

PARKSIDE HOUSE SCHOOL

Record Keeping Policy

July 2014

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1 Introduction

Parkside House School recognise the necessity for the efficient management of its records to comply with its legal and regulatory obligations, and to contribute to the effective overall management of the school.

2 Scope of the Policy

This policy applies to all records that are created, received or maintained by staff of the school in the course of carrying out its functions.

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.

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.

3 Responsibilities

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.

The Office Manager / School Secretary 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 manner.

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.

4 Recording Systems

Information created by the school must be managed against the same standards regardless of the media in which it is stored.

4.1 Maintenance of Record Keeping Systems

- It is important that filing information is properly resourced and is carried out on a regular basis. It is equally important that the files are weeded of extraneous information where appropriate on a regular basis. Removing information from a file once a freedom of information request has been made will be a criminal offence (unless it is part of normal processing).
- Applying retention periods is straightforward provided files are closed on a regular basis.
- Once a file has been closed, it should be moved out of the current filing system and stored in the record room upstairs.
- Information security is very important especially when dealing with personal information or sensitive policy information. There are a number of basic rules:

- All current personal information should be kept in the lockable filing cabinets in the school office which are kept locked when the room is unattended;
- Personal information held on computer systems should be adequately password protected. Information should never be left up on a screen if the computer is unattended;
- Files containing personal or sensitive information should not be left out on desks over night;
- Where possible sensitive personal information should not be sent by e-mail;
- If files need to be taken off the premises they should be secured in the boot of a car or in lockable containers;
- Teachers may carry data on memory sticks or other removable data carriers in order to access their files both at home and at school. All devices must be kept secure
- All computer information should be backed up regularly and the back-up should be stored off the site.
- Information contained in email, fax should be filed into the appropriate electronic or manual filing system once it has been dealt with.

4 The Safe Disposal of Information Using the Retention Schedule

Files should be disposed of in line with the attached retention schedule (see appendix). This is a process which should be undertaken on an annual basis during the month of September.

All files and information relating to children's records will be kept for up to 75 years.

All personal information should be shredded before disposal for pulping. Other files can be bundled up and put in a skip or disposed of to the waste paper merchant. Loose papers should not be put in skips unless the skip has a lid.

Electronic data should be archived on electronic media and 'deleted' appropriately at the end of the retention period.

5 Monitoring and Review

This policy has been reviewed and approved by the head teacher and governors. The Records Management Policy will be reviewed every 2 years.

(a) Retention Schedule

Child Protection					
The retention and use of records relating to child protection matters concerning pupils, and child protection allegations against staff requires specific guidance in this schedule.					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Child Protection files	Yes	Education Act 2002, s175, related guidance 'Safeguarding Children in Education', September 2004	DOB + 75 years ¹	SHRED	Child Protection information must be copied and sent under separate cover to new school/college whist the child is still under 18 (i.e. The information does not need to be sent to a university for example). Where a child is removed from roll to be educated at home, the file should be copied to the Local Children, Schools and Families Department.
Allegation of a child protection nature against a member of staff, including where the allegation is unfounded	Yes	Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) Education Act 2002 guidance 'Dealing with allegations of Abuse against teachers and Other Staff' November 2005	75 years	SHRED	Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) 'Records of allegations about workers who have been investigated and found to be without substance should not normally be retained once an investigation has been completed. There are some exceptions to this where for its own protection the employer has to keep a limited record that an allegation was received and investigate, e.g. where the allegation relates to abuse and the worker is employed to work with children or other vulnerable individuals'. Summary record to be retained on confidential personnel file, and a copy given to the person concerned.

Governors					
Basic File Description Protection	Data	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record	
	Issues				
Minutes • Principal set (signed)	No		Permanent	Retain in school for 6 years	Transfer to Archives
• Inspection Copies	No		Date of meeting + 3 years	DESTROY [If these minutes contain any sensitive personal Information they must be shredded]	
Agendas	No		Date of meeting	DESTROY	
Reports	No		Date of report + 6 years	retain in school for 6 years	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Annual Parents' meeting papers	No		Date of meeting + 6 years	Retain in school for 6 years from date of meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Instruments of Government	No		Permanent	Retain in school whilst school is open	Transfer to Archives when the school has closed
Trusts and Endowments	No		Permanent	Retain in school whilst operationally required	
Action Plans	No		Date of action plan + 3 years	DESTROY	It may be appropriate to offer to the Archives for a sample to be taken if the school has been through a difficult period
Policy documents	No		Expiry of policy	Retain in school whilst policy is operational (this includes if the expired policy is part of a past decision making process)	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Complaints files	Yes		Date of resolution of complaint + 6 years	Retain in school for the first six years. Review for further retention in the case of contentious disputes. Destroy routine complaints. Complaints alleging possible harm to a young person by a member of staff are covered in 5.1 above.	
Annual Reports required by the DFE	No	Education (Governors' Annual Reports) (England) (Amendment) Regulations	Date of report + 10 years		Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]

Management

Basic File Description	Data	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Protection	Issues				
Log Books [Books where the Headteacher or another member of staff keeps a record of what happens in the school, this may include details of events, photographs and other information]	Yes		Date of last entry in the book + 6 years	Retain in the school for 6 years from the date of the last entry	Transfer to the Archives
Minutes of the Senior management Team and other internal administrative bodies	Yes (1)		Date of meeting + 5 years	Retain in the school for 5 years from meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Reports made by the headteacher or the management team	Yes (1)		Date of report + 3 years	Retain in the school for 3 years from meeting	Transfer to Archives [Take a sample for permanent preservation]
Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities (except child protection records which are dealt with in section 6.1 above).	Yes (1)		Closure of file + 6 years	DESTROY If these records contain sensitive information they should be shredded	
Correspondence created by headteachers, deputy headteachers, heads of year and other members of staff with administrative responsibilities	No		Date of correspondence + 3 years	DESTROY If these records contain sensitive information they should be shredded	
Professional development plans	Yes		Closure + 6 years	SHRED	
School Development Plans	No		Closure + 6 years	Review	Off to the Archives

Pupils					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative	life of the record
Admission Registers	Yes		Date of last entry in the book (or file) + 75 years Date of register + 3 years	Retain in the school for 6 years from the date of the last entry DESTROY [If these records are retained electronically any backup copies should be destroyed at the same time]	Transfer to the Archives
Attendance registers	Yes				
Pupil record cards					
• Secondary	Yes		DOB of the pupil + 75 years	SHRED	
Pupil files					
• Secondary			DOB of the pupil + 75 years	SHRED	
Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 75 years	SHRED	
Letters authorizing absence	No		Date of absence + 3 years	SHRED	
Absence books			Current year + 6 years	SHRED	
Examination results	Yes				
• Public	No		Year of examinations + 6 years	DESTROY	Any certificates left unclaimed should be returned to the appropriate Examination Board
• Internal examination results	Yes		Current year + 6 years ⁽²⁾	DESTROY	
Any other records created in the course of contact with pupils	Yes/No		Current year + 3 years	Review at the end of 3 years and either allocated a further retention period or DESTROY	
Statement maintained under The Education Act 1006 – Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 75 years	DESTROY unless legal action is pending	

⁽²⁾ If these records are retained on the pupil file or in their National Record of Achievement they need only be kept for as long as operationally necessary.

Pupils cont'd.					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record	
Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 75 years	DESTROY unless legal action is pending	
Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 75 years	DESTROY unless legal action is pending	
Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 75 years	DESTROY unless legal action is pending	
Children SEN Files	Yes		Closure + 75 years	DESTROY unless legal action is pending	

Curriculum					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Curriculum development	No		Current year + 6 years	DESTROY	
School syllabus	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or DESTROY	
Schemes of work	No		Current year + 1 year	" "	
Timetable	No		Current year + 1 year	" "	
Class record books	No		Current year + 1 year	" "	
Mark Books	No		Current year + 1 year	" "	
Record of Homework set	No		Current year + 1 year	" "	
Pupils work	No		Current year + 1 year	" "	
Examination results	Yes		Current year + 6 years	DESTROY [These records should be shredded]	
SATS records	Yes		Current year + 6 years	DESTROY [These records should be shredded]	
PANDA reports	Yes		Current year + 6 years	DESTROY [These records should be shredded]	
Value added records	Yes		Current year + 6 years	DESTROY [These records should be shredded]	

Personnel					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Timesheets, sick pay	Yes	Financial Regulations	Current year + 6 years	SHRED	
Staff Personal files	Yes		Termination + 7 years	SHRED	
Interview notes and recruitment records	Yes		Date of interview + 6 months	SHRED	
Pre-employment vetting information (including unsuccessful CRB checks)	No	CRB guidelines	Date of check + 6 months	SHRED [by the designates member of staff]	This information should be placed on the personnel file if the applicant is successful and managed according to the guidelines
Disciplinary proceedings for all matters EXCEPT those relating to child protection issues (see 5.1 above.)	Yes				
• Oral warning			Date of warning + 6 months	SHRED If this is placed on a personal file, it must be weeded from the file	
• Written warning – level 1			Date of warning + 6 months	SHRED If this is placed on a personal file, it must be weeded from the file	
• Written warning – level 2			Date of warning + 12 months	SHRED If this is placed on a personal file, it must be weeded from the file	
• Final warning			Date of warning + 18 months	SHRED If this is placed on a personal file, it must be weeded from the file	
• Case not found (except child protection allegations see section 5.1 above)			DESTROY immediately at the conclusion of the case		
Records relating to accident/injury at work	Yes		Date of incident + 12 years	Review at the end of this period. In the case of serious accidents a further retention period will need to be applied.	
Annual appraisal/assessment records	No		Current year + 6 years	The information should be transferred to the superannuation department at the appropriate time who will maintain the master record.	SHRED
Maternity pay records	Yes	Statutory Maternity Pay (General Regulations 1986/1990), revised 1999 (SI 1999/567)	Current year, + 3 years	SHRED	

Health and Safety					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Accessibility Plans		Disability Discrimination Act	Current year + 6 years	DESTROY	
Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980.			
• Adults – Accident Book	Yes		Last entry in the accident book + 12 years	SHRED	
• Adult – Internal Reports	Yes		Current year + 3 years	SHRED	
• Children	Yes		DOB + 75 years	SHRED	
COSHH			Current year + 10 years	Review [Where appropriate an additional retention period may be allocated]	
Incident reports	Yes		Current year + 75 years	SHRED	
Policy Statements			Date of expiry + 1 year	DESTROY	
Risk Assessments			Date assessment superseded + 3 years	DESTROY	
Process of monitoring of areas where employees and persons are likely to have come in contact with asbestos			Last action + 50 years	DESTROY	
Process of monitoring of areas where employees and persons are likely to have come in contact with radiation			Last action + 50 years	DESTROY	
Fire Precautions log books			Current year + 6 years	DESTROY	

Administrative					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Employer's Liability Certificate			Permanent whilst the school is open	Retain for 40 years after school has closed	
Inventories of equipment and furniture			Disposal of last item + 6 years or date superseded + 6 years	DESTROY	
General file series			Current year + 5 years	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
School brochure/prospectus			Current year + 3 years		Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Circulars (staff/parents/pupils)			Current year + 1 year	DESTROY	
Newsletters, ephemera			Current year + 1 year	Review to see whether a further retention period is required	Transfer to Archives [Keep one sample for permanent preservation]
Visitors' book			Current year + 2 years	Review to see whether a further retention period is required	Transfer to Archives [Keep one sample for permanent preservation]
PTA/Old Pupils' Associations			Current year + 6 years	Review to see whether a further retention period is required	Transfer to Archives [Keep sample for permanent preservation]

Finance					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Annual Accounts		Financial Regulations	Current year + 6 years		Archive
Loans and grants		Financial regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required	Transfer to Archives [Keep sample for permanent record]
Contracts					
• Under seal			Contract completion date + 12 years	SHRED	
Contracts					
• Under signature			Contract completion date + 6 years	SHRED	
• Monitoring records			Current year + 2 years	SHRED	
Copy orders			Current year + 2 years	SHRED	
Budget reports, budget monitoring etc.			Current year + 3 years	SHRED	

Finance cont'd.					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SHRED	
Annual Budget and background papers			Current year + 6 years	SHRED	
Order books and requisitions			Current year + 6 years	SHRED	
Delivery Documentation			Current year + 6 years	SHRED	
Debtors' Records		Limitation Act 1980	Current year + 6 years	SHRED	
School Fund – Cheque books			Current year + 3 years	SHRED	
School Fund – Paying in books			Current year + 6 years	SHRED	
School Fund – Ledger			Current year + 6 years	SHRED	
School Fund – Invoices			Current year + 6 years	SHRED	
School Fund – Receipts			Current year + 6 years	SHRED	
School Fund – Bank statements			Current year + 6 years	SHRED	
School Fund – School Journey books			Current year + 6 years	SHRED	
Student grant applications			Current year + 3 years	SHRED	
Free school meals registers	Yes	Financial Regulations	Current year + 6 years	SHRED	
Petty cash books		Financial Regulations	Current year + 6 years	SHRED	

Property					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Title Deeds			Permanent	These should follow the property	Archives
Plans			Permanent	Retain until superseded then offer to archives before destruction	Archives
Maintenance and contractors		Financial Regulations	Current year + 6 years	DESTROY	
Leases			Expiry of lease + 6 years	DESTROY	
Lettings			Current year + 3 years	DESTROY	
Burglary, theft and vandalism report forms			Current year + 6 years	SHRED	
Maintenance log books			Last entry + 10 years	DESTROY	
Contractors' Reports			Current year + 6 years	DESTROY	

DFE					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention period [operational]	Action at the end of the administrative life of the record	
HMI	Reports		These do not need to be kept any longer		Transfer to Archives
OFSTED reports and papers			Replace former report with any new inspection report	Review to see whether a further retention period is required	Transfer to Archives
ISI reports and paper			Replace former report with any new inspection report	Review to see whether a further retention period is required	Transfer to Archives
Returns			Current year + 6 years	DESTROY	
Circulars from DFE			Whilst operationally required	Review to see whether a further retention period is required	Transfer to Archives

Connexions					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Service level agreements			Until superseded	SHRED	
Work Experience agreement			DOB of child + 75 years	SHRED	

School Meals					
Basic File Description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Dinner Register			Current year + 3 years	SHRED	
School Meals Summary Sheets			Current year + 3 years	SHRED	