



## Finance: RECORDS RETENTION POLICY

|                       |                   |
|-----------------------|-------------------|
| <b>REVIEW DUE:</b>    | <b>APRIL 2021</b> |
| <b>LAST REVIEW</b>    | APRIL 2018        |
| <b>APPLICABLE TO:</b> | All Trust Schools |
| <b>REVIEWED BY:</b>   | Trust Board       |

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**PLEASE NOTE THAT, SINCE CREATION OF THIS POLICY THE PARTNERSHIP TRUST HAS CHANGED ITS NAME TO THE BATH AND MENDIP PARTNERSHIP TRUST. ALL REFERENCES IN THIS POLICY TO THE PARTNERSHIP TRUST ARE TO BE READ AS THE BATH AND MENDIP PARTNERSHIP TRUST**

## **1. Policy Statement**

- 1.1. The main aim of this policy is to enable the schools within The Partnership 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.
- 1.2. The Partnership 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.
- 1.3. Records are defined as all those documents which facilitate the business carried out by the Trust/School 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.
- 1.4. The table below sets out the main categories of information that we hold, the length of time that we intend to hold them, the reason for this and relationships with other policies. The policy sets out the destruction procedure for documents at the end of their retention period. The Business Manager shall be responsible for ensuring that this is carried out appropriately, and any questions regarding this policy should be referred to the Business Manager.
- 1.5. 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 the Business Manager, 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.

## **2. Policy Procedures**

### **2. DELETION OF DOCUMENTS**

- 2.1. When a document is at the end of its retention period, it will be dealt with in accordance with this policy.

#### **Confidential waste**

- 2.2. Is made available for collection in the confidential waste bins or sacks located in the school office or shredded.

2.3. Anything that contains personal information will be treated as confidential.

2.4. Where deleting electronically, the Network Manager will ensure that this has been carried out effectively.

#### **Other documentation**

2.5. Other documentation will be deleted or placed in recycling bins where appropriate.

#### **Automatic deletion**

2.6. 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 the Network Manager.

#### **Individual responsibility**

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

2.8. Individual employees must ensure that records for which they are responsible are accurate and are maintained and disposed of in accordance with the schools record management guidelines.

2.9. Much of the retention and deletion of documents will be automatic, but when faced with a decision about an individual document, the Trust considers the following:

2.9.1. Has the information come to the end of its useful life?

2.9.2. Is there a legal requirement to keep this information or document for a set period?

2.9.3. 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?)

2.9.4. Would the document be useful for the organisation as a precedent, learning document, or for performance management processes?

2.9.5. Is the document of historic or statistical significance?

2.10. If the decision is made to keep the document, this should be referred to the Business Manager and reasons given.

#### **Relationships with existing policies**

3. This policy has been drawn up within the context of:

- Data Protection and Freedom of Information Policy
- Other legislation or regulations (including audit, equal opportunities and ethics) affecting the school.

## RECORDS RETENTION SCHEDULE

|            |   |  |   |   |
|------------|---|--|---|---|
| <b>1.</b>  | <b>Management of the School</b>                                   |  |   |   |
|            | <b>Basic file description</b>                                     | <b>Statutory Provisions/<br/>Legislation</b> | <b>Retention Period (Operational)</b>   | <b>Action at the end of the<br/>administrative life of the record</b> |
| <b>1.1</b> | <b>Company Records</b>  |  |   |   |
| 1.1.1      | Company Articles of Association,<br>Rules / bylaws                | Companies Act 2006<br>Charities Act 2011     | Permanent   |   |
| 1.1.2      | Academy funding agreement and any<br>supplemental agreements      | Charities Act 2011                           | Permanent   |   |
| 1.1.3      | Trustee / director minutes of meetings<br>and written resolutions | Companies Act 2006<br>Charities Act 2011     | Recommended at least 10 years   | <b>SECURE DISPOSAL</b>  |
| 1.1.4      | Members' meetings etc.<br>Minutes / resolutions                   | Companies Act 2006<br>Charities Act 2011     | Recommended at least 10 years   | <b>SECURE DISPOSAL</b>  |
| 1.1.5      | Annual Accounts   | Companies Act 2006<br>Charities Act 2011     | Current year + 6 years  | STANDARD DISPOSAL   |
| 1.1.6      | Documents of clear historical / archival<br>significance          | Data Protection regulation                   | Permanent if relevant data protection<br>regulation provisions are met. At the time<br>of writing the Data Protection Bill contains<br>relevant provisions but these are<br>expected to change as the Bill goes<br>through the parliamentary process. Legal<br>advice should be obtained once the Data<br>Protection Act 2018 is published. |   |
| 1.1.7      | Contracts e.g. with suppliers or grant<br>makers                  | Limitation Act 1980                          | Length of contract term plus 6 years  |   |
| 1.1.8      | Contracts executed as deeds                                       | Limitation Act 1980                          | Length of contract term plus 12 years   |   |
| 1.1.9      | IP records and legal files re provision<br>of service             | Limitation Act 1980                          | Recommended: Life of service provision<br>or IP plus 6 years  |   |
| <b>1.2</b> | <b>Local Governing Body</b>                                       |  |   |   |

|       | <b>Basic file description</b>  | <b>Statutory Provisions</b>    | <b>Retention Period (Operational)</b>   | <b>Action at the end of the administrative life of the record</b>   |
|-------|--|--------------------------------|---|---|
| 1.2.1 | Agendas for Governing Body meetings  |                                | One copy should be retained with the master set of minutes. All other copies can be disposed of.  | There may be data protection issues if the meeting is dealing with confidential issues relating to staff.<br><b>SECURE DISPOSAL</b> |
| 1.2.2 | Minutes of Governing Body meetings (Principal Set Signed)  |                                | <b>PERMANENT</b>  | There may be data protection issues if the meeting is dealing with confidential issues relating to staff                            |
|       | Inspection Copies <sup>1</sup>   |                                | Date of meeting + 3 years   | If these minutes contain any sensitive, personal information they must be shredded.   |
| 1.2.3 | Reports presented to the Governing Body  |                                | 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 | <b>SECURE DISPOSAL</b> or retain with the signed set of the minutes   |
| 1.2.4 | Meeting papers relating to the annual parents' meeting held under section 33 of the Education Act 2002 | Education Act 2002, Section 33 | Date of the meeting + a minimum of 6 years  | <b>SECURE DISPOSAL</b>  |

| <b>1.2</b> | <b>Local Governing Body</b>   |                             |                                       |   |
|------------|-------------------------------|-----------------------------|---------------------------------------|---|
|            | <b>Basic file description</b> | <b>Statutory Provisions</b> | <b>Retention Period (Operational)</b> | <b>Action at the end of the administrative life of the record</b> |

<sup>1</sup> These are the copies which the clerk to the LGB may wish to retain so that requestors can view all the information without the clerk needing to print off and collate redacted copies of the minutes each time a request is made.

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|--------|---|--|--|--|
| 1.2.5  | Instruments of Government   |  | <b>PERMANENT</b>   | These should be retained in the school whilst the school is open and then offered to County Archives Service when the school closes. |
| 1.2.6  | Trusts and Endowments managed by the Governing Body   |  | <b>PERMANENT</b>   | These should be retained in the school whilst the school is open and then offered to County Archives Service when the school closes. |
| 1.2.7  | Action plans created and administered by the Governing Body   |  | Life of the action plan + 3 years  | <b>SECURE DISPOSAL</b>   |
| 1.2.8  | Policy documents created and administered by the Governing Body   |  | Life of the policy + 3 years   | <b>SECURE DISPOSAL</b>   |
| 1.2.9  | Records relating to complaints dealt with by the Governing Body   |  | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | <b>SECURE DISPOSAL</b>   |
| 1.2.10 | Annual Reports created under the requirements of the Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 | Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171 | Date of report + 10 years  | <b>SECURE DISPOSAL</b>   |
| 1.2.11 | Proposals concerning the change of status of a maintained school including Specialist Status Schools and Academies                |  | Date proposal accepted or declined + 3 years   | <b>SECURE DISPOSAL</b>   |

|            |  |                             |   |  |
|------------|--|-----------------------------|---|--|
| <b>1.3</b> | <b>Headteacher And Senior Management Team</b>                      |                             |   |  |
|            | <b>Basic file description</b>                                      | <b>Statutory Provisions</b> | <b>Retention Period (Operational)</b>                             | <b>Action at the end of the administrative life of the record</b>  |
| 1.3.1      | Log books of activity in the school maintained by the Headteacher. |                             | 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 County Archives Service if appropriate |

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|------------|---|--|---|--|
| 1.3.2      | Minutes of senior management team meetings and the meetings of other internal administrative bodies.  |  | Date of the meeting + 3 years then review             | There may be data protection issues if the minutes refers to individual pupils or members of staff.<br><b>SECURE DISPOSAL</b>        |
| 1.3.3      | Reports created by the Headteacher of the Management team   |  | Date of the report + a minimum of 3 years then review | There may be data protection issues if the reports refers to individual pupils or members of staff.<br><b>SECURE DISPOSAL</b>        |
| 1.3.4      | Records created by Headteachers, deputy headteachers. Heads of year and other members of staff with administrative responsibilities.        |  | Current academic year + 6 years then review           | There may be data protection issues if the records refers to individual pupils or members of staff.<br><b>SECURE DISPOSAL</b>        |
| 1.3.5      | Correspondence created by Headteachers, deputy headteachers. Heads of year and other members of staff with administrative responsibilities. |  | Date of correspondence + 3 years then review          | There may be data protection issues if the correspondence refers to individual pupils or members of staff.<br><b>SECURE DISPOSAL</b> |
| 1.3.6      | Professional Development Plans  |  | Life of the plan + 6 years                            | <b>SECURE DISPOSAL</b>   |
| 1.3.7      | School Development Plans  |  | Life of the plan + 3 years                            | <b>SECURE DISPOSAL</b>   |
| 1.3.8      | Policies  |  | 3 years after lapse                                   | STANDARD DISPOSAL  |
| <b>1.4</b> | <b>Admissions Process</b>   |  |   |  |
|            | <b>Basic file description</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      | All records relating to the creation and implementation of the School Admissions Policy.  | School Admissions Code<br>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              | <b>SECURE DISPOSAL</b>   |
| 1.4.2      | Admissions – if the admission is successful.  | School Admissions Code<br>Statutory guidance for admission authorities,  | Date of admission + 1 year                            | <b>SECURE DISPOSAL</b>   |

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|       |  | governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014.  |   |  |
| 1.4.3 | Admissions – if the appeal is unsuccessful.  | 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   | <b>SECURE DISPOSAL</b>   |
| 1.4.4 | Register of Admissions   | 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. |
|       | <b>Basic file description</b>  | <b>Statutory Provisions</b>  | <b>Retention Period (Operational)</b>   | <b>Action at the end of the administrative life of the record</b>  |
| 1.4.5 | Proof of address supplied by parents as part of the admissions process                                       | School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014  | Current year + 1 year   | <b>SECURE DISPOSAL</b>   |
| 1.4.6 | Supplementary Information form including additional information such as as religion, medical conditions etc. |  | For successful admissions This information should be added to the pupil file<br>For unsuccessful admissions Until appeals process completed         | <b>SECURE DISPOSAL</b><br><br><b>SECURE DISPOSAL</b>   |

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|------------|-----------------------------------|--|--|--|
| <b>1.5</b> | <b>Operational Administration</b> |  |  |  |
|------------|-----------------------------------|--|--|--|



|       | <b>Basic file description</b>  | <b>Statutory Provisions</b> | <b>Retention Period (Operational)</b> | <b>Action at the end of the administrative life of the record</b> |
|-------|--|-----------------------------|---------------------------------------|---|
| 1.5.1 | General files series   |                             | Current year + 5 years then REVIEW    | <b>SECURE DISPOSAL</b>  |
| 1.5.2 | Records relating to the creation and publication of the school brochure or prospectus.                         |                             | Current year + 3 years                | STANDARD DISPOSAL   |
| 1.5.3 | Records relating to the creation and distribution of circulars to staff, parents or pupils.                    |                             | Current year + 1 year                 | STANDARD DISPOSAL   |
| 1.5.4 | Newsletters and other items with a short operational use.  |                             | Current year + 1 year                 | STANDARD DISPOSAL   |
| 1.5.5 | Visitors Books and Signing In Sheets   |                             | Current year + 6 years then REVIEW    | <b>SECURE DISPOSAL</b>  |
| 1.5.6 | Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations. |                             | Current year + 6 years then REVIEW    | <b>SECURE DISPOSAL</b>  |

| <b>2.</b> | <b>Human Resources</b>   |   |   |  |
|-----------|--|---|---|--|
|           | <b>Basic file description</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 headteacher                               |   | Date of appointment + 6 years   | <b>SECURE DISPOSAL</b>   |
| 2.1.2     | All records leading up to the appointment of a new member of staff – unsuccessful candidates | ICO Employment Practices Code (Recruitment & Selection)<br>Disability Discrimination Act 1995 & Race Relations Act 1976                             | Date of appointment of successful candidate + 6 months  | <b>SECURE DISPOSAL</b>   |
| 2.1.3     | All records leading up to the appointment of a new member of staff – successful candidate    |   | All the relevant information should be added to the staff personal file (see below) and all other information retained for 6 months | <b>SECURE DISPOSAL</b>   |
| 2.1.4     | Pre-employment/Volunteer vetting information – DBS Checks                                    | ICO Employment Practice Code<br>DBS Update Service Employer Guide June 2014: Keeping children safe in education .July 2015 (Statutory Guidance from | 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<br><b>SECURE DISPOSAL</b> |

|       |  |  |   |   |
|-------|--|--|---|---|
|       |  | Dept. of Education) Sections 73, 74<br>Single Central Record Requirements under<br>• for independent schools, (including academies and free schools and alternative provision academies and free schools):<br>Part 4 of the Schedule to the Education (Independent School Standards) Regulations 2014; |   |   |
|       | <b>Basic file description</b>  | <b>Statutory Provisions</b>  | <b>Retention Period (Operational)</b>   | <b>Action at the end of the administrative life of the record</b> |
|       |  | • for non-maintained special schools: Regulation 3 and paragraph 7 of Part 1 and paragraph 18 of Part 2 of the Schedule to the Non-Maintained Special Schools (England) Regulations 2015.  |   |   |
| 2.1.5 | Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure         |  | 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                     |   |
| 2.1.6 | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom <sup>4</sup> | 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 |   |
| 2.1.7 | Volunteer Records  |  | 2 years after volunteering ceased   | <b>SECURE DISPOSAL</b>  |
| 2.2.1 | Staff Personal File  | Limitation Act 1980 (Section 2)  | Termination of Employment + 6 years   | <b>SECURE DISPOSAL</b>  |

|       |                                     |  |                        |                        |
|-------|-------------------------------------|--|------------------------|------------------------|
| 2.2.2 | Timesheets                          |  | Current year + 6 years | <b>SECURE DISPOSAL</b> |
| 2.2.3 | Annual appraisal/assessment records |  | Current year + 5 years | <b>SECURE DISPOSAL</b> |

|       | <b>Basic file description</b>  | <b>Statutory Provisions</b>  | <b>Retention Period (Operational)</b>   | <b>Action at the end of the administrative life of the record</b>   |
|-------|--|--|---|---|
| 2.3.1 | Allegation of a child protection nature against a member of staff including where the allegation is unfounded <sup>5</sup> | “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. If found they are to be kept on the file and a copy provided to the person concerned. | <b>SECURE DISPOSAL</b><br>These records must be shredded  |
| 2.3.2 | Disciplinary Proceedings   |  | Verbal warning - Date of warning + 6 months<br>First written warning – Date of warning + 6 months<br>Final written warning – Date of warning + 12 months<br>final warning + 18 months   | [If warnings are placed on personal files then they must be weeded from the file]<br>Date of warning case not found If the incident is child protection related then see above otherwise dispose of at the conclusion of the case<br><b>SECURE DISPOSAL</b> |

|            |                               |                             |                                       |   |
|------------|-------------------------------|-----------------------------|---------------------------------------|---|
| <b>2.4</b> | <b>Health and Safety</b>      |                             |                                       |   |
|            | <b>Basic file description</b> | <b>Statutory Provisions</b> | <b>Retention Period (Operational)</b> | <b>Action at the end of the administrative life of the record</b> |

|       |  |  |   |   |
|-------|--|--|---|---|
| 2.4.1 | Health and Safety Policy Statements  | Limitation Act 1970  | Life of policy + 3 years  | <b>SECURE DISPOSAL</b>  |
| 2.4.2 | General Records  | Limitation Act 1970  | 3 years   | <b>SECURE DISPOSAL</b>  |
| 2.4.3 | Health and Safety Risk Assessments   |  |   | Life of risk assessment + 3 years<br><b>SECURE DISPOSAL</b>   |
|       | <b>Basic file description</b>  | <b>Statutory Provisions</b>  | <b>Retention Period (Operational)</b>   | <b>Action at the end of the administrative life of the record</b>   |
| 2.4.4 | Records relating to accident/injury at work  | Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995  |   | Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied<br><b>SECURE DISPOSAL</b> |
| 2.4.5 | Accident Reporting   | 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<br>Children DOB of the child + 25 years | <b>SECURE DISPOSAL</b><br><b>SECURE DISPOSAL</b>  |
| 2.4.6 | Control of Substances Hazardous to Health (COSHH)  | 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   | <b>SECURE DISPOSAL</b>  |
| 2.4.7 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos  | Control of Asbestos at Work Regulations 2012 SI 1012 No 632 Regulation 19  | Last action + 40 years  | <b>SECURE DISPOSAL</b>  |
| 2.4.8 | Process of monitoring of areas where employees and persons are likely to have become in contact with radiation |  | Last action + 50 years  | <b>SECURE DISPOSAL</b>  |
| 2.4.9 | Fire Precautions log books   |  | Current year + 6 years  | <b>SECURE DISPOSAL</b>  |
|       |  |  |   |   |

| <b>2.5</b> | <b>Payroll and Pensions</b>  |   |  |   |
|------------|--|---|--|---|
|            | <b>Basic file description</b>  | <b>Statutory Provisions</b>   | <b>Retention Period (Operational)</b>    | <b>Action at the end of the administrative life of the record</b> |
| 2.5.1      | Payroll / Employee / Income Tax and NI records:<br>P45; P6; P11D; P60, etc.          | Taxes Management Act 1970 / IT (PAYE) Regulations   | 6 years from end of current year         | <b>SECURE DISPOSAL</b>  |
| 2.5.2      | Sick pay   | Statutory Sick Pay (General) Regulations  | 3 years after the end of the tax year    | <b>SECURE DISPOSAL</b>  |
| 2.5.3      | National Minimum wage records  | National Minimum Wage Act   | 3 years after the end of the tax year    | <b>SECURE DISPOSAL</b>  |
| 2.5.4      | Foreign national ID documents  | Immigration (Restrictions on Employment) Order 2007<br>Independent School Standards Regulations | Minimum 2 years from end of employment   | <b>SECURE DISPOSAL</b>  |
| 2.5.5      | HR files and training records  | Limitation Act 1970 and Data Protection regulation  | Maximum 6 years from end of employment   | <b>SECURE DISPOSAL</b>  |
| 2.5.6      | Records re working time  | Working Time Regulations 1998 as amended  | 2 years                                  | <b>SECURE DISPOSAL</b>  |
| 2.5.7      | Pension records about employees and workers  | Detailed Guidance for Employers (April 2017)  |  | <b>SECURE DISPOSAL</b>  |
| 2.5.8      | Pension records re the Scheme  | Detailed Guidance for Employers (April 2017)  | + 6 years after the last pension payment | <b>SECURE DISPOSAL</b>  |
| 2.5.9      | Pension records re active members and opt in / opt out                               | Detailed Guidance for Employers (April 2017)  | + 6 years after the last pension payment | <b>SECURE DISPOSAL</b>  |
| 2.5.10     | Maternity pay records  | Statutory Maternity Pay (General) Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567)     | Current year + 3 years                   | <b>SECURE DISPOSAL</b>  |
| 2.5.11     | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 |   | Current year + 6 years                   | <b>SECURE DISPOSAL</b>  |

| <b>2.6</b> | <b>Insurance</b>              |                             |                                       |   |
|------------|-------------------------------|-----------------------------|---------------------------------------|---|
|            | <b>Basic file description</b> | <b>Statutory Provisions</b> | <b>Retention Period (Operational)</b> | <b>Action at the end of the administrative life of the record</b> |
|            |                               |                             |                                       |   |

|  |                                |   |                          |                        |
|--|--------------------------------|---|--------------------------|------------------------|
|  | Employer's Liability Insurance | Employers' Liability (Compulsory Insurance Regulation) 1998 | 40 years                 |                        |
|  | Claims correspondence          | Commercial  | 3 years after settlement | <b>SECURE DISPOSAL</b> |

|           |  |   |   |   |
|-----------|--|---|---|---|
| <b>3.</b> | <b>Financial Management</b>  |   |   |   |
|           | <b>Basic file description</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 and equipment   |   | Current year + 6 years                                  | <b>SECURE DISPOSAL</b>  |
| 3.2.2     | Burglary, theft and vandalism report forms   |   | Current year + 6 years                                  | <b>SECURE DISPOSAL</b>  |
| 3.3.1     | Annual Accounts  |   | Current year + 6 years                                  | STANDARD DISPOSAL   |
| 3.3.2     | Loans and grants managed by the school   |   | Date of last payment on the loan + 12 years then REVIEW | <b>SECURE DISPOSAL</b>  |
| 3.3.3     | Student Grant applications   |   | Current year + 3 years                                  | <b>SECURE DISPOSAL</b>  |
| 3.3.4     | All records relating to the creation and management of budgets including the Annual Budget statement and background papers | Companies Act 2006<br>Charities Act 2011      | Life of the budget + 3 years                            | <b>SECURE DISPOSAL</b>  |
| 3.3.5     | Invoices, receipts, order books and requisitions, delivery notices   | Companies Act 2006<br>Charities Act 2011      | Current financial year + 6 years                        | <b>SECURE DISPOSAL</b>  |
| 3.3.6     | Records relating to the collection and banking of monies   | Companies Act 2006<br>Charities Act 2011      | Current financial year + 6 years                        | <b>SECURE DISPOSAL</b>  |
| 3.3.7     | Records relating to the identification and collection of debt  | Companies Act 2006<br>Charities Act 2011      | Current financial year + 6 years                        | <b>SECURE DISPOSAL</b>  |
| 3.4.1     | All records relating to the management of contracts under seal   | Limitation Act 1980                           | Last payment on the contract + 12 years                 | <b>SECURE DISPOSAL</b>  |
| 3.4.2     | All records relating to the management of contracts under signature  | Limitation Act 1980                           | Last payment on the contract + 6 years                  | <b>SECURE DISPOSAL</b>  |
| 3.4.3     | Records relating to the monitoring of contracts  |   | Current year + 2 years                                  | <b>SECURE DISPOSAL</b>  |
| 3.4.4     | Tax and accounting records   | Finance Act 1998<br>Taxes Management Act 1970 | 6 years from end of relevant tax year                   | <b>SECURE DISPOSAL</b>  |

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| 3.4.5 | Information relevant for VAT purposes | Finance Act 1998<br>HMRC Notice 700/21 | Current financial year + 6 years | <b>SECURE DISPOSAL</b> |
| 3.6.1 | Free School Meals Registers           |  | Current year + 6 years           | <b>SECURE DISPOSAL</b> |
| 3.6.2 | School Meals Registers                |  | Current year + 3 years           | <b>SECURE DISPOSAL</b> |
| 3.6.3 | School Meals Summary Sheets           |  | Current year + 3 years           | <b>SECURE DISPOSAL</b> |

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| <b>4.</b> | <b>Property Management</b>  |                             |  |   |
|           | <b>Basic file description</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 of properties belonging to the school   |                             | Permanent / to disposal of property  |   |
| 4.1.2     | Plans of property belong to the school  |                             | 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     | Building records, plans, consents and certification and warranties  | Limitations Act 1980        | 6 years after disposal or permanent if of historical/archival interest.  |   |
| 4.1.4     | Leases of property leased by or to the school   |                             | Expiry of lease + 12 years   | <b>SECURE DISPOSAL</b>  |
| 4.1.5     | Records relating to the letting of school premises  |                             | Current financial year + 6 years   | <b>SECURE DISPOSAL</b>  |
| 4.2.1     | All records relating to the maintenance of the school carried out by contractors                                      |                             | Current year + 6 years   | <b>SECURE DISPOSAL</b>  |
| 4.2.2     | All records relating to the maintenance of the school carried out by school employees including maintenance log books |                             | Current year + 6 years   | <b>SECURE DISPOSAL</b>  |

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| <b>5.</b> | <b>Pupil Management</b> |  |  |  |
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|       | <b>Basic file description</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 | The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437   | Primary Retain whilst the child remains at the primary school. The file should follow the pupil when he/she leaves the primary school. This will include: • 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. 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 | <b>SECURE DISPOSAL</b>   |
|       | <b>Basic file description</b>   | <b>Statutory Provisions</b>   | <b>Retention Period (Operational)</b>   | <b>Action at the end of the administrative life of the record</b>  |
|       |   |   | as it is more likely that the pupil will request the record from the Local Authority Secondary Limitation Act 1980 (Section 2) Date of Birth of the pupil + 25 years  |  |
| 5.1.2 | Examination Results – Pupil Copies  |   | 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.  |
| 5.1.3 | Child protection information held in separate files   | "Keeping children safe in education Statutory guidance for schools and colleges | DOB of the child + 25 years then review. This retention period was agreed in consultation with the Safeguarding Children Group on the understanding that  | <b>SECURE DISPOSAL</b> – these records MUST be shredded Retention periods relating to allegations made against |



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|       |   | September 2016”;<br>“Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children February 2017” | the principal copy of this information will be found on the Local Authority Social Services record   | adults can be found in the Human Resources section of this retention schedule.   |
| 5.2.1 | Attendance Registers  | School attendance: Departmental advice for maintained schools, academies, independent schools and local authorities October 2014                             | Paper - Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made.<br>Electronic - Every entry in the attendance register must be preserved for a period of three years after the end of the school year | <b>SECURE DISPOSAL</b>   |
|       | <b>Basic file description</b>   | <b>Statutory Provisions</b>  | <b>Retention Period (Operational)</b>  | <b>Action at the end of the administrative life of the record</b>  |
| 5.2.2 | Correspondence relating to authorized absence                           | Education Act 1996 Section 7   | Current academic year + 2 years  | <b>SECURE DISPOSAL</b>   |
| 5.3.1 | Special Educational Needs files, reviews and Individual Education Plans | Limitation Act 1980 (Section 2)  | Date of Birth of the pupil + 25 years  | <b>SECURE DISPOSAL</b><br>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. |

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| 5.3.2 | Education Health Care Plans  | Special Educational Needs and Disability Regulations 2014<br>Children and families Act 2014, part 3 |   | <b>SECURE DISPOSAL</b>  |
| 5.3.2 | Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement (now historic) | Education Act 1996<br>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] | <b>SECURE DISPOSAL</b> unless the document is subject to a legal hold |
| 5.3.3 | Advice and information provided to parents regarding educational needs   | 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] | <b>SECURE DISPOSAL</b> unless the document is subject to a legal hold |
| 5.3.4 | Accessibility Strategy   | 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] | <b>SECURE DISPOSAL</b> unless the document is subject to a legal hold |

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| <b>6.</b> | <b>Curriculum</b>   |                             |  |   |
|           | <b>Basic file description</b>   | <b>Statutory Provisions</b> | <b>Retention Period (Operational)</b>  | <b>Action at the end of the administrative life of the record</b> |
| 6.1.1     | Curriculum returns  |                             | Current year + 3 years   | <b>SECURE DISPOSAL</b>  |
| 6.1.2     | Examination Results (Schools Copy)  |                             | Current year + 6 years   | <b>SECURE DISPOSAL</b>  |
|           | SATS records  |                             | 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 current year + 6 years to allow suitable comparison | <b>SECURE DISPOSAL</b>  |
|           | Examination Papers The examination papers should be kept until any appeals/validation process is complete |                             |  | <b>SECURE DISPOSAL</b>  |
| 6.1.3     | Published Admission Number (PAN) Reports  |                             | Current year + 6 years   | <b>SECURE DISPOSAL</b>  |
| 6.1.4     | Value Added and Contextual Data   |                             | Current year + 6 years   | <b>SECURE DISPOSAL</b>  |
| 6.1.5     | Self Evaluation Forms   |                             | Current year + 6 years   | <b>SECURE DISPOSAL</b>  |

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| 6.2.1 | Schemes of Work        |  | 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                   | <b>SECURE DISPOSAL</b> |
| 6.2.2 | Timetable              |  | Current year + 1 year   | STANDARD DISPOSAL      |
| 6.2.3 | Class Record Books     |  | Current year + 1 year   | STANDARD DISPOSAL      |
| 6.2.4 | Mark Books             |  | Current year + 1 year   | STANDARD DISPOSAL      |
| 6.2.5 | Record of homework set |  | Current year + 1 year   | STANDARD DISPOSAL      |
| 6.2.6 | Pupils' Work           |  | 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 | <b>SECURE DISPOSAL</b> |
| 6.2.7 | Pupil Photographs      |  | 2 years after the latest consent form signed.   | <b>SECURE DISPOSAL</b> |

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| <b>7.</b> | <b>Extra-Curricular Activities</b>  |   |                                       |   |
|           | <b>Basic file description</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 – Primary Schools   | Outdoor Education Advisers' Panel<br>National Guidance website<br><a href="http://oeapng.info">http://oeapng.info</a><br>specifically Section 3 - "Legal Framework and Employer Systems" and Section 4 - "Good Practice". | Date of visit + 14 years              | <b>SECURE DISPOSAL</b>  |
| 7.1.2     | Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Secondary Schools | Outdoor Education Advisers' Panel<br>National Guidance website<br><a href="http://oeapng.info">http://oeapng.info</a>   | Date of visit + 10 years              | <b>SECURE DISPOSAL</b>  |

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|       |  | specifically Section 3 - "Legal Framework and Employer Systems" and Section 4 - "Good Practice". |  |   |
|       | <b>Basic file description</b>  | <b>Statutory Provisions</b>  | <b>Retention Period (Operational)</b>  | <b>Action at the end of the administrative life of the record</b>   |
| 7.1.3 | Parental consent forms for school trips where there has been no major incident                                   |  | 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                               | 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  |   |
| 7.2.1 | Walking Bus Registers  |  | 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                           | <b>SECURE DISPOSAL</b> [If these records are retained electronically any back up copies should be destroyed at the same time] |
| 7.3.1 | Day Books  |  | Current year + 2 years then review   |   |
| 7.3.2 | Reports for outside agencies - where the report has been included on the case file created by the outside agency |  | Whilst child is attending school and then destroy  |   |
| 7.3.3 | Referral forms   |  | While the referral is current  |   |
| 7.3.4 | Contact data sheets  |  | Current year then review, if contact is no longer active then destroy  |   |
| 7.3.5 | Contact database entries   |  | Current year then review, if contact is no longer active then destroy  |   |
| 7.3.6 | Group Registers  |  | Current year + 2 years   |   |

|       |   |                             |                                       |   |
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| 8.    | <b>Central Government and Local Authority</b>                 |                             |                                       |   |
|       | <b>Basic file description</b>                                 | <b>Statutory Provisions</b> | <b>Retention Period (Operational)</b> | <b>Action at the end of the administrative life of the record</b> |
| 8.1.1 | Secondary Transfer Sheets (Primary)                           |                             | Current year + 2 years                | <b>SECURE DISPOSAL</b>  |
| 8.1.2 | Attendance Returns  |                             | Current year + 1 year                 | <b>SECURE DISPOSAL</b>  |
| 8.1.3 | School Census Returns   |                             | Current year + 5 years                | <b>SECURE DISPOSAL</b>  |
| 8.1.4 | Circulars and other information sent from the Local Authority |                             | Operational use                       | <b>SECURE DISPOSAL</b>  |
| 8.2.1 | OFSTED reports and papers                                     |                             | Life of the report then REVIEW        | <b>SECURE DISPOSAL</b>  |
| 8.2.2 | Returns made to central government                            |                             | Current year + 6 years                | <b>SECURE DISPOSAL</b>  |
| 8.2.3 | Circulars and other information sent from central government  |                             | Operational use                       | <b>SECURE DISPOSAL</b>  |