



Records Management Policy

Approved by: Central RSA Academies Trust Board **Date:** 23/05/2018

Last reviewed on: 23/05/2018

Next review due by: May 2019

1. Aims

Central RSA Academies Trust (the Trust) 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 Trust. Records provide evidence for protecting the legal rights and interests of the Trust and for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

2. Scope of the policy

This policy applies to all records created, received or maintained by the Trust in the course of carrying out its functions. The Trust has delegated responsibility to the Principal and the Local Governing Body in each academy for ensuring compliance with this policy within the day-to-day activities of the academy. Where there is an Executive Headteacher/Principal, this is delegated to the Head of School.

Records are defined as all those documents which facilitate the business carried out by the Trust and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

3. Responsibilities

The Trust has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment.

The data protection officer will give guidance for 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.

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.

4. Relationship with existing policies

This policy has been drawn up within the context of:

- Freedom of Information policy
- Data Protection policy
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the Trust.

Management of Central RSA Academies Trust

This section contains retention periods connected to the general management of Central RSA Academies Trust. This covers the work of the Central RSA Academies Trust Board, Local Academy Governing Bodies, Executive Principal/Principals/Head of Schools and Senior Leadership Teams, the admissions process and operational administration.

| 1.1 GOVERNING BODY | | | | | |
|--------------------|---|--|----------------------|---|---|
| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
| 1.1.1 | Agendas for Governing Body meetings | There may be data protection issues if the meeting is dealing with confidential issues relating to staff or pupils | | One copy should be retained with the master set of minutes. All other copies can be disposed of | Secure disposal ¹ |
| 1.1.2 | Minutes of Governing Body meetings | There may be data protection issues if the meeting is dealing with confidential issues relating to staff or pupils | | | |
| | <ul style="list-style-type: none"> Principal set of minutes (signed) | | | Permanent | |
| | <ul style="list-style-type: none"> Inspection Copies² | | | Date of meeting + 3 years | If these minutes contain any sensitive, personal information they must be shredded |
| 1.1.3 | Reports presented to the Governing Body | There may be data protection issues if the report deals with confidential issues relating to staff or pupils | | Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports then the reports should be kept permanently | Secure disposal or retain with the signed set of minutes |
| 1.1.4 | Instruments of Government including articles of association | No | | Permanent | These should be retained in the school whilst the school is open and then offered to County Archives Service if the school closes |
| 1.1.5 | Trust and Endowments managed by the Governing body | No | | Permanent | These should be retained in the school whilst the school is open and then offered to County Archives Service if the school closes |

¹ In this context 'Secure disposal' should be taken to mean disposal using confidential waste bins, or if the school has the facility, shredding using a cross cut shredder.

² These are the copies which the Clerk to the Governors may wish to retain so that requestors can view all the appropriate information without the clerk needing to print off and collate redacted copies of the minutes each time a request is made.

1.1 GOVERNING BODY

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|--------|--|--|---|--|--|
| 1.1.6 | Action plans created and administered by the governing body | No | | Life of action plan + 3 years | Secure disposal |
| 1.1.7 | Policy documents created and administered by the governing body | No | | Life of the policy + 3 years | Secure disposal |
| 1.1.8 | Records relating to complaints dealt with by the governing body | Yes | | Date of resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | Secure disposal |
| 1.1.9 | Annual reports created under the requirements of the Education (Governors Annual Reports – England) (Amendment) Regulations 2002 | No | Education (Governors Annual Reports – England) (Amendment) Regulations 2002 SI 2002 No 1171 | Date of report + 10 years | Secure disposal |
| 1.1.10 | Proposals concerning the change of status of a maintained school including specialist status schools and academies | No | | Date of proposal accepted or declined + 3 years | Secure disposal |
| 1.1.11 | Trust Deeds, including Academy Conversion Orders, Commercial Transfer Agreements and Leases/Under-Leases | Commercial Transfer Agreements (CTAs) will most probably contact personal contract information for individual members of staff | School Standards and Framework Act 1998 and Academies Act 2010 | Permanent | These should be retained in the school whilst the school is open and then offered to the County Archives when the school closes. |

1.2 PRINCIPAL/HEAD OF SCHOOL AND SENIOR MANAGEMENT TEAM

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|---|---|----------------------|---|---|
| 1.2.1 | Log books of activity in the school maintained by the Principal/Head of School | There may be data protection issues if the log book refers to individual pupils or members of staff | | Date of last entry in the book + a minimum of 6 years then review | These could be of historical value and could be offered to the County archives service if appropriate |
| 1.2.2 | Minutes of Senior Leadership Team meetings and the meetings of other internal administrative bodies | There may be data protection issues if the minutes refers to individual pupils or members of staff | | Date of the meeting + 3 years then review | Secure disposal |
| 1.2.3 | Reports created by the Principal/Head of School or the Senior Leadership Team | There may be data protection issues if the report refers to individual pupils or members of staff | | Date of the report + a minimum of 3 years then review | Secure disposal |
| 1.2.4 | Records created by Senior Leadership Team/ Heads of Year and other members of staff with administrative responsibilities | There may be data protection issues if the records refer to individual pupils or members of staff | | Current academic year + 6 years then review | Secure disposal |
| 1.2.5 | Correspondence created by Senior Leadership Team/ Heads of Year and other members of staff with administrative responsibilities | There may be data protection issues if the correspondence refers to individual pupils or members of staff | | Date of correspondence + 3 years then review | Secure disposal |
| 1.2.6 | Professional development plans | Yes | | Life of the plan + 6 years | Secure disposal |
| 1.2.7 | School development plans | No | | Life of the plan + 3 years | Secure disposal |

1.3 ADMISSIONS PROCESS

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|---|--|--|
| 1.3.1 | All records relating to the creation and implementation of the School Admission Policy | No | Schools Admissions Code December 2014 | Life of the policy + 3 years then review | Secure disposal |
| 1.3.2 | Admissions – if the admission is successful | Yes | Schools Admissions Code December 2014 | Date of admission + 1 year | Secure disposal |
| 1.3.3 | Admissions – if the appeal is unsuccessful | Yes | Schools Admissions Code December 2014 Schools Admission Appeals Code February 2012 | Resolution of case + 1 year | Secure disposal |

1.3 ADMISSIONS PROCESS

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|--|------------------------|--|---|--|
| 1.3.4 | Register of admissions | Yes | School attendance: Department advice for maintained schools, academies, independent schools and local authorities November 2016 | This is part of the MIS record (e.g. SIMS) Date of birth of the pupil + 25 years | Secure disposal |
| 1.3.5 | Admissions – Secondary Schools – in year | Yes | | Current year + 1 year | Secure disposal |
| 1.3.6 | Proof of address supplied by parents as part of the admission process | Yes | Schools Admissions Code December 2014 | Current year + 1 year | Secure disposal |
| 1.3.7 | Supplementary information forms including additional information such as religion, medical conditions etc. | Yes | Schools Admissions Code December 2014 | The information should be added to the pupil file | Secure disposal |
| | <ul style="list-style-type: none"> For successful admissions | | | The information should be added to the pupil file | Secure disposal |
| | <ul style="list-style-type: none"> For unsuccessful admissions | | | Until appeals process is complete | Secure disposal |
| | <ul style="list-style-type: none"> Data collection forms - primary | | | Data collection forms will contain consent for marketing purposes. File with each year group records and dispose of when child transfers to secondary | Secure disposal |
| | <ul style="list-style-type: none"> Data collection forms - secondary | | | Data collection forms will contain consent for marketing purposes. File with each year group records. Date of birth of the pupil + 25 years | Secure disposal |
| 1.3.8 | Consent – Photos/Videos | Yes | | Date of leaving school + 6 years | Secure disposal |
| 1.3.9 | Consent – Biometric | Yes | | Date of leaving school +1 year | Secure disposal |

1.4 OPERATIONAL ADMINISTRATION

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|--|------------------------|----------------------|------------------------------------|--|
| 1.4.1 | General file series | No | | Current year + 5 years then review | Secure disposal |
| 1.4.2 | Records relating to the creation and publication of the school brochure or prospectus | No | | Current year + 3 years | Standard disposal |
| 1.4.3 | Records relating to the creation and distribution of circulars to staff, parents or pupils | No | | Current year + 1 year | Standard disposal |
| 1.4.4 | Newsletters and other items with short operational use | No | | Current year + 1 year | Standard disposal |
| 1.4.5 | Visitors books and signing in sheets | Yes | | Current year + 6 years then review | Secure disposal |
| 1.4.6 | Records relating to the creation and management of parent/teacher associations and or old pupil's associations | No | | Current year + 6 years then review | Secure disposal |

Human Resources

This section deals with all matters of Human Resources management

| 2.1 RECRUITMENT | | | | | |
|-----------------|--|------------------------|--|--|--|
| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
| 2.1.1 | All records leading up to the appointment of a new principal/head of school | Yes | | Date of appointment + 6 years | Secure disposal |
| 2.1.2 | All records leading up to the appointment of a new member of staff – unsuccessful candidates | Yes | | Date of appointment of successful candidate + 6 months | Secure disposal |
| 2.1.3 | All records leading up the appointment of a new member of staff – successful candidates | Yes | | All the relevant information should be added to the staff personal file and all other information retained for 6 months | Secure disposal |
| 2.1.4 | Pre-employment vetting information – DBS Checks | Yes | DBS Update Service Employer Guide May 2018 Keeping children safe in education Sept 2016 | The school does not have to keep copies of DBS certificates. If the school does so the copy must NOT be retained more than 6 months. | |
| 2.1.5 | Proofs of identity collected as part of the process of checking portable enhanced DBS disclosure | Yes | | Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff's personnel file | |
| 2.1.6 | Proofs of identity collected | Yes | | Copy documentation should be kept and placed on the member of staff's personnel file | |
| 2.1.7 | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom ³ | Yes | An employer's guide to right to work checks (Home Office August 2017) | Where possible these documents should be added to the member of staff's personnel file but if they are kept separately then the Home Office requires that the documents are kept for termination of employment + 2 years | |

³ Employers are required to take a 'clear copy' of the documents which they are shown as part of this process

2.2 OPERATION STAFF MANAGEMENT

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|-------------------------------------|------------------------|---------------------------------|-------------------------------------|--|
| 2.2.1 | Staff personnel file | Yes | Limitation Act 1980 (section 2) | Termination of employment + 6 years | Secure disposal |
| 2.2.2 | Timesheets | Yes | | Current year + 6 years | Secure disposal |
| 2.2.3 | Annual appraisal/assessment records | Yes | | Current year + 5 years | Secure disposal |

2.3 MANAGEMENT OF DISCIPLINARY AND GRIEVANCE PROCESSES

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|--|------------------------|--|---|---|
| 2.3.1 | Allegation of a child protection nature against a member of staff including where an allegation is unfounded | Yes | Keeping children safe in education statutory guidance for schools and colleges Sept 2016 | Until the person's normal retirement age or 10 years from the date of allegation whichever is the longer then REVIEW. Note allegations that are found to be malicious should be removed from personnel files. If found they are to be kept on file and a copy provided to the person concerned. | Secure disposal. These records must be shredded. |
| 2.3.2 | Disciplinary hearings | Yes | | | |
| | • Oral warning | | | Date of warning ⁴ + 6 months | Secure disposal (If warnings are placed on personal files then they must be weeded from the file) |
| | • Written warning – Level 1 | | | Date of warning + 6 months | |
| | • Written warning – Level 2 | | | Date of warning + 12 months | |
| | • Final warning | | | Date of warning + 18 months | |
| | • Case not found | | | If the incident is child protection related then see above otherwise dispose at the conclusion of the case | |
| • Management guidance | Added to the member of staff's personnel file | | | | |

⁴ If the disciplinary proceedings relate to a child protection matter please contact your Safeguarding Lead for further advice.

2.4 HEALTH AND SAFETY

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|--|--|--|
| 2.4.1 | Health and safety policy statement | No | | Life of policy + 3 years | Secure disposal |
| 2.4.2 | Health and safety risk assessment | Yes | | Life of risk assessment + 3 years | Secure disposal |
| 2.4.3 | Records relating to accident/injury at work | Yes | | Date of incident + 12 years. In the case of serious accidents a further retention period will need to be applied | Secure disposal |
| 2.4.4 | Accident reporting | Yes | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980 | | |
| | • Adults | | | Date of incident + 6 years | Secure disposal |
| | • Children | | | Date of birth of the child + 25 years | Secure disposal |
| 2.4.5 | Control of substances hazardous to health (COSHH) | No | COSHH Regulations 2002. SI 2002 No 2677 Regulation 11; Records kept under the 1994 and 1999 Regulations to be kept as if the 2002 Regulations had not been made. Regulation 18 | Current year + 40 years | Secure disposal |
| 2.4.6 | 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 No632 Regulation 19 | Last action + 40 years | Secure disposal |
| 2.4.7 | Process of monitoring of areas where employees and persons are likely to have become in contact with radiation | No | | Last action + 50 years | Secure disposal |
| 2.4.8 | Fire precautions log books | No | | Current year + 6 years | Secure disposal |

2.5 PAYROLL AND PENSIONS

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|--|------------------------|--|--------------------------------|--|
| 2.5.1 | Maternity pay records | Yes | Statutory maternity pay (general) Regulation 1986 (SI1986/1960); revised 1999 (SI1999/567) | Current year + 3 years | Secure disposal |
| 2.5.2 | Records held under retirement benefits schemes (information powers) regulations 1995 | Yes | Retirements Benefits Schemes (Information Powers) Regulations 1995 | Current year + 6 years | Secure disposal |

Financial Management of the School

This section deals with all aspects of the financial management including the administration of school meals

3.1 RISK MANAGEMENT AND INSURANCE

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|---|------------------------|----------------------|----------------------------------|--|
| 3.1.1 | Employers liability insurance certificate | No | | Closure of the school + 40 years | Secure disposal |

3.2 ASSET MANAGEMENT

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|--|------------------------|----------------------|--------------------------------|--|
| 3.2.1 | Inventories of furniture and equipment | No | | Current year + 6 years | Secure disposal |
| 3.2.2 | Burglary, theft and vandalism forms | No | | Current year + 6 years | Secure disposal |

3.3 ACCOUNTS AND STATEMENTS INCLUDING BUILDING MANAGEMENT

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|--|------------------------|----------------------|---|--|
| 3.3.1 | Annual Accounts | No | | Current year + 6 years | Standard disposal |
| 3.3.2 | Loans and grants managed by the school | No | | Date of last payment on loan + 12 years then review | Secure disposal |
| 3.3.3 | Student grant applications | Yes | | Current year + 3 years | Secure disposal |

3.3 ACCOUNTS AND STATEMENTS INCLUDING BUILDING MANAGEMENT

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|--|-------------------------------|-----------------------------|---------------------------------------|---|
| 3.3.4 | All records relating to the creation and management of budgets including Annual Budget statement and background papers | No | | Life of budget + 3 years | Secure disposal |
| 3.3.5 | Invoices, receipts, order books and requisitions, delivery notices | No | | Current financial year + 6 years | Secure disposal |
| 3.3.6 | Records relating to the collection and banking of monies | No | | Current financial years + 6 years | Secure disposal |
| 3.3.7 | Records relating to the identification and collection of debt | No | | Current financial year + 6 years | Secure disposal |

3.4 CONTRACT MANAGEMENT

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|--|-------------------------------|-----------------------------|---|---|
| 3.4.1 | All records relating to the management of contracts under seal | No | Limitation Act 1980 | Last payment on the contract + 12 years | Secure disposal |
| 3.4.2 | All records relating to the management of contract under signature | No | Limitation Act 1980 | Last payment on the contract + 6 years | Secure disposal |
| 3.4.3 | Records relating to the monitoring of contracts | No | | Current year + 2 years | Secure disposal |

3.5 SCHOOL FUND

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|-------------------------------|-------------------------------|-----------------------------|---------------------------------------|---|
| 3.5.1 | School fund – Cheque books | No | | Current year + 6 years | Secure disposal |
| 3.5.2 | School fund – Paying in books | No | | Current year + 6 years | Secure disposal |
| 3.5.3 | School fund – ledger | No | | Current year + 6 years | Secure disposal |
| 3.5.4 | School fund – invoices | No | | Current year + 6 years | Secure disposal |
| 3.5.5 | School fund – receipts | No | | Current year + 6 years | Secure disposal |
| 3.5.6 | School fund – bank statements | No | | Current year + 6 years | Secure disposal |
| 3.5.7 | School fund – journey books | No | | Current year + 6 years | Secure disposal |

3.6 SCHOOL MEAL MANAGEMENT

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|-----------------------------|------------------------|----------------------|--------------------------------|--|
| 3.6.1 | Free school meals registers | Yes | | Current year + 6 years | Secure disposal |
| 3.6.2 | School meal registers | Yes | | Current year + 3 years | Secure disposal |
| 3.6.3 | School meals summary sheets | No | | Current year + 3 years | Secure disposal |

Property Management

This section covers the management of buildings and property

4.1 PROPERTY MANAGEMENT

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|--|------------------------|----------------------|--|--|
| 4.1.1 | Title deed of properties belong to the school | No | | Permanent – these should follow the property unless the property has been registered with the Land Registry | N/A |
| 4.1.2 | Plans or property belonging to the school | No | | These should be retained whilst the building belongs to the school and should be passed on to any new owners if the building is leased or sold | N/A |
| 4.1.3 | Leases of property by or to the school | No | | Expiry of lease + 6 years | Secure disposal |
| 4.1.4 | Records relating to the letting of school premises | No | | Current financial year + 6 years | Secure disposal |

4.2 MAINTENANCE

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|---|------------------------|----------------------|--------------------------------|--|
| 4.2.1 | All records relating to the maintenance of the school carried out by contactors | No | | Current year + 6 years | Secure disposal |
| 4.2.2 | All records relating to the maintenance of the school carried out by school employees including maintenance log books | No | | Current year + 6 years | Secure disposal |

4.3 CAPITAL PROJECTS

| Basic File Description | | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|------------------------|---|------------------------|---|---|--|
| 4.3.1 | Capital Project Contact Directory | Yes | None | Year of practical completion of the capital scheme + 1 year then review. | Secure disposal |
| 4.3.2 | All correspondence (non-financial) | Yes | None | Current year + 1 year | Secure disposal |
| 4.3.3 | All financial correspondence (inclusive of competitive / successful quotes, LA Loan Agreements) | Yes | None | Current financial year + 6 years | Secure disposal |
| 4.3.4 | DBS checks for contractor staff | Yes | DBS Update Service Employer Guide May 2018 Keeping children safe in education Sept 2016 | DBS reference number stored on single central register. No copy is taken of the DBS | Secure disposal |

Pupil's Educational Record

This section includes all records which are created during the time a pupil spends at the school. For information about accident reporting see under Health and Safety above.

5.1 PUPIL'S EDUCATIONAL RECORD

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|--|---|---|
| 5.1.1 | Pupil's Educational Record required by the Education (Pupil Information) (England) Regulations 2005 | Yes | The Education (Pupil Information) (England) Regulations 2005 SI 2005 No 1437 | | |
| | <ul style="list-style-type: none"> Primary | | | <p>Transfer to receiving schools and retain whilst the child remains at the primary school</p> <p>(Transition files need to be handed over prior to start date in receiving school)</p> | <p>The file should follow the pupil when he/she leaves the primary school. This will include:</p> <ul style="list-style-type: none"> To another primary school To a secondary school To a pupil referral unit If the pupil dies whilst at primary school the file should be returned to the Local Authority to be retained for the statutory retention period <p>If a pupil transfers to an independent school, elective home education or leaves the country the file should be returned to the Local Authority to be retained for the statutory retention period.</p> |
| | <ul style="list-style-type: none"> Secondary | | Limitation Action 1980 (Section 2) | Date of birth of the pupil + 25 years | Secure disposal |
| 5.1.2 | Examination results – Pupil Copies | Yes | | | |
| | <ul style="list-style-type: none"> SATS Results | | | This information should be added to the pupil file | |
| | <ul style="list-style-type: none"> Public Examinations e.g. GCSE, A Level | | | This information should be added to the pupil file | All uncollected certificates should be disposed of securely |
| 5.1.3 | Child protection information | Yes | Keeping Children Safe in Education statutory guidance for schools and colleges - Sept 2016 'Working Together to Safeguard Children A | If any records relating to child protection issues are placed on the pupil file it should be in a sealed envelope and then retained for the same period of time as the pupil file | Secure disposal – these records must be shredded |

5.1 PUPIL'S EDUCATIONAL RECORD

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|---|---|--|
| | | | guide to interagency working to safeguard children – March 2015 | | |
| 5.1.4 | Child protection information held in separate files | Yes | Keeping Children Safe in Education statutory guidance for schools and colleges - Sept 2016 'Working Together to Safeguard Children A guide to interagency working to safeguard children – March 2015 | Date of birth of the child + 25 years then review. This retention period was agreed in consultation with the Safeguarding Children Group on the understanding that the principal copy of this information will be found on the Local Authority Social Services record | Secure disposal – these records must be shredded |

Retention periods relating to allegations made against adults can be found in the Human Resources section of this retention schedule.

5.2 ATTENDANCE

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|------------------------------------|------------------------|---|--|--|
| 5.2.1 | Attendance registers | Yes | School attendance: Departmental advice for maintained schools, academies, independent schools and Local Authorities November 2016 | Every entry in the attendance register must be preserved for a period of 3 years after the dates on which the entry was made | Secure disposal |
| 5.2.2 | Correspondence relating to absence | Yes | Education Act 1996 Section 7 | Current academic year + 2 years | Secure disposal |
| 5.2.3 | Attendance analysis reports | Yes | | Current academic year + 2 years | Secure disposal |

5.3 SPECIAL EDUCATIONAL NEEDS

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|---------------------------------|---------------------------------------|---|
| 5.3.1 | Special Educational Needs files, reviews and individual education plans (IEPs) | Yes | Limitation Act 1980 (Section 2) | Date of birth of the pupil + 25 years | REVIEW: Note: his retention period is the minimum retention period that any pupil file should be kept. Some authorities choose to keep SEN files for a longer period of time to defend |

5.3 SPECIAL EDUCATIONAL NEEDS

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|--|---|--|
| | | | | | themselves in a 'failure to provide a sufficient education' case. There is an element of business risk analysis involved in any decision to keep the records longer than the minimum retention period and this should be documented. |
| 5.3.2 | Education, Health and Care Plans and Statements maintained under section 234 of the Education Act 1996 and any amendments made to the statement | Yes | Education Act 1996. Special Educational Needs and Disability Act 2001 Section 1. SEND Reforms 2014 | Date of birth of the pupil + 25 years (This would normally be retained on the pupil file) | Secure disposal unless the document is subject to legal hold EHC Plans should follow the child through Education. |
| 5.3.3 | Advice and information provided to parents regarding educational needs | Yes | Education Act 1996. Special Educational Needs and Disability Act 2001 Section 1. SEND Reforms 2014 | Date of birth of the pupil + 25 years (This would normally be retained on the pupil file) | Secure disposal unless the document is subject to legal hold |
| 5.3.4 | Accessibility strategy | Yes | Education Act 1996. Special Educational Needs and Disability Act 2001 Section 1. SEND Reforms 2014 | Date of birth of the pupil + 25 years (This would normally be retained on the pupil file) | Secure disposal unless the document is subject to legal hold |

Curriculum Management

6.1 STATISTICS AND MANAGEMENT INFORMATION

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|----------------------|--|--|
| 6.1.1 | Examination results (School's copy) | Yes | | Current year + 6 years | Secure disposal |
| | <ul style="list-style-type: none"> SATS records - Results | Yes | | <p>The SATS results should be recorded on the pupils educational file and will therefore be retained until the pupil reaches the age of 25 years</p> <p>The school may wish to keep a composite record of all the whole year SATS results</p> <p>These could be kept for current year + 6 years to allow suitable comparison</p> | Secure disposal |
| | <ul style="list-style-type: none"> Examination papers/SATS papers | | | The examination papers should be kept until any appeals/validation process is complete | Secure disposal |
| 6.1.2 | School re-organisation plans/proposals | No | | Current year + 3 years | Secure disposal |
| 6.1.3 | Value added and contextual data | Yes | | Current year + 6 years | Secure disposal |
| 6.1.4 | Self-Evaluation Forms | Yes | | Current year + 6 years | Secure disposal |
| 6.1.5 | Internal attainment and progress tracking data | Yes | | Current year + 6 years | Secure disposal |

6.2 IMPLEMENTATION AND CURRICULUM

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|------------------------|------------------------|----------------------|--|--|
| 6.2.1 | Schemes of Work | No | | Current year + 1 year | Standard disposal |
| 6.2.2 | Timetable | Yes | | Current year + 1 year | Secure disposal |
| 6.2.3 | Class Record Books | Yes | | Current year + 1 year | Secure disposal |
| 6.2.4 | Mark Books | Yes | | Current year + 1 year | Secure disposal |
| 6.2.5 | Record of homework set | No | | Current year + 1 year | Standard disposal |
| 6.2.6 | Pupils' Work | Yes | | Where possible pupils work should be returned to the pupil at the end of the academic year. If not returned then current year + 1 year | Secure disposal |

Extra-Curricular Activities

| 7.1 EDUCATION VISITS OUTSIDE THE CLASSROOM | | | | | |
|--|---|------------------------|--|---|--|
| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
| 7.1.1 | Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Primary Schools | No | Outdoor Education Advisers Panel National Guidance website http://oeapng.info specifically Section 3 – Legal Framework and Employer Systems and Section 4 – Good Practice | Date of visit + 14 years | Secure disposal |
| 7.1.2 | Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Secondary Schools | No | Outdoor Education Advisers Panel National Guidance website http://oeapng.info specifically Section 3 – Legal Framework and Employer Systems and Section 4 – Good Practice | Date of visit + 10 years | Secure disposal |
| 7.1.3 | Parental consent forms for school trips where there has been no major incident | Yes | | Conclusion of the trip | Although the consent forms could be retained for date of birth of child +22 years, the requirement for them being needed is low and most schools do not have the storage capacity to retain every single consent form issued by the school for this period of time |
| 7.1.4 | Parental permission slips for school trips – where there has been a major incident | Yes | Limitation Act 1980 (Section 2) | Date of birth 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 | |

7.2 WALKING BUS

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|------------------------|------------------------|----------------------|--|--|
| 7.2.1 | Walking Bus Registers | Yes | | Date of register + 3 years This takes into account the fact that if there is an incident requiring an accident report the register will be submitted with the accident report and kept for the period of time required for accident reporting | Secure disposal (If these documents are retained electronically any back-up copies should be destroyed at the same time) |

7.3 FAMILY LIAISON OFFICERS AND HOME SCHOOL LIAISON WORKERS

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|----------------------|---|--|
| 7.3.1 | Day Books | Yes | | Current year + 2 years then review | Secure disposal |
| 7.3.2 | Reports for outside agencies – where the report has been included on the case file created by the outside agency | Yes | | Whilst child is attending school and then destroy | Secure disposal |
| 7.3.3 | Referral forms | Yes | | While the referral is current | Secure disposal |
| 7.3.4 | Contact data sheets | Yes | | Current year then review, if contact is no longer active then destroy | Secure disposal |
| 7.3.5 | Contact database entries | Yes | | Current year then review, if contact is no longer active then destroy | Secure disposal |
| 7.3.6 | Group Registers | Yes | | Current year + 2 years | Secure disposal |

Central Government and Local Authority

This section covers records created in the course of interaction between the school and local authority

8.1 LOCAL AUTHORITY

| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
|-------|-------------------------------------|------------------------|----------------------|--------------------------------|--|
| 8.1.1 | Secondary Transfer Sheets (Primary) | Yes | | Current year + 2 years | Secure disposal |
| 8.1.2 | Attendance Returns | Yes | | Current year + 1 year | Secure disposal |
| 8.1.3 | School Census Returns | Yes | | Current year + 6 years | Secure disposal |

| 8.1 LOCAL AUTHORITY | | | | | |
|---------------------|--|------------------------|----------------------|--------------------------------|--|
| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
| 8.1.4 | School Workforce Census | Yes | | Current year + 6 years | Secure disposal |
| 8.1.5 | Circulars and other information send from the Local Authority | No | | Operational use | Secure disposal |
| 8.1.6 | Files created relating to Statutory results data collections (e.g. CTF files for EYFS, Phonics and KS1) – Primary) | Yes | | Current year + 6 years | Secure disposal |

| 8.2 CENTRAL GOVERNMENT | | | | | |
|------------------------|--|------------------------|----------------------|--------------------------------|--|
| | Basic File Description | Data Protection Issues | Statutory Provisions | Retention Period (operational) | Action at the end of the administrative life of the record |
| 8.2.1 | OFSTED reports and papers | No | | Life of the report then REVIEW | Secure disposal |
| 8.2.2 | Returns made to central government | Yes | | Current year + 6 years | Secure disposal |
| 8.2.3 | Circulars and other information send from central government | No | | Operational use | Secure disposal |