Disposal of Records Schedule and Records Management Policy

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Section 1 – Introduction

1. Functions of Tyne and Wear Learning Trust

Tyne and Wear Learning Trust operates primary school academies for pupils aged 3 to 11 serving in the Tyne and Wear area.

The trust also operates Daycare provision, and a community sports hall and space for parental / children's activities.

2. Purpose of Disposal Schedule

This disposal schedule identifies the disposal arrangements for all records created by Tyne and Wear Learning Trust. **Any records in our MIS System (Arbor) are managed by the individual settings in the Trust. Minimum retention periods for these records in Arbor are being adhered to. It is not necessary for schools to delete specific items of data from the MIS system at this time.**

3. Categories of Disposal

- Destruction
- Review
- Permanent preservation

Section 2 – Operation of this Disposal of Records Schedule

1. Close

Manual records should be closed as soon as they have ceased to be of active use other than for reference purposes. When a file is due to be closed the appropriate member of staff should consult the disposal schedule and mark the front cover of the file, indicating the date on which the file can be destroyed, or whether it should be subject to the normal review procedures. Closing a file simply means that no further papers can be added but the file can be used for reference.

2. Minimum Retention Period

The minimum retention period required for each type of record is calculated from the point the file/record is closed.

3. Destroy

Where the disposal action is ‘Destroy’ the records should be kept for the period stated and then destroyed by the school in accordance with the directions on recycling and shredding. A record must be maintained of the files that have been destroyed.

4. Review

Where the disposal action is ‘Normal Review’ the file will be subject to the normal review processes. The First Review of the file takes place 6 years from the date of the last paper on the file and should not be later than 10 years from the opening of the file. Records of long-term administrative use need not

be brought forward for the First Review. This will be initiated by an appropriate official at the discretion of the school. The review procedures are as follows: -

(a) A member of staff should carry out a first review of each file based solely on its administrative value.

(b) The reviewing officer should keep a record of files that he/she wishes to keep for administrative purposes. This first review monitoring procedure will help to ensure that all types of files or file series have been covered in the disposal schedule or, if such files have been created since the disposal schedule was established, they can be added to a revised schedule.

5. Permanent Preservation

Where the disposal action is Permanent Preservation the records are exempt from the normal review procedures. In some cases the Public Record Office will seek transfer of files that are marked for permanent preservation.

6. Commitment to preserving files/records

Tyne and Wear Learning Trust declares that it will take measures to ensure that the records it creates will be physically well maintained and cared for while they are in its custody (i.e. until either destroyed or retained for permanent preservation).

7. Roles and Responsibilities

The Headteacher is responsible for ensuring that records and information systems in their areas conform to this policy and to the requirements of legislation. **All members of staff** are responsible for documenting their

actions and decisions in the records and for maintaining the records in accordance with good records management practice.

The role of the **appointed member of staff** is to ensure compliance with Records Management standards within their area of responsibility, and to co-ordinate activities aimed at ensuring that information is recorded, stored, managed and disposed of both effectively and legally.

Section 3 – Definitions of Records held by Barnwell Academy in respect of each of its Functional Business Areas.

There are seven main functional business areas for which Barnwell Academy keeps records as follows:

1. Management and Organisation
2. Legislation & Guidance
3. Pupils
4. Staff
5. Finance
6. Health & Safety
7. Daycare

The records contained within these functional areas provide evidence and information about its business activities that are important for the efficient operation of the school.

1. Management and Organisation

This category includes the main records which the School holds in relation to the management and organisation of the school. Typical records would include the minutes of the Board of Governors, the Senior Management Team and any Parent/Teachers Association meetings which record the major decision making processes of the school. Also included are records detailing development, planning and curriculum policies as well as those that demonstrate how the school reports to its parents and other organisations. Records include the School Development Plan, the School Prospectus, Curriculum policies, Annual Report, Emergency Planning and Business Continuity Plan along with the records of meetings, minutes, and policies documenting the decisions and actions taken within this business function.

2. Legislation and Guidance from DFE

Files maintained under this heading contain papers relating to legislation e.g. the Circulars, Guidance, Bulletins from the Dept for Education etc. Correspondence in connection with Statistical Returns and documents relating to Dept for Education Inspections and Reports.

3. Pupils

Pupil Files contain vitally important records which, not only, capture the progress of the student throughout their time at the school, but also document their personal details and information beneficial to their well being within the school environment. Such records would include Admission Data, Attendance of the pupils at the school, Timetables and Class Groupings, Education/Progress Reports of pupils, Special Education Needs documentation, Child Protection information, Disciplinary Action taken, Examination Results, Careers Advice, School Trips details and Medical Records (details of medical conditions where medicines are required to be administered at school).

4. Staff

Records in this category refer to be those required for the Human Resources Management function within the school. These include Staff Personnel records (recruitment, interview notes, appointments, training, staff development etc), Staff Salary Records, Staff Induction, Sickness Records, Staff Performance Review, Substitute Teacher Records and Student Teachers on Teaching Practice etc.

5. Finance

This business function within the school maintains records for a range of finance activities such as Annual Budgets, Budget Monitoring, Annual Statement of Accounts, Procurement, Tender Information and Prices, Reconciliation of Invoices, Audit Reports etc.

6. Health & Safety

The health and safety of children and staff are of paramount importance in the school and such records to support this are kept e.g. Accident/Incident Book, Legal/Accident/Incident Forms, Risk Assessments, Fire Procedure, CCTV, Security System Files, Health and Safety Policy Statement.

7. Daycare/Community Lettings

This additional business trust function maintains records that include similar information from the previous six headings but are specific to the Daycare nursery or community lettings functions.

The tables for retention periods are based on information provided by the Information Records Management Society (IRMS) and the DfE and are not an exhaustive list of records that may be kept by schools.

SECTION 4 - SCHOOL DISPOSAL SCHEDULE

1. Management & Organisation

Basic File Description	Data Protection Issues	Minimum Retention Period	Action After Retention	Storage
Trust- Articles of Association		Life if the Academy	Secure disposal	Academy Lock Up
Constitution Written scheme of delegation		Life if the Academy	Secure disposal	Academy Lock Up
Special resolutions to amend the constitution		Life if the Academy	Secure disposal	Academy Lock Up
Trustees – appointment	Personal Information	Life of appointment plus 6 years	Secure disposal	Academy Lock Up
Trustees– disqualification	Personal Information	15 years	Secure disposal	Academy Lock Up
Trustees– termination of office	Personal Information	6 years	Secure disposal	Academy Lock Up
Agendas for Governing Body Meetings	Meeting may deal with confidential matters	One copy retained	Local Archives consulted before secure disposal	Academy Lock Up
Minutes of the Governing Body Meeting	Meeting may deal with confidential matters	One copy retained		Academy Lock Up
Principal Set signed		Permanent		Academy Lock Up- then offered to County Archives Service
Inspection Copies (held by Clerk)		3 years	Secure disposal	Academy Lock Up

Reports presented to the Governing Body	Meeting may deal with confidential matters	6 years	Secure disposal	Academy Lock Up
Meeting paper related to AGM		6 years	Secure disposal	
Instruments of Government including articles of association		Permanent		Academy Lock Up- then offered to County Archives Service
Trusts and endowments managed by Governing Body		Permanent		Academy Lock Up- then offered to County Archives Service
Action Plans created by the Governing Body		3 years	Secure disposal	Academy Lock Up
Policies created by the Governing Body		3 years	Secure disposal	Academy Lock Up
Complaints dealt with by the Governing Body	Staff/parent/child identity	6 years	Secure disposal	Academy Lock Up
Governors Annual Reports	Meeting may deal with confidential matters	10 years	Secure disposal	Academy Lock Up
Proposals to change the status of a maintained school		3 years	Secure disposal	Academy Lock Up
Log books or records of activity	Reference to pupils or staff	6 years	Historical Value- may be kept	Academy Lock Up
Minutes of SMT meetings or other administative meetings	Reference to pupils or staff	3 years	Secure Disposal	Academy Lock Up or locked school cupboard
Reports created by HT or SMT	Reference to pupils or staff	3 years	Secure Disposal	Academy Lock Up or locked school cupboard
Records created by HT or SMT including subject leads	Reference to pupils or staff	6 years	Secure Disposal	Academy Lock Up
Correspondance created by HT or SMT	Reference to pupils or staff	3 years	Secure Disposal	Academy Lock Up or locked school cupboard
Proffessional Development Plans	Reference to pupils or staff	6 years	Secure Disposal	Academy Lock Up

School Improvement Plans	Reference to pupils or staff	3 years	Secure Disposal	Academy Lock Up or locked school cupboard
General Files		6 years	Secure Disposal	Academy Lock Up
School Brochure/Prospectus		3 years	Shredding	Locked Filing Unit
Circulars/Memo to staff, parents or pupils		1 year	Shredding	Locked Filing Unit
Newsletters		1 year	Shredding	Locked Filing Unit
Vistors Books and Signing in Sheets	Staff/Parent/Pupil/Vistor Info	6 years	Secure Disposal	Academy Lock Up
PTA or other parent associations		6 years	Secure Disposal	Academy Lock Up

2. Legislation and Guidance from DFE

Basic File Description	Data Protection Issues	Minimum Retention Period	Action After Retention	Storage
Transfer Sheets	yes	6 years	Secure Disposal	Academy Lock Up/Locked Filing Unit
Attendance Returns	yes	6 years	Secure Disposal	Academy Lock Up/Locked Filing Unit
School Census Returns		6 years	Secure Disposal	Academy Lock Up/Locked Filing Unit
Circulars from Government/LA		Life of use	Secure Disposal	
Ofsted reports		Life of report	Secure Disposal	Filed
Returns to Central Government/LA		6 years	Secure Disposal	Academy Lock Up/Locked Filing Unit

3. Pupils

Basic File Description	Data Protection Issues	Minimum Retention Period	Action After Retention	Storage
Pupil's Educational record	Yes	Life at Academy	Transfer with pupil	ARBOR
Exam results	Yes	Add to pupil file	Transfer with pupil	ARBOR
Child Protection Information	Yes	25 years	Secure Disposal	Academy Lock Up
Attendance Registers	Yes	6 years	Secure Disposal	Academy Lock Up

Correspondence about attendance	Yes	6 years	Secure Disposal	Academy Lock Up
SEN Education Plans	Yes	25 years	Secure Disposal	Academy Lock Up
EHCP	Yes	25 years	Secure Disposal	Academy Lock Up
SEN records	Yes	25 years	Secure Disposal	Academy Lock Up
Accessibility Strategy	Yes	25 years	Secure Disposal	Academy Lock Up
Curriculum returns		6 years	Secure Disposal	Academy Lock Up/Locked Cupboard
SATs Results	Yes	Add to pupil File- copies 6 years	Secure Disposal	Academy Lock Up/Locked Cupboard
SATs Papers	Yes	1 year	Secure Disposal	Academy Lock Up/Locked Cupboard
Contextual Data	Yes	6 years	Secure Disposal	Academy Lock Up/Locked Cupboard
Self Evaluation Records	Yes	6 years	Secure Disposal	Academy Lock Up/ Locked Cupboard
Schemes of Work		1 year	Secure Disposal	Locked Cupboard
Lesson plans		1 year	Secure Disposal	Locked Cupboard
Timetables		1 year	Secure Disposal	Locked Cupboard
Class record logs		1 year	Secure Disposal	Locked Cupboard

Mark Books or Records		1 year	Secure Disposal	Locked Cupboard
Record of Homework		1 year	Secure Disposal	Locked Cupboard
Pupils' work		6 months	Front covers removed-shredded	Locked Cupboard
Questionnaires	Yes	6 years	Secure Disposal	Academy Lock Up
Dinner Register		6 years	Secure Disposal	Academy Lock Up
School Meals Summer Sheets		6 years	Secure Disposal	Academy Lock Up
Records to obtain approval for Educational Visit Outside		14 years	Secure Disposal	Academy Lock Up
Parental Consent Forms- No major accidents	yes	End of trip	Shredded	
Parental Consent Forms- Major accident	yes	25 years	Secure Disposal	Academy Lock Up
Group registers	yes	6 years	Secure Disposal	Academy Lock Up
Contact Data Sheets	yes	1 year	Secure Disposal	Locked Filing Unit
Reports for outside agencies	yes	6 years	Secure Disposal	Academy Lock Up
Records relating to creation of Admissions Policy		3 years	Secure Disposal	Academy Lock Up or Locked Cupboard
Admissions- successful	Yes	1 year	Secure Disposal	Locked Filing Unit
Admissions- unsuccessful/appeal	Yes	1 year	Secure Disposal	Locked Filing Unit

Register of Admissions	Yes	6 years	Secure Disposal	Academy Lock Up
Proof of address for admissions	Yes	1 year	Secure Disposal	Locked Filing Unit
Successful Supplementary Information- religion etc.	Yes	added to pupil file	Secure Disposal	Locked Filing Unit/ARBOR
Unsuccessful Supplementary Information- religion etc.	Yes	After appeals process complete	Secure Disposal	Locked Filing Unit
PAN reports	Yes	6 years	Secure Disposal	Academy Lock Up or Locked Cupboard

4. Staff

Basic File Description	Data Protection Issues	Minimum Retention Period	Action After Retention	Storage
Staff Personal File	Yes	Employment + 6 years	Secure Disposal	Locked Filing Unit
Timesheets, sick pay, maternity pay	Yes	6 years	Secure Disposal	Locked Filing Unit/Academy Lock Up
Annual Appraisal/Performance Management	Yes	6 years	Secure Disposal	Locked Filing Unit
Allegation of CP against Staff member	Yes	Retirement Age	Secure Disposal	Locked Filing Unit
Malicious unfounded allegation of CP- staff	Yes	Removed from file on conclusion	Secure Disposal	Locked Filing Unit
Disciplinary- Informal / Oral	Yes	1 year	Secure Disposal	Locked Filing Unit

Disciplanary - Formal Reviews	Yes	1 year	Secure Disposal	Locked Filing Unit
Disciplinary- 1st written	Yes	1 year	Secure Disposal	Locked Filing Unit
Disciplinary- Final	Yes	18 months	Secure Disposal	Locked Filing Unit
Disciplinary - case not found	Yes	Conclusion of case	Secure Disposal	Locked Filing Unit
Staff Attendance- Informal	Yes	Live for 1 year + Employment	Secure Disposal	Locked Filing Unit
Staff Attendance- 1st written	Yes	Live for 1 year + Employment	Secure Disposal	Locked Filing Unit
Staff Attendance- Final written	Yes	Live for 1 year + Employment	Secure Disposal	Locked Filing Unit
Records for HT appointment	Yes	6 years	Secure Disposal	Locked Filing Unit
Records for staff appointments-successful	Yes	Add to personal file +6 months	Secure Disposal	Locked Filing Unit
Records for staff appointments-unsuccessful	Yes	6 months	Secure Disposal	Locked Filing Unit
Pre-employment vetting info	Yes	6 months	Secure Disposal	Locked Filing Unit
Proof of ID	Yes	Life of employment in personal file		Locked Filing Unit

5. Finance

Basic File Description	Data Protection Issues	Minimum Retention Period	Action After Retention	Storage
Maternity Pay Records	Yes	6 years	Secure Disposal	Academy Lock Up
Records of Retirement Benefits	Yes	6 years	Secure Disposal	Academy Lock Up
Employers Liability Insurance		Permanent	Offered to County Archives	Academy Lock Up
Inventories of furniture/equipment		6 years	Secure Disposal	Academy Lock Up
Burglary/theft/vandalism reports		6 years	Secure Disposal	Academy Lock Up
Annual Accounts		6 years	Secure Disposal	Academy Lock Up
Loans and Grants		12 years	Secure Disposal	Academy Lock Up
Records of school budget		6 years	Secure Disposal	Academy Lock Up
Invoices, receipts, order books, requisitions, delivery notices		6 years	Secure Disposal	Academy Lock Up
Collection and banking of money		6 years	Secure Disposal	Academy Lock Up
Records of debt collection		6 years	Secure Disposal	

Management of contracts		12 years	Secure Disposal	Academy Lock Up
School Fund- cheque books		6 years	Secure Disposal	Academy Lock Up
School Fund- paying in books		6 years	Secure Disposal	Academy Lock Up
School Fund- ledgers		6 years	Secure Disposal	Academy Lock Up
School Fund- invoices		6 years	Secure Disposal	Academy Lock Up
School Fund- receipts		6 years	Secure Disposal	Academy Lock Up
School Fund- bank statements		6 years	Secure Disposal	Academy Lock Up
School Meals Registers + FSM	Yes	6 years	Secure Disposal	Academy Lock Up
School Meals summaries and records	Yes	6 years	Secure Disposal	Academy Lock Up

6. Health & Safety

Basic File Description	Data Protection Issues	Minimum Retention Period	Action After Retention	Storage
Health and Safety Policies		6 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Health and Safety Risk Assessments		6 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Records of accident/injury at work	Yes	12 years	Secure Disposal	Locked Storage Unit/Academy Lock Up

Accident Reporting-Adults	Yes	6 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Accident Reporting- Children	Yes	25 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
COSHH		10 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Asbestos		40 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Radiation		50 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Fire Precaution Logs		6 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Legionnaire		6 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
CCTV footage	Yes	5 weeks	Overwrite with new footage	Academy Network Server
Accessibility Plans	Yes	6 Years	Secure Disposal	Locked Storage Unit/Academy Lock Up
Title Deeds		Permanent		Academy Lock Up
Property Plans		Permanent		Academy Lock Up
Leases of property by or to the Academy		6 years after expiry of lease	Secure Disposal	Academy Lock Up/Locked Filing Unit
Letting records		6 years	Secure Disposal	Academy Lock Up/ Locked Filing Unit
Records of maintenance of the school by contractors		6 years	Secure Disposal	Academy Lock Up/ Locked Filing Unit

Records of maintenance of the school by Academy		6 years	Secure Disposal	Academy Lock Up/ Locked Filing Unit

7. Daycare

Basic File Description	Data Protection Issues	Minimum Retention Period	Action After Retention	Storage
Minutes of Senior Management Meetings		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
Reports Created by Daycare Manager		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
Correspondence created by Daycare Manager		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
Professional Development Plans		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
School Improvement/Action Plans		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
Health and Safety Risk Assessments		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
Accident Reporting- adults		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
Accident Reporting- children		25 years	Secure Disposal	Academy Locker/Locked Filing Unit
Staff Personal File		Life of employment + 6 years	Secure Disposal	Academy Locker/ Locked Filing Unit
Timesheets		6 years	Secure Disposal	Academy Locker/ Locked Filing Unit
Appraisal/Performance Management		6 years	Secure Disposal	Academy Locker/Locked Filing Unit
Signing In sheets and visitors books		6 years	Secure Disposal	Academy Locker/Locked Filing Unit

Records of staff/parent circulars		1 year	Shredded	Locked Filing unit
Newsletters		1 year	Shredded	Locked Filing Unit
Register of admissions		6 years	Secure Disposal	Academy Locker
Proof of address/ID		1 year	Secure Disposal	Locked Filing Unit
Finance-cheque books		6 years	Secure Disposal	Academy Locker
Paying in books		6 years	Secure Disposal	Academy Locker
Credit Card records		6 years	Secure Disposal	Academy Locker
Invoices		6 years	Secure Disposal	Academy Locker
Requisitions		6 years	Secure Disposal	Academy Locker
Receipts		6 years	Secure Disposal	Academy Locker
Bank Statements		6 years	Secure Disposal	Academy Locker
Free school meal registers		6 years	Secure Disposal	Academy Locker
Child Protection records		Transferred with pupil or 25 years	Secure Disposal	Academy Locker
SEN records		Transferred with pupil or 25 years	Secure Disposal	Academy Locker
Attendance registers		6 years	Secure Disposal	Academy Locker

Pupil Data		6 years	Secure Disposal	Academy Locker
Self evaluation records		6 years	Secure Disposal	Academy Locker
Nappy sheets		6 months	Shredded	Daycare
Sleep sheets		6 months	Shredded	Daycare
Records of Daycare trips visits off the premises		14 years	Secure Disposal	Academy Locker
Parent consent forms for trips and visits		Conclusion of trip	Shredded	
Planning		1 year	Shredded	Daycare
Schemes of Work		1 year	Shredded	Daycare
Timetables		1 year	Shredded	Daycare
Pupil Record Books/Observations		1 year	Shredded	Daycare
Learning Journals		1 year	Given to parents/carers or shredded	Daycare

Records Management Policy

The School recognises that the efficient management of its records is necessary to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

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:

- DfE (2023) 'Data protection in schools'
- DfE (2018) 'Data protection: a toolkit for schools'
- DfE (2023) 'Careers guidance and access for education and training providers'
- ESFA (2022) 'Record keeping and retention information for academies and academy trusts'
- Information Records Management Society (IRMS) (2019) 'Information Management Toolkit for Schools'
- IRMS (2019) 'Academies Toolkit'
- ICO (2023) 'How do we document our processing activities?
- ICO (2023) 'Controllers checklist'

1 Scope of the policy

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.

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 timely.

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.

2.4 The DPO will be responsible for the management of records at the school, promoting compliance and ensuring that all records are stored securely, in accordance with the retention periods outlined in this policy, and are disposed of safely and correctly.