

# HAZELDENE SCHOOL



## GDPR-Compliant Records Management & Retention Policy

UPDATED NOV2021

SIGNED ..... DATE.....  
HEADTEACHER

SIGNED ..... DATE .....

CHAIR OF GOVERNORS

**TO BE REVIEWED JANUARY 2023**

## Contents:

### [Statement of intent](#)

1. [Legal framework](#)
2. [Responsibilities](#)
3. [Management of pupil records](#)
4. [Retention of pupil records and other pupil-related information](#)
5. [Retention of staff records](#)
6. [Retention of senior leadership and management records](#)
7. [Retention of health and safety records](#)
8. [Retention of financial records](#)
9. [Retention of other school records](#)
10. [Storing and protecting information](#)
11. [Accessing information](#)
12. [Digital continuity statement](#)
13. [Information audit](#)
14. [Disposal of data](#)
15. [Monitoring and review](#)

### **Statement of intent**

Hazeldene School is committed to maintaining the confidentiality of its information and ensuring that all records within the school are only accessible by the appropriate individuals. In line with the requirements of the General Data Protection Regulation (GDPR), the school also has a responsibility to ensure that all records are only kept for as long as is necessary to fulfil the purpose(s) for which they were intended.

The school has created this policy to outline how records are stored, accessed, monitored, retained and disposed of, in order to meet the school's statutory requirements.

This document complies with the requirements set out in the GDPR, which will come into effect on 25 May 2018. The government has confirmed that the UK's decision to leave the EU will not affect the commencement of the GDPR.

The retention periods outlined in this policy are good practice guidelines only, and schools should ensure that they consider requirements specific to their school when implementing these timeframes. The tables for retention periods are based on information provided by the Information Records Management Society (IRMS) and are not an exhaustive list of records that may be kept by schools. Where the IRMS has not provided guidance for disposal methods or retention periods, good practice recommendations have been provided.

### **Legal framework**

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

General Data Protection Regulation (2016)

Freedom of Information Act 2000

Limitation Act 1980 (as amended by the Limitation Amendment Act 1980)

This policy also has due regard to the following guidance:

Information Records Management Society 'Information Management Toolkit for Schools' 2016

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

Data Protection Policy

Freedom of Information Policy

E-security Policy

Security Breach Management Plan

## **Responsibilities**

**The school as a whole has a responsibility for maintaining its records and record-keeping systems in line with statutory requirements.**

**The Head Teacher/DPO holds overall responsibility for this policy and for ensuring it is implemented correctly.**

**The data protection officer (DPO) is responsible for the management of records at Hazeldene School.**

**The Head Teacher is responsible for promoting compliance with this policy and reviewing the policy on an annual basis.**

**The Head Teacher is responsible for ensuring that all records are stored securely, in accordance with the retention periods outlined in this policy, and are disposed of correctly.**

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

## **Management of pupil records**

**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.**

The following information is stored in each pupils individual personal files and kept in a locked room/office only accessible by authorised staff.

### **Admissions form**

- Name of the school, admission number, the date of admission and the date of leaving, where appropriate
- Signed Privacy Notice
- Forename, surname, gender and date of birth
- Unique pupil number
- Date of admission to school
- 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)
- Any other agency involvement, e.g. speech and language therapist
- Details of any SEND
- If the pupil has attended an early years setting, the record of transfer
- Annual written reports to parents
- Notes relating to major incidents and accidents involving the pupil
- Any notes indicating child protection disclosures and reports are held
- Any information relating to exclusions
- Absence notes
- Parental consent forms for educational visits, photographs and videos, social media etc.
- Hard copies of formal complaints made by parents are stored on the child's personal file.

#### **Child Protection/Incident records**

Hard copies of disclosures and reports relating to child protection are stored in a Child Protection file, in the locked filing room. If a child is on a child protection plan they will have a named individual file.

Actual copies of accident and incident information are stored separately on the school's management information system AssessNet and held in line with the retention periods outlined in this policy – a note indicating this is marked on the pupil's file. An additional copy may be placed in the pupil's file in the event of a major accident or incident.

The school will ensure that no pupil records are altered or amended before transferring them to the next school that the pupil will attend.

The only exception to the above is if any records placed on the pupil's file have a shorter retention period and may need to be removed. In such cases, the DPO responsible for disposing records, will remove these records.

#### **SEND/Behaviour records**

The SENDCo/KS2 Leader will hold files and store securely in her locked room:

Any information about an education and healthcare (EHCP) plan and support offered in relation to the EHCP plan

Any correspondence with parents or external agencies relating to major issues, e.g. mental health

Copies of Pupil Passports

Correspondence with parents about minor issues, e.g. behaviour/behaviour records

**When a pupil transfers to another setting:**

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.

The school will not keep any copies of information stored within a pupil's record unless there is ongoing legal action at the time during which the pupil leaves the school. The responsibility for these records will then transfer to the next school that the pupil attends.

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 registered post, with an accompanying list of the files included. 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.

**Retention of pupil records and other pupil-related information**

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.

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
<b>Admissions</b>		
Register of applications for admissions	Three years after the date on which the entry was made	Information is reviewed and the register may be kept permanently
Supplementary information submitted, including religious and medical information etc. (where the admission was successful)	Added to the pupil's record	Securely disposed of
Supplementary information submitted,	Until the appeals process	Securely disposed of

including religious and medical information etc. (where the admission was not successful)	has been completed	
<b>Pupils' educational records</b>		
Pupils' educational records	Whilst the pupil remains at the school	Transferred to the next destination – if this is an independent school, home-schooling or outside of the UK, the file will be kept by the LA and retained for the statutory period
SATs results	Added to the pupil's record	Transferred to next destination
Internal examination results	Added to the pupil's record	Securely disposed of-shredded
Child protection information held in Child Protection A-Z (Internal Yellow Form)	Stored in locked room for the same length of time as the pupil's record	Securely disposed of – shredded
Child protection records held in a separate file	25 years after the pupil's date of birth	Securely disposed of – shredded
<b>Attendance</b>		
Attendance registers	Last date of entry on to the register, plus three years	Securely disposed of
Letters authorising absence	Whilst the pupil remains at the school	Transferred to next destination
<b>SEND</b>		
SEND files, reviews and individual education plans	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
Statement of SEN maintained under section 324 of the Education Act 1996 or an EHCP 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
<b>Curriculum management</b>		
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
Pupils' work	Returned to pupils at the end of the academic year, or retained for the current academic year, plus one year	Securely disposed of
<b>Extra-curricular activities</b>		
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)	Up to 22 years after the pupil's date of birth
<b>SEND Information</b>		
Reports for outside agencies	Duration of the pupil's time at school	Transferred to next destination
Referral forms	Whilst the referral is current	Securely disposed of
Contact data sheets	Current academic year	Reviewed and destroyed if no longer active
Contact database entries	Current academic year	Reviewed and destroyed if no longer required
Group registers	Current academic year, plus two years	Securely disposed of



## Retention of staff records

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.

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
<b>Operational</b>		
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, while the member of staff is still employed	Securely disposed of
<b>Recruitment</b>		
Records relating to the appointment of a new Headteacher	Date of appointment, while the member of staff is still employed	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 while the member of staff is still employed	Securely disposed of
DBS Single Central Record	While the member of staff is still employed	Leavers information moved onto a separate record
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
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<b>Disciplinary and grievance procedures</b>		
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 six 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 <a href="#">above</a>	Securely disposed of

### **Retention of senior leadership and management records**

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
<b>Governing board</b>		
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	
Inspection copies of the minutes of governing board meetings	Date of meeting, plus three years	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
Instruments of government, including articles of association	Permanent	
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

<b>Headteacher and senior leadership team (SLT)</b>		
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 head teacher or SLT	Date of the report, plus a minimum of three years	Reviewed and securely disposed of
Records created by the head teacher, assistant headteacher, and other members of staff with administrative responsibilities	Current academic year, plus six years	Reviewed and securely disposed of
School development plan	Duration of the plan, plus three years	Securely disposed of

### **Retention of health and safety records**

**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.**

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

<b>Type of file</b>	<b>Retention period</b>	<b>Action taken after retention period ends</b>
<b>Health and safety</b>		
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 retention period of 15 years is applied	Securely disposed of
Accident reporting – adults	Date of the incident, plus 12 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

### Retention of financial records

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.

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
<b>Payroll pensions</b>		
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
<b>Risk management and insurance</b>		
Employer's liability insurance certificate	Closure of the school, plus 40 years	Securely disposed of
<b>Asset management</b>		
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
<b>Accounts and statements including budget management</b>		

Annual accounts	Current academic year, plus 10 years	Disposed of against common standards
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 10 years	Securely disposed of
Records relating to the collection and banking of monies	Current financial year, plus 10 years	Securely disposed of
Records relating to the identification and collection of debt	Current financial year, plus 10 years	Securely disposed of
<b>Contract management</b>		
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
<b>School fund</b>		
Cheque books, paying in books, ledgers, invoices, receipts, bank statements and journey books	Current academic year, plus 10 years	Securely disposed of
<b>School meals</b>		
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

#### **Retention of other school records**

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.

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
<b>Property management</b>		
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
Records relating to the letting of school premises	Current financial year, plus six years	Securely disposed of
<b>Maintenance</b>		
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	Current academic year, plus six years	Securely disposed of
<b>Operational administration</b>		
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	Disposed of against common standards
Records relating to the creation and distribution of circulars to staff, parents or pupils	Current academic year, plus one year	Disposed of against common standards
Newsletters and other items with short operational use	Current academic year plus one year	Disposed of against common standards
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
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### Storing and protecting information

**The Head Teacher/SLT will undertake a risk analysis to identify which records are vital to school management and these records will be stored in the most secure manner.**

The ICT technician will conduct a back-up of information on a termly basis to ensure that all data can still be accessed in the event of a security breach, e.g. a virus, and prevent any loss or theft of data.

Confidential paper records are kept in a locked filing cabinet, drawer or safe, with restricted access.

Confidential paper records are not left unattended or in clear view when held in a location with general access.

Digital data is coded, encrypted or password-protected, both on a local hard drive and on a network drive that is regularly backed-up.

Where data is saved on removable storage or a portable device, the device is kept in a locked and fireproof filing cabinet, drawer or safe when not in use.

Memory sticks are not used to hold personal information unless they are password-protected and fully encrypted.

All electronic devices are password-protected to protect the information on the device in case of theft.

Staff do not use their personal laptops or computers for school purposes.

All members of staff are provided with their own secure login and password, and every computer regularly prompts users to change their password.

Emails containing sensitive or confidential information are password-protected to ensure that only the recipient is able to access the information.

Circular emails to parents/public are sent blind carbon copy (bcc), so email addresses are not disclosed to other recipients.



When sending confidential information by fax, members of staff always check that the recipient is correct before sending.

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 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.

Before sharing data, staff 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.

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.

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.

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 Head Teacher and SBM. 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.

The school takes its duties under the GDPR seriously and any unauthorised disclosure may result in disciplinary action.

The DPO is responsible for continuity and recovery measures are in place to ensure the security of protected data.

Any damage to or theft of data will be managed in accordance with the school's Data Breach Policy.

#### Accessing information

Hazeldene School is transparent with data subjects, the information we hold and how it can be accessed.

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 GDPR.

All members of staff, parents of registered pupils and other users of the school and its facilities have the right, under the GDPR, to access certain personal data being held about them or their child.

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.

The school will adhere to the provisions outlined in the school's GDPR Data Protection Policy when responding to requests seeking access to personal information.

The school conducts information audits on an annual basis against all information held by the school to evaluate the information the school is 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
- Sound recordings
- Video and photographic records
- Hybrid files, containing both paper and electronic information

**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

### **Disposal of data**

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.

Where disposal of information is outlined as secure disposal, this will be shredded and electronic information will be scrubbed clean and, where possible, cut.

#### Monitoring and review

This policy will be reviewed on an annual basis by the DPO in conjunction with the head teacher – the next scheduled review date for this policy is January 2021

Any changes made to this policy will be communicated to all members of staff and the governing board.