

# Records Management Policy

## City Learning Trust



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V1	May 2018	Joanne Shaw	Policy written to be GDPR compliant



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## **1 Introduction and Purpose**

The City Learning Trust (CLT) 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 institution. Records provide evidence for protecting the legal rights and interests of the Trust and member academies, and provide evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited and applies to information created and stored in both physical and electronic format.

## **2 Scope**

2.1 This policy applies to all records created, received or maintained by staff in the Trust and member academies in the course of carrying out their functions.

2.2 Records are defined as all those documents which facilitate the business carried out by the Trust and member academies and which are thereafter retained (*for a set period, see Appendix 1*) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

2.3 A small percentage of the Trust's and member academies' records will be selected for permanent preservation as part of the institution's archives and for historical research.

## **3 Responsibilities**

3.1 The Trust and member academies has a corporate responsibility to maintain their records and record keeping systems in accordance with the regulatory environment. The City Learning Trust's Board of Directors has overall responsibility for this policy. All member academies are responsible for ensuring compliance with Trust policy and procedures.

3.2 The City Learning Trust's Data Protection Officer, Joanne Shaw, 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.

3.3 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 Record Management Policy.

#### **4 Relationship with Existing Policies**

This policy has been drawn up within the context of:

- Freedom of Information policy
- GDPR Policy
- Other legislation or regulations (including audit, equal opportunities and ethics) affecting the Trust and member academies.

#### **5 Monitoring and Review**

The implementation of this policy is the responsibility of all staff. The implementation of the policy will be monitored by the City Learning Trust Board of Directors and will be reviewed each year or sooner if necessary.

## Appendix 1: Retention Schedule

### 1: Management of the Trust and Member Academies

This section contains retention periods connected to the general management of the Trust and member academies. This covers the work of the Trust Board, Local Governing Bodies, Headteachers/Principals and senior management teams, the admissions process, Human Resource and operational administration.

1.1 Governance				
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 CLT Directors' and Local Governing Body (LGBs) meetings			One copy should be retained with the master set of minutes. All other copies can be disposed of	PERMANENT DELETION/SECURE DISPOSAL <sup>1</sup>
1.1.2 Minutes of for CLT Directors' and Local Governing Body (LGB) meetings	There may be data protection issues if the meeting is dealing with confidential issues relating to staff		One copy should be retained with the master agenda. All other copies can be disposed of.	PERMANENT DELETION/SECURE DISPOSAL <sup>1</sup>
Principal Set (signed)			PERMANENT	
Inspection Copies <sup>2</sup>			Date of meeting + 3 years	If these minutes contain any sensitive, personal information they must be shredded.
1.1.3 Reports presented to the CLT Directors and Local Governing Bodies (LGBs)	There may be data protection issues if the report deals with confidential issues relating to staff		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	PERMANENT DELETION/SECURE DISPOSAL or retain with the signed set of the minutes
1.1.4 Meeting papers relating to the annual parents' meeting held under section 33 of the Education Act 2002	No	Education Act 2002, Section 33	Date of the meeting + a minimum of 6 years	PERMANENT DELETION/SECURE DISPOSAL

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 Governor 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 Governance				
Basic file description	DP Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record
1.1.5 Instruments of Government including Articles of Association	No		PERMANENT	These should be retained at the Trust head office whilst the MAT is operational and then offered to the DfE if the MAT ceases to be operational
1.1.6 Trusts and Endowments managed by the CLT Board of Directors	No		PERMANENT	These should be retained at the Trust head office whilst the MAT is operational and then offered to the DfE if the MAT ceases to be operational
1.1.7 Action plans created and administered by the CLT Board of Directors/LGB	No		Life of the action plan + 3 years	PERMANENT DELETION/SECURE DISPOSAL
1.1.8 Policy documents created and administered by the CLT Board of Directors/LGB	No		Life of the policy + 3 years	PERMANENT DELETION/SECURE DISPOSAL
1.1.9 Records relating to complaints dealt with by the CLT Board of Directors/LGB	Yes		Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes	PERMANENT DELETION/SECURE DISPOSAL
1.1.10 Annual Reports created under the requirements of the Trust Board and Statutory reporting bodies.	No	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171	Date of report + 10 years	PERMANENT DELETION/SECURE DISPOSAL
1.1.11 Proposals concerning the change of status of a maintained school including Specialist Status Schools and Academies	No		Date proposal accepted or declined + 3 years	PERMANENT DELETION/SECURE DISPOSAL

Please note that all information about the retention of records concerning the recruitment of Headteachers can be found in the Human Resources section below.

## 1.2 Head Teacher/Principal and Senior Management Team

Basic file description	DP 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 Headteacher/Principal	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 permanent historical value and should be offered to the Local Authority if appropriate
1.2.2 Minutes of Senior Management 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	PERMANENT DELETION/SECURE DISPOSAL
1.2.3 Reports created by the Headteacher/Principal or the Senior Management 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	PERMANENT DELETION/SECURE DISPOSAL
1.2.4 Records created by Headteacher/principal, deputy head teachers, 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	PERMANENT DELETION/SECURE DISPOSAL
1.2.5 Correspondence created by Headteacher/principal, deputy head teachers, 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	PERMANENT DELETION/SECURE DISPOSAL
1.2.6 Professional Development Plans	Yes		Life of the plan + 6 years	PERMANENT DELETION/SECURE DISPOSAL
1.2.7 School Development Plans	No		Life of the plan + 3 years	PERMANENT DELETION/SECURE DISPOSAL

### 1.3 Admissions Process

Basic file description	DP 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 Admissions' Policy	No	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Life of the policy + 3 years then review	PERMANENT DELETION/SECURE DISPOSAL
1.3.2 Admissions – if the admission is successful	Yes	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Date of admission + 1 year	PERMANENT DELETION/SECURE DISPOSAL
1.3.3 Admissions – if the appeal is unsuccessful	Yes	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Resolution of case + 1 year	PERMANENT DELETION/SECURE DISPOSAL
1.3.4 Register of Admissions	Yes	School attendance: Departmental advice for maintained schools, academies, independent schools and local authorities October 2014	Every entry in the admission register must be preserved for a period of three years after the date on which the entry was made. <sup>3</sup>	REVIEW Schools may wish to consider keeping the admission register permanently as often schools receive enquiries from past pupils to confirm the dates they attended the school.
1.3.5 Admissions – Casual/Coordinated	Yes		Current year + 1 year	PERMANENT DELETION/SECURE DISPOSAL
1.3.6 Proofs of address supplied by parents as part of the admissions process	Yes	School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Current year + 1 year	PERMANENT DELETION/SECURE DISPOSAL

<sup>3</sup> School attendance: Departmental advice for maintained schools, academies, independent schools and local authorities October 2014 p6



### 1.3 Admissions Process

Basic file description	DP Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record
1.3.7 Supplementary Information form including additional information such as religion, medical conditions etc	Yes			
For successful admissions			This information should be added to the pupil file	PERMANENT DELETION/SECURE DISPOSAL
For unsuccessful admissions			Until appeals process completed	PERMANENT DELETION/SECURE DISPOSAL

### 1.4 Operational Administration

Basic file description	DP 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	PERMANENT DELETION/SECURE DISPOSAL
1.4.2 Records relating to the creation and publication of the school brochure or prospectus	No		Current year + 3 years	PERMANENT DELETION/SECURE DISPOSAL
1.4.3 Records relating to the creation and distribution of circulars to staff, parents or pupils	No		Current year + 1 year	PERMANENT DELETION/SECURE DISPOSAL
1.4.4 Newsletters and other items with a short operational use	No		Current year + 1 year	PERMANENT DELETION/SECURE DISPOSAL
1.4.5 Visitors' Books and Signing in Sheets	Yes		Current year + 6 years then REVIEW	PERMANENT DELETION/SECURE DISPOSAL
1.4.6 Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations	No		Current year + 6 years then REVIEW	PERMANENT DELETION/SECURE DISPOSAL

## 2: Human Resources

This section deals with all matters of Human Resources management within the school.

2.1 Recruitment					
Basic file description	DP 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 Headteacher/Principal	Yes		Date of appointment + 6 years	PERMANENT DELETION/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	PERMANENT DELETION/SECURE DISPOSAL
2.1.3	All records leading up to the appointment of a new member of staff – successful candidate	Yes		All the relevant information should be added to the staff personal file (see below) and all other information retained for 6 months	PERMANENT DELETION/SECURE DISPOSAL
2.1.4	Pre-employment vetting information – DBS Checks	No	DBS Update Service Employer Guide June 2014: Keeping children safe in education. July 2015 (Statutory Guidance from Dept. of Education) Sections 73, 74	The school does not have to keep copies of DBS certificates. If the school does so the copy must NOT be retained for more than 6 months	PERMANENT DELETION/SECURE DISPOSAL
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 personal file	PERMANENT DELETION/SECURE DISPOSAL
2.1.6	Pre-employment vetting information – Evidence proving the right to work in the United Kingdom <sup>4</sup>	Yes	An employer’s guide to right to work checks [Home Office May 2015]	Where possible these documents should be added to the Staff Personal File [see below], but if they are kept separately then the Home Office requires that the documents are kept for termination of Employment plus not less than two years	PERMANENT DELETION/SECURE DISPOSAL

## 2.2 Operational Staff Management

Basic file description Issues	DP Issues	Statutory Provisions	Retention Period [Operational] life of the record	Action at the end of the administrative life of the record
2.2.1 Staff Personal File	Yes	Limitation Act 1980 (Section 2)	Termination of Employment + 6 years	PERMANENT DELETION/SECURE DISPOSAL
2.2.2 Timesheets	Yes		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
2.2.3 Annual appraisal/ assessment records	Yes		Current year + 5 years	PERMANENT DELETION/SECURE DISPOSAL

## 2.3 Management of Disciplinary and Grievance Processes

Basic file description	DP 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 the allegation is unfounded <sup>5</sup>	Yes	“Keeping children safe in education Statutory guidance for schools and colleges March 2015”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015”	Until the person’s normal retirement age or 10 years from the date of the allegation whichever is the longer then REVIEW. Note allegations that are found to be malicious should be removed from personnel files. However for all other allegations, full details should be kept on the personnel file of the accused and a copy provided to the person concerned.	PERMANENT DELETION/SECURE DISPOSAL These records must be shredded
2.3.2 Disciplinary Proceedings	Yes			
oral warning			Date of warning <sup>6</sup> + 6 months	
written warning – level 1			Date of warning + 6 months	PERMANENT DELETION/SECURE DISPOSAL [If warnings are placed on personal files then they must be weeded from the file]
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 of at the conclusion of the case	PERMANENT DELETION/SECURE DISPOSAL

## 2.4 Health and Safety

Basic file description		DP Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record
2.4.1	Health and Safety Policy Statements	No		Life of policy + 3 years	PERMANENT DELETION/SECURE DISPOSAL
2.4.2	Health and Safety Risk Assessments	No		Life of risk assessment + 3 years	PERMANENT DELETION/SECURE DISPOSAL
2.4.3	Records relating to accident/injury at work (RIDDOR reported)	Yes		Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied	PERMANENT DELETION/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 the incident + 6 years	PERMANENT DELETION/SECURE DISPOSAL
	Children			DOB of the child + 25 years	PERMANENT DELETION/SECURE DISPOSAL
2.4.5	Control of Substances Hazardous to Health (COSHH)	No	Control of Substances Hazardous to Health 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(2)	Current year + 40 years	PERMANENT DELETION/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 No 632 Regulation 19	Last action + 40 years	PERMANENT DELETION/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	PERMANENT DELETION/SECURE DISPOSAL
2.4.8	Fire Precautions log books	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

## 2.5 Payroll and Pensions

Basic file description	DP 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) Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567)	Current year + 3 years	PERMANENT DELETION/SECURE DISPOSAL
2.5.2 Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

### 3. Financial Management of the School

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

3.1 Risk Management and Insurance				
Basic file description	DP Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record
3.1.1 Employer's Liability Insurance Certificate	No		Closure of the school + 40 years	PERMANENT DELETION/SECURE DISPOSAL
3.2 Asset Management				
Basic file description Issues	DP 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	PERMANENT DELETION/SECURE DISPOSAL
3.2.2 Burglary, theft and vandalism report forms	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

5 This review took place as the Independent Inquiry on Child Sexual Abuse was beginning. In light of this, it is recommended that all records relating to child abuse are retained until the Inquiry is completed. This section will then be reviewed again to take into account any recommendations the Inquiry might make concerning record retention

6 Where the warning relates to child protection issues see above. If the disciplinary proceedings relate to a child protection matter please contact your Safeguarding Children Officer for further advice

### 3.3 Accounts and Statements including Budget Management

Basic file description	DP 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	PERMANENT DELETION/SECURE DISPOSAL
3.3.2 Loans and grants managed by the school	No		Date of last payment on the loan + 12 years then REVIEW	PERMANENT DELETION/SECURE DISPOSAL
3.3.3 Student Grant applications	Yes		Current year + 3 years	PERMANENT DELETION/SECURE DISPOSAL
3.3.4 All records relating to the creation and management of budgets including the Annual Budget statement and background papers	No		Life of the budget + 3 years	PERMANENT DELETION/SECURE DISPOSAL
3.3.5 Invoices, receipts, order books and requisitions, delivery notices	No		Current financial year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.3.6 Records relating to the collection and banking of monies	No		Current financial year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.3.7 Records relating to the identification and collection of debt	No		Current financial year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

### 3.4 Contract Management

Basic file description Issues	DP 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	PERMANENT DELETION/SECURE DISPOSAL
3.4.2 All records relating to the management of contracts under signature	No	Limitation Act 1980	Last payment on the contract + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.4.3 Records relating to the monitoring of contracts	No		Current year + 2 years	PERMANENT DELETION/SECURE DISPOSAL

3.5 School Fund				
Basic file description Issues	DP 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	PERMANENT DELETION/SECURE DISPOSAL
3.5.2 School Fund - Paying in books	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.5.3 School Fund – Ledger	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.5.4 School Fund – Invoices	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.5.5 School Fund – Receipts	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.5.6 School Fund - Bank statements	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
3.5.7 School Fund – Journey Books	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

3.6 School Meals Management				
Basic file description Issues	DP 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	PERMANENT DELETION/SECURE DISPOSAL
3.6.2 School Meals Registers	Yes		Current year + 3 years	PERMANENT DELETION/SECURE DISPOSAL
3.6.3 School Meals Summary Sheets	No		Current year + 3 years	PERMANENT DELETION/SECURE DISPOSAL



## 4. Property Management

This section covers the management of buildings and property.

4.1 Property Management				
Basic file description	DP Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record
4.1.1 Title deeds of properties belonging to the Trust	No		PERMANENT These should follow the property unless the property has been registered with the Land Registry	
4.1.2 Plans of property belong to the Trust	No		These should be retained whilst the building belongs to the school and should be passed onto any new owners if the building is leased or sold.	
4.1.3 Leases of property leased by or to the Trust	No		Expiry of lease + 6 years	PERMANENT DELETION/SECURE DISPOSAL
4.1.4 Records relating to the letting of Trust premises	No		Current financial year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
4.2 Maintenance				
Basic file description	DP 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 academies carried out by contractors	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
4.2.2 All records relating to the maintenance of the academies carried out by academy employees including maintenance log books	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

## 5. Pupil Management

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	DP 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		
Primary			Retain whilst the child remains at the primary school	<p>The file should follow the pupil when he/she leaves the primary school. This will include:</p> <ul style="list-style-type: none"> <li>to another primary school</li> <li>to a secondary school</li> <li>to a pupil referral unit</li> <li>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.</li> </ul> <p>If the pupil transfers to an independent school, transfers to home schooling or leaves the country the file should be returned to the Local Authority to be retained for the statutory retention period. Primary Schools do not ordinarily have sufficient storage space to store records for pupils who have not transferred in the normal way. It makes more sense to transfer the record to the Local Authority as it is more likely that the pupil will request the record from the Local Authority</p>
Secondary		Limitation Act 1980 (Section 2)	Date of Birth of the pupil + 25 years	PERMANENT DELETION/SECURE DISPOSAL
5.1.2 Examination Results – Pupil Copies	Yes			
Public			This information should be added to the pupil file	All uncollected certificates should be returned to the examination board.
Internal			This information should be added to the pupil file	

## 5.1 Pupil's Educational Record

Basic file description	DP Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record
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**This review took place as the Independent Inquiry on Child Sexual Abuse was beginning. In light of this, it is recommended that all records relating to child abuse are retained until the Inquiry is completed. This section will then be reviewed again to take into account any recommendations the Inquiry might make concerning record retention**

5.1.3	Child Protection information held on pupil file	Yes	“Keeping children safe in education Statutory guidance for schools and colleges March 2015”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015”	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.	PERMANENT DELETION/SECURE DISPOSAL – these records MUST be shredded
5.1.4	Child protection information held in separate files	Yes	“Keeping children safe in education Statutory guidance for schools and colleges March 2015”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015”	DOB 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	PERMANENT DELETION/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		DP 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 October 2014	Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made.	PERMANENT DELETION/SECURE DISPOSAL
5.2.2	Correspondence relating to authorised absence		Education Act 1996 Section 7	Current academic year + 2 years	PERMANENT DELETION/SECURE DISPOSAL

5.3 Special Educational Needs					
Basic file description		DP 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	Yes	Limitation Act 1980 (Section 2)	Date of Birth of the pupil + 25 years	REVIEW NOTE: This 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 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	Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement	Yes	Education Act 1996 Special Educational Needs and Disability Act 2001 Section 1	Date of birth of the pupil + 25 years [This would normally be retained on the pupil file]	PERMANENT DELETION/SECURE DISPOSAL unless the document is subject to a legal hold
5.3.3	Advice and information provided to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Date of birth of the pupil + 25 years [This would normally be retained on the pupil file]	PERMANENT DELETION/SECURE DISPOSAL unless the document is subject to a legal hold
5.3.4	Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Date of birth of the pupil + 25 years [This would normally be retained on the pupil file]	PERMANENT DELETION/SECURE DISPOSAL unless the document is subject to a legal hold

## 6. Curriculum Management

6.1 Statistics and Management Information				
Basic file description	DP Issues	Statutory Provisions	Retention Period [Operational]	Action at the end of the administrative life of the record
6.1.1	Curriculum returns	No	Current year + 3 years	PERMANENT DELETION/SECURE DISPOSAL
6.1.2	Examination Results (Schools Copy)	Yes	Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
	SATS records – Results	Yes	The SATS results should be recorded on the pupil’s educational file and will therefore be retained until the pupil reaches the age of 25 years. The school may wish to keep a composite record of all the whole year SATs results. These could be kept for current year + 6 years to allow suitable comparison	PERMANENT DELETION/SECURE DISPOSAL
	Examination Papers		The examination papers should be kept until any appeals/validation process is complete	SECURE DISPOSAL
6.1.3	Published Admission Number (PAN) Reports	Yes	Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
6.1.4	Value Added and Contextual Data	Yes	Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL
6.1.5	Self Evaluation Forms	Yes	Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

## 6.2 Implementation of Curriculum

Basic file description		DP 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	It may be appropriate to review these records at the end of each year and allocate a further retention period or PERMANENT DELETION/SECURE DISPOSAL
6.2.2	Timetable	No		Current year + 1 year	
6.2.3	Class Record Books	No		Current year + 1 year	
6.2.4	Mark Books	No		Current year + 1 year	
6.2.5	Record of homework set	No		Current year + 1 year	
6.2.6	Pupils' Work	No		Where possible pupils' work should be returned to the pupil at the end of the academic year if this is not the school's policy then current year + 1 year	PERMANENT DELETION/SECURE DISPOSAL

## 7. Extra Curricular Activities

7.1 Educational Visits outside the Classroom					
Basic file description	DP 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 <a href="http://oeapng.info">http://oeapng.info</a> specifically Section 3 - "Legal Framework and Employer Systems" and Section 4 - "Good Practice".	Date of visit + 14 years	PERMANENT DELETION/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 <a href="http://oeapng.info">http://oeapng.info</a> specifically Section 3 - "Legal Framework and Employer Systems" and Section 4 - "Good Practice".	Date of visit + 10 years	PERMANENT DELETION/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 DOB + 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)	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	PERMANENT DELETION/SECURE DISPOSAL

## 7.2 Walking Bus

Basic file description	DP 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 records are retained electronically any back up copies should be destroyed at the same time]

SECURE DISPOSAL

## 7.3 Family Liaison Officers and Home School Liaison Assistants

Basic file description	DP 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	PERMANENT DELETION/SECURE DISPOSAL
7.3.3 Referral forms	Yes		While the referral is current	SECURE PERMANENT DELETION/SECURE DISPOSAL
7.3.4 Contact data sheets	Yes		Current year then review, if contact is no longer active then destroy	PERMANENT DELETION/SECURE DISPOSAL
7.3.5 Contact database entries	Yes		Current year then review, if contact is no longer active then destroy	PERMANENT DELETION/SECURE DISPOSAL
7.3.6 Group Registers	Yes		Current year + 2 years	PERMANENT DELETION/SECURE DISPOSAL



## 8. Central Government and Local Authority

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

8.1 Local Authority				
Basic file description Provisions	DP Issues	Statutory	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	PERMANENT DELETION/SECURE DISPOSAL
8.1.2 Attendance Returns	Yes		Current year + 1 year	PERMANENT DELETION/SECURE DISPOSAL
8.1.3 School Census Returns	No		Current year + 5 years	PERMANENT DELETION/SECURE DISPOSAL
8.1.4 Circulars and other information sent from the Local Authority	No		Operational use	PERMANENT DELETION/SECURE DISPOSAL
8.2 Central Government				
Basic file description Provisions	DP Issues	Statutory	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	PERMANENT DELETION/SECURE DISPOSAL
8.2.2 Returns made to central government	No		Current year + 6 years	PERMANENT DELETION/SECURE DISPOSAL

## 8.2 Central Government

Basic file description	Provisions	DP Issues	Statutory	Retention Period [Operational]	Action at the end of the administrative life of the record
8.2.3	Circulars and other information sent from central government	No		Operational use	PERMANENT DELETION/SECURE DISPOSAL