

<b>Policy Title</b>	<b>Records Retention Policy</b>
<b>Policy Owner</b>	<b>Human Resources</b>
<b>Approving Bodies</b>	<b>Northern Schools Trust Governing Bodies, Human Resources, Principals</b>
<b>Policy Version</b>	<b>v1.0 08052018</b>
<b>Approval Date</b>	<b>24.4.18</b>
<b>Effective date</b>	<b>May 2018</b>
<b>Next Review Date</b>	<b>April 2020</b>

**To be read in conjunction with the following policies and procedures:**

Grievance Policy	Whistleblowing Policy
Capability Procedure	Equal Opportunities Policy
Probationary Policy	Staff Handbook
Professional Code of Conduct	Disciplinary Policy & Procedure
Dignity at Work Policy	Performance Management Policy
ICT Acceptable Use Policy	Freedom of Information Policy
Safeguarding and Child Protection Policy	Data Protection Policy

**Relevant legislation and guidance:**

Data Protection Act 1998	Employment Act 2002 and 2008
Equality Act 2010	Employment Relations Act 1999
Employment Rights Act 1996	Public Interest Disclosure Act 1998
Human Rights Act 1998	Freedom of Information Act 2000
The Education (Pupil Information) (England) Regulations 2000	
Computer Misuse Act 1990, amended by the Police and Justice Act 2006	
Written in line with ACAS Guidance, Codes of Practice and ICO advice	

**Document Review Control Information**

<b>Version</b>	<b>Date</b>	<b>Reviewer Name(s)</b>	<b>Comments</b>
V1.0	May 2018	Human Resources	

*This is a controlled document. Whilst this document may be printed, the electronic version posted on the shared drive is the controlled copy. Any printed copies of the document are not controlled.*

## CONTENTS

<b>1. BACKGROUND</b>	<b>1</b>
<b>2. INTRODUCTION</b>	<b>1</b>
<b>3. DOCUMENT RETENTION PERIOD</b>	<b>2</b>
<b>4. DELETION OF DOCUMENTS</b>	<b>29</b>

## 1. BACKGROUND

- 1.1 This Records Retention Policy is reviewed on a regular basis by The Governing Bodies (GB) of the Northern Schools Trust (NST) schools.
- 1.2 Throughout this document the term Principal refers to the Principal or Head of Academy/School. The terms Trust and Schools refer to all Academies, Schools as well as the central team.
- 1.3 At all stages within this procedure, and in accordance with the Equality Act 2010 and the NST Equal Opportunity Policy, provision will be made for any reasonable adjustments to accommodate the needs of individuals.
- 1.4 The Trust processes Personal Data (as defined below) in order to enable it to provide education and other associated functions (and, additionally, where there is a legal requirement to process the personal data to ensure that it complies with its statutory obligations). This Data Protection Policy ("Policy") regulates the way in which the Trust obtains, uses, holds, transfers and processes Personal Data about individuals (including staff, learners, parents or carers and other individuals who come into contact with the Trust) and ensures all of its staff know the rules for protecting Personal Data. Further, it describes individuals' rights in relation to their Personal Data processed by the Trust.
- 1.5 This Policy applies to all staff employed by the Trust inclusive of staff employed at schools and academies governed by the Trust, temporary employees, agency workers and volunteers.
- 1.6 All staff, as defined in 1.5 above, are responsible for complying with this policy.
- 1.7 For the purposes of the Act, the Trust is the Data Controller.

## 2. INTRODUCTION

- 2.1 The main aim of this policy is to enable the trust to manage our records effectively and in compliance with data protection and other regulation. As an organisation we collect, hold, store and create significant amounts of data and information and this policy provides a framework of retention and disposal of categories of information and documents.
- 2.2 Northern Schools Trust is committed to the principles of data protection including the principle that information is only to be retained for as long as necessary for the purpose concerned.
- 2.3 The table below sets out the main categories of information that we hold, the length of time that we intend to hold them, and the reason for this.
- 2.4 For information, the Appendix sets out the legal requirements for certain categories of document. Where we have decided to keep information longer than the statutory requirement, this has been explained in the table at Section 2.
- 2.5 Section 3 of this policy sets out the destruction procedure for documents at the end of their retention period. [JOB TITLE] shall be responsible for ensuring that this is carried out appropriately, and any questions regarding this policy should be referred to them.
- 2.6 If a document or piece of information is reaching the end of its stated retention period, but you are of the view that it should be kept longer, please refer to [JOB TITLE], who will make a decision as to whether it should be kept, for how long, and note the new time limit and reasons for extension.

### 3. DOCUMENT RETENTION PERIOD

<b>1</b>	<b>Management of the School</b> This section contains retention periods connected to the general management of the school. This covers the work of the Governing Body, the Principal and the Senior Management Team, the admissions process and operational administration.				
<b>1.1</b>	<b>Governing Body</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
1.1.1	Agendas for LGB & Trust Board minutes	Confidential issues relating to staff may be dealt with at these meetings		One copy should be retained with the master set of minutes. All other copies should be disposed of.	SECURE DISPOSAL <sup>1</sup>
1.1.2	Minutes of LGB & Trust board minutes	Confidential issues relating to staff may be dealt with at these meetings			
	Principal set (signed) & written resolutions		Companies Act 2006 <sup>2</sup> Charities Act 2011 <sup>3</sup>	Recommended at least 10 years	SECURE DISPOSAL
	Inspection copies <sup>4</sup>			Date of the meeting + 3 years	If these minutes contain any sensitive, personal information they must be shredded.
1.1.3	Reports presented to the Governing body	Confidential issues relating to staff may be dealt with at these meetings		Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to reports then the reports should be kept permanently	

<sup>1</sup> 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

<sup>2</sup> <https://www.legislation.gov.uk/ukpga/2006/46/contents>

<sup>3</sup> <https://www.legislation.gov.uk/ukpga/2011/25/contents>

<sup>4</sup> 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.

	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
1.1.4	Members' meetings, minutes of meetings & written resolutions	Confidential issues relating to staff may be dealt with at these meetings	Companies Act 2006 <sup>5</sup> Charities Act 2011 <sup>6</sup>	Recommended at least 10 years	SECURE DISPOSAL
1.1.5	Instruments of Government including Articles of Association	No	Companies Act 2006 <sup>7</sup> Charities Act 2011 <sup>8</sup>	PERMANENT	These should be retained in the school whilst the school is open and then offered to County Archives Service when the school closes
1.1.6	Trusts & 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 when the school closes
1.1.7	Academy funding agreement supplemental agreements	No	Charities Act 2011 <sup>9</sup>	PERMANENT	These should be retained in the school whilst the school is open and then offered to County Archives Service when the school closes
1.1.8	Action plans created and administered by the Governing body	No		Life of the action plan + 3 years	SECURE DISPOSAL
	<b>Basic File Description</b>	<b>Data Protection</b>	<b>Statutory</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the</b>

<sup>5</sup> <https://www.legislation.gov.uk/ukpga/2006/46/contents>

<sup>6</sup> <https://www.legislation.gov.uk/ukpga/2011/25/contents>

<sup>7</sup> <https://www.legislation.gov.uk/ukpga/2006/46/contents>

<sup>8</sup> <https://www.legislation.gov.uk/ukpga/2011/25/contents>

<sup>9</sup> <https://www.legislation.gov.uk/ukpga/2011/25/contents>

		<b>Issues</b>	<b>Provisions</b>		<b>administrative life of the record</b>
1.1.9	Policy documents created and administered by the Governing Body	No		Life of the policy + 3 years	SECURE DISPOSAL
1.1.10	Records relating to complaints dealt with by the Governing Body	Yes		Date or the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes	SECURE DISPOSAL
1.1.11	Proposals concerning the change of status of a maintained school including Specialist Status Schools and Academies	No		Date of the proposal accepted or declined + 3 years	SECURE DISPOSAL
1.1.1.12	Documents of clear historical/archival significance	Possibly	Data Protection Regulations	Permanent if relevant data protection regulation provisions are met. <sup>10</sup>	

---

<sup>10</sup> Legal advice should be obtained once the Data Protection Act 2018 is published.

1.2	Principal & Senior Leadership 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 Head Teacher (historic)	Issues if 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 historic value and should be offered to the County Archives Service if appropriate
1.2.2	Minutes of SLT meetings & meetings of other internal administrative bodies	There may be data protection issues if minutes refer 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 or the SLT	There may be data protection issues if minutes refer to individual pupils or members of staff		Date of the report + 3 years then review	SECURE DISPOSAL
1.2.4	Records created by Principals, SLT, heads of year or other members of staff with administrative responsibilities	There may be data protection issues if minutes refer to individual pupils or members of staff		Current academic year + 6 years then review	SECURE DISPOSAL
1.2.5	Correspondence created by Principals, SLT, heads of year or other members of staff with administrative responsibilities	There may be data protection issues if minutes refer 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		Live of the plan + 3 years	SECURE DISPOSAL

1.3	Admissions Processes				
	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 Admissions Policy	No	School Admission Code <sup>11</sup>	Life of the policy + 3 years then review	SECURE DISPOSAL
1.3.2	Admissions – if the admission is successful	Yes	School Admission Code <sup>12</sup>	Date of admission + 1 year	SECURE DISPOSAL
1.3.3	Admission if the appeal is unsuccessful	Yes	School Admission Code <sup>13</sup>	Resolution of the case + 1 year	SECURE DISPOSAL
1.3.4	Register of Admissions	Yes	School Attendance <sup>14</sup>	Every entry in the admission register but be preserved for a period of 3 years after the date on which the entry was made <sup>15</sup>	<b>REVIEW</b> - 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 – Secondary Schools – Casual	Yes		Current + 1 year	SECURE DISPOSAL
1.3.6	Proofs of address supplied by parents as part of the admissions process	Yes	School Admission Code <sup>16</sup>	Current + 1 year	SECURE DISPOSAL
1.3.7	Supplementary information form including information such as religion medical conditions etc.	Yes			
	For successful admissions			This information should be added to the pupil file	SECURE DISPOSAL
	For unsuccessful admissions			Until appeals process completed	SECURE DISPOSAL

<sup>11</sup> <https://www.gov.uk/government/publications/school-admissions-code--2>

<sup>12</sup> <https://www.gov.uk/government/publications/school-admissions-code--2>

<sup>13</sup> <https://www.gov.uk/government/publications/school-admissions-code--2>

<sup>14</sup> <https://www.gov.uk/government/publications/school-attendance>

<sup>15</sup> <https://www.gov.uk/government/publications/school-attendance>

<sup>16</sup> <https://www.gov.uk/government/publications/school-admissions-code--2>



<b>1.4</b>	<b>Operational Administration</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
1.4.1	General file series	No		Current year + 5 years then REVIEW	SECURE DISPOSAL
1.4.2	Records relating to the creation & publication of the school brochure or prospectus	No		Current year + 3 years	STANDARD DISPOSAL
1.4.3	Records relating to creation and distribution of circulars to staff, parents or pupils	No		Current year + 1 year	STANDARD DISPOSAL
1.4.4	Newsletters & 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 creation & management of PTA and/or Old pupil associations	No		Current year + 6 years then REVIEW	SECURE DISPOSAL

<b>2</b>	<b>Human Resources</b> <b>This section deals with all matters of Human Resources management within the School.</b>				
<b>2.1</b>	<b>Recruitment</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
2.1.1	All records leading up to the appointment of a new Principal	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	ICO Employment Practice Code <sup>17</sup>	Date of appointment of successful candidate + 6 months	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	SECURE DISPOSAL
2.1.4	Pre-employment vetting information – DBS checks	No	DBS Update Service Employer Guide <sup>18</sup> KCSIE (sections 71, 72) <sup>19</sup> ICO Employment Practice Code <sup>20</sup>	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 six 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 personal file.	
	<b>Basic File Description</b>	<b>Data Protection</b>	<b>Statutory</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the</b>

<sup>17</sup> [https://ico.org.uk/media/for-organisations/documents/1064/the\\_employment\\_practices\\_code.pdf](https://ico.org.uk/media/for-organisations/documents/1064/the_employment_practices_code.pdf)

<sup>18</sup> <https://www.gov.uk/government/publications/dbs-update-service-employer-guide>

<sup>19</sup> <https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

<sup>20</sup> [https://ico.org.uk/media/for-organisations/documents/1064/the\\_employment\\_practices\\_code.pdf](https://ico.org.uk/media/for-organisations/documents/1064/the_employment_practices_code.pdf)

		<b>Issues</b>	<b>Provisions</b>		<b>administrative life of the record</b>
2.1.6	Pre-employment vetting information – evidence proving the right to work in the United Kingdom <sup>21</sup>	Yes	An employer’s guide to right to work checks <sup>22</sup>	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	
2.1.7	Volunteer Records	Yes		Undertake assessment to decide on retention period taking account of risk (e.g. safeguarding re work with children)	SECURE DISPOSAL

---

<sup>21</sup> Employers are required to take a “clear” copy of the documents which they are shown as part of this process

<sup>22</sup> <https://www.gov.uk/government/publications/right-to-work-checks-employers-guide>

<b>2.2</b>	<b>Operational Management</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
2.2.1	Staff Personal File	Yes	Limitation Act 1980 (section 2) <sup>23</sup>	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
2.2.4	Records re working time	Yes	Working Time Regulations 1998 as amended <sup>24</sup>	Current year + 2 years	SECURE DISPOSAL

<sup>23</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<sup>24</sup> <http://www.legislation.gov.uk/uksi/1998/1833/contents/made>

2.3 Management of disciplinary & grievance procedure					
	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 when the allegation is unfounded <sup>25</sup>	Yes	KCSIE <sup>26</sup> Working together to safeguard children <sup>27</sup>	Until the person's normal retirement age or 10 years from the date of the allegation whichever 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 procedures	Yes			
	Oral warning			Date of warning <sup>28</sup> + 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 of at the conclusion of the case.	SECURE DISPOSAL

<sup>25</sup> This policy came into effect when the Independent Inquiry on Child Sexual Abuse was still taking place. In light of this it is recommended that all records are relating to child abuse are retained until the inquiry is complete. This section will then be reviewed again to take into account any recommendations that the inquiry might make concerning record retention.

<sup>26</sup> <https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

<sup>27</sup> <https://www.gov.uk/government/publications/working-together-to-safeguard-children--2>

<sup>28</sup> 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.

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 & Safety Policy Statement	No		Life of policy + 3 years	SECURE DISPOSAL
2.4.2	Health & Safety Risk Assessments	No		Life of risk assessment + 3 years	SECURE DISPOSAL
2.4.3	Records relating to accident/injury at work	Yes	Reporting of Injuries, Diseases and Dangerous Occurrences Regs 1995 <sup>29</sup>	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 Regulations 1979 <sup>30</sup> Social Security Administration Act 1992 <sup>31</sup> Limitation Act 1980 <sup>32</sup>		SECURE DISPOSAL
	Adults			Date of the incident + 6 years	SECURE DISPOSAL
	Children			Date of the incident + 25 years	SECURE DISPOSAL
2.4.5	Control of Substances Hazardous to Health (COSHH)	No	COSHH Regulations 2002 <sup>33</sup> Records kept under the 1994 and 1999 regulations to be	Current action + 40 years	SECURE DISPOSAL

<sup>29</sup> <https://www.oshcr.org/riddor-reporting-of-injuries-diseases-and-dangerous-occurrences-regulations/>

<sup>30</sup> <http://www.legislation.gov.uk/uksi/1979/628/contents/made>

<sup>31</sup> <http://www.legislation.gov.uk/ukpga/1992/5/contents/enacted>

<sup>32</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<sup>33</sup> <http://www.hse.gov.uk/nanotechnology/coshh.htm>

			kept as if the 2002 regulations had not been made		
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 <sup>34</sup>	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 Precaution Log books	No		Current year + 6 years	SECURE DISPOSAL

---

<sup>34</sup> <http://www.hse.gov.uk/asbestos/regulations.htm>

2.5	Payroll & 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 1986, revised 1989 <sup>35</sup>	Current year + 3 years	SECURE DISPOSAL
2.5.2	Records held under Retirement Benefits Schemes (information powers) regulations 1995 <sup>36</sup>	Yes		Current year + 6 years	SECURE DISPOSAL
2.5.3	Payroll/Employee/Income Tax & NI records: P45, P60; PIID etc.	Yes	Taxes Management Act 1970 <sup>37</sup>	Current year + 6 years	SECURE DISPOSAL
2.5.4	Sick Pay	Yes	Statutory Sick Pay (General) Regulations <sup>38</sup>	Current year + 3 years	SECURE DISPOSAL
2.5.5	National Minimum Wage records	Yes	National Minimum Wage Act <sup>39</sup>	Current year + 3 years	SECURE DISPOSAL
2.5.6	Records about employees & workers (pension)	Yes	Detailed Guidance for Employers (2017) <sup>40</sup>		SECURE DISPOSAL
2.5.7	Records re Pension Scheme	Yes			SECURE DISPOSAL
2.5.8	Records re active members and opt in/opt out	Yes			SECURE DISPOSAL
2.5.9	Trust Deed/Rules and HMRC approvals	No			SECURE DISPOSAL
2.5.10	Trustees' Minutes & annual accounts	Yes			SECURE DISPOSAL
2.5.11	Policies including investment policies	No			SECURE DISPOSAL

<sup>35</sup> <http://www.legislation.gov.uk/uksi/1999/363/contents/made>

<sup>36</sup> <http://www.legislation.gov.uk/uksi/1995/3103/contents/made>

<sup>37</sup> <https://www.legislation.gov.uk/ukpga/1970/9/contents/enacted>

<sup>38</sup> <http://www.legislation.gov.uk/uksi/1982/894/contents/made>

<sup>39</sup> <http://www.legislation.gov.uk/ukpga/1998/39/contents>

<sup>40</sup> <http://www.thepensionsregulator.gov.uk/en/employers>



<b>3</b>	<b>Financial Management of the School</b> This section deals with all aspects of the financial management of the school including the administration of school meals.				
<b>3.1</b>	<b>Risk management &amp; insurance</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
3.1.1	Employer's Liability Insurance Certificate	No	Employers' Liability (Compulsory Insurance Regulation) 1998 <sup>41</sup>	Closure of the school + 40 years	SECURE DISPOSAL
3.1.2	Policies	No		3 years after lapse	SECURE DISPOSAL
3.1.3	Claims correspondence	Yes – potentially		3 years after settlement	SECURE DISPOSAL
<b>3.2</b>	<b>Asset management</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
3.2.1	Inventories of furniture & equipment	No		Current year + six years	SECURE DISPOSAL
3.2.2	Burglary, theft & vandalism report forms	No		Current year + six years	SECURE DISPOSAL

<sup>41</sup> <https://www.legislation.gov.uk/uksi/1998/2573/contents/made>

3.3 Accounts & Statements including budget 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 & review (including transferred records on amalgamation)	Yes	Companies Act 2006 <sup>42</sup> Charities Act 2011 <sup>43</sup>	Current year + six years (minimum) Recommended: permanent record	SECURE DISPOSAL
3.3.2	Loans & grants managed by the school	No		Date of the last payment on the loan + 12 years and then REVIEW	SECURE DISPOSAL
3.3.3	Student Grant applications	Yes		Current year + 3 years	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	SECURE DISPOSAL
3.3.5	Invoices, receipts, order books and requisitions, delivery notices	No	Companies Act 2006 <sup>44</sup> Charities Act 2011 <sup>45</sup>	Current financial year + 6 years	SECURE DISPOSAL
3.3.6	Records relating to the collection and banking of monies	No	Companies Act 2006 <sup>46</sup> Charities Act 2011 <sup>47</sup>	Current financial year + 6 years	SECURE DISPOSAL
3.3.7	Records relating to the identification and collection of debt	No		Current financial year + 6 years	SECURE DISPOSAL
3.3.8	Tax and accounting records	Yes	Finance Act 1998 <sup>48</sup> Taxes Management Act 1970 <sup>49</sup>	Current financial year + 6 years	SECURE DISPOSAL

<sup>42</sup> <https://www.legislation.gov.uk/ukpga/2006/46/contents>

<sup>43</sup> <https://www.legislation.gov.uk/ukpga/2011/25/contents>

<sup>44</sup> <https://www.legislation.gov.uk/ukpga/2006/46/contents>

<sup>45</sup> <https://www.legislation.gov.uk/ukpga/2011/25/contents>

<sup>46</sup> <https://www.legislation.gov.uk/ukpga/2006/46/contents>

<sup>47</sup> <https://www.legislation.gov.uk/ukpga/2011/25/contents>

<sup>48</sup> <http://www.legislation.gov.uk/ukpga/1998/36/contents>

<sup>49</sup> <https://www.legislation.gov.uk/ukpga/1970/9/contents/enacted>

3.3.9	Information relevant for VAT purposes	No	Finance Act 1998 <sup>50</sup> HMRC notice 700/21 <sup>51</sup>	Minimum current financial year + 6 years	SECURE DISPOSAL
<b>3.4</b>	<b>Contract management</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
3.4.1	All records relating to the management of contracts under seal	No	Limitation Act 1980 <sup>52</sup>	Last payment on the contract + 12 years	SECURE DISPOSAL
3.4.2	All records relating to the management of contracts under signature	No	Limitation Act 1980 <sup>53</sup>	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
3.4.4	IP records and legal files re provision of service	No	Limitation Act 1980 <sup>54</sup>	Life of service provision or IP + 6 years	SECURE DISPOSAL
<b>3.5</b>	<b>School Meals Management</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
3.5.1	Free School Meals Registers	Yes		Current year + 6 years	SECURE DISPOSAL
3.5.2	School Meals Registers	Yes		Current year + 3 years	SECURE DISPOSAL
3.5.3	School Meals Summary Sheets	No		Current year + 3 years	SECURE DISPOSAL

<sup>50</sup> <http://www.legislation.gov.uk/ukpga/1998/36/contents>

<sup>51</sup> <https://www.gov.uk/government/publications/vat-notice-70021-keeping-vat-records>

<sup>52</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<sup>53</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<sup>54</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<b>4</b>	<b>Property Management</b> This section covers the management of buildings and property.				
<b>4.1</b>	<b>Property Management</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
4.1.1	Title deeds belonging to the school	No		PERMANENT These should follow the property unless the property has been registered with the Land Registry	
4.1.2	Plans of property belonging to the school	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 school	No	Limitation Act 1980 <sup>55</sup>	Expiry of lease + 12 years	SECURE DISPOSAL
4.1.4	Records relating to the letting of school premises	No		Current financial year + 6 years	SECURE DISPOSAL
4.1.5	Buildings records, consents and certification and warranties etc.	No	Limitation Act 1980 <sup>56</sup>	Current year + 6 years or PERMANENT if of historical/archival interest. Carry out a review re longer retention (e.g. if possible actions against contractors)	

<sup>55</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<sup>56</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<b>4.2</b>	<b>Maintenance</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
4.2.1	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
4.2.2	All records relating to the maintenance of the school carried out by contractors	No		Current year + 6 years	SECURE DISPOSAL

<b>5</b>	<b>Pupil Management</b> 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 & Safety above.				
<b>5.1</b>	<b>Pupil's educational record</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
5.1.1	Pupil's Educational Record required by the Education (Pupil Information) (England) Regulations 2005 <sup>57</sup>	Yes	The Education (Pupil Information) (England) Regulations 2005 SI 2005 No 1437 <sup>58</sup>		
	Primary			Retain whilst the child remains at the Primary School	The file should follow the pupil when they leave primary school including: <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 LA to be retained for the statutory retention period.</li> </ul> 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.
	Secondary		Limitation Action 1980 (section 2) <sup>59</sup>	Date of birth of the pupil + 25 years if final destination. Pupil file should follow the pupil	SECURE DISPOSAL
5.1.2	Examination results	Yes			
	Pupil			This information should be added to the pupil file	All uncollected certificates should be returned to the examination board
	Internal			This information should	

<sup>57</sup> <http://www.legislation.gov.uk/uksi/2005/1437/contents/made>

<sup>58</sup> <http://www.legislation.gov.uk/uksi/2005/1437/contents/made>

<sup>59</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

				be added to the pupil file	
<b>This policy came into effect when the Independent Inquiry on Child Sexual Abuse was still taking place. In light of this it is recommended that all records are relating to child abuse are retained until the inquiry is complete. This section will then be reviewed again to take into account any recommendations that the inquiry might make concerning record retention.</b>					

5.1	Pupil's educational record (cont.)				
	Basic File Description	Data Protection Issues	Statutory Provisions	Retention period (Operational)	Action at the end of the administrative life of the record
5.1.3	Child Protection information held on pupil file (not NST policy)	Yes	KCSIE <sup>60</sup> Working together to safeguard children <sup>61</sup>	If any records relating to CP 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]  <b>RETAIN UNTIL FURTHER RECOMMENDATIONS</b> <a href="https://www.iicsa.org.uk/document/guidance-note-retention-instructions-and-data-protection-requirements">https://www.iicsa.org.uk/document/guidance-note-retention-instructions-and-data-protection-requirements</a>
5.1.4	Child Protection information held in separate files	Yes	KCSIE <sup>62</sup> Working together to safeguard children <sup>63</sup>	DOB of the child + 25 years then review. <i><b>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.</b></i>	[SECURE DISPOSAL – these records MUST be shredded]  <b>RETAIN UNTIL FURTHER RECOMMENDATIONS</b> <a href="https://www.iicsa.org.uk/document/guidance-note-retention-instructions-and-data-protection-requirements">https://www.iicsa.org.uk/document/guidance-note-retention-instructions-and-data-protection-requirements</a>

<sup>60</sup> <https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

<sup>61</sup> <https://www.gov.uk/government/publications/working-together-to-safeguard-children--2>

<sup>62</sup> <https://www.gov.uk/government/publications/keeping-children-safe-in-education--2>

<sup>63</sup> <https://www.gov.uk/government/publications/working-together-to-safeguard-children--2>



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 guidance for maintained schools, academies, independent schools and LA,s November 2016 <sup>64</sup> Pupil Registration Regulations <sup>65</sup>	Every entry in the attendance register must be preserved for a period of 3 years after the date on which the entry was made.  For computerised records retain until 3 years after the end of the school year during which the entry was made. This applies to every back up copy.	SECURE DISPOSAL
5.2.2	Correspondence relating to authorised absence		Education Act 1996, Section 7 <sup>66</sup>	Current academic year + 2 years	SECURE DISPOSAL

<sup>64</sup> <https://www.gov.uk/government/publications/school-attendance>

<sup>65</sup> <http://www.legislation.gov.uk/uksi/2006/1751/contents/made>

<sup>66</sup> <http://www.legislation.gov.uk/ukpga/1996/56/section/7/enacted>

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 IEPs	Yes	Limitation Act 1980 <sup>67</sup>	DOB of 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	EHCP maintained under section 234 of the Education Act 1990 and any amendments made to the statement	Yes	Special Educational Needs and Disability Regulations 2014 <sup>68</sup> Children & Families Act 2014, part 3 <sup>69</sup>	DOB of pupil + 25 years (this would normally be retained on the pupil file)	SECURE DISPOSAL – unless the document is subject to a legal hold
5.3.4	Advice and information provided to parents regarding educational needs	Yes	Special Educational Needs & Disability Act 2001, Section 2 <sup>70</sup>	DOB of pupil + 25 years (this would normally be retained on the pupil file)	SECURE DISPOSAL – unless the document is subject to a legal hold
5.3.4	Accessibility strategy	Yes	Special Educational Needs & Disability Act 2001, Section 4 <sup>71</sup>	DOB of pupil + 25 years (this would normally be retained on the pupil file)	SECURE DISPOSAL – unless the document is subject to a legal hold

<sup>67</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<sup>68</sup> <http://www.legislation.gov.uk/uksi/2014/1530/contents/made>

<sup>69</sup> <http://www.legislation.gov.uk/ukpga/2014/6/part/3/enacted>

<sup>70</sup> <http://www.legislation.gov.uk/uksi/2002/2217/made>

<sup>71</sup> <https://www.legislation.gov.uk/ukpga/2001/10/section/4>

6	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	Curriculum returns	No		Current year + 3 years	SECURE DISPOSAL
6.1.2	Examination results (school copy)	Yes		Current year + 6 years	SECURE DISPOSAL
	SATs records	Yes			
	Results			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 the current year + 6 years to allow suitable comparison	SECURE DISPOSAL
	Examination papers			The examination papers should be kept until any appeals / validation process is complete	SECURE DISPOSAL
6.1.3	PAN reports	Yes		Current year + 6 years	SECURE DISPOSAL
6.1.4	Value added & contextual data	Yes		Current year + 6 years	SECURE DISPOSAL
6.1.5	SEF	Yes		Current year + 6 years	SECURE DISPOSAL

6.2 Implementation of 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	It may be appropriate to review these records at the end of each year and allocate a further retention period or 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 possible then current year + 1 year	SECURE DISPOSAL

<b>7</b>	<b>Extracurricular activities</b>				
<b>7.1</b>	<b>Educational visits outside the classroom</b>				
	<b>Basic File Description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention period (Operational)</b>	<b>Action at the end of the administrative life of the record</b>
7.1.1	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 <sup>72</sup>	Date of visit + 10 years	SECURE DISPOSAL
7.1.2	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 + 25 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.
7.1.3	Parental consent forms for school trips where there HAS been a major incident	YES	Limitation Act 1980 (section 2) <sup>73</sup>	DOB of pupil involved in the incident + 25 years. <b><i>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.</i></b>	SECURE DISPOSAL

<sup>72</sup> <https://oeapng.info/downloads/good-practice/>

<sup>73</sup> <https://www.legislation.gov.uk/ukpga/1980/58>

<b>8</b>	<b>Central Government &amp; Local Authority</b>				
<b>8.1</b>	<b>Local Authority</b>				
8.1.1	Attendance Returns	Yes		Current year + 1 year	SECURE DISPOSAL
8.1.3	School Census Returns	No		Current year + 5 years	SECURE DISPOSAL
8.1.4	Circulars & other information sent from the Local Authority	No		Operational Use	SECURE DISPOSAL
<b>8.2</b>	<b>Central Government</b>				
8.2.1	Ofsted reports and papers	No		Life of the report and then REVIEW	SECURE DISPOSAL
8.2.2	Returns made to central government	No		Current year + 6 years	SECURE DISPOSAL
8.2.3	Circulars & other information sent from central government	No		Operational Use	SECURE DISPOSAL

## 4. DELETION OF DOCUMENTS

- 4.1 When a document is at the end of its retention period, it should be dealt with in accordance with this Policy.

### Confidential waste

- 4.2 This should be made available for collection in the confidential waste bins located around the building.
- 4.3 Anything that contains personal information should be treated as confidential.
- 4.4 Where deleting electronically, please refer to **IT Director** to ensure that this is carried out effectively.

### Other documentation

- 4.5 Other documentation can be deleted or placed in recycling bins where appropriate.

### Automatic deletion

- 4.6 Certain information will be automatically archived by the computer systems, details of which are set out below. Should you want to retrieve any information, or prevent this happening in a particular circumstance, please contact **IT Director**

### Individual responsibility

- 4.7 Much of the retention and deletion of documents will be automatic, but when faced with a decision about an individual document, you should ask yourself the following:
- 4.7.1 Has the information come to the end of its useful life?
  - 4.7.2 Is there a legal requirement to keep this information or document for a set period? (Refer to Appendix 1 for more information)
  - 4.7.3 Would the information be likely to be needed in the case of any legal proceedings? In particular, is it potentially relevant to an historic child abuse enquiry? (Is the information contentious, does it relate to an incident that could potentially give rise to proceedings?)
  - 4.7.4 Would the document be useful for the organisation as a precedent, learning document, or for performance management processes?
  - 4.7.5 Is the document of historic or statistical significance?
- 4.8 If the decision is made to keep the document, this should be referred to **[JOB TITLE]** and reasons given.