

School to Academy Conversion Process – Information Governance Requirements

Purpose

This document has been created to support the school to Academy conversion process. When a school becomes an Academy it becomes an entity in its own right. Records created before, and up to, the Academy conversion date are generally the responsibility of the Local Education Authority. Records created from the conversion date onwards are the responsibility of the Academy.

This document outlines how records should be managed and which/when records should be transferred to the Council.

Records

All records created by the school before, and up to, the Academy conversion date must be transferred to the Council for ongoing storage with the exception of:

1. Current employee records
2. Current pupil records
3. Former employee records where the Governing Body was the employer and not the County Council, i.e. Aided or Trust schools

The Academy will need to retain current employee and pupil records, even though they will have been created prior to the conversion date, in order to manage ongoing employment/education and therefore the Council will formally transfer these records to the Academy.

Any records transferred back to the Council will be held in line with the Council retention schedules. The retention requirements for any records remaining with the Academy should be determined by the Academy as the Data Controller and should be held appropriately in line with the Data Protection Act 1998 and Freedom of Information Act 2000.

When information has transferred, either returned to the LEA, or transferred formally to the Academy, the party who holds the data from the date of conversion will become the Data Controller for that data. Any requests for information such as Subject Access Requests or Freedom of Information requests shall be dealt with by the organisation holding the data.

Transfer procedures and responsibilities

School

The school will need to prepare the pre-conversion records for transfer back to the Council in line with the following:

1. Refer to the retention guide in Appendix A to establish how long records need to be kept.

Review of records should take place as soon as the school is aware that conversion will occur. Records requiring transfer to the Local Education Authority should be transferred as

soon as possible before the school to Academy conversion date but no later than one month after conversion date.

2. Records which have reached their retention deadline should not be transferred and should be confidentially destroyed by the school. The school should keep a record of any records which have been destroyed and this should be provided to the Council. If confidential waste facilities are not available please contact the Information Governance Unit for advice.
3. Sort documents into consignments of boxes needing to be kept for the same/similar length of time i.e. need to be kept until the same date.
4. Pack records/files into boxes that:
 - are the correct size - H 260 x W340 x D400 mm
 - are strong enough for purpose and in good condition
 - do not weigh more than 12 kg when packed
 - have not been over filled
5. Complete all sections and fields of the Records Transfer Form (Appendix B). If you require more information on how to complete the transfer form, guidance is available (Appendix C).
6. Adequately and accurately describe the contents of each box to enable information to be identified. For example, pupil files should have first name and surname listed, correctly spelt, preferably with date of birth and/or unique pupil number. It should not be listed as pupils A-F.
7. The box content list section of the form is a table. DO NOT list all the files in just one cell - use 1 row for each file. If there is more than 1 file for the same subject, list each file separately.
8. Send one completed Records Transfer Form per consignment. DO NOT send separate documents for each individual box. Add extra rows to the table if needed.
9. If preparing to send more than one consignment of boxes, a separate Records Transfer Form needs to be completed for each consignment.
10. Contact the Information Governance Unit once the records are ready for collection. At this point, a list of any records which have been destroyed should be sent to us as well as your Records Transfer Form(s). IGU will then send out labels to be affixed to the boxes.
11. When you receive the labels make sure you stick the label on the bottom right hand side of the front (short side) of the box and attach the right label to the correct box i.e. label/001 on the first box, label/002 on the second box and so on.
12. Contact the Information Governance Unit once this has been completed and we will arrange a time and date for collection of the records.



The Local Education Authority will:

1. Inform the Information Governance Unit that a school will be converting to an Academy as soon as possible. A contact for the school should be provided along with the approximate date of conversion.
2. Take responsibility for the records whilst they are in SCC storage including decisions to dispose of records when they reach their retention deadline. A contact name should be provided before records are stored.
3. Be responsible for meeting any charges relating to the records whilst in storage. These are charged to a central corporate code rather than individual service areas.

Information Governance Unit

The Information Governance Unit will:

1. Manage the transfer of records from the school to the Council's Records Centre.
2. Offer advice and assistance to the school when preparing these records.
3. Handle the records accordingly whilst in storage and ensure that the service area contact is informed when records are due for destruction.
4. Carry out confidential destruction of records when their retention deadline has been met and authorisation to destroy has been confirmed.

Contacts

Education	sam.ward-best@staffordshire.gov.uk	01785 276006
Records Centre	recordscentre@staffordshire.gov.uk	01785 278366
IGU	infogov@staffordshire.gov.uk	01785 854526



Appendix A – Retention Guide

Record type	Retention period	Retention trigger
Human Resources Management		
HR files	6 years	End of employment contract
Unsuccessful applicants	12 months	
CRB/DBS Checks	6 months	
Timesheets/Flexi Sheets	2 years	
Financial management		
Expenses Claims	3 years	End of financial year in which records were created
Pensions	Retain permanently	
EU Funding records	Retain until year 2025	
Non-EU funding bids / project plans / documentation	6 years	End of funding period
Financial Records	6 years	End of the financial year in which records were created
Contract / Tender documents (successful)	6 years	End of contract
Contract / Tender documents (unsuccessful)	12 months	End of tendering process
Health and Safety Management		
Accident reports (children)	25 years	Date of birth
Accident reports (adult)	3 years	
Violent conduct reporting & investigation (children)	25 years	Date of birth
H&S risk assessments including premises	3 years	
H&S risk assessments involving hazardous substances	40 years	
Education		

Exclusions	25 years	Date of birth
Admissions, Transfers	6 years	Date created
Pupil record	25 years	Date of birth
Information Management		
Information Enquiries / Subject Access Requests	6 years	Resolution of request
Complaints	6 years	Resolution of complaint
Performance Management		
Business plans, target documents, reports, performance management records, strategy documents, meetings, memos	6 years	Date created
Property Management		
Equipment testing / inspection / maintenance	6 years	Disposal of equipment





Appendix B – Records Transfer Form

Records Centre **Records Transfer Form**

School name		Post Code	
Address			
Academy name			
Address (if different)	Move date		
Authorising Officer	Geoff Crockett		
Authorising Officer email	geoff.crockett@staffordshire.gov.uk	Authorising Officer telephone	01785 854064
Sender name		Sender email	
		Sender telephone	

Transfer Details			
Summary Description (40 character limit)	Covering Dates	Number of Boxes	
Retention Trigger	Retention Period	Years	Action
Transfer Number RCuse/			
Box Number	Customer File Reference	File Description	
1			
DO NOT start new document - Insert additional rows below			



Appendix C – Guidance on completing the Records Transfer Form

Field	Description	Example/Format
School name	<i>Pre-conversion school name</i>	Stafford High School
Address	<i>Current school building address</i>	2 School Lane
Postcode	<i>Current site/school building postcode</i>	ST16 5DG
Academy name	<i>Post-conversion Academy name</i>	Stafford Academy
Address	<i>New Academy address (if different to above)</i>	1 Academy Drive
Move date	<i>Date the new site will be occupied by the Academy</i>	02/01/2016
Authorising Officer – Pre-populated	<i>LEA contact (person responsible for the function/activity generating the records and responsible for making decisions about them)</i>	James Brown
Authorising Officer email – Pre-populated	<i>LEA contact direct email address</i>	headteacher@staffordhighschool.staffs.sch.uk
Authorising Officer telephone – Pre-populated	<i>LEA contact full direct telephone number including area code</i>	01785 123456
Application Date	<i>Date form completed</i>	01/09/2015
Sender Name	<i>Name of person responsible for preparing documents for transfer and/or sending application itself</i>	Linda Green
Sender email	<i>Sender's email address</i>	Lindagreen@staffordhighschool.staffs.sch.uk
Sender telephone	<i>Senders full telephone number inc area code</i>	01785 987654
Summary Description	<i>Brief summary description of transfer as a whole</i>	Former pupil records
Covering Dates	<i>Earliest date records are from – latest or closing date of latest records in transfer</i> <i>NB: All records should be pre conversion date</i>	2007 – 2008
Number of Boxes	<i>Number of boxes for which application is being made</i> <i>NB: A separate Transfer Form should be completed for each consignment of boxes</i>	15
Retention Trigger	<i>Event that triggers start of the retention period</i> <i>NB: Refer to retention guide</i>	Date of birth

