



Policy

Record Management

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To be reviewed: 2020-2021





Our Mission

The school communities of The Bishop Wheeler Catholic Academy Trust will work together in truth and love to provide the best possible opportunities for all our young people and their families.

Our mission is the provision, development and future safeguarding of a World Class Catholic Education where every child, member of staff and family matters

The schools, their governors and the trust directors will work together, based on the principle of subsidiarity, in faithfulness and humility, to provide an education where Christ and His values of respect, service, tolerance, dignity and forgiveness are at the heart of everything we do.

This policy was adopted by the Trust Board

Signature:

Mrs C Hyde
Chair of Trust Board

Date:

25 September 2018

For the purpose of this policy, 'Trust, we and our' covers all of the schools within BWCAT and the BWCAT Trust office.

This policy sets out the Trust's responsibilities and procedures for record management. This policy should be read in conjunction with our Data Protection Policy and ICT Acceptable Use for Staff Policy, and any other relevant guidance document.

Information is a key asset and schools create, receive and handle vast amounts of it. It is vital that the best use is made of this asset through effective policies and procedures, to inform decision making, improve accountability, and enhance services to pupils and parents. This means having a consistent view on how information is managed, created, stored, retrieved, retained, disposed of and shared.

There can be significant risks in not managing information appropriately. Financial penalties exist for the lack of adequate protection and handling of information. Reputational damage can be caused by the mismanagement of data.

BWCAT recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the schools and the Trust. This document provides the framework through which this effective management can be achieved and audited.

The Academies of The Bishop Wheeler Catholic Academy Trust (BWCAT), are committed to and take their responsibilities very seriously.

Purpose

The purpose of this policy is to ensure that our records are managed appropriately. The key objectives are to:

- Protect records that are essential to mission-critical business operations;
- Ensure compliance with legal and regulatory recordkeeping requirements, thereby avoiding costly fines or other penalties;
- Reduce risks in litigations and government/regulatory investigations;
- Build an information management culture where records are managed consistently;
- Ensure compliance with legislation and standards;
- Manage records so that they can properly support the school's objectives;
- Make better use of physical and electronic storage space;
- Ensure information is accessible in an efficient and prompt manner when appropriate and required both internally and externally e.g. Freedom of Information requests and Subject Access Requests;
- Ensure records are maintained in a safe and secure environment;
- Ensure records are kept for no longer than is necessary in accordance with Retention and Disposal standards and disposed of or retained correctly;
- Ensure the school's vital records are identified and protected (i.e. those required to maintain business continuity in the event of a disaster, and without which the school could not operate);
- Make better use of employee time;
- Ensure employees receive appropriate guidance in records management.

All persons involved with record management including creation and processing, will be aware of their duties and responsibilities by adhering to these guidelines. Failure to comply with this policy may result in disciplinary action.

Scope

This policy applies to all records held by or on behalf of all of the schools within BWCAT. This includes information on paper and in electronic format.

This policy applies to all BWCAT staff and contracted to work staff.

Legal Framework

BWCAT must comply with all relevant statutory UK and European Union legislation, including the following that have links to Records Management:

- Freedom of Information Act 2000
- Environmental Information Regulations 2004
- Common law duty of confidence
- Copyright, Designs and Patents Act 1988
- Children Act 2004
- Equality Act 2010
- Re-use of Public Sector Information Regulations 2005
- Limitations Act 1980

- Education Act 2010
- Education (Pupil Information) Regulations 2008
- Data Protection Act 2018 (DPA)
- The General Data Protection Regulations 2016/679 (GDPR)

This policy will be reviewed and revised in accordance with our data protection obligations. We may amend, update or supplement it from time to time and will issue an appropriate notification of that at the relevant time.

What is a Record?

It is important, to make a distinction between what is and is not a record. According to the ISO 15489 standard for the management of records, a record is “Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.” Essentially, it is a record of the Trust’s business that requires effective management and preservation. Examples of records include:

- Correspondence
- Meeting minutes
- Education Record
- Invoices

A non-record, by definition, is an item of information that does not require the same rigour of management as that required for records and is of immediate value only. Non-records will be disposed of once they have served their useful purpose. Examples of these are:

- Telephone messages
- Draft copies of final version documents
- Notes for personal use only
- Copies of reports
- Obsolete administrative manuals
- Informational brochures,
- Catalogues and pricelists
- Copies of forms
- Reference material not relating to specific projects
- Any other documentation that does not serve as the basis for official action

Education Record

The Academy Council of a school is responsible for ensuring that the school maintains an Education Record for each pupil. The Education Record will be the principal record that charts an individual pupil’s progress through the education system and should be managed as set out in this policy, but also as set out in the Pupil Information Regulations 2008 and Information and Records Management Society adapted Records Management Toolkit for Schools (IRMS).

Any electronic records being transferred to another school must be done so securely and all SIMs records must be transferred via CTF via Secure Access.

Requests for Information

Good record management will enable compliance with requests for information under legislation, most notably the Freedom of Information Act 2000 (FOIA), Environmental Information Regulations 2004 (EIR), Data Protection Act 2018 (DPA) and General Data Protection Regulations (GDPR) and parental/pupil requests for Educational Records. The production of the School’s Publication Scheme is also dependent on records being properly managed, and this again will ensure compliance with the FOIA.

Article 5(e) of the GDPR states that information should not be kept for longer than necessary and Article 5(f) states that information must be kept securely. Correct records management will enable Compliance and ensure efficient delivery of requests for information.

Records Management Lifecycle

All information goes through a lifecycle, from its creation to its disposal. See below for an example of a typical information lifecycle:

- Pre-creation – deciding what information needs to be captured as a record and how.
- Create/receive – information that needs to be kept as a record can enter the school in many ways; some is created within and some comes from external sources.
- Index/classify – the addition of descriptive information to records to, for example make them easier to find, manage the different versions, and show the level of protection required and the date on which disposal should be considered.
- Process – records may need to be processed at any point (have something done to them) in order to achieve school business aims.
- Store/manage – identifying whether records are electronic or physical and how and where and if they should be stored to preserve integrity and authenticity and so they are secure but can be efficiently accessed by those who need to use them and are authorised to do so.
- Active records are those requiring frequent access and they should generally be stored electronically in the immediate workplace. Inactive records requiring infrequent access should generally be stored elsewhere in the school or in another location.
- Retrieval - the finding of stored records by those who are entitled to search for them.
- Destroy or Preserve – if records do not need to be retained permanently, have outlived any business or statutory requirement to retain further and have reached the disposal date they should be destroyed correctly in accordance with retention guidance. If information is to be preserved, it must be anonymised.

Record Management

Each school will have in place a record keeping system (paper and electronic) so that records are managed. This should comprise of an electronic system for filing records and a system for paper records.

Records should be managed in an efficient manner, should be accurate and accessible to only those with authorisation to do so. They should be kept securely at all times.

Record Creation

When records are created or received, so that they can be properly managed, the school will consider adding the following information to records:

- A reference number if the record is part of a series of records;
- A front file cover for paper records stating the contents of the file;
- A standard way of naming records;
- Page numbering to show the page number and number of pages;
- Version control;
- A means of showing that the record contains personal or sensitive information;
- Ensuring future access by considering the preservation of digital records, how paper records are printed and the standard of the facilities used to store paper records;
- Identifying 'sensitive' records and applying the appropriate protection.

Security and Access

The record keeping system will provide the appropriate level of security for records, whilst ensuring they are accessible when they need to be. This requires controls including:

- Procedures to document access to personal or confidential records;
- Employees being aware of the types of information they can access for their roles;
- An annual review of who has access to personal and confidential records with amendments to access where necessary;
- Employees not accessing or creating personal or confidential records on mobile devices, unless these devices are approved by the Headteacher and are either encrypted or have a secure workspace;
- Strict adherence to our Data Protection Policy and ICT Acceptable Use for Staff Policy.

Retention and disposal

The Records Retention Schedule (2016_IRMS_Toolkit_for_Schools_v5_Master) for the Trust sets out the minimum time records should be kept for and the action that should be taken at the end of the retention period. This is based on Local Government Association and Information and Records Management Society (IRMS) guidelines.

Retention periods specify the minimum time a record should be kept and what action should be taken at the end of that period. This is called a review. The retention period will commence from a trigger event (such as the transfer of a pupil).

Reaching the end of the minimum retention period does not always mean the record should be destroyed. In some cases the record may be retained longer or transferred to permanent archive. In all cases, the GDPR must be followed and records kept for longer than is necessary must be anonymised. Records being retained longer than is necessary by the school must be assigned a further review date and this should be updated at each future review.

All records will be disposed of in accordance with the Information and Records Management Society (IRMS) guidelines. Any errors in the scheme or requests for addition should be highlighted to the Data Protection Officer. Any records being considered for disposal outside of the schedule disposal date must be discussed with the Data Protection Officer prior to disposal.

The disposal of records containing personal information that should no longer be kept is necessary to comply with the law, in that records are only kept for as long as is necessary. It is also required for the efficient management of other records so that the school can function properly, to keep physical or electronic storage to a minimum and so as not to hinder access to information. The Code of Practice in section 46 of the Freedom of Information Act 2000 recommends how general records should be managed. The code is not a legislative requirement, but complying with the FOIA is, and not following the Code is likely to result in non-compliance with the FOIA.

The aim of the retention and disposal process is to ensure that:

- The review date at the end of the retention period is captured when creating records or receiving records.
- Records reaching the end of the minimum retention period are reviewed and a decision made about whether to dispose of the record or keep them longer.
- A Disposal of records log is completed whenever a record is disposed of. (This may be necessary to provide evidence that a record is no longer held, for example in response to a Freedom of Information request).
- If records are transferred to official archives for permanent preservation a transfer of records documentation will be completed, signed by the Headteacher and retained.
- Records subject to an outstanding request for information or legal proceedings will not be destroyed until after the request has been answered and/or the legal proceedings are completed.
- Destruction will be carried out in accordance with the record's level of sensitivity and content.

Management of electronic and/or email records

The principles that apply to the management of electronic records are generally the same as those for the management of paper records, but how the principles are put into practice may differ. Effective electronic record keeping requires:

- The rules around the retention and disposal of records in IT systems and email systems are the same as those for other records in that these records should be disposed of when they should no longer be kept.
- Audit trails should be used to show who have accessed, moved or deleted records in IT systems and these should be kept securely.
- Emails can sometimes be records and can be disclosable in response to requests for information.

Sometimes other people will have been copied into emails and therefore care is needed to ensure all copies are disposed of when the record should no longer be kept.

Sometimes emails should be removed from the email system and stored in another electronic or paper filing system. If the email has an attachment and the text of the email adds to the record care needs to be taken to ensure both part of the record are kept together.

Roles and Responsibilities

The Headteacher and appointed deputy are responsible for the following:

- Ensuring that the school complies with this policy.
- Promoting compliance with this policy.
- Investigating non-compliance with this policy.

All staff are responsible for adhering to this policy.

Failure to comply may result in disciplinary action.

Audit

Records Management policy, standards and procedures will be audited to ensure compliance.