



## Records Management Policy

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“Learning together; to be the best we can be”

# 1. Introduction

1.1. Nexus Multi Academy 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 Trust. Records provide evidence for protecting the legal rights and interests of the Trust, and provide evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited.

1.2. This policy is intended to ensure compliance with the legal duties on the Trust, including (but not exclusively):

- The Academies Financial Handbook;
- The Education Funding Agency Funding Agreement;
- The Data Protection Act;
- The Freedom of Information Act;
- The General Data Protection Regulation.

# 2. Scope of the policy

2.1. This policy applies to all records created, received or maintained by staff of the Trust and its constituent academies in the course of carrying out its functions.

2.2. Records are defined as all those documents which facilitate the business carried out by the Trust 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.

2.3. A small percentage of the Trust records will be selected for permanent preservation as part of the organisation's archives and for historical research.

## 3. Responsibilities

- 3.1. 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 Chief Executive Officer. Management at an individual academy level is delegated to the Headteacher.
- 3.2. The person responsible for records management in the academy 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.
- 3.3. Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with this policy.

## 4. Storage of Records

### 4.1. The storage of records should involve:

- planning the information needs of the Trust;
- identifying information for retention;
- creating, approving and enforcing policies and practices regarding records, including their organisation and disposal;
- developing a records storage plan, which includes the short and long-term housing of physical records and digital information;
- identifying, classifying and storing of records;
- co-ordinating access to records internally and outside of the organisation, balancing the requirements of confidentiality, data protection and public access;
- executing a retention policy on the disposal of records which are no longer required for operational purposes: according to organisation policies, statutory requirements and other regulations, this may involve either their destruction or permanent preservation in an archive.

4.2. Records must be stored in such a way that they are accessible and safeguarded against environmental damage. All files in current use must be stored appropriately:

- Closed, Personal/sensitive records are kept securely in a locked, fire proof filing cabinets and access to the files is restricted to authorised personnel. This should be considered the minimum standard.
- All pupil records should be kept securely at all times. Paper records should be kept in locked filing cabinets/storage areas and the contents should be secure within the file. Equally, electronic records should have appropriate security. Records will be maintained according to any model protocol for record keeping on children and young people.
- Access arrangements for pupil records should ensure that confidentiality is maintained whilst equally enabling information to be shared lawfully and appropriately, and to be accessible for those authorised to see it.
- Staff records are stored in locked filing cabinet and accessed only by persons authorised by the Headteacher.
- Financial records are stored appropriately by relevant staff and published online in accordance with the requirements of Companies House and the Academies Financial Handbook.
- Management Information Systems – SIMS and FMS use restricted to relevant staff members and password protected. Passwords should not be divulged to other persons.
- All records to be archived as per the Document Retention Schedule will be stored in appropriate boxes. Boxes will indicate contents and date of disposal. Where applicable boxes will contain a contents list.

## 5. Safe disposal of records which have reached the end of their administrative life

5.1. The Data Protection Act 1998 and the General Data Protection Regulation (2018) stipulate that records should be kept for no longer than necessary. Where records have been identified for destruction they should be disposed of in an appropriate way. All records containing personal information or sensitive policy information will be shredded before disposal using a cross cut shredder.

- 5.2. Records should not be placed in the dustbin or a skip unless there is no other alternative. There are companies who can provide confidential waste bins and other services which can be purchased to ensure that records are disposed of in an appropriate way.
- 5.3. CDs/DVDs/Floppy disks should be shredded. USBs, Audio/Video tapes and fax rolls should be dismantled and shredded. Hard disks should be disposed using the Trust's approved disposal company.
- 5.4. The Freedom of Information Act 2000 requires the Trust to maintain a list of records which have been destroyed and who authorised their destruction.
- 5.5. Members of staff should record at least: File reference (or other unique identifier);
- File title (or brief description);
  - Number of files and date range;
  - The name of the authorising officer
  - Date action taken
- 5.6. This record will be kept and maintained by each individual academy.

## 6. Document Retention Schedule

- 6.1. The retention schedule has been drawn up by the Records Management Society of Great Britain and is Version 4 dated May 2012. The schedule covers the main categories of document/records held in an academy, the appropriate retention period and type of disposal required. The following examples are taken from the retention schedule:

Type of Record	Retention Period	Disposal Method
Child protection files	DOB + 25 years	Shred
Governor Minutes	For life of the academy	Shred
Reports for Governors	Date of report + 6 years	Shred
SLT minutes	Date of meeting + 5 years	Shred
School Development Plans	Closure + 6 years	Shred
Attendance Registers	Date of register + 3 years	Shred
Free School Meals Registers	Current year + 6 years	Shred
Pupil files	DOB + 25 years – (follows pupil to new school if relevant)	Shred
SEN files, reviews, IEPs	DOB + 25 years	Shred
Curriculum development	Current year + 6 years	Shred
Schemes of work	Current year + 1 year	Shred
Staff personal files	Termination + 7 years	Shred
Records relating to accident/injury at work	Date of incident + 12 years	Shred
Annual appraisal/review	Current year + 5 years	Shred
Accessibility Plans	Current year + 6 years	Shred
Risk Assessments	Current year + 3 years	Shred
Inventories	Current year + 6 years	Shred
Newsletters	Current year +1 year	Shred
Visitors book	Current year + 2 years	Shred
PTA records	Current year + 6 years	Shred
Copy orders	Current year + 6 years	Shred
Budget reports	Current year + 3 years	Shred
Invoices	Current year + 6 years	Shred
Annual budget & background papers	Current year + 6 years	Shred
Delivery documentation	Current year + 6 years	Shred
School fund bank statements/paying in books	Current year + 6 years	Shred
Petty cash books	Current year + 6 years	Shred
Maintenance log books –	current year + 10 years	Shred