pupils or staff members) | Date of the meeting + 3 years then review | Secure disposal | PA to the Headteacher (LT meetings)Team leader | PA officeIT system |
| Records (with reference to individual pupils or staff members) | Current academic year + 6 years then review | Secure disposal | HR Manager (Staff)House administrators (students) | Staff filePupil fileSIMS |
| Correspondence (with reference to individual pupils or staff members) | Date of correspondence + 3 years then review | Secure disposal | HR Manager (Staff)House administrators (students) | Staff filePupil fileSIMS |

Admissions Process

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| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| School Admissions Policy | Life of the policy + 3 years then review | Secure disposal | Headteacher | Google Drive |
| Admissions – if the admission is successful | Date of admission + 1 year | Secure disposal | OCC Admissions TeamAdmissions Officer | Assessment OfficeIT systems |
| Admissions – if the appeal is unsuccessful | Resolution of case + 1 year | Secure disposal | OCC Admissions Team | N/A |
| Register of admissions | Date of entry + 3 years | Review*Schools may consider keeping the admissions register permanently to enable them to confirm dates pupils attended the school* | IT Services Manager | SIMS |

Operational Administration

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| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Visitors’ Books and Signing in Sheets | Current year + 6 years then review | Secure disposal | Receptionist | Reception |

**Human Resources**

Recruitment

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| --- | --- | --- | --- | --- |
| **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 | HR Manager | Staff file |
| Records relating to appointment of a new member of staff – unsuccessful candidates | Date of appointment of successful candidate + 6 months | Secure disposal | HR Manager | HR Manager office |
| Records relating to appointment of a new member of staff – successful candidate | Add relevant information to the staff personal file; OtherwiseDate of appointment + 6 months | Secure disposal | HR Manager | Staff file |
| Copies of DBS certificates | Not required; copy must NOT be retained for more than 6 months | - | HR Manager | N/A |
| Proofs of identity | Copy added to the staff personal file | - | HR Manager | Staff file |
| Evidence of right to work in the UK | Copy added to the staff personal file;Home Office requiresDate of termination of employment + at least 2 years | - | HR Manager | Staff file |

Operational Staff Management

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| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Staff personal file | Termination of employment + 6 years | Secure disposal | HR Manager | Filing cabinet in HT officeSIMS |
| Timesheets | Current year + 6 years | Secure disposal | HR Manager | HR Manager office |
| Cover request forms | Current year + 1 year | Secure disposal | HR Manager | HR Manager office |
| Annual appraisal record | Current year + 5 years | Secure disposal | AHT (T&L)HR Manager | Blue SkyGoogle Drive |
| Details about supply/cover teachers | Current year + 1 year | Secure disposal | Cover Manager | Cover Manager office |

Management of Disciplinary and Grievance Processes

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| --- | --- | --- | --- | --- |
| **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 ageORDate of allegation + 10 yearsThen review*Note allegations that are found to be malicious should be removed from files* | Secure disposal*These records must be shredded* | HeadteacherChair of Governors | Filing cabinet in HT Office |
| Disciplinary proceedings:Oral warningWritten warning – level 1Written warning – level 2Final warningCase not found | Date of warning + 6 monthsDate of warning + 6 monthsDate of warning + 12 monthsDate of warning + 18 monthsConclusion of case (unless CP related) | Secure disposal | HeadteacherChair of Governors | Filing cabinet in HT office |

Health and safety

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

Payroll and Pensions

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| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Maternity pay records | Current year + 3 years  | Secure disposal | HR Manager | Staff file |
| Records held under Retirements Benefits Schemes (Information Powers) Regulations 1995 | Current year + 6 years  | Secure disposal | HR Manager | Business Manager officeIT systems |

**Financial Management of the School**

Contract management

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| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Records relating to management of contracts under seal | Last payment on contract + 12 years | Secure disposal | Business Manager | Business Manager officeIT systems |
| Records relating to management of contracts under signature | Last payment on contract + 6 years | Secure disposal | Business Manager | Business Manager officeIT systems |

**Pupil Management**

Pupil’s Educational Record

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| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Pupil’s Educational Record | DOB of pupil + 25 years | Secure disposal*The file should follow the pupil if s/he transfers to another secondary school* | Business ManagerIT Services ManagerHouse Administrators | SIMSHousebases |
| Examination results – pupil copies (public and internal) | Add to pupil file | - | Exams Officer | SIMSHousebases |
| Examination results and certificates (student copy) | Current year + 6 years | Secure disposal | Exams Manager | Reception |
| Examination results (School copy) | Current year + 6 years | Secure disposal | IT Services ManagerExams Officer | SIMS |
| Child protection information (held in separate files) | DOB of pupil + 25 years | Secure disposal*These records must be shredded**The file should follow the pupil when s/he transfers to another education institution* | Designated person for child protection | Child Protection filing cabinet in HT Office |

Attendance

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Attendance registers | DOB of pupil + 18 years | Secure disposal | IT Services Manager | SIMS |
| Correspondence relating to authorized absence | Current academic year + 2 years | Secure disposal | House administrators | Pupil file |

Special Educational Needs

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Special educational needs files, reviews and Individual Education PlanIndividual Health Plans | DOB of pupil + 25 years*Note this retention period is the minimum retention period that any pupil file should be kept* | Secure disposal | SENCo | Learning SupportSIMS |
| Statement of SEN/ EHCP and any amendments | DOB of pupil + 25 years | Secure disposal | SENCo | Learning SupportSIMS |
| Advice and information provided to parents regarding educational needs | DOB of pupil + 25 years | Secure disposal | SENCo | Learning SupportSIMS |
| Information relating to access arrangements | Date of exam + 5 years | Secure disposal | SENCo, Exams Manager | Learning SupportAssessment OfficeSIMSIT systems |

**Curriculum Management**

Statistics and Management Information

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| --- | --- | --- | --- | --- |
| **Description** | **Retention period** | **Action at end** | **Role responsible** | **Location of records** |
| Examination results and certificates (student copy) | Current year + 6 years | Secure disposal | Exams Manager | SIMSReception |
| Examination results (School copy) | Current year + 6 years | Secure disposal | IT Services ManagerExams Officer | SIMS |

**Extra Curricular Activities**

Educational Visits Outside the Classroom

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| --- | --- | --- | --- | --- |
| **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 | EVC | Business Manager officeIT systems |
| Parental consent forms for school trips where there has been no major incident  | Conclusions of the trip | Secure disposal | EVC | Business Manager officeIT systems |
| 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 | EVC | Business Manager officeIT systems |

**1**