Record Management Policy

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The Pioneer Vision

We put children first, pioneering excellence and championing each and every child.

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Statement of intent

The Pioneer Academy 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 UK 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 Trust has created this policy to outline how records are stored, accessed, monitored and disposed of, and how long data is retained for, in order to meet the school's statutory requirements.

This document complies with the requirements set out in the UK GDPR and Data Protection Act 2018.

Legal framework

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

- UK General Data Protection Regulation (UK GDPR)

- EU GDPR
- Data Protection Act 2018
- 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 Academies
- DfE (2018) 'Data protection: a toolkit for schools'
- DfE (2023) 'Data protection in schools'
- ESFA (2022) 'Record keeping and retention information for academies and academy trusts'
- ICO (2023) 'How do we document our processing activities?'
- ICO (2023) 'Controllers checklist'

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

- Data Protection Policy
- Freedom of Information Policy (appendix 1)
- Cyber security Policy (appendix 2)
- Data Asset Register
- Retention Schedule (appendix 5a)

Responsibilities

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

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

The School Business Manager is responsible for the management of records at the individual school.

The Data Protection Officer (DPO) 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.

Staff will be responsible for ensuring that when pupils use personal data for projects or coursework, they do so appropriately. This includes being compliant when storing personal data.

Management of pupil records

Pupil records are specific documents that are used throughout a pupil's time in the education system – they are documents that are passed to each school that a pupil attends and include all personal information relating to them, as well as their progress.

The following information is stored on a pupil record, and will be easily accessible:

- Forename, surname, gender and date of birth,
- Unique pupil number
- Note of the date when the file was opened
- Ethnic origin, religion and first language (if not English)
- Any preferred names
- 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 and/or carers, including home addresses and telephone numbers
- Name of the school, admission number, the date of admission and the date of leaving
- Reference to any other linked files
- Any other agency involvement, e.g. speech and language therapist
- Admissions form
- Details of any special educational needs and disabilities (SEND)
- Data collection or data checking form
- If the pupil has attended an early years setting, the record of transfer
- Fair processing notice – only the most recent notice will be included
- Annual written reports to parents
- National curriculum and agreed syllabus record sheets
- Notes relating to major incidents and accidents involving the pupil
- Any information about an EHC plan, and support offered in relation to the EHC plan
- Medical information relevant to the pupil's ongoing education and behaviour
- Any notes indicating child protection disclosures and reports are held
- Any information relating to exclusions
- Any correspondence with parents or external agencies relating to major issues, e.g. mental health
- Notes indicating that records of complaints made by parents or the pupil are held
- SATs results

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

- Attendance registers and information
- Absence notes and correspondence
- Parental consent forms for educational visits and trips, photographs and videos, etc.
- Accident forms – forms about major accidents will be recorded on the pupil record
- Consent to administer medication and administration records
- Copies of pupil birth certificates, passports etc.
- Correspondence with parents about minor issues, e.g. behaviour
- Pupil work

- Previous data collection forms that have been superseded

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

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

Actual copies of accident and incident information are stored separately on the school's management information system and held in line with the statutory retention periods outlined in this policy – a note indicating this is marked on the pupil's file. An additional copy may be placed on 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 any records placed on the pupil's file that have a shorter retention period and may need to be removed. In such cases, the Head Teacher is responsible for disposing of these records.

Electronic records relating to the pupil's record will also be transferred. This policy outlines how electronic records will be transferred.

Pupils' educational records will follow them when they leave the school; however the school may keep hold of information about pupils for a short period to allow for any queries or reports to be completed or where linked records in the school information management system have not yet reached the end of their retention period and deleting the records would cause problems.

Certain elements of pupils' records may be retained for longer, e.g. if litigation is pending, or for transfer to the Local Record Office, in accordance with the retention schedule.

In circumstances where an Independent Inquiry into Child Sexual Abuse (IICSA) is ongoing, any records relating to the IICSA will be subject to a separate indication of the appropriate retention periods. The school will never destroy any records relating to an IICSA whilst the inquiry is ongoing and will abide by the appropriate retention periods.

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 will be required to sign a copy of the list to indicate that they have received the files, and return this to the school.

Retention of records

See the retention schedule which follows the The Information Management Toolkit for Academies and outlines the school's retention periods 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.

Retention of emails

Group email addresses will have an assigned member of staff who takes responsibility for managing the account and ensuring the correct disposal of all sent and received emails. All staff members with an email account will be responsible for managing their inbox.

Emails can act as evidence of the school's activities, i.e. in business and fulfilling statutory duties, so all relevant emails, will be retained for at least 12 months. Invoices received and sent in emails will be printed off and retained in accordance with this policy.

The school's expectations of staff members in relation to their overall conduct when sending and receiving emails is addressed in the school's E-Safety Policy.

Personal emails, i.e. emails that do not relate to work matters or are from family members, will be deleted as soon as they are no longer needed. Staff members will review and delete any emails they no longer require at the end of every term.

Staff members will not, under any circumstances, create their own email archives, e.g. saving emails on to personal hard drives. Staff members will be aware that the emails they send could be required to fulfil a SAR or freedom of information (FOI) request. Emails will be drafted carefully, and staff members will review the content before sending.

Individuals, including children, have the right to submit an SAR to gain access to their personal data to verify the lawfulness of the processing – this includes accessing emails.

All SARs will be handled in accordance with the school's Data Protection Policy. FOI requests will be handled in accordance with the school's Freedom of Information Policy.

Staff members will discuss any queries regarding email retention with the DPO.

Identifying information

Under the UK GDPR, all individuals have the right to data minimisation and data protection by design and default – as the data controller, the school ensures appropriate measures are in place for individuals to exercise this right.

Wherever possible, the school uses pseudonymisation, also known as the 'blurring technique', to reduce the risk of identification.

Once an individual has left the school, if identifiers such as names and dates of birth are no longer required, these are removed or less specific personal data is used, e.g. the month of birth rather than specific date – the data is blurred slightly.

Where data is required to be retained over time, e.g. attendance data, the school removes any personal data not required and keeps only the data needed – in this example, the statistics of attendance rather than personal information.

Storing and protection information

The Head Teacher will undertake a business impact assessment to identify which records are vital to school management and these records will be stored in the most secure manner. The Head of IT will conduct a back-up of information 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 school premises, using a central back-up cloud service. The Head of IT will ensure that the location of the cloud storage and the security offered is appropriate for the information and records stored on it.

Confidential paper records are kept in a locked filing cabinet, drawer or safe, with restricted access. Any room or area where personal or sensitive data is stored will be locked when unattended. 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. Data is not saved on removable storage or portable devices. Memory sticks are not used to hold personal information

All electronic devices are password-protected to protect the information on the device in case of theft. Where possible, the school enables electronic devices to allow the remote blocking or deletion of data in case of theft. Staff and governors 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 or sent via a secure encrypted or data transfer system to ensure that only the recipient is able to access the information. The password will be shared with the recipient in a separate email. Personal information is never put in the subject line of an email. Circular emails to parents are sent blind carbon copy (bcc), so email addresses are not disclosed to other recipients.

Where personal information that could be considered private or confidential is taken off the premises, to fulfil the purpose of the data in line with the UK GDPR, either in an electronic or paper format, staff take extra care to follow the same procedures for security, e.g. keeping devices under lock and key. The person taking the information from the school premises accepts full responsibility for the security of the data.

If documents that have been taken off the school premises will be left unattended, the staff member will leave the documents in the locked boot of a car or keep them on their person. A record will be kept of any document that is taken off the school premises that logs the location of the document and when it is returned to the school site, this includes records that are digitally remotely accessed.

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.

The school has data sharing agreements with all data processors and third parties with whom data is shared. These agreements are developed by the DPO and cover information about issues such as access controls and permissions.

A record is kept of what level of access each staff member has to data. This record details information including:

- What level of access each staff member has.
- Limits on how staff members access data.
- What actions staff members can perform.
- What level of access is changed or retained when a staff member changes role within the school.
- Who is able to authorise requests to change permissions and 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 monthly by the site manager. If an increased risk in vandalism, burglary or theft is identified, this will be reported to the Head Teacher and extra measures to secure data storage will be put in place.

All staff members implement a 'clear desk policy' to avoid unauthorised access to physical records containing sensitive or personal information. All confidential information is stored in a securely locked filing cabinet, drawer or safe with restricted access.

All systems that allow staff and pupils to remotely access information from the school's network whilst they are not physically at the school have strong security controls in place which are reviewed by the Head of IT.
The Head of IT decides what restrictions are necessary to prevent information or records being downloaded, transferred or printed while the user is not on the school site.

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

The DPO is responsible for ensuring 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 and E-Security Breach Prevention and Management Plan.

As a result of the EU exit, completed 1 January 2021, data controllers and processors follow the UK GDPR, and the Data Protection Act 2018, where:

- As UK data controllers, they collect, store or process the personal data of individuals residing in the UK.
- As non-UK data controllers, they offer goods or services to, or monitor the behaviour of, UK residents.

Data controllers and processors follow the EU GDPR where:

- They collect, store or process the personal data of individuals residing in the EU.
- As non-EU data controllers, they offer goods or services to, or monitor the behaviour of, EU residents.

Accessing information

We are 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 UK GDPR.

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

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. Pupils who are considered by the school to be at an appropriate age to make decisions for themselves are entitled to have their personal information handled in accordance with their rights.

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

Record of processing activities

The school will maintain a record of processing activities, to capture all the important information about data processing activities.

The school will adopt the following procedure when developing and maintaining its record:

- Identify personal data assets, locating all the personal data the school has received
- Compile the personal data assets into a list
- Add extra information about the school's personal data assets in the list, developed to suit the school's individual needs

The school's record of processing activities will contain the following mandatory information as a minimum:

- Name and contact details of the school
- Name and contact details of the school's data protection officer
- Name and contact details of any joint controllers
- Purposes of carrying out personal data processing
- Categories of personal data which the school processes
- Categories of individuals whose personal data the school process
- Categories of organisations with which the school shares personal data
- Schedule for retaining each category of personal data
- General description of the school's technical and organisational security

More details about further information that the record of processing activities will be included via the following prompts:

- Source of personal data
- Category of personal data
- Whether the school is a data controller, data processor, a joint controller, or has a controller-processor contract in place
- Access and use
- Data retention and destruction
- Comments, rights, and subject access requests
- Security and personal data breaches
- Automated decision-making

Digital continuity statement

Digital data that is retained for longer than six years will be identified by the DPO and named as part of a Digital Continuity Statement. The data will be archived to dedicated files on the school's server, which are password-protected – this will be backed-up in accordance with this policy.

Memory sticks are never used to store digital data.

The Head of IT 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 the business purposes and statutory 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 UK GDPR

Information audit

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 UK 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
- Knowledge
- Apps and portals

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.

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

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

The Head Teacher 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 Head Teacher will record all details on the school's Data Asset Register.

An information asset owner is assigned to each asset or group of assets. They will be responsible for managing the asset appropriately, ensuring it meets the school's requirements, and for monitoring risks and opportunities.

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

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 School Business Manager will keep a record of all files that have been destroyed.

Where the disposal action is indicated as reviewed before it is disposed, the school business manager will review the information against its administrative value – if the information should be kept for administrative value, and the School Business Manager 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 school business manager will review the information again after three years, and conduct the same process. If it should 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 subsequent three years.

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

Records and information that might be of relevance to the Independent Inquiry into Child Sexual Abuse (IICSA) will not be disposed of or destroyed.

School closures and record keeping

Academy conversion

If the school closes and subsequently becomes an academy, all records relating to pupils who are transferring to the academy will be transferred.

If the school will retain the existing building when it converts to an academy, all records relating to the management of the buildings will be transferred.

All other records created and managed when the school was part of the LA will become the responsibility of the LA.

Sale or re-use of the site

If the school site is being sold or re-allocated to another use, the LA will take responsibility for the records from the date the school closes.

Merger of schools

If the school merges with another school to create one school, the new school will be responsible for retaining all current records originating from the former schools.

The DPO will determine the outcome of each group of records; these outcomes are as follows:

- Securely destroy all records that are expired and due for disposal, in accordance with the retention periods outlined in this policy.
- Transfer to the successor school or academy all records that are current and that will be required by the new school or academy.
- Transfer to the LA all records that are dormant but still need to be retained to comply with legal and business retention requirements.
- Transfer to the local record office any records with historical value.

Managing records

The DPO will identify which records need to be destroyed or transferred to the relevant body – they will allocate personnel as necessary to sort through records.

The DPO will notify the other organisations as soon as possible so that necessary disposal, storage and transfer arrangements can be made. The school's ICT provider will also be notified so that arrangements can be made to ensure the safe transfer or deletion of electronic records, including all back-up copies.

When sorting records, the DPO and their team will:

- Review all records held within the school as soon as notification of closure is received, including paper and electronic records.
- Use the retention periods outlined in this policy to categorise the records into those to be destroyed and those that need to be transferred.
- Contact the relevant body to make arrangements for the safe and secure transfer of records.
- Sort, list and box the records in preparation for the transfer, ensuring records are stored in a safe environment whilst awaiting collection.
- Plan how the disposal of records will be undertaken.
- Sort expired records in readiness for confidential disposal, ensuring they are stored securely whilst awaiting disposal.

All forms of storage will be completely emptied before the building is vacated or before disposal. Records awaiting transfer will be held in a secure area. The identity of any third parties collecting or disposing of records will be checked and a collection receipt will be obtained.

Records will be disposed of in line with this policy. Electronic records will be either to the new body or deleted. All ICT equipment will be decommissioned in accordance with the Acceptable Use Agreement.

No records will be left behind once the school building is vacated.

Monitoring and review

This policy will be reviewed every three years, or earlier if deemed necessary.

Any changes made to this policy will be communicated to all members of staff.