



School Records Management & Retention Policy

Agreed by the Governing Body: September 2018

To be reviewed: September 2019

Winton Primary 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:

- Scope
- Responsibilities
- Relationships with existing policies
- Retention

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, 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 institution's archives and for historical research. This should be done in liaison with the County Archives Service.

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 Head of the School.

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 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 school's records management guidelines.

3. Relationship with existing policies

This policy has been drawn up within the context of:

- Data Protection Policy and Privacy Notice;
- General Data Protection Regulation
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the school.

4. Retention and Management of Records

4.1 Pupil Records

These guidelines are intended to help provide consistency of practice in the way in which pupil records are managed. These will assist schools about how pupil records should be managed and what kind of information should be included in the file. It is hoped that the guidelines will develop further following suggestions and comments from those members of staff in schools who have the most contact with pupil records.

These guidelines apply to information created and stored in both physical and electronic format. These are only guidelines and have no legal status, if you are in doubt about whether a piece of information should be included on the file please contact the Local Authority.

4.2 Managing Pupil Records

The pupil record should be seen as the core record charting an individual pupil's progress through the education system. The pupil record should accompany the pupil to every school they attend and should contain information that is accurate, objective and easy to access. These guidelines are based on the assumption that the pupil record is a principal record and that all information relating to the pupil will be found in the file (although it may spread across more than one file cover).

4.3 File covers for pupil records

It is strongly recommended that schools use a consistent file cover for the pupil record.

This assists secondary schools to ensure consistency of practice when receiving records from a number of different primary schools. If, for example, primary schools have many different file covers for their files, the secondary school that the pupil files are transferred to will then be holding different levels of information for pupils coming from different primary schools.

Using pre-printed file ensures all the necessary information is collated and the record looks tidy, and reflects the fact that it is the principal record containing all the information about an individual child.

4.4 Recording information

Pupils have a right of access to their educational record and so do their parents under the Education (Pupil Information) (England) Regulations 2005. Under GDPR a pupil or their nominated representative has a right to see information held about them. This right exists until the point that the file is destroyed. Therefore, it is important to remember that all information should be accurately recorded, objective in nature and expressed in a professional manner.

4.5 Primary School records

These guidelines apply to information created and stored in both physical and electronic format. The pupil record starts its life when a file is opened for each new pupil as they begin school. This is the file which will follow the pupil for the rest of his/her school career. If pre-printed file covers are not being used, then the following information should appear on the front of the paper file:

- Surname
- Forename
- DOB
- Unique Pupil Number

Inside the front cover the following information should be easily accessible:

- The name of the pupil's doctor
- Emergency contact details
- Gender
- Preferred name
- Position in family

- Ethnic origin
- Language of home (if other than English)
- Religion
- Any allergies or other medical conditions that it is important to be aware of
- Names of adults who hold parental responsibility with home address and telephone number (and any additional relevant carers and their relationship to the child)
- Name of the school, admission number and the date of admission and the date of leaving.
- Any other agency involvement e.g. speech and language therapist, paediatrician

It is essential that these files, which contain personal information, are managed against the information security guidelines also contained in the toolkit.

All the information above is accessible via SIMS and the CTF files which is an electronic document used to transfer all the information above to other schools if required.

Items which should be included on the pupil record

- If the pupil has attended an early years setting, then the record of transfer should be included on the pupil file
- Admission form (application form)
- Privacy Notice [if these are issued annually only the most recent need be on the file]
- Photography Consents
- Years Record
- Annual Written Report to Parents
- National Curriculum and Religious Education Locally Agreed Syllabus Record Sheets
- Any information relating to a major incident involving the child (either an accident or other incident)
- Any reports written about the child
- Any information about a statement and support offered in relation to the statement
- Any relevant medical information (should be stored in the file in a sealed envelope clearly marked as such)
- Child protection reports/disclosures (should be stored in the file in a sealed envelope clearly marked as such)
- Any information relating to exclusions (fixed or permanent)
- Any correspondence with parents or outside agencies relating to major issues
- Details of any complaints made by the parents or the pupil

The following records should be stored separately to the pupil record as they are subject to shorter retention periods and if they are placed on the file then it will involve a lot of unnecessary weeding of the files before they are transferred on to another school.

- Absence notes
- Parental consent forms for trips/outings [in the event of a major incident all the parental consent forms should be retained with the incident report not in the pupil record]
- Correspondence with parents about minor issues
- Accident forms (these should be stored separately and retained on the school premises until their statutory retention period is reached. A copy could be placed on the pupil file in the event of a major incident)

4.6 Transferring the pupil record to the secondary school

The pupil record should not be weeded before transfer to the secondary school unless any records with a short retention period have been placed in the file. It is important to remember that the information which may seem unnecessary to the person weeding the file may be a vital piece of information required at a later stage.

Primary schools do not need to keep copies of any records in the pupil record except if there is an ongoing legal action when the pupil leaves the school. Custody of and responsibility for the records passes to the school the pupil transfers to.

Files should not be sent by post unless absolutely necessary. If files are sent by post, they should be sent by registered post with an accompanying list of the files. The secondary school should sign a copy of the list to say that they have received the files and return that to the primary school. Where appropriate, records can be delivered by hand with signed confirmation for tracking and auditing purposes.

Electronic documents that relate to the pupil file also need to be transferred, or, if duplicated in a master paper file, destroyed.

5. Responsibility for the pupil record once the pupil leaves the school

The school which the pupil attended until statutory school leaving age 7 is responsible for retaining the pupil record until the pupil reaches the age of 25 years. [See the retention schedule (Appendix (i) for further information)].

6. Safe destruction of the pupil record

The pupil record should be disposed of in accordance with the safe disposal of records guidelines.

7. Transfer of a pupil record outside the EU area

If you are requested to transfer a pupil file outside the EU area because a pupil has moved into that area, please contact the Local Authority for further advice.

8. Storage of pupil records

All pupil records should be kept securely at all times. Paper records, for example, should be kept in lockable storage areas with restricted access, and the contents should be secure within the file. Equally, electronic records should have appropriate security.

Access arrangements for pupil records should ensure that confidentiality is maintained whilst equally enabling information to be shared lawfully and appropriately, and to be accessible for those authorised to see it.

Appendix (i) Retention - Schedule

1. Management & Organisation

Ref	Record	Minimum Retention Period	Action After Retention
1.1	Board of Governors – general correspondence	Current school year + 6 years	Destroy
1.2	BOG Meetings Minutes (master)	Current school year + 6 years	Permanent Preservation
1.3	Senior Management Team-Meeting Minutes	Current school year + 6 years	Permanent Preservation
1.4	Staff Meeting Minutes	Current school year + 6 years	Destroy
1.5	School Development Plan	Retain in school for 10 years from closure of Plan	Permanent Preservation
1.6	School Policies	Retain while current. Retain 1 copy of old policy for 2 years after being replaced	Destroy
1.7	PTA – minutes and general correspondence	Current school year + 6 years	Destroy
1.8	Visitors Book	Current school year + 6 years	Destroy
1.9	Circulars to Staff, Parents and Pupils	Current school year + 3 years	Destroy
1.10	School Brochure or Prospectus	Current school year + 3 years	Destroy
1.11	Comments/Complaints	5 years after closing. Review for further retention in the case of contentious disputes	Destroy
1.12	Annual Report	Retain in school for 10 years from date of Report	Permanent Preservation
1.13	School Fund	Current financial year + 6 years	Destroy
1.14	Emergency Planning/Business Continuity Plan	Until superseded	Destroy

2. Legislation and Guidance from DE, ELB, ESA, CCMS etc

Ref	Record	Minimum Retention Period	Action After Retention
2.1	Education (NI) Order	Until superseded	Destroy
2.2	Circulars, Guidance, Bulletins from DE, ELB etc	Until superseded	Destroy
2.3	Correspondence re: Statistical Returns to DE, ELB etc	Current financial year + 6 years	Destroy
2.4	DE Reports, Inspections	Until superseded	Destroy

3. Pupils

Ref	Record	Minimum Retention Period	Action After Retention
3.1	<i>Pupil Admission Data</i>		
3.1a	Applications for enrolment	3 years after enrolment	Destroy
3.1b	Transfer applications (Transfer Forms)	3 years after enrolment	Destroy
3.2	Pupil Attendance Information/Registers	Date of Register + 10 years	Permanent Preservation
3.3	Pupil Education Records - School/Progress Reports etc	Until pupil is 23 years old	Destroy
3.4	Pupil Education Records - School/Progress Reports etc (Special Educational Needs)	Until Pupil is 26 years old	Destroy
3.5	Child Protection Information- Record of concerns where case was not referred to Social Services	10 years after last entry on file	Destroy
3.6	Child Protection Information- Social Services investigation outcome was unfounded or malicious	10 years after last entry on file	Destroy
3.7	Child Protection Information- Social Services investigation outcome was inconclusive, unsubstantiated or substantiated	Until pupil is 30 years old	Destroy
3.8	Disciplinary Action (Suspension/Expulsion)/Offences – bullying	Until pupil is 23 years old	Destroy
3.9	Disciplinary Action (Suspension/Expulsion)/Off	Until pupil is 26 years old	Destroy

	ences – bullying (Special Educational Needs)		
3.10	Timetables + Class Groupings	Retain while current	Destroy
3.11	Examination Results	Current school year + 6 years	Destroy
3.12	Careers Advice	Current school year + 6 years	Destroy
3.13	School Meals returns	Current financial year + 6 years	Destroy
3.14	Free Meals registers	Current financial year + 6 years	Destroy
3.15	School Trips – Financial & Administration details	Current financial year + 6 years	Destroy
3.16	School Trips- Attendance/Staff Supervision etc	Current financial year + 6 years. In the case of an incident/accident involving a pupil, retain until pupil is 23 years old or 26 for a pupil with special educational needs	Destroy
3.17	Reports of Stolen/Damaged Items	Current financial year + 6 years	Destroy
3.18	Medical Records – records of pupils with medical conditions and details for the administration of drugs when necessary.	Until pupil is 23years old or in the case of a Special Needs Pupil, until 26 years old	Destroy

4. Staff

Ref	Record	Minimum Retention Period	Action After Retention
4.1	Staff Personnel Records (including, appointment details, training, staff development etc.)	7 years after leaving employment	Destroy
4.2	Interview notes and recruitment records	Date of interview + 6 months	Destroy
4.3	Staff Salary Records	7 years after leaving employment	Destroy
4.4	Staff Sickness Records (copies of Medical Certs)	Current school year + 6 years	Destroy
4.5	Substitute Teacher Records	Current school year + 6 years	Destroy
4.6	Substitute Staff Records- non teaching (cover for nursery assistants)	Current school year + 6 years	Destroy
4.7	Student Records-non teaching (e.g. nursery assistant students & pupils from schools on work	Current school year + 6 years	Destroy

	experience)		
4.8	Student Teachers on Teaching Practice – student teacher progress	Current school year + 6 years	Destroy
4.9	Procedures for Induction of Staff	Until superseded	Destroy
4.10	Staff/Teachers' Attendance Records	7 years after leaving	Destroy
4.11	Staff Performance Review	7 years after leaving	Destroy

5. Finance

Ref	Record	Minimum Retention Period	Action After Retention
5.1	Annual budget and budget deployment	Current financial year + 6 years	Destroy
5.2	Budget Monitoring	Current financial year + 6 years	Destroy
5.3	Annual Statement of Accounts (Outturn Statement)	Current financial year + 6 years	Destroy
5.4	Order Books, Invoices, Bank Records, Cash Books, Till Rolls, Lodgement books etc	Current financial year + 6 years	Destroy
5.5	Postage Book	Current financial year + 6 years	Destroy
5.6	Audit Reports	Current financial year + 6 years	Destroy

6. Health & Safety

Ref	Record	Minimum Retention Period	Action After Retention
6.1	Accident Reporting (Adults)	Date of incident + 7 years	Destroy
6.2	Accident Reporting (Children)	Until pupil is 23years old or in the case of a Special Needs pupil, until 26 years old	Destroy
6.3	Risk Assessments – work experience locations/pupils	7 years	Destroy
6.4	H & S Reports	15 years	Destroy
6.5	Fire Procedure	Until superseded	Destroy
6.6	Security System File	For the life of the system	Destroy