

Somerset Road Education Trust Records Management Policy & Retention Schedule

SRET – Somerset Road Education Trust

Version and Date		Action/Notes
1.0	07/18	Approved by SRET Author SRET Business Manager

The Trust 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
- Relationship with existing Policies

1. Scope of the Policy

- 1.1 This policy applies to all records, created, received or maintained by staff of the Trust 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 schools 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.

2. Responsibilities

- 2.1 The Trust 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 Executive Principal and this has been delegated to him by the Trust Board.
- 2.2 Compliance of this policy will be monitored by the DPO & during the Annual Information Review headed by Somerset & Bath Council.
- 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 Trusts records management guidelines.

3. Relationship with existing policies

This policy has been drawn up within the context of:

- Freedom of Information Policy
- Data Privacy Policy
- And with other legislation or regulations (including Articles of Association, Funding Agreements) affecting the Trust.

The Somerset Road Education Trust record retention schedule complies with guidance from the Information and Records Management Service in their 'Information Management Toolkit for Schools' [Version 5 February 2016]. This is also in line with Department for Education guidance in their 'Data protection: A toolkit for schools' [April 2018].

It should be noted that personal data should not be kept longer than is necessary for the purpose or purposes for which it is being processed. So, this means you'll need to apply some judgment and apply different holding times for different types of personal data. It is essential you ensure that manual records be shredded and electronic files permanently deleted from the system.

Record retention schedule:

Type of Record	Retention Period
Customer	
Financial transaction records	6 years after account is closed
Contracts	6 years after account is closed
Letters	6 years after account is closed
Complaints	6 years after account is closed
Enquiries	3 years after account is closed
Investigations	10 years after account is closed
Telephone calls	3 years from date of creation
1 Human Resources	
All records leading up to the appointment of a new Headteacher/Executive Principal	Date of appointment +6 years
All records leading up to the appointment of a new member of staff – unsuccessful candidates	Date of appointment of successful candidate +6months
All records leading up to the appointment of a new member of staff – successful candidate	All the relevant information should be added to the staff personal file (see below and all other information retained for 6 months.
Pre-employment vetting information – DBS Check	The School does not have to keep copies of DBS certificates. If the school does so the copy must NOT be retained for more than 6 months
Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure	The Disclosure & Barring Service Update Service should be used to check a DBS Certificate status online. Proof of check should be retained on file together with employees signature (proof of workers permission)

Type of Record	Retention Period
Pre-employment vetting information – Evidence proving the right to work in the United Kingdom	Documents should be added to the Staff Personal File (see below)
Staff Personal File	Termination of Employment + 6 years
Management of Disciplinary & Grievance Processes	
Allegation of a child protection nature against a member of staff including where the allegation is unfounded	Until the person's normal retirement age or 10 years from the date of the allegation whichever is the longer then REVIEW. Note allegations that are found to be malicious should be removed from personnel files. If found, they are to be kept on the file and a copy provided to the person concerned.
Disciplinary Proceedings	
Disciplinary warnings should be removed from employee's personnel files once they have expired. Oral Warning Written Warning – Stage 1 Final written warning- stage 2 Case Not Found	Date of warning +6 months Date of warning +12 months Date of warning +18 months If the incident is child protection related then see above otherwise dispose of at the conclusion of the case
Termination: The process of termination of staff through voluntary redundancy, dismissal and retirement	7 years after termination of employment
2 Financial Management of the School	
Risk Management & Insurance	
Employer's Liability Insurance Certificate	Closure of the school +40 years
Asset Management	
Inventories of furniture & equipment	Current year +6 years
Burglary, theft & vandalism report forms	Current year +6 years
Accounts& Statements Including Budget Management	
Annual Accounts	Current year + 6 years
All records relating to the creation and management of budgets including the Annual Budget Statement and background papers	Life of budget +3 years
Invoices, receipts, order books and requisitions, delivery notices	Current financial year +6 years
Records relating to the collection and banking of monies	Current financial year +6 years
Records relating to the identification and collection of debt	Current financial year +6 years
Contract Management	
All records relating to the management of contracts under seal	Last payment on the contract +12 years

Type of Record	Retention Period
All records relating to the management of contracts under signature	Last payment on the contract +6 years
Records relating to the monitoring of contracts	Current year + 2 years
School Fund (SF)	
- Cheque Books	Current year + 6 years
- Paying in books	Current year + 6 years
- Ledger	Current year +6 years
- Invoices	Current year + 6 years
- Receipts	Current year + 6 years
- Bank Statements	Current year + 6 years
School Meals Management	
Free School Meals Registers	Current year +6 years
School Meal Registers	Current year +3 years
School Meal Summary Sheets	Current year + 3 years
3 Health & Safety	
Health & Safety Policy Statements	Life of policy + 3 years
Health & Safety Risk Assessments	Life of risk assessment + 3 years
Accident/Incident Book – Records relating to accident/injury at work	Date of incident +12 years. In the case of serious accidents a further retention period will need to be applied
Accident Reporting Adults Children	Date of incident +6 years DOB of the child +25 years
Control of substances Hazardous to Health (COSHH)	Current year +40 years
Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Last action +40 years
Process of monitoring of areas where employees and persons are likely to have become in contact with radiation	Last action +50 years
Fire Precautions Log Books	Current year + 6 years
Fire Procedure	Until superseded but retain copies of earlier versions
Health & Safety Policy	Until superseded but retain earlier versions up to 15 years and review as necessary
Fire log books	Retain for 7 years
Legal	
Third party contracts	6 years after date of termination (unless signed as a deed, in which case 12 years after date of termination)
Other	
Policies	6 years from the date they cease to be relevant
Procedures	6 years from the date they cease to be relevant

Type of Record	Retention Period
Company Secretarial Records (e.g. board meeting minutes)	Permanently
4 Property Management Basic file description	
Plans of property belong to the School	These should be retained whilst the building belongs to the school and should be passed onto any new owners if the building is leased or sold
Leases of property leased by or to the School	Expiry of lease +6 years (original leases of all schools within SRET held in Exeter HSE Safe)
Records relating to the letting of school premises	
Maintenance	
All records relating to the maintenance of the school carried out by contractors	Current + 6 years
All records relating to the maintenance of the school carried out by school employees including maintenance log books (Site Managers odd job book)	Current + 6 years
5 Pupil Management Basic file description	
Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005	
Infant/Primary	<p>The file should follow the pupil when he/she leaves the school. This will include:</p> <ul style="list-style-type: none"> - To a junior school - To a primary school - To a secondary school - To a pupil referral unit - To a special school - If the pupil dies whilst at primary school the file should be returned to the Local Authority to be retained for the statutory retention period. <p>If the pupil transfers to an independent school, transfers to home schooling or leaves the country the file should be returned to the Local Authority to be retained for the statutory retention period.</p>
Secondary	Date of birth of the pupil +25 years
Examination Results – Pupil Copies	

Type of Record	Retention Period
Public	This information should be added to the pupil file
Internal	This information should be added to the pupil file
Child protection information held in separate files NO CHILD PROTECTION INFORMATION IS HELD ON PUPIL FILE	DOB of the child +25 years then review. This retention period was agreed in consultation with the Safeguarding Children Group on the understanding that the principal copy of this information will be found on the Local Authority Social Services record
Attendance	
Attendance Registers	Every entry in the attendance register must be preserved for a period of 3 years after the date on which the entry was made
Correspondence relating to authorised absence	Current academic year +2 years
Special Education Needs	
Special Education Needs files, reviews and Individual Education Plans	DOB +25 years NOTE: This retention period is the minimum retention period that any pupil file should be kept. Some authorities choose to keep SEN files for a longer period of time to defend themselves in a “failure to provide a sufficient education” case. There is an element of business risk analysis involved in any decision to keep the records longer than the minimum retention period and this should be documented.
Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement*	DOB of the pupil +25 years (This would normally be retained on the pupil file)
Advice & information provided to parents regarding educational needs*	DOB of the pupil +25 years (This would normally be retained on the pupil file)
Accessibility Strategy*	DOB of the pupil +25 years (This would normally be retained on the pupil file)
*SECURE DISPOSAL UNLESS THE DOCUMENT IS SUBJECT TO A LEGAL HOLD	
Curriculum Management	
Examination Results (Schools Copy)	Current year + 6 years
SATS Records Results Examination Papers	The SATS results should be recorded on the pupil’s educational file and will therefore be retained until the pupil reaches the age of 25 years. The School may wish to keep a composite record of all the whole year SATS results These could be kept for the current year +6 years to allow suitable comparison. The examination papers should be kept until any appeals/validation process is complete

Type of Record	Retention Period
Published Admission Number (PAN) Reports	Current year +6 years
Value Added and Contextual Data	Current year +6 years
Self- Evaluation Forms	Current year +6 years
Implementation of Curriculum	
Schemes of work	Current year +1 year
Timetable	Current year +1 year
Class Record Books	Current year +1 year
Mark Books	Current year +1 year
Record of Homework Set	Current year +1 year
Pupil's Work	Where possible pupils' work should be returned to the pupil at the end of the academic year
6 Extra- Curricular Activities	
Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Primary Schools*	Date of visit +14 years
Records created by schools to obtain approval to run an Education Visit outside the Classroom – Secondary*	Date of visit +10 years
*Outdoor Education Advisers' Panel National Guidance website http://oeapng.info specifically Section 3 – Legal Framework and Employer Systems and Section 4 – Good Practise	
Parental consent forms for school trips where there has been NO major incident	Conclusion of Trip
Parental permission slips for school trips – where there has been a major incident	DOB of the pupil involved in the incident +25 years. The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all pupils
7 Management of the School	
Agenda for Governing Body Meetings	One copy should be retained with the master set of minutes. All other copies disposed of
Minutes of Governing Body Meetings	As above.
Principal Set (signed)	Permanent
Inspection Copies* *These are the copies which the Clerk may wish to retain so that requestors can view all the appropriate information without the Clerk needing to print off and collate redacted copies of the minutes each time a request is made *CARE There may be data protection issues if the meeting is dealing with confidential issues relating to staff	Date of meeting +3 years
Reports presented to the Governing/Trust Board	Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports then the reports should be kept permanently

Type of Record	Retention Period
Meeting papers relating to the annual parents' meeting held under section 33 of the Education Act 2002	Date of the meeting + a minimum of 6 years
Instruments of Government including Articles of Association	Permanent
Trusts & Endowments managed by the Governing Body	Permanent
Action Plans created and administered by the Governing Body	Life of the action plan +3 years
Policy documents created and administered by the Governing Body	Life of the policy +3 years
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
Annual Reports created under the requirements of the Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002	Date of report +10 years
Proposals concerning the change of status of an Academy	Date proposal accepted or declined +3 years
Ex Principal, Head Teacher & SLT	
Minutes of SLT meetings and the meeting of other internal administrative bodies	Date of the meeting +3 years then review.
Reports created by the Ex Principal, Head Teacher or the Management Team	Date of the report + a minimum of 3 years then review
Records created by Ex Principal, Head Teacher, Deputy head Teachers, heads of year and other members of staff with administrative responsibilities	Current academic year +6 years then review
Correspondence created by Ex Principal, Head Teacher, heads of year and other members of staff with administrative responsibilities	Date of correspondence +3 years then review
Professional Development Plans	Life of the plan + 6 years
School/Trust Development Plans	Life of the plan + 3 years
Admissions Process	
Type Of Record	Retention Period
All records relating to the creation and implementation of The School Admissions' Policy	Life of the policy +3 years then review
Admission – if the admission is successful	Date of admission +1 year
Admissions – if the appeal is unsuccessful	Resolution of case +1 year
Register of Admissions	Every entry in the admission register must be preserved for a period of 3 years after the date on which the entry was made
Proof of address supplied by parents as part of the admissions process	Current year +1 year
Supplementary information form including additional information such as religion, medical conditions	Current year +1 year
For successful admissions	This information should be added to the pupil file
For unsuccessful admissions	Until appeals process completed

Type of Record	Retention Period
Operational Administration	
General file series	Current year +5 then REVIEW
Records relating to the creation and publication of the school brochure or prospectus	Current Year +3 years
Records relating to the creation and distribution of circulars to staff, parents or pupils	Current year +1 year
Newsletters & other items with a short operational use	Current year +1 year
Visitors Books and signing in sheets	Current year +6 years then REVIEW
Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations	Current year +6 years then REVIEW

Policy Reviewed:	July 2018
Next Review:	July 2020
Signature of Chair of Trust	Signature of Ex Principal

Connected Policies/Notices

SRET Privacy Policy