**Records Management and Retention Policy**

1. **Introduction**
2. The Academy Trust recognises that by efficiently managing its records and reviewing retention, it will comply with its legal and regulatory obligations and contribute to the effective overall management of the Academy Trust.
3. Records provide evidence for protecting the legal rights and interests of the Academy Trust as well as evidence for demonstrating performance, compliance and accountability.
4. Record keeping is an essential part of the Academy Trust’s administrative function, and this policy provides a framework through which this effective management and retention can be achieved and audited.

This policy covers the following:

* The scope of the policy;
* The responsibilities of the Trust and its staff;
* Pupil Record Management;
* Information Audits;
* Email Records;
* Retention;
* Safe Disposal of Records/Data;
* Appendix One – retention schedule.

1. **Scope of the policy**
2. This policy applies to all records created, received or maintained by the staff of the Academy Trust in the course of carrying out its functions.
3. Records are defined as all those documents which facilitate the business carried out by the Academy Trust and which are thereafter retained (for a set period - see the retention schedule at Appendix 1 of this policy) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.
4. A small percentage of the Academy Trust’s records will be selected for permanent preservation as part of the Trust’s archives and for historical research. This will be done in liaison with the County Archives Service and will contain the minimum amount of personal data required in compliance with the GDPR and data protection laws currently in force.
5. **Relationship with existing policies**
6. This policy should be read in conjunction with the following:
   1. The Freedom of Information Policy;
   2. The Data Protection Policy;
   3. The Schools Privacy Notice
7. **The Responsibilities of the Trust and its Staff**
8. The Academy Trust has a responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Head of the Academy Trust.
9. The person responsible for records management in the Academy Trust will give guidance about good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately.
10. Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the Trust’s records management guidelines (also see the safe disposal or records/data section of this policy).
11. The Data Protection Officer for the Academy Trust will provide guidance on ensuring that the Trust complies with the General Data Protection Regulations (GDPR) and data protection laws in respect of the records and record keeping and the retention and disposal referred to within this policy.

**5. Pupil Record Management**

1. This part of the policy relates to the type of information which should be included in pupil records and sets out information about how pupil records should be managed; it should be read in conjunction with the Data Protection Policy and the Privacy Notice.
2. The pupil record is the core record for documenting the pupil’s progression through the education system and should accompany the pupil to every Academy Trust/school they attend. The information contained in the pupil record should be accurate and up-to-date.
3. The central pupil record is kept in electronic form in the Academy Trust’s information management system but other pupil records may be taken from this and stored in other locations (such as attendance records, registers, class lists etc…). Further details on this can be found in the Privacy Notice.
4. Pupils (and parents) have a right to see their educational record, please refer to the Privacy Notice for details on this.
5. Pupil records include information obtained from the admission form and local authority at the point the pupil enters the Trust and includes personal, medical and any special educational needs information. The pupil record may also contain information regarding pupil attainment, annual written reports to parents and any information relating to exclusions (fixed or permanent).
6. Pupil records will be transferred to any new Academy Trust or school which the pupil attends, this includes instances where the pupil moves to another primary school/secondary school or where the pupil leaves primary school to join secondary school.
7. The Academy Trust do not need to keep copies of any information in the pupil record once this has been transferred to a pupil's new school, except if there is an ongoing legal action when the pupil leaves the Trust. Custody of, and responsibility for, the records pass to the new school that the pupil transfers to.
8. Pupil records will be transferred to the new school electronically [usually by the schools to schools or equivalent system].
9. The information which should be included in the pupil record and provided to the secondary school (or new primary school) can be found in the Information Management Toolkit for Schools.
10. The school which the pupil attended until statutory school leaving age is responsible for retaining the pupil record until the pupil reaches the age of 25 years old.
11. The pupil record will be disposed of in accordance with the safe disposal of records/data section later in this policy.
12. If the Academy Trust is requested to transfer a pupil’s record outside the EEA because the pupil has moved into that area, then we will do so in accordance with the data protection laws and will ensure that the country is compliant with GDPR prior to the transfer. If the institution outside the EEA is unable to show that they are compliant with the GDPR then the Academy Trust will require parental consent to the transfer.
13. All pupil records are kept securely on an encrypted and password protected electronic system. Where paper copies of pupil records are held, these are kept securely in accordance with the Privacy Notice and Data Protection Policy.
14. **Information Audits**
15. An information audit (sometimes known as data flow map) is a map of all of the personal data which is held by the Academy Trust both electronically and in paper form. The information audit is designed to assist schools to know what information they hold, what legal basis they have for holding this information, where the information is held and what it is used for.
16. The information audit is an ongoing process that assists the Academy Trust with managing the personal data they hold and ensuring compliance with the General Data Protection Regulations and data protection laws in force.
17. The Academy Trust will regularly review and update the information audit and this will be monitored by the Data Protection Officer at least once per academic year.
18. **Email Records**
19. Whilst emails may be used to send information, this should be done in compliance with the Data Protection Policy and any personal data should be sent via encrypted messaging to ensure compliance with the GDPR.
20. Emails should not be used as a means of recording and storing information; if information or attachments from the email are required to be stored or recorded then these should be saved in the appropriate place and then the email should be deleted.
21. Where it is necessary to keep the content of an email this should be done by saving the email in the .msg format and storing this in an appropriate place electronically. The location for storage and the appropriate retention period will depend on the class of record the content of the email comes under e.g. pupil record, part of a contract, school financial information etc… Please refer to the retention information later in this policy.
22. **Retention of Records and Personal Data**
23. In compliance with the Freedom of Information Act 2000 and the GDPR and Data Protection laws, the Academy Trust keeps a Retention Schedule listing the records it keeps, the period of retention for each record and the action to be taken when it is of no further administrative use. The Retention Schedule can be found at Appendix One to this policy.
24. Members of staff are expected to manage their current record keeping systems using the Retention Schedule and to take account of the different kinds of retention periods when they are creating new record keeping systems.
25. Where appropriate the Retention Schedule should be reviewed and amended to include any new record series created and remove any obsolete record series. A review of the schedule should be carried out as and when these amendments are required and at least once per academic year.
26. The Retention Schedule contains recommended retention periods for the different record series created and maintained by Academy Trusts in the course of their business. The schedule refers to all information regardless of the media in which it is stored.
27. Some of the retention periods are governed by Statute whilst others follow the guidelines on best practice. Every effort has been made to ensure that these retention periods are compliant with the GDPR and Data Protection Laws.
28. If a record series are to be kept for longer or shorter periods than laid out in the Retention Schedule then the reasons for this need to be documented.
29. **Safe Disposal of Records/Data:**
30. This policy relates to all types of records whether they are paper copies or electronically held.
31. The GDPR and data protection laws stipulate that personal data should not be held for longer than is necessary for the purpose(s) for which it was held.
32. The Academy Trust must ensure that records that are no longer required for business use are reviewed as soon as possible so that only the appropriate records are destroyed. The Academy Trust will review to determine whether records are to be selected for permanent preservation (if this is the case then the personal data contained therein should be kept to an absolute minimum), destroyed, converted into an electronic format or retained for research or litigating purposes.
33. All records containing personal information or sensitive policy information should be made either unreadable or unreconstructable.
34. Paper records will be shredded using a cross-cutting shredder.
35. All electronic records will be permanently deleted/destroyed.
36. The Academy Trust will keep a list of records which have been destroyed and who authorised their destruction in line with the Freedom of Information Act 2000.
37. Where there is a need for permanent preservation of records the Academy Trust should ensure that any personal data is kept to a minimum required for the preservation and that the arrangements should be made to transfer the records to the County Archives Service.
38. Where lengthy retention periods have been allocated to records, it may be appropriate to consider converting the paper records into electronic records for storage. If this is to be done then care should be taken to ensure that the Academy Trust can prove that the electronic version is a genuine copy of the original.

**10. Breaches of Policy:**

1. Any breaches of this policy may lead to a breach under the Data Protection Act and could lead to sanctions being imposed by the Information Commissioners Office (ICO).

**11. Review:**

1. This policy should be reviewed biennially.

The policy should next be reviewed: 24 April 2023.

**Appendix One: Retention Schedule**

| **Governance, Funding and Financial Management of the Academy Trust** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Governance of the Academy Trust** | | | | | |
| **Basic file description** | **DPA**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
|  |  |  |  |  |  |
| Governance Statement | No |  | Life of Governance Statement + 6 years | Retain in school for 6 years. | SECURE DISPOSAL |
| Articles of Association | No |  | Life of the Academy. |  |  |
| Memorandum of Association | No |  | This can be disposed of once the Academy has been incorporated. |  | SECURE DISPOSAL |
| Memorandum of Understanding of Shared Governance amongst Schools | No | Companies Act 2006, s.355 | Life of Memorandum of Understanding + 6 years |  | SECURE DISPOSAL |
| Constitution | No |  | Life of the Academy |  | SECURE DISPOSAL |
| Special Resolutions to Amend the Constitution | No |  | Life of the Academy |  | SECURE DISPOSAL |
| Written Scheme of Delegation | No | Companies Act 2006, s. 355. | Life of Written Scheme of Delegation + 10 years |  | SECURE DISPOSAL |
| Directors – Appointment | No |  | Life of Appointment + 6 years |  | SECURE DISPOSAL |
| Directors – Disqualification | No | Companies Directors Disqualification Act 1986 | Date of Disqualification + 15 years |  | SECURE DISPOSAL |
| Directors – Termination of Office | No |  | Date of Termination + 6 years |  | SECURE DISPOSAL |
| Annual Report – Trustees Report | No | Companies Act 2006, s.355. | Date of Report + 10 years |  | SECURE DISPOSAL |
| Annual Report and Accounts | No | Companies Act 2006, s.355. | Date of Report + 10 years |  | SECURE DISPOSAL |
| Annual Return | No | Companies Act 2006, s.355. | Date of Return + 10 years |  | SECURE DISPOSAL |
| Appointment of Trustees and Governors and Directors | Yes |  | Life of Appointment + 6 years |  | SECURE DISPOSAL |
| Statement of Trustees Responsibilities | No |  | Life of Appointment + 6 years |  | SECURE DISPOSAL |
| Appointment and Removal of Members | No |  | Life of Appointment or Removal + 6 years |  | SECURE DISPOSAL |
| Strategic Review | No |  | Date of Review + 6 years |  | SECURE DISPOSAL |
| Strategic Plan (also known as School Development Plans) | No |  | Life of Plan + 6 years |  | SECURE DISPOSAL |
| Accessibility Plan | No – unless plan refers to specific pupils | Limitation Act 1980, s2. | Life of Plan + 6 years |  | SECURE DISPOSAL |

| **Board of Directors, Members Meetings and Governing Body** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **DPA**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| Board Meeting Minutes | No – unless minutes refer to specific individuals | Companies Act 2006, s.248. | Date of Meeting + 10 years (at least) | Retain in School until school closes | Offer to the archives. |
| Board Decisions | No – unless the decisions refer to specific individuals |  | Date of Meeting + a minimum of 10 years | Retain in School until School closes | Offer to the archives. |
| Board Meeting: Annual Schedule of Business | No |  | Current Year |  | SECURE DISPOSAL |
| Board Meeting: Procedure for Conduct of Meeting | No | Limitation Act 1980, s.2. | Date Procedures Superseded + 6 years. |  | SECURE DISPOSAL |
| Minutes relating to any committees set up by the Board of Directors. | No – unless minutes refer to specific individuals. |  | Date of Meeting + a minimum of 10 years | Retain in School until School closes | Offer to the archives. |
| Records relating to the Management of General Members’ Meetings | No – unless minutes refer to specific individuals | Companies Act 2006, s.248 | Minutes must be kept for at least 10 years from the date of the meetings. | Retain in School until school closes | Offer to the archives. |
| Records relating to the Management of the Annual General Meeting | No – unless minutes refer to specific individuals | Companies Act 2006, s.248. | Minutes must be kept for at least 10 years from the date of the meetings. | Retain in School until school closes | Offer to the archives. |
| Agendas for Governing Body Meetings | No |  | One copy to be retained as the master set of minutes – all other copies destroyed. |  | SECURE DISPOSAL. |
| Minutes of, and papers considered at, meetings of the Governing Body and the Committees. | No – unless minutes refer to specific individuals. |  | *Principal set (signed) –* Life of the Academy  *Inspection Copies –* date of meeting + 3 years |  | SECURE DISPOSAL |
| Reports presented to the Governing Body | No – unless they refer to specific individuals. |  | If the minutes specifically refer to the reports then the report should be kept for the life of the Academy.  If not, a minimum of 6 years. |  | SECURE DISPOSAL. |
| Register of Directors | Yes | Companies Act 2006 | Life of Academy + 6 years |  | SECURE DISPOSAL |
| Register of Directors’ Interests. | No |  | Life of Academy + 6 years |  | SECURE DISPOSAL |
| Register of Directors’ residential addresses. | Yes | Companies Act 2006 | Life of Academy + 6 years |  | SECURE DISPOSAL |
| Register of gifts, hospitality and entertainment. |  | Companies Act 2006 | Life of Academy + 6 years |  | SECURE DISPOSAL |
| Register of Members | Yes | Companies Act 2006 | Life of Academy + 6 years |  | SECURE DISPOSAL |
| Register of Secretaries | Yes | Companies Act 2006 | Life of Academy + 6 years |  | SECURE DISPOSAL |
| Register of Trustees Interests | No |  | Life of Academy + 6 years |  | SECURE DISPOSAL |
| Declaration of Interests Statements (Governors) | No |  | Life of Academy + 6 years |  | SECURE DISPOSAL |

| **Funding and Finance** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **DPA**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| Statement of financial activities for the year | No |  | Current financial year + 6 years |  | SECURE DISPOSAL |
| Financial Planning | No |  | Current financial year + 6 years |  | SECURE DISPOSAL |
| Value for Money statement | No |  | Current financial year + 6 years |  | SECURE DISPOSAL |
| Records relating to the management of VAT | No |  | Current financial year + 6 years |  | SECURE DISPOSAL |
| Whole of Government Accounts return | No |  | Current financial year + 6 years |  | SECURE DISPOSAL |
| Borrowing powers | No |  | Current financial year + 6 years |  | SECURE DISPOSAL |
| Budget plan | No |  | Current financial year + 6 years |  | SECURE DISPOSAL |
| Charging and Remissions Policy | No |  | Date policy is superseded + 3 years |  | SECURE DISPOSAL |
| Audit Committee and appointment of responsible officers | No |  | Life of the Academy |  | SECURE DISPOSAL |
| Independent Auditors Report on regularity | No |  | Financial year report relates to + 6 years. |  | SECURE DISPOSAL |
| Independent Auditors Report on financial statements | No |  | Financial year report relates to + 6 years. |  | SECURE DISPOSAL |
| Funding Agreement with Secretary of State with supplementary funding agreements | No |  | Date of last payment of funding + 6 years |  | SECURE DISPOSAL |
| Funding Agreement – termination of the funding agreements. | No |  | Date of the last payment of funding + 6 years. |  | SECURE DISPOSAL |
| Funding Records – Capital Grant | No |  | Date of last payment of funding + 6 years. |  | SECURE DISPOSAL |
| Funding Records – Earmarked Annual Grant (EAG) | No |  | Date of last payment of funding + 6 years |  | SECURE DISPOSAL |
| Funding Records – General Annual Grant (GAG) | No |  | Date of last payment of funding + 6 years |  | SECURE DISPOSAL |
| Per pupil funding records | No |  | Date of last payment of funding + 6 years |  | SECURE DISPOSAL |
| Exclusions Agreements | No |  | Date of last payment of funding + 6 years |  | SECURE DISPOSAL |
| Funding Records | No |  | Date of last payment of funding + 6 years |  | SECURE DISPOSAL |
| Gift Aid and Tax Relief | No |  | Date of last payment of funding + 6 years |  | SECURE DISPOSAL |
| Records relating to loans | No |  | Date of last payment of loan + 6 years if the loan is under £10,000 or date of last payment of loan + 12 years if the loan is over £10,000. |  | SECURE DISPOSAL |
| Maternity pay records | Yes | Statutory Maternity Pay (General) Regulations 1986 | Current Year + 3 years |  | SECURE DISPOSAL |
| Records held under retirement benefits scheme | Yes | Regulation 15, Retirement Benefits Schemes (information powers) Regulations 1995. | For the end of the year in which the accounts were signed + 6 years (minimum) |  | SECURE DISPOSAL |
| Management of the Teacher’s pension scheme | Yes |  | Date of last payment on the pension + 6 years |  | SECURE DISPOSAL |
| Records relating to pension registrations | Yes |  | Date of last payment on the pension + 6 years. |  | SECURE DISPOSAL |
| Payroll records | Yes |  | Date payroll run + 6 years |  | SECURE DISPOSAL |
| Insurance Policies | No |  | Date the policy expires + 6 years |  | SECURE DISPOSAL |
| Records relating to the settlement of insurance claims | No |  | Date claim settled + 6 years |  | SECURE DISPOSAL |
| Employer’s Liability Insurance certificate | No |  | Closure of school + 40 years |  | SECURE DISPOSAL |
| Investment Policies | No |  | Life of the investment + 6 years |  | SECURE DISPOSAL |
|  |  |  |  |  |  |

| **Pupils** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **DPA**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| All records relating to the creation and implementation of the School Admissions’ Policy | No | School Admissions Code | Life of the policy + 3 years then review | Destroy Securely |  |
| Admissions – if the admission is successful | Yes | School Admissions Code | Date of admission + 1 year | Destroy Securely |  |
| Admissions – if the appeal is unsuccessful | Yes | School Admissions Code | Resolution of case + 1 year | Destroy Securely |  |
| Admission Registers | Yes |  | Date of last entry in the book (or file) + 6 years | Retain in the school for 6 years from the date of the last entry. | Transfer to the Archives |
| Attendance registers | Yes |  | Date of entry on register + 3 years | Review DESTROY  [If these records are retained electronically any back up copies should be destroyed at the same time] | You may keep a record of this for past pupil enquiries. |
| Admissions Form | Yes |  | Current year + 1 year or review | Destroy Securely | Once the information is saved into SIMS the form should be kept for one year for reference purposes but you may choose to keep it for the length of the time the child is in school. |
| Pupil files | Yes |  | Retain for the time which the pupil remains at the primary school | Transfer to the secondary school (or other primary school) when the child leaves the school.  In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service |  |
| Pupil’s Educational Record | Yes | The Education (Public Information) (England) Regulations 2005 SI 2005 No. 1437 | Retain whilst the child remains at the primary school. | The file should follow the pupil when the child leaves the primary school. | If the child transfers to an independent school, transfers to home schooling or leaves the country the file should be returned to the Local Authority o be retained for the statutory retention period. |
| Special Educational Needs files, reviews and Individual Education Plans | Yes | Limitation Act 1980, Section 2. | DOB of the pupil + 25 year[[1]](#footnote-2) | DESTROY SECURELY -SHRED | Review – this is the minimum retention period, some authorities choose to keep for longer than this. |
| Letters authorising absence | No | Education Act 1996, Section 7 | Date of absence + 2 years | DESTROY SECURELY -SHRED |  |
| Examination results | Yes |  |  |  |  |
| * *Public* | No |  | This information should be added to the pupil file | Transfer to the new school once the child moves (see information under pupil file section). | Any certificates left unclaimed should be returned to the appropriate Examination Board |
| * *Internal examination results* | Yes |  | The information should be added to the pupil file | Transfer to the new school once the child moves (see information under pupil file section). | As above. |
| Accessibility Strategy | Yes | Special Educational Needs and Disability Act 2001, Section 14 | DOB + 25 years | DESTROY Securely unless legal action pending |  |
| Statement maintained under The Education Act 1996 - Section 324 and now EHCP Children and Families Act 2014 | Yes | Education Act 1996  Special Educational Needs and Disability Act 2001 Section 1  Children and Families Act 2014 | DOB + 25 years | DESTROY securely unless legal action is pending |  |
| Proposed statement or amended statement; Proposed EHCP or amended EHCP. | Yes | Special Educational Needs and Disability Act 2001 Section 1 | DOB + 25 years | DESTROY securely unless legal action is pending |  |
| Advice and information to parents regarding educational needs | Yes | Special Educational Needs and Disability Act 2001 Section 2 | DOB + 25 years | DESTROY securely unless legal action is pending |  |
| Child Protection information held on pupil file | Yes | Safeguarding legislation | Retained in line with the pupil file, it should be in a sealed envelope and retained for the same period of time as the pupil file. | DESTROY securely unless legal action is pending | These must be shredded. |
| Child Protection information held in separate files | Yes | Safeguarding legislation | DOB of the child + 25 years then review. | DESTROY securely unless legal action pending | These must be shredded. |

| **Curriculum** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **DPA**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| Curriculum development | No |  | Current year + 6 years | DESTROY securely |  |
| Curriculum returns | No |  | Current year + 3 years | DESTROY securely |  |
| Schemes of work | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or DESTROY |  |
| Timetable | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or DESTROY |  |
| Class Record Books | No |  | Current year + 1 year | DESTROY Securely |  |
| Mark books | No |  | Current year + 1 year | DESTROY Securely |  |
| Record of homework set | No |  | Current year + 1 year | DESTROY Securely |  |
| Pupils’ work | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and return home or allocate a new retention period or DESTROY |  |
| Examinations Results (School’s Copy) | Yes |  | Current year + 6 years | DESTROY securely |  |
| SATS records results | Yes |  | In line with the pupil educational file or current year + 6 years | DESTROY Securely  [These records should be shredded] | The pupil result should be recorded on the pupil file and kept in line with the pupil file retention period.  A composite record of all the whole year SATs results may be kept for the current year + 6 years. |
| SATS Examination Papers |  |  | The examination papers should be kept until any appeals/validation process is complete | DESTROY Securely. |  |
| Piblished Admission Number (PAN) Reports | Yes |  | Current year + 6 years | DESTROY Securely. |  |
| Value added records and contextual data | Yes |  | Current year + 6 years | DESTROY securely  [These records should be shredded] |  |
| Self-evaluation forms | Yes |  | Current year + 6 years | DESTROY securely |  |

| **Personnel** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **Data**  **Prot**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| All records leading up to the appointment of a new headteacher | Yes |  | Date of appointment + 6 years | DESTROY Securely |  |
| All records leading up to the appointment of a new member of staff | Yes |  | Date of appointment of unsuccessful candidate + 6 months  Date of successful candidate – all relevant information should be added to the staff personnel file (see below) and all other information retained for 6 months |  |  |
| Pre-employment vetting information (including DBS checks) | Yes | DBS guidance | Date of check + 6 months | DESTROY SECURELY  [by the designates member of staff] |  |
| Proof of identity collected as part of the process of checking ‘portable’ enhanced DBS disclosure. | Yes |  | If it is necessary then retain on the staff personnel file. |  |  |
| Pre-employment vetting information – evidence proving the right to work | Yes | An employer’s guide to right to work checks | These documents should be retained with the staff personnel file. |  |  |
| Timesheets | Yes | Financial Regulations | Current year + 6 years | DESTROY Securely SHRED |  |
| Staff Personal files | Yes[[2]](#footnote-3) | Limitation Act 1980 (Section 2) | Termination + 6 years | DESTROY Securely SHRED |  |
| Interview notes and recruitment records | Yes |  | Date of interview + 6 months | DESTROY Securely SHRED | Add the records of successful candidates to their personnel file. |
| Allegation of a child protection nature against a member of staff including where the allegation is unfounded | Yes | Safeguarding legislation | Until the person’s normal retirement age or 10 years fro mthe date of the allegation (whichever is longer) | DESTROY Securely  SHRED |  |
| Disciplinary proceedings: | Yes |  |  | | |
| * *Oral warning* |  |  | Date of warning + 6 months | DESTROY Securely SHRED  If this is placed on a personal file, it must be weeded from the file. |  |
| * *written warning – level one* |  |  | Date of warning + 6 months | DESTROY Securely SHRED  If this is placed on a personal file, it must be weeded from the file. |  |
| * *written warning – level two* |  |  | Date of warning + 12 months | DESTROY Securely SHRED  If this is placed on a personal file, it must be weeded from the file. |  |
| * *final warning* |  |  | Date of warning + 18 months | DESTROY Securely SHRED  If this is placed on a personal file, it must be weeded from the file. |  |
| * *case not found* |  |  | DESTROY immediately at the conclusion of the case | DESTROY Securely SHRED |  |
| Records relating to accident/injury at work | Yes |  | Date of incident + 12 years | Review at the end of this period. In the case of serious accidents a further retention period will need to be applied |  |
| Annual appraisal/assessment records | Yes |  | Current year + 5 years | DESTROY Securely SHRED |  |
| Timesheets | Yes |  | Current year + 6 years | DESTROY Securely SHRED |  |
| Maternity pay records | Yes | Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567) | Current year, +3yrs | DESTROY Securely SHRED |  |
| Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes |  | Current year + 6 years | DESTROY Securely SHRED |  |

| **Health and Safety** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **Data**  **Prot**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| Accessibility Plans | No | Disability Discrimination Act | Current year + 6 years | DESTROY |  |
| Health and Safety Policy | No |  | Life of policy + 3 Years | DESTROY Securely |  |
| Health and Safety Risk Assessments | No |  | Life of risk assessment + 3 years | DESTROY Securely |  |
| Records relating to accident/ injury at work | Yes |  | Date of incident + 12 years – In the case of a serious incident the retention period should be reviewed | DESTROY Securely |  |
| Accident Reporting |  | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980 |  |  |  |
| * *Adults* | Yes |  | Date of Accident + 6 years | DESTROY Securely SHRED |  |
| * *Children* | Yes |  | DOB + 25 years[[3]](#footnote-4) | DESTROY Securely SHRED |  |
| COSHH | No | Control of Substances Hazardous to Health Regulations 2002. SI 2002 No 2677 Regulation 11 | Current year + 40 years | DESTROY Securely  [where appropriate an additional retention period may be allocated] |  |
| Incident reports | Yes |  | Current year + 20 years | SHRED |  |
| Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | No | Control of Asbestos at Work Regulations 2012 SI 1012 No 632 Regulation 19 | Last action + 40 years | DESTROY |  |
| Process of monitoring of areas where employees and persons are likely to have become in contact with radiation. | No |  | Last action + 50 years | DESTROY Securely. |  |
| Fire Precautions log books | No |  | Current year + 6 years | DESTROY |  |

| **Administrative** | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **Basic file description** | **Data**  **Prot**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | | **Action at the end of the administrative life of the record** | |
| Employer's Liability certificate | No |  | Permanent whilst the school is open. Closure of school + 40 years | | DESTROY Securely |  |
| Inventories of equipment and furniture | No |  | Current year + 6 years | | DESTROY Securely |  |
| General file series | No |  | Current year + 5 years | | Review to see whether a further retention period is required | DESTROY Securely |
| School brochure/prospectus | No |  | Current year + 3 years | |  | STANDARD DISPOSAL |
| Circulars (staff/parents/pupils) | No |  | Current year + 1 year | |  | STANDARD DISPOSAL |
| Newsletters | No |  | Current year + 1 year | | Review to see whether a further retention period is required | STANDARD DISPOSAL |
| Visitors’ book and Signing in sheets | Yes |  | Current year + 6 years | | Review to see whether a further retention period is required | DESTROY Securely |
| Records relating to the PTA or other such organization | No |  | Current year + 6 years then review | | Review for further retention. | DESTROY Securely |
| **Finance** | | | | | | |
| **Basic file description** | | **Data**  **Prot**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| Annual Accounts | | No | Financial Regulations | Current year + 6 years | STANDARD DISPOSAL |  |
| Loans and grants managed by school | | No | Financial Regulations | Date of last payment on loan + 12 years | Review to see whether a further retention period is required | DESTORY Securely |
| Contracts | |  |  |  |  |  |
| * under seal | | Limitation Act 1980 |  | Last payment on the contract date + 12 years | DESTROY Securely SHRED |  |
| * under signature | | Limitation Act 1980 |  | Last payment date on contrac + 6 years | DESTROY Securely SHRED |  |
| * monitoring records | |  |  | Current year + 2 years | DESTROY Securely SHRED |  |
| Budget reports, budget monitoring etc | | No |  | Life of the budget + 3 years | DESTROY Securely SHRED |  |
| Invoice, receipts and other records covered by the Financial Regulations | | No | Financial Regulations | Current year + 6 years | DESTROY Securely SHRED |  |
| Annual Budget and background papers | | No |  | Current year + 6 years | DESTORY Securely SHRED |  |
| Order books and requisitions | | No |  | Current year + 6 years | SHRED |  |
| School Fund – Cheque books | | No |  | Current year + 6 years | DESTROY Securely SHRED |  |
| School Fund – Paying in books | | No |  | Current year + 6 years | DESTROY Securely SHRED |  |
| School Fund – Ledger | | No |  | Current year + 6 years | DESTROY Securely SHRED |  |
| School Fund – Invoices | | No |  | Current year + 6 years | DESTROY Securely SHRED |  |
| School Fund – Receipts | | No |  | Current year + 6 years | DESTROY Securely SHRED |  |
| School Fund – Bank statements | | No |  | Current year + 6 years | DESTROY Securely SHRED |  |
| Records relating to the collection and banking monies | | No |  | Current financial year + 6 years | DESTROY Securely SHRED |  |
| Records relating to the identification and collection of debt | | No |  | Current financial year + 6 years | DESTROY Securely SHRED |  |
| Free School Meals Registers | | Yes |  | Current year + 6 years | DESTROY Securely |  |
| School Meals Registers Yes | |  | Current year + 6 years |  | DESTROY Securely. |  |
| School Meals Summary Sheets | |  | Current year + 3 years |  | DESTROY Securely. |  |

| **Property** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **Data**  **Prot**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| Title deeds of properties belonging to the school | No |  | Permanent |  |  |
| Plans of properties belonging to the school | No |  | Permanent | Retain in school whilst operational then passed on to any new owner. | DESTROY Securely |
| Maintenance and contractors |  | Financial Regulations | Current year + 6 years | DESTROY Securely |  |
| Leases |  |  | Expiry of lease + 6 years | DESTROY Securely |  |
| Lettings |  |  | Current year + 6 years | DESTROY Securely |  |
| Burglary, theft and vandalism report forms |  |  | Current year + 6 years | DESTROY Securely SHRED |  |
| Maintenance log books |  |  | Last entry + 6 years | DESTROY Securely Shred |  |
| Contractors’ Reports |  |  | Current year + 6 years | DESTROY Securely Shred |  |

| **LEA** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **Data**  **Prot**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| Secondary transfer sheets (Primary) | Yes |  | Current year + 2 years | DESTORY Securely SHRED |  |
| Attendance returns | Yes |  | Current year + 1 year | DESTROY Securely SHRED |  |
| School Census Returns | No |  | Current year + 5 years | DESTROY Securely SHRED |  |
| Circulars and other information sent from the Local Authority | No |  | Operational use | DESTROY Securely SHRED |  |

| **DfE** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Basic file description** | **Data**  **Prot**  **Issues** | **Statutory Provisions** | **Retention Period**  **[operational]** | **Action at the end of the administrative life of the record** | |
| HMI reports |  |  | These do not need to be kept any longer |  |  |
| OFSTED reports and papers | No |  | Life of report then review | Review to see whether a further retention period is required | DESTROY Securely SHRED |
| Returns made to central government | No |  | Current year + 6 years | DESTROY Securely SHRED |  |
| Circulars and other information sent from central government | No |  | Operational use | DESTROY Securely |  |

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| **Educational Visits outside the classroom** | | | | | |
| **Basic file description** | **Data Prot Issues** | **Statutory Provisions** | **Retention Period (operational)** | **Action at the end of the administrative life of the record** | |
| Records created by schools to obtain approval to run an Educational Visit outside the classroom | Yes |  | Date of visit + 14 years | DESTROY Securely |  |
| Parental consent forms for school trips where there has been no major incident | Yes |  | Conclusion of the trip | DESTROY Securely |  |
| Parental consent forms for school trips – where there has been a major incident | Yes | Limitation Act 1980, Section 2 | DOB of the pupil involved in the incident + 25 years. The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all pupils. |  |  |

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| **Walking bus** | | | | | |
| **Basic file description** | **Data Prot Issues** | **Statutory Provisions** | **Retention Period (Operational)** | **Action at the end of the administrative life of the record** | |
| Walking bus registers | Yes |  | Date of register + 3 years | DESTROY Securely |  |

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| **Family Liaison Officers and Home School Liaison Assistants** | | | | | |
| **Basic file description** | **Data prot issues** | **Statutory Provisions** | **Retention Period** | **Action at the end of the administrative life of the record** | |
| Day books | Yes |  | Current year + 2 years then review | DESTROY Securely |  |
| Reports for outside agencies – where the report has been included on the case file created by the outside agency | Yes |  | Whilst the child is attending the school and then destroy | DESTROY Securely |  |
| Referral Forms | Yes |  | While the referral is current |  |  |
| Contact data sheets | Yes |  | Current year then review, if contact is no longer active then destroy | DESTROY Securely |  |
| Contact database entries | Yes |  | Current year then review, if contact is no longer active then destroy | DESTROY Securely |  |
| Group Registers | Yes |  | Current year + 2 years | DESTROY Securely |  |

1. As above [↑](#footnote-ref-2)
2. [↑](#footnote-ref-3)
3. A child may make a claim for negligence for 7 years from their 18th birthday. To ensure that all records are kept until the pupil reaches the age of 25 this retention period has been applied. [↑](#footnote-ref-4)