



Magna Academy Poole
an Aspirations Academy

RECORDS MANAGEMENT POLICY

Version control	
Magna Records Management Policy v2 [04/01/2021]	Provisional review undertaken. No changes other than to logo & amendment of AAT to Aspirations.
AAT Records Management Policy v1 [March 2018]	Trust policy created ahead of GDPR

Date of next review:	September 2022	Owner:	Director of Business and Operations
Type of policy:	Network/Statutory	Approving Body:	Board

Records Management Policy

1. Statement of Intent

Aspirations is committed to maintaining the confidentiality of its information and ensuring that all records within Aspirations are only accessible by the appropriate individuals. In line with the requirements of the General Data Protection Regulation (GDPR), Aspirations 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.

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

This document complies with the requirements set out in the GDPR, which will come into effect on 25 May 2018.

2. 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 Trusts' 2016

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

- Data Protection Policy
- Security Breach Management Plan

3. Responsibilities

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

The Managing Director and Trust Board hold 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 Aspirations.

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

The DPO 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.

4. Management of student records

Student records are specific documents that are used throughout a student's time in the education system – they are passed to each school that a student 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 on the front of a student record, and will be easily accessible:

- Forename, surname, gender and date of birth
- Unique student number
- Note of the date when the file was opened
- Note of the date when the file was closed, if appropriate

The following information is stored inside the front cover of a student 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 student'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)
- Admission number, the date of admission and the date of leaving, where appropriate
- Any other agency involvement, e.g. speech and language therapist

The following information is stored in a student record, and will be easily accessible:

- Admissions form
- Details of any SEND
- If the student 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 student
- 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 student are held

The following information is subject to shorter retention periods and, therefore, will be stored separately in a personal file for the student in the academy office:

- Absence notes
- Parental and, where appropriate, student consent forms for educational visits, photographs and videos, etc.
- Correspondence with parents about minor issues, e.g. behaviour

Hard copies of disclosures and reports relating to child protection are stored in a sealed envelope, in a securely locked filing cabinet in the academy office – a note indicating this is marked on the student's file.

Hard copies of complaints made by parents or students are stored in a file in the Principal's office – a note indicating this is marked on the student's file.

Actual copies of accident and incident information are stored separately on the Academy's management information system and held in line with the retention periods outlined in this policy – a note indicating this is marked on the student's

file. An additional copy may be placed in the student's file in the event of a major accident or incident.

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

The only exception to the above is if any records placed on the student'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.

Electronic records relating to a student's record will also be transferred to the students' next school.

Aspirations will not keep any copies of information stored within a student's record, unless there is ongoing legal action at the time during which the student leaves Aspirations. The responsibility for these records will then transfer to the next school that the student attends. If any student attends Aspirations until statutory Trust leaving age, Aspirations will keep the student's records until the student reaches the age of 25 years.

Aspirations will, wherever possible, avoid sending a student record by post. Where a student record must be sent by post, it will be sent by registered post, with an accompanying list of the files included. Aspirations 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 Aspirations.

5. Retention of student records and other student-related information

The table below outlines Aspirations retention periods for individual student 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
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 Trust admissions	The current academic year, plus one year	Securely disposed of

Proof of address (supplied as part of the admissions process)	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 student's record	Securely disposed of
Supplementary information submitted, including religious and medical information etc. (where the admission was not successful)	Until the appeals process has been completed	Securely disposed of
Students' educational records		
Students' educational records (Primary)	Whilst the student remains at the academy	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
Students' educational records (Secondary)	25 years after the student's date of birth	Securely disposed of
Public examination results	Added to the student's record	Returned to the examination board
Internal examination results	Added to the student's record	Securely disposed of
Child protection information held on a student's record	Stored in a sealed envelope for the same length of time as the student's record	Securely disposed of – shredded
Child protection records held in a separate file	25 years after the student's date of birth	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	25 years after the student's date of birth (as stated on the student's record)	Information is reviewed and the file may be kept for longer than necessary if it is required for Aspirations 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 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 student's date of birth (as stated on the student'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 student's date of birth (as stated on the student's record)	Securely disposed of, unless it is subject to a legal hold
Accessibility strategy	25 years after the student's date of birth (as stated on the student's record)	Securely disposed of, unless it is subject to a legal hold
Curriculum management		
SATs results	25 years after the student's date of birth (as stated on the student's record)	Securely disposed of
Examination papers	Until the appeals/validation process has been completed	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
Students' work	Returned to students at the end of the academic year, or retained for the current academic year, plus one year	Securely disposed of
Extra-curricular activities		

Parental consent forms for educational trips where no major incident occurred	Until the conclusion of the trip	Securely disposed of
Parental consent forms for Trust trips where a major incident occurred	25 years after the student's date of birth on the student's record (permission slips of all students on the trip will also be held to show that the rules had been followed for all students)	Securely disposed of
Walking bus registers	Three years from the date of the register being taken	Securely disposed of
Family liaison officers and home-Trust liaison assistants		
Day books	Current academic year, plus two years	Reviewed and destroyed if no longer required
Reports for outside agencies	Duration of the student's time at Trust	Securely disposed of
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

6. Retention of staff records

The table below outlines Aspirations 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
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	Up to six months	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	<p>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</p> <p>If allegations are malicious, they are removed from personal files</p>	Reviewed and securely disposed of – shredded

Oral warnings	Date of warning, plus twelve months	Securely disposed of – if placed on staff personal file, removed from file
Written warning – level 1	Date of warning, plus twelve months	Securely disposed of – if placed on staff personal file, removed from file
Written warning – level 2	Date of warning, plus twelve months	Securely disposed of – if placed on staff personal file, removed from file
Final warning	Date of warning, plus twenty four 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 above.	Securely disposed of

7. Retention of senior leadership and management records

The table below outlines Aspirations 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	If unable to store, these will be provided to the county archives service
Inspection copies of the minutes of local advisory board/ district governing body/ Trust 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

Meeting papers relating to the annual parents' meeting	Date of meeting, plus a minimum of six years	Securely disposed of
Instruments of government, including articles of association	Permanent	If unable to store, these will be provided to the county archives service
Trusts and endowments managed by the governing board	Permanent	Retained in Aspirations whilst it remains open, then provided to the county archives service when Aspirations closes
Action plans created and administered by the academies	Duration of the action plan, plus three years	Securely disposed of
Policy documents created and administered by the academies	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 Aspirations	Date proposal accepted or declined, plus three years	Securely disposed of
Principal and senior leadership team (SLT)		
Log books of activity in the academy maintained by the Principal	Date of last entry, plus a minimum of six years	Reviewed and offered to the county 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	Date of the report, plus a minimum of three years	Reviewed and securely disposed of
Records created by the Principal, SLT members, 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, SLT, 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
Trust development plan	Duration of the plan, plus three years	Securely disposed of

8. Retention of health and safety records

The table below outlines Aspirations 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.

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 retention period of 15 years is applied	Securely disposed of
Accident reporting – adults	Date of the incident, plus six years	Securely disposed of
Accident reporting – students	25 years after the student's date of birth, on the student'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

9. Retention of financial records

The table below outlines Aspirations 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
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 Aspirations, 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	Disposed of against common standards
Loans and grants managed by Aspirations	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
Trust fund		
Cheque books, paying in books, ledgers, invoices, receipts, bank statements and journey books	Current academic year, plus six years	Securely disposed of
Trust 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

10. Retention of other Trust records

The table below outlines Aspirations retention periods for any other records held by Aspirations, 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
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Property management		
Title deeds of properties belonging to Aspirations	Permanent	Transferred to new owners if the building is leased or sold
Plans of property belonging to Aspirations	For as long as the building belongs to Aspirations	Transferred to new owners if the building is leased or sold
Leases of property leased by or to Aspirations	Expiry of lease, plus six years	Securely disposed of
Records relating to the letting of Trust premises	Current financial year, plus six years	Securely disposed of
Maintenance		
All records relating to the maintenance of Aspirations estate carried out by contractors	Current academic year, plus six years	Securely disposed of
All records relating to the maintenance of Aspirations estate carried out by Trust employees	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 Aspirations/academy 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 students	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 student associations	Current academic year, plus six years	Reviewed then securely disposed of

11. Storing and protecting information

The DPO will undertake a risk analysis to identify which records are vital to Trust management and these records will be stored in the most secure manner.

The DPO 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.

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

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 off-site.

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.

Where possible, Aspirations enables electronic devices to allow the remote blocking or deletion of data in case of theft.

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. The password will be shared with the recipient in a separate email.

Circular emails to parents 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 Aspirations 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 an academy containing sensitive information are supervised at all times.

The physical security of Aspirations buildings and storage systems, and access to them, is reviewed termly by the site manager in conjunction with the DPO. If an increased risk in vandalism, burglary or theft is identified, this will be reported to the Principal and extra measures to secure data storage will be put in place.

Aspirations 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 Aspirations Security Breach Management Plan.

12. Accessing information

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

All members of staff, parents of registered students and other users of Aspirations, e.g. visitors and third-party clubs, are entitled to:

- Know what information Aspirations 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 Aspirations is doing to comply with its obligations under the GDPR.

All members of staff, parents of registered students and other users of Aspirations 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 students 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.

Students 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.

Aspirations will adhere to the provisions outlined in Aspirations GDPR Data Protection Policy when responding to requests seeking access to personal information.

13. Digital continuity statement

Digital data that is retained for longer than six years will be named as part of a digital continuity statement.

The DPO will identify any digital data that will need to be named as part of a digital continuity statement.

The data will be archived to dedicated files on Aspirations servers, which are password-protected – this will be backed-up in accordance with this policy.

Memory sticks will never be used to store digital data which is subject to a digital continuity statement.

The IT managed service providers will review new and existing storage methods annually and, where appropriate add them to the digital continuity statement.

The following information will be included within the digital continuity statement:

- A statement of purpose and requirements for keeping the records
- The names of the individuals responsible for long term data preservation
- A description of the information assets to be covered by the digital preservation statement
- A description of when the record needs to be captured into the approved file formats
- A description of the appropriate supported file formats for long-term preservation

- A description of the retention of all software specification information and licence information
- A description of how access to the information asset register is to be managed in accordance with the GDPR

14. Information audit

Aspirations conducts information audits on a regular basis against all information held by Aspirations to evaluate the information Aspirations 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
- Microfilm or microfiche
- Sound recordings
- Video and photographic records
- Hybrid files, containing both paper and electronic information

The information audit may be completed in several 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

The DPO is responsible for completing the information audit. The information audit will include the following:

- Aspirations 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

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

Once it has been confirmed that the information is accurate, the DPO will record all details on Aspirations Information Asset Register.

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

15. 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 or pulped and electronic information will be scrubbed clean and, where possible, cut. The DPO will keep a record of all files that have been destroyed.

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

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.

Where information has been kept for administrative purposes, the DPO 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.

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