



Records Management Policy

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UCC Governor Approval Committee	Resources
UCC Staff Role Responsible	Data Compliance Manager (DPO Liaison)

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1. Introduction and Principles

Management of records by a Public Authority is a legal obligation (Section 46 of the Freedom of Information Act 2000).

The Code issued on 15 July 2021 sets out key principles about records and their management. These are the:-

- Value of the information
- Integrity of the Information
- Accountability for the information

There are a range of statutory, regulatory and guidance that oblige us to accept, create, use, edit, store and dispose of records. It is necessary to establish clarity about records keeping systems.

2. Aims

- To effectively manage the records that are created and are integral to the operation of the college.
- To confirm a clear framework to manage records and information within the college.
- To provide an environment where records are stored securely.
- To ensure that records are accessible to those who need them.
- To ensure that the college workforce responsible for records management understand these obligations.
- To give effect to the s.46 Code of Practice our records management will take note of the principles it sets out.

3. Scope of the Policy

This policy applies to the college workforce and to all college records, whether the records originate within the college or are shared with the college by other means.

Records that are shared with third parties as a result of consent, regulatory obligations or contractual agreements are within the scope of this policy.

In college, the records that we access and hold, originate and are stored in a variety of formats that include physical, digital, electronic audio/visual records. Some are held locally in school, others are hosted by third party providers.

All records are within the scope of this policy. Records are required to be stored and retained in accordance with **our applied** data retention schedule.

Records may refer to individuals, financial planning tools, contracts, commercial organisations, public authorities or charitable organisations. Some records will contain personal data.

Record retention and storage will be reviewed from time to time to ensure that the aims of this policy are met.

4. Responsibilities and Actions

The Governing Board is ultimately responsible for this policy, however on a daily basis, operational management of the policy is delegated to the Headteacher and senior leadership team.

Management of the policy will be reviewed at Governing Board meetings on at least an annual basis.

The Headteacher will be required to monitor compliance with this policy by undertaking at least an annual check to determine if records are stored securely and can be accessed appropriately, in accordance with requirements in this policy.

Within college responsibility for this policy will be with the Data Compliance Manager.

An active retention policy is applied to confirm what records are to be retained and set out a timeline for their secure disposal.

Individual college staff, contractors and volunteers and employees have personal responsibility for records within their control and day to day handling by ensuring that:

- records are to be handled in accordance with the college policies and good practice for secure storage and usage
- accurate records are kept as required
- Personal data contained in records is used in compliance with the UK GDPR and college data protection policies and protocols
- personal information is shared appropriately and with a proper legal basis with any third party;
- records are securely disposed of in accordance with the college's Retention Schedule

5. Child Abuse Records

The Independent Inquiry into Child Sexual Abuse (Final Report 2022) recommends that any records that relate (or could relate) to sexual abuse should be retained for 75 years or 10 years past the retirement of a relevant member of staff, whichever is the longer term. We shall implement this and ensure that notification of the relevant records is made in the event of any transfer.

6. Relationship with existing policies

This policy has been drawn up within the context of:

- Freedom of Information policy
- Data Protection policy
- Privacy Notices
- Data Sharing Agreements
- Information Security policy
- IT security and use policies
- Records retention policy/guidelines
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the college.

Appendix 1

The college keeps a wide variety of records that may include (but are not limited to):

Students

- personal information
- parent/carer contact information
- college reports
- behaviour logs
- exam and testing outcomes – internal and external
- child protection information
- allegations of a child protection nature made against a member of staff (including unfounded allegations)
- attendance – attendance registers, authorised absence correspondence
- SEND – reviews, advice to parents/carers, accessibility strategy
- pupil premium/sixth form bursary – evidence of eligibility
- free school meals eligibility
- services and pupil premium eligibility
- LAC status
- medical – individual health plans, first aid records
- biometric records

Management of the school

- governing board records - agendas, minutes, resolutions, reports
- governors personal details
- declarations of interests
- CPD and training
- statutory documents for companies house (if applicable)
- accounts and trust report (if applicable)
- college development plans and college improvement plans
- leadership meetings, minutes and actions
- admission details
- college visitor logs
- health and safety records
- fire risk assessments
- risk assessments
- social media
- newsletters and external communication records

Human Resources

- job descriptions
- application forms
- personnel files for all staff – including personal contact details
- appraisals
- performance reviews
- employment suitability checks
- contracts of employment
- records of disciplinary and grievances process
- allegations and LADO referrals
- referrals to the TRA and/or DBS
- payroll and pensions – maternity/paternity pay, family leave records

Financial Management

- budgets and funding details as required by the funding agreement, academies financial handbook and company law (if applicable)
- risk management and insurance – employer's liability insurance certificate
- asset management records
- asset register
- all necessary financial records
- contracts
- contract management and procurement
- college payment and meals management
- property management
- condition surveys
- hire agreements
- maintenance – log books, warranties and contractor information
- health and safety information
- curriculum & attainment
- teaching and learning planning
- timetabling and resource planning
- prospectus and website
- statistics and evidence of learning outcomes, targets
- pupil work records
- trip and visit records

External Records

- central government and local authority
- local authority – census returns, attendance returns
- central government – returns made to DfE/ESFA
- Ofsted
- referrals to third party agencies
- legal action involving the college
- ICO action
- enquiries and investigations by external bodies