



Shires MAT

GDPR-Compliant Records Management Policy

This policy was approved by Trustees on 2nd March 2022

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Chair of Trustees

Adopted on 2nd March 2022

This policy will be reviewed annually on or before 2nd March 2023



Legal framework

This policy has due regard to legislation including, but not limited to, the following:

- UK General Data Protection Regulation (GDPR)
- EU GDPR
- Freedom of Information Act 2000
- Limitation Act 1980 (as amended by the Limitation Amendment Act 1980)
- Data Protection Act 2018

This policy also has due regard to the following guidance:

- Information Records Management Society (IRMS) (2019) 'Information Management Toolkit for Schools'
- DfE (2018) 'Data protection: a toolkit for schools'
- DfE (2018) 'Careers guidance and access for education and training providers'

This policy will be implemented in accordance with the following school policies and procedures:

- Data Protection Policy
- Freedom of Information Policy
- ICT Policy and E-safety

Responsibilities

Shires Multi Academy Trust has a responsibility for maintaining its records and record-keeping systems in line with statutory requirements. The headteacher at each site holds the overall responsibility for this policy and for ensuring it is implemented correctly.

The Warwickshire Educational Services (WES) DPO is responsible for completing the information audit regarding the management of records at each school within the trust. We are responsible for ensuring that all records are stored securely, in accordance with the retention periods outlined in this policy, and are disposed of safely and correctly.

All staff members are responsible for ensuring that any records they are responsible for (including emails) are accurate, maintained securely and disposed of correctly, in line with the provisions of this policy.

Management of pupil records

- 1.1. Pupil records are specific documents that are used throughout a pupil's time in the education system - they are passed to each school that a pupil attends and includes all personal information relating to them, e.g. date of birth, home address, as well as their progress and achievement.
- 1.2. The following information is stored on the front of a pupil record, and will be easily accessible:
 - Forename, surname and date of birth
 - Unique pupil number
 - Note of the date when the file was opened

1.3. The following information is stored inside the front cover of a pupil record, and will be easily accessible:

- Ethnic origin, religion and first language (if not English)
- Any preferred names
- Position in their family, e.g. eldest sibling
- Emergency contact details and the name of the pupil's doctor
- Any allergies or other medical conditions that are important to be aware of
- Names of parents, including their home address(es) and telephone number(s)
- Name of the school, admission number, the date of admission and the date of leaving, where appropriate
- Any other agency involvement, e.g. speech and language therapist

1.4. The following information is stored in a pupil record, and will be easily accessible:

- Admissions form
- Details of any SEND
- If the pupil has attended an early years setting, the record of transfer
- Fair processing notice - only the most recent notice will be included
- Annual written reports to parents
- National curriculum and agreed syllabus record sheets
- Notes relating to major incidents and accidents involving the pupil
- Any information about an education and healthcare (EHC) plan and support offered in relation to the EHC plan
- Any notes indicating child protection disclosures and reports are held
- Any information relating to exclusions
- Any correspondence with parents or external agencies relating to major issues, e.g. mental health
- Notes indicating that records of complaints made by parents or the pupil are held

1.5. The following information is subject to shorter retention periods and, therefore, will be stored separately in a personal file for the pupil in the **school office or on Arbor**:

- Absence notes
- Parental and, where appropriate, pupil consent forms for educational visits, photographs and videos, etc.

- Correspondence with parents about minor issues, e.g. behaviour
- 1.6. Hard copies of disclosures and reports relating to child protection are stored in a securely locked filing cabinet at each school, speak to the relevant school office to find out where the location is.
 - 1.7. Hard copies of complaints made by parents or pupils are stored in a different location in each school, check the relevant school office for this information.
 - 1.8. Copies of accident and incident information are stored separately on the school's management information system and held in line with the retention periods outlined in this policy. An additional copy may be placed in the pupil's file in the event of a major accident or incident.
 - 1.9. The school will ensure that no pupil records are altered or amended before transferring them to the next school that the pupil will attend.
 - 1.10. Electronic records relating to a pupil's record will also be transferred to the pupils' next school. Section 10 of this policy outlines how electronic records will be transferred.
 - 1.11. The school will, wherever possible, avoid sending a pupil record by post. Where a pupil record must be sent by post, it will be sent by signed for post. When being hand delivered the school it is sent to is required to sign a copy of the list to indicate that they have received the files and return this to the school.

2. Retention of pupil records and other pupil-related information

- 2.1. The table below outlines the school's retention periods for individual pupil records and the action that will be taken after the retention period, in line with any requirements.
- 2.2. Electronic copies of any information and files will be destroyed in line with the retention periods below.

Type of file	Retention period	Action taken after retention period ends
Admissions		
Register of admissions	Three years after the date on which the entry was made	Information is reviewed and the register may be kept permanently
Secondary school admissions correspondence	The current academic year, plus one year	Securely disposed of
Supplementary information submitted, including religious and medical information etc. (where the admission was successful)	Added to the pupil's record	Securely disposed of
Pupils' educational records		
Pupils' educational records	25 years after the pupil's date of birth	Securely disposed of
Public examination results	Added to the pupil's record	Returned to the examination board
Internal examination results	Added to the pupil's record	Securely disposed of
Public examination results - Pupil copies	Added to the pupil's record	All uncollected certificates should be returned to the examination board
Child protection information held on a pupil's record	If any records are placed on the pupil file they should be stored for the same length of	Securely disposed of - shredded

	time as the pupil's record	
Child protection records held in a separate file	25 years after the pupil's date of birth, then review in consultation with the safeguarding children group, to ensure a principal copy of the information is found on the Local Authority Social Services record.	Securely disposed of - shredded
Attendance		
Attendance registers	Last date of entry on to the register, plus three years	Securely disposed of
Letters authorising absence	Current academic year, plus two years	Securely disposed of
SEND		
SEND files, reviews and individual education plans (Limitation Act 1980 - Section 2)	If there are not transferred onwards to the post 16 destination they are kept for 25 years after the pupil's date of birth (as stated on the pupil's record)	Information is reviewed and the file may be kept for longer than necessary if it is required for the school to defend themselves in a 'failure to provide sufficient education' case. Note the business risk analysis involved in any decision to keep the records longer than the minimum retention period. This should be documented

Statement of SEN maintained under section 234 of the Education Act 1990 or an EHC plan maintained under section 37 of the Children and Families Act 2014 (and any amendments to the statement or plan)	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of, unless it is subject to a legal hold
Information and advice provided to parents regarding SEND	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of, unless it is subject to a legal hold
Accessibility strategy	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of, unless it is subject to a legal hold
Curriculum management		
SATs results	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of
Examination papers (only the entry level test is kept)	Within one year of the outcome of appeals, except Functional skills maths which is retained for three years from the test date.	Securely disposed of
Published Admission Number (PAN) reports	Current academic year, plus six years	Securely disposed of
Valued added and contextual data	Current academic year, plus six years	Securely disposed of
Self-evaluation forms	Current academic year, plus six years	Securely disposed of
Pupils' work, timetables, class record books, mark books, homework record and schemes of work	Returned to pupils at the end of the academic year, or retained for the	Securely disposed of

	current academic year, plus one year	
Timetables, class record books, mark books, homework record and schemes of work	Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a further retention period or securely dispose of
Extra-curricular activities		
Records created on Exeant to obtain approval to run an educational visit outside the classroom	Outdoor educators Advisor's guidance section 3 'Legal framework & Employer systems' & section 4 'Good Practice' Date of visit + 14 years	Securely disposed of
Parental consent forms for school trips where no major incident occurred	Until the conclusion of the trip	Securely disposed of
Parental consent forms for school trips where a major incident occurred	25 years after the pupil's date of birth on the pupil's record (permission slips of all pupils on the trip will also be held to show that the rules had been followed for all pupils)	Securely disposed of
Family liaison officers and home-school liaison assistants		
Referral forms	Whilst the referral is current	Securely disposed of

3. Retention of staff records

- 3.1. The table below outlines the school's retention period for staff records and the action that will be taken after the retention period, in line with any requirements.
- 3.2. Electronic copies of any information and files will also be destroyed in line with the retention periods below.
- 3.3.

Type of file	Retention period	Action taken after retention period ends
Operational		
Staff members' personal file	Termination of employment, plus six years	Securely disposed of
Timesheets	Current academic year, plus six years	Securely disposed of
Annual appraisal and assessment records	Current academic year, plus five years	Securely disposed of
Recruitment		
Records relating to the appointment of a new Principal	Date of appointment, plus six years	Securely disposed of
Records relating to the appointment of new members of staff (unsuccessful candidates)	Date of appointment of successful candidate, plus six months	Securely disposed of
Records relating to the appointment of new members of staff (successful candidates)	Relevant information added to the member of staff's personal file and other information retained for six months	Securely disposed of
DBS certificates	Viewed not retained	If record provided it is immediately securely disposed of

Proof of identify as part of the enhanced DBS check	After identity has been proven	Reviewed and a note kept of what was seen and what has been checked - if it is necessary to keep a copy this will be placed on the staff member's personal file, if not, securely disposed of
Evidence of right to work in the UK	Added to staff personal file or, if kept separately, termination of employment, plus no longer than two years	Securely disposed of

Disciplinary and grievance procedures		
Child protection allegations, including where the allegation is unproven	Added to staff personal file, and until the individual's normal retirement age, or 10 years from the date of the allegation - whichever is longer If allegations are malicious, they are removed from personal files	Reviewed and securely disposed of - shredded
Oral warnings	Date of warning, plus six months	Securely disposed of - if placed on staff personal file, removed from file
Written warning - level 1	Date of warning, plus 6 months	Securely disposed of - if placed on staff personal file, removed from file
Written warning - level 2	Date of warning, plus 12 months	Securely disposed of - if placed on staff personal file, removed from file

Final warning	Date of warning, plus 18 months	Securely disposed of - if placed on staff personal file, removed from file
Records relating to unproven incidents	Conclusion of the case, unless the incident is child protection related and is disposed of as <u>above</u>	Securely disposed of

4. Retention of senior leadership and management records

4.1. The table below outlines the school's retention periods for senior leadership and management records, and the action that will be taken after the retention period, in line with any requirements.

Electronic copies of any information and files will also be destroyed in line with the retention periods below.

Type of file	Retention period	Action taken after retention period ends
Governing board		
Agendas for governing board meetings	One copy alongside the original set of minutes - all others disposed of without retention	Securely disposed of
Original, signed copies of the minutes of governing board meetings	Permanent	Permanently kept
Inspection copies of the minutes of governing board meetings	Date of meeting, plus three years	Secure disposal or shredded if they contain any sensitive and personal information
Reports presented to the governing board	Minimum of six years, unless they refer to individual reports - these are kept permanently	Securely disposed of or, if they refer to individual reports, retained with the signed, original copy of minutes
Meeting papers relating to the annual parents' meeting.	Date of meeting, plus a minimum of six years	Securely disposed of

Section 33 of the Education Act 2002.		
Instruments of government, including articles of association	Permanent	Retained in the school whilst it remains open, then provided to the local authority archives service if the school closes
Trusts and endowments managed by the governing board	Permanent	Retained in the school whilst it remains open, then provided to the local authority archives service if the school closes
Action plans created and administered by the governing board	Duration of the action plan, plus three years	Securely disposed of
Policy documents created and administered by the governing board	Duration of the policy, plus three years	Securely disposed of
Records relating to complaints dealt with by the governing board	Date of the resolution of the complaint, plus a minimum of six years	Reviewed for further retention in case of contentious disputes, then securely disposed of
Annual reports created under the requirements of The Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002	Date of report, plus 10 years	Securely disposed of
Proposals concerning changing the status of the school	Date proposal accepted or declined, plus three years	Securely disposed of
Principal and senior leadership team (SLT)		
Log books of activity in the school maintained by the Principal	Date of last entry, plus a minimum of six years	Reviewed and offered to the local authority archives service if appropriate
Minutes of SLT meetings and the meetings of other internal administrative bodies	Date of the meeting, plus three years	Reviewed and securely disposed of
Reports created by the Principal or SLT Management Team	Date of the report, plus a minimum of three years	Reviewed and securely disposed of

Records created by the Principal, deputy Principal, heads of year and other members of staff with administrative responsibilities	Current academic year, plus six years	Reviewed and securely disposed of
Correspondence created by the Principal, deputy Principal, heads of year and other members of staff with administrative responsibilities	Date of correspondence, plus three years	Reviewed and securely disposed of
Professional development plan	Duration of the plan, plus six years	Securely disposed of
School development plan	Duration of the plan, plus three years	Securely disposed of

5. Retention of health and safety records

- 5.1. The table below outlines the school's retention periods for health and safety records, and the action that will be taken after the retention period, in line with any requirements.
- 5.2. Electronic copies of any information and files will also be destroyed in line with the retention periods below.

Type of file	Retention period	Action taken after retention period ends
Health and safety		
Health and safety policy statements	Duration of policy, plus three years	Securely disposed of
Health and safety risk assessments	Duration of risk assessment, plus three years	Securely disposed of
Records relating to accidents and injuries at work	Date of incident, plus 12 years. In the case of serious accidents, a further retention period should be applied	Securely disposed of

Accident reporting - adults	Date of the incident, plus six years	Securely disposed of
Accident reporting - pupils	25 years after the pupil's date of birth, on the pupil's record	Securely disposed of
Control of substances hazardous to health	Current academic year, plus 40 years	Securely disposed of
Information relating to areas where employees and persons are likely to come into contact with asbestos	Date of last action, plus 40 years	Securely disposed of
Information relating to areas where employees and persons are likely to come into contact with radiation	Date of last action, plus 50 years	Securely disposed of
Fire precautions log books	Current academic year, plus six years	Securely disposed of

6. Retention of financial records

- 6.1. The table below outlines the school's retention periods for financial records and the action that will be taken after the retention period, in line with any requirements.
- 6.2. Electronic copies of any information and files will also be destroyed in line with the retention periods below.

Type of file	Retention period	Action taken after retention period ends
Payroll pensions		
Maternity pay records	Current academic year, plus three years	Securely disposed of
Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Current academic year, plus six years	Securely disposed of
Risk management and insurance		

Employer's liability insurance certificate	Closure of the school, plus 40 years	Securely disposed of
Asset management		
Inventories of furniture and equipment	Current academic year, plus six years	Securely disposed of
Burglary, theft and vandalism report forms	Current academic year, plus six years	Securely disposed of
Accounts and statements including budget management		
Annual accounts	Current academic year, plus six years	Securely disposed of
Loans and grants managed by the school	Date of last payment, plus 12 years	Information is reviewed then securely disposed of
All records relating to the creation and management of budgets	Duration of the budget, plus three years	Securely disposed of
Invoices, receipts, order books, requisitions and delivery notices	Current financial year, plus six years	Securely disposed of
Records relating to the collection and banking of monies	Current financial year, plus six years	Securely disposed of
Records relating to the identification and collection of debt	Current financial year, plus six years	Securely disposed of
Contract management		
All records relating to the management of contracts under seal	Last payment on the contract, plus 12 years	Securely disposed of
All records relating to the management of contracts under signature	Last payment on the contract, plus six years	Securely disposed of
All records relating to the monitoring of contracts	Current academic year, plus two years	Securely disposed of
School fund		

Cheque books, paying in books, ledgers, invoices, receipts, bank statements and journey books	Current academic year, plus six years	Securely disposed of
School meals		
Free school meals registers	Current academic year, plus six years	Securely disposed of
School meals registers	Current academic year, plus three years	Securely disposed of
School meals summary sheets	Current academic year, plus three years	Securely disposed of

7. Retention of other school records

- 7.1. The table below outlines the school's retention periods for any other records held by the school, and the action that will be taken after the retention period, in line with any requirements.
- 7.2. Electronic copies of any information and files will also be destroyed in line with the retention periods below.

Type of file	Retention period	Action taken after retention period ends
Property management		
Title deeds of properties belonging to the school	Permanent	Transferred to new owners if the building is leased or sold
Plans of property belonging to the school	For as long as the building belongs to the school	Transferred to new owners if the building is leased or sold
Leases of property leased by or to the school	Expiry of lease, plus six years	Securely disposed of
Records relating to the letting of school premises	Current financial year, plus six years	Securely disposed of
Maintenance		

All records relating to the maintenance of the school carried out by contractors	Current academic year, plus six years	Securely disposed of
All records relating to the maintenance of the school carried out by school employees, including maintenance log books and H&S maintenance testing records.	Current academic year, plus six years	Securely disposed of
Operational administration		
General file series	Current academic year, plus five years	Reviewed and securely disposed of
Records relating to the creation and publication of the school brochure and/or prospectus	Current academic year, plus three years	Standard disposal
Records relating to the creation and distribution of circulars to staff, parents or pupils	Current academic year, plus one year	Transfer to archives with a sample kept for permanent preservation or Standard disposal
Newsletters and other items with short operational use	Current academic year plus one year	Reviewed then Standard disposal
Visitors' books and signing-in sheets	Current academic year, plus six years	Reviewed then securely disposed of
Records relating to the creation and management of parent-teacher associations and/or old pupil associations	Current academic year, plus six years	Reviewed then securely disposed of

8. Storing and protecting information

- 8.1. Where possible, backed-up information will be stored off the school premises, using a central back-up service.

- 8.2. Confidential paper records are kept in a locked filing cabinet, drawer or safe, with restricted access.
- 8.3. Confidential paper records are not left unattended or in clear view when held in a location with general access.
- 8.4. Digital data is coded, encrypted or password-protected, both on a local hard drive and on a network drive that is regularly backed-up.
- 8.5. Where data is saved on removable storage or a portable device, the device is encrypted and password protected.
- 8.6. Memory sticks are not used to hold personal information unless they are password-protected and fully encrypted.
- 8.7. All electronic devices are password-protected and where possible smartphones holding data are further protected with a fingerprint recognition facility to protect the information on the device in case of theft.
- 8.8. Staff and governors do not use their personal laptops or computers for school purposes.
- 8.9. All members of staff are provided with their own secure login and password,.
- 8.10. Emails containing sensitive or confidential information are password-protected to ensure that only the recipient is able to access the information. The password will be shared with the recipient in a separate email. Or they are transmitted using an Egress Switch encrypted account.
- 8.11. Circular emails to parents are sent blind carbon copy (bcc), so email addresses are not disclosed to other recipients.
- 8.12. Where personal information that could be considered private or confidential is taken off the premises, to fulfil the purpose of the data in line with the UK GDPR, either in an electronic or paper format, staff take extra care to follow the same procedures for security, e.g. keeping devices under lock and key. The person taking the information from the school premises accepts full responsibility for the security of the data.
- 8.13. Before sharing data, staff must always ensure that:
 - They have consent from data subjects to share it.
 - Adequate security is in place to protect it.
 - The data recipient has been outlined in a privacy notice.
- 8.14. All staff members will implement a 'clear desk policy' to avoid unauthorised access to physical records containing sensitive or personal information. All confidential information will be stored in a securely locked filing cabinet, drawer or safe with restricted access.

- 8.15. Under no circumstances are visitors allowed access to confidential or personal information. Visitors to areas of the school containing sensitive information are supervised at all times.
- 8.16. The physical security of the school's buildings and storage systems, and access to them, is reviewed **termly** by the **site manager** in conjunction with **the DPO Champion**. If an increased risk in vandalism, burglary or theft is identified, this will be reported to the **Headteacher** and extra measures to secure data storage will be put in place.
- 8.17. The school takes its duties under the GDPR seriously and any unauthorised disclosure may result in disciplinary action.
- 8.18. The DPO Champion is responsible for continuity and recovery measures are in place to ensure the security of protected data.
- 8.19. Any damage to or theft of data will be managed in accordance with the school's **Breach procedure**
- 8.20. As a result of the EU exit, completed 1 January 2021, data controllers and processors follow the UK GDPR, and the Data Protection Act 2018, where:
- As UK data controllers, they collect, store or process the personal data of individuals residing in the UK.
 - As non-UK data controllers, they offer goods or services to, or monitor the behaviour of, UK residents.
- 8.21. Data controllers and processors follow the EUGDPR where:
- They collect, store or process the personal data of individuals residing in the EU.
 - As non-EU data controllers, they offer goods or services to, or monitor the behaviour of, EU residents.

9. Accessing information

- 9.1. Shires Multi Academy Trust is transparent with data subjects, the information we hold and how it can be accessed.
- 9.2. All members of staff, parents of registered pupils and other users of the school, e.g. visitors and third-party clubs, are entitled to:
- Know what information the school holds and processes about them or their child and why.
 - Understand how to gain access to it.
 - Understand how to provide and withdraw consent to information being held.
 - Understand what the school is doing to comply with its obligations under the UK GDPR.

- 9.3. All members of staff, parents of registered pupils and other users of the school and its facilities have the right, under the UK GDPR, to access certain personal data being held about them or their child.
- 9.4. Personal information can be shared with pupils once they are considered to be at an appropriate age and responsible for their own affairs; although, this information can still be shared with parents.
- 9.5. Pupils who are considered to be at an appropriate age to make decisions for themselves are entitled to have their personal information handled in accordance with their rights.
- 9.6. The school will adhere to the provisions outlined in the school's **Data Protection Policy** when responding to requests seeking access to personal information.

10. Digital continuity statement

- 10.1. Digital data that is retained for longer than six years will be named as part of a **digital continuity statement**.
- 10.2. The **IT Manager** will identify any digital data that will need to be named as part of a digital continuity statement.
- 10.3. The data will be archived to dedicated files on the school's server, which are password-protected.
- 10.4. Memory sticks will never be used to store digital data, subject to a digital continuity statement.
- 10.5. The IT technician will review new and existing storage methods annually.

11. Information audit

- 11.1. The school's within the Trust conducts information audits on an **annual** basis against all information held by the school's to evaluate the information the school's are holding, receiving and using, and to ensure that this is correctly managed in accordance with the GDPR. This includes the following information:
 - Paper documents and records
 - Electronic documents and records
 - Databases
 - Microfilm or microfiche
 - Sound recordings
 - Video and photographic records
 - Hybrid files, containing both paper and electronic information
- 11.2. The information audit may be completed in a number of ways, including, but not limited to:

- Interviews with staff members with key responsibilities - to identify information and information flows, etc.
- Questionnaires to key staff members to identify information and information flows, etc.
- A mixture of the above

11.3. The **Warwickshire Educational Services (WES) DPO** is responsible for completing the information audit. The information audit will include the following:

- The school's data needs
- The information needed to meet those needs
- The format in which data is stored
- How long data needs to be kept for
- Vital records status and any protective marking
- Who is responsible for maintaining the original document

11.4. The **WES DPO** will consult with staff members involved in the information audit process to ensure that the information is accurate.

11.5. Once it has been confirmed that the information is accurate, the **WES DPO** will record all details on the school's **Information Asset Register**.

11.6. The information displayed on the **Information Asset Register** will be shared with the **Headteacher** to gain their approval.

12. Disposal of data

12.1. Where disposal of information is outlined as standard disposal, this will be recycled appropriate to the form of the information, e.g. paper recycling, electronic recycling.

12.2. Where disposal of information is outlined as secure disposal, this will be shredded or pulped and electronic information will be scrubbed clean and, where possible, cut. The DPO Champion will keep a record of all files that have been destroyed.

12.3. Where the disposal action is indicated as reviewed before it is disposed, the DPO Champion will review the information against its administrative value - if the information should be kept for administrative value, the DPO Champion will keep a record of this.

12.4. If, after the review, it is determined that the data should be disposed of, it will be destroyed in accordance with the disposal action outlined in this policy.

12.5. Where information has been kept for administrative purposes, the DPO Champion will review the information again after **three** years and conduct the same process. If it needs to be destroyed, it will be destroyed in accordance with the disposal action

outlined in this policy. If any information is kept, the information will be reviewed every **three** subsequent years.

- 12.6. Where information must be kept permanently, this information is exempt from the normal review procedures

13. Monitoring and review

- 13.1. This policy will be reviewed on an **annual** basis by the DPO Champion in conjunction with the **CEO** and will be sent to the **Trust Board** for approval - the next scheduled review date for this policy is **February 2023**.
- 13.2. Any changes made to this policy will be communicated to all members of staff and the full governing board's at each school.