

Information Governance Support

Essex County Council



Approved by

MAT Directors

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1

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RETENTION SCHEDULE

The main categories of record held by the organisation and the associated approved retention arrangements

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Introduction

The Great Oak Multi Academy Trust Retention Schedule attempts to identify processes which our records support, rather than identifying individual types of records. This is for two reasons:

- To make the retention period apply to all records independent of any format, i.e. the same rules apply to a paper file, an e-mail or another electronic document
- To allow flexibility in developing the schedule to cover new processes and amend existing ones over time.

The Schedule is intended to cover the lifecycle of records and information from creation through to destruction or permanent preservation.

Records intended for destruction under the Schedule may be destroyed in accordance with the provisions of the Schedule. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection law and Freedom of Information legislation.

Records for permanent preservation should be passed to the County's Record Office or other approved place of deposit

Limitation of Scope

Very few types of records have specified time periods for retention in law or in official government guidance. Where such advice exists it is included in this Schedule. Where advice does not exist, it is up to us to decide how long we wish to retain records. This Schedule gathers together retention criteria from a comprehensive best practice review of a wide range of organisations across the country.

Objectives of the Retention Guidelines

The aims of the Guideline are to:

- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
- Provide consistency for the destruction of those records not required permanently after specified periods in order to reduce the costs of unnecessary storage
- Promote improved Records Management practices within ECC which gives the public confidence that when information is destroyed it is done so according to well-considered rules.
- Assist in identifying records that may be worth preserving permanently as part of the authority's archives

Transfer of Records to a Record Office

Records identified in this schedule as 'permanent' are marked 'Offer to Archivist'. The Archivist may choose to select a sample of the records for permanent preservation in the County Archives; the remainder should be destroyed as specified in the Schedule. The sample may be random, selective or purposeful.

'Offer to Archivist for review' is used to indicate record classes where the Archivist will not usually be interested in retaining the class of records, but may wish to retain where there is a public interest in doing so.

Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information and Data Protection legislation and any internal policy.

Data Protection law provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely; provided specific requirements are met. It is the responsibility of the Archivist to ensure that further processing of personal data is lawful.

Destruction of Records

Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.

Records that are currently (or known to be in the future) the subject of a Freedom of Information, Data Protection, Environmental Information Regulations etc official request or appeal, must not be destroyed until that request or appeal has been completed. To knowingly destroy a record when it is subject to a request/ complaint is an offence.

General and Miscellaneous records

There are some records that do not need to be kept at all that staff may routinely destroy in the normal course of business. However, the retention schedule must still contain reference and instructions referring to them.

This usually applies to information that is duplicated, unimportant or only of short-term value. Unimportant records or information include:

- 'With compliments' slips
- Catalogues and trade journals
- Telephone message slips
- Non-acceptance of invitations
- Trivial email messages or notes that are not related to our business
- Requests for stock information such as maps, plans or advertising material
- Out-of-date distribution lists
- Working papers which lead to a final report

Duplicated and superseded material such as manuals, drafts, forms, address books and reference copies of annual reports may be destroyed under this rule. Electronic copies of documents where a hard copy has been printed and filed, and paper faxes after making and filing a photocopy, are also covered.

Reviewing the Schedule

The schedule will be regularly reviewed and updated to ensure that we are complying with the latest legal advice. These changes will be reflected as soon as possible. Changes will be highlighted so that employees can keep track and modify their practices accordingly. The Schedule will be subject to the timetable for general review of all Information Governance policies.

Explanation of Retention Guideline Headings

REF (Reference Number)

Each identified function or entry has a unique reference number. This number can be applied to records when archiving to ensure that the correct retention period is applied.

Title

The Schedule provides a description of a process or an activity that the records support.

Data Protection Issues

Explains whether the records are likely to contain personal data.

Statutory Provisions

Details of any legislation, statutory instrument (SI) or other regulatory guidance which provide direction in how long a record should be retained

Retention Period

This field shows the length of time for which a record should be kept. This period (usually in years) can be applied from the date a record is created, when a record is closed or tied in to another specified activity such as a date of birth.

Action to be taken

This field details any action that should be taken once a retention period has expired, the level of secure destruction and will also specify whether a type of record should be transferred to the County Record Office for permanent preservation

The Schedule

| Ref. | Title | Data Protection Issues | Statutory Provisions | Retention Period | Action |
|-----------------------------------|--|--|----------------------|---|---|
| 1 Management of the School | | | | | |
| 1.1. Governing Body | | | | | |
| 1.1.1 | Agendas for Governing Body meetings | There may be data protection issues if the meeting is dealing with confidential issues relating to staff | | One copy should be retained with the master set of minutes. All other copies can be disposed of | SECURE DISPOSAL |
| 1.1.2a | Minutes of Governing Body meetings: Principal Set (signed) | There may be data protection issues if the meeting is dealing with confidential issues relating to staff | | PERMANENT | If the school is unable to store these then they should be offered to the County Archives Service |
| 1.1.2b | Minutes of Governing Body meetings: Inspection Copies | No | | Date of meeting + 3 years | If these minutes contain any sensitive, personal information they must be shredded |

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|-------|--|--|--------------------------------|---|--|
| 1.1.3 | Reports presented to the Governing body | There may be data protection issues if the report deals with confidential issues relating to staff | | Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports then the reports should be kept permanently | SECURE DISPOSAL or retain with the signed set of 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 | SECURE DISPOSAL |
| 1.1.5 | Instruments of Government including Articles of Association | No | | PERMANENT | These should be retained in the school whilst the school is open and then offered to County Archives Service when the school closes. |
| 1.1.6 | Trusts and Endowments managed by the Governing Body | No | | PERMANENT | These should be retained in the school whilst the school is open and then offered to County Archives Service when the school closes. |
| 1.1.7 | Action plans created and administered by | No | | Life of the action plan + 3 years | SECURE DISPOSAL |

| | | | | | |
|--------|---|-----|--|--|-----------------|
| | the Governing Body | | | | |
| 1.1.8 | Policy documents created and administered by the Governing Body | No | | Life of the policy + 3 years | SECURE DISPOSAL |
| 1.1.9 | Records relating to complaints dealt with by the Governing Body | Yes | | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | SECURE DISPOSAL |
| 1.1.10 | Annual Reports created under the requirements of the Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 | No | Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171 | Date of report + 10 years | 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 | SECURE DISPOSAL |

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|------------------------|---|---|--|---|-----------------|
| 1.1.12 | Governor File. Information which the school holds about a Governor including contact details, published details and consents for data use | Yes | | Date of leaving the role + 1 year | SECURE DISPOSAL |
| 1.2. Management | | | | | |
| 1.2.1 | Log books of activity in the school maintained by the Head Teacher | 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 | |
| 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 | SECURE DISPOSAL |
| 1.2.3 | Reports created by the Head Teacher or the 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 | SECURE DISPOSAL |

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|------------------------|--|---|--|--|-----------------|
| 1.2.4 | Records created by head teachers, 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 | SECURE DISPOSAL |
| 1.2.5 | Correspondence created by head teachers, 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 | SECURE DISPOSAL |
| 1.2.6 | Professional Development Plans | Yes | | Life of the plan + 6 years | SECURE DISPOSAL |
| 1.2.7 | School Development Plans | No | | Life of the plan + 3 years | SECURE DISPOSAL |
| 1.3. Admissions | | | | | |
| 1.3.1 | All records relating to the creation and | No | School Admissions Code Statutory guidance | Life of the policy + 3 years then review | SECURE DISPOSAL |

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|-------|---|-----|--|-----------------------------|-----------------|
| | implementation of the School Admissions' Policy | | for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014 | | |
| 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 | 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 | Resolution of case + 1 year | SECURE DISPOSAL |

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|--------|---|-----|---|--|---|
| | | | panels December 2014 | | |
| 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. ³ | 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. |
| 1.3.6 | 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 | SECURE DISPOSAL |
| 1.3.7a | Supplementary Information form including additional information such as religion, | Yes | | This information should be added to the pupil file | SECURE DISPOSAL |

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| | medical conditions etc: For successful admissions | | | | |
| 1.3.7b | Supplementary Information form including additional information such as religion, medical conditions etc: For unsuccessful admissions | Yes | | Until appeals process completed | SECURE DISPOSAL |
| 1.3.8 | Photographs of parents/ guardians in order to verify identify for collecting children from school | Yes | | Associated with a Pupil Record | SECURE DISPOSAL |
| 1.4. Operational Administration | | | | | |
| 1.4.1 | General file series | No | | Current year + 5 years then REVIEW | SECURE DISPOSAL |
| 1.4.2 | Records relating to the creation and publication of the school | No | | Current year + 3 years | STANDARD DISPOSAL |

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

2 Human Resources

2.1. Recruitment

| | | | | | |
|-------|-------------------------------|-----|--|-------------------------------|-----------------|
| 2.1.1 | All records leading up to the | Yes | | Date of appointment + 6 years | SECURE DISPOSAL |
|-------|-------------------------------|-----|--|-------------------------------|-----------------|

| | | | | | |
|-------|--|-----|---|---|-----------------|
| | appointment of a new headteacher | | | | |
| 2.1.2 | All records leading up to the appointment of a new member of staff – unsuccessful candidates | Yes | | Date of appointment of successful candidate + 6 months | SECURE DISPOSAL |
| 2.1.3 | All records leading up 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 | 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 | SECURE DISPOSAL |
| 2.1.5 | Proofs of identity collected as part of the process of checking “portable” | 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 | |

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|--|--|-----|--|--|---|
| | enhanced DBS disclosure | | | | |
| 2.1.6 | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom ⁴ | 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 | |
| 2.2. Staff Management | | | | | |
| 2.2.1 | Staff Personal File | Yes | Limitation Act 1980 (Section 2) | Termination of Employment + 6 years | SECURE DISPOSAL |
| 2.2.2 | Timesheets | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 2.2.3 | Annual appraisal/ assessment records | Yes | | Current year + 5 years | SECURE DISPOSAL |
| 2.3. Disciplinary & Grievance Process | | | | | |
| 2.3.1 | Allegation of a child protection nature against a member of staff including where the allegation is unfounded ⁵ | 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 | 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 | SECURE DISPOSAL These records must be shredded |

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| | | | promote the welfare of children March 2015” | | |
| 2.3.2a | Disciplinary Proceedings oral warning | Yes | | Date of warning 6 + 6 months | SECURE DISPOSAL [If warnings are placed on personal files then they must be weeded from the file] |
| 2.3.2b | Disciplinary Proceedings written warning – level 1 | Yes | | Date of warning + 6 months | SECURE DISPOSAL |
| 2.3.2c | Disciplinary Proceedings written warning – level 2 | Yes | | Date of warning + 12 months | SECURE DISPOSAL |
| 2.3.2d | Disciplinary Proceedings final warning | Yes | | Date of warning + 18 months | SECURE DISPOSAL |
| 2.3.2e | Disciplinary Proceedings case not found | Yes | | If the incident is child protection related then see above otherwise dispose of at the conclusion of the case | SECURE DISPOSAL |

| 2.4. Health & Safety | | | | | |
|----------------------|--|-----|--|---|-----------------|
| 2.4.1 | Health and Safety Policy Statements | No | | Life of policy + 3 years | SECURE DISPOSAL |
| 2.4.2 | Health and Safety Risk Assessments | No | | Life of risk assessment + 3 years (paper copies) | SECURE DISPOSAL |
| 2.4.3 | Records relating to accident/ injury at work | Yes | | Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied | SECURE DISPOSAL |
| 2.4.4a | Accident Reporting Adults | Yes | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980 | Date of the incident + 6 years | SECURE DISPOSAL |
| 2.4.4b | Accident Reporting Children | Yes | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. | DOB of the child + 25 years | SECURE DISPOSAL |

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|------------------------------------|---|-----|--|-------------------------|-----------------|
| | | | Limitation Act 1981 | | |
| 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 | 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 | SECURE DISPOSAL |
| 2.4.8 | Fire Precautions log books | No | | Current year + 6 years | SECURE DISPOSAL |
| 2.5. Payroll & Pensions | | | | | |
| 2.5.1 | Maternity pay records | Yes | Statutory Maternity Pay (General) | Current year + 3 years | SECURE DISPOSAL |

| | | | | | |
|---|--|-----|---|----------------------------------|-------------------|
| | | | Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567) | | |
| 2.5.2 | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes | Retirement Benefits Schemes (Information Powers) Regulations 1995 | Current year + 6 years | SECURE DISPOSAL |
| 3 Financial Management of the School | | | | | |
| 3.1. Risk Management & Insurance | | | | | |
| 3.1.1 | Employer's Liability Insurance Certificate | No | | Closure of the school + 40 years | SECURE DISPOSAL |
| 3.2. Asset Management | | | | | |
| 3.2.1 | Inventories of furniture and equipment | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.2.2 | Burglary, theft and vandalism report forms | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.3. Accounts & Statements | | | | | |
| 3.3.1 | Annual Accounts | No | | Current year + 6 years | STANDARD DISPOSAL |

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|-----------------------|--|----|---------------------------------|---|-----------------|
| 3.3.2 | Loans and grants managed by the school | No | | Date of last payment on the loan + 12 years then REVIEW | 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 | | Current financial year + 6 years | SECURE DISPOSAL |
| 3.3.6 | Records relating to the collection and banking of monies | No | | 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 |
| 3.4. Contracts | | | | | |
| 3.4.1 | All records relating to the management of | No | Limitation Act 1980 (Section 2) | Last payment on the contract + 12 years | SECURE DISPOSAL |

| | | | | | |
|--------------------------|---|-----|---------------------------------|--|-----------------|
| | contracts under seal | | | | |
| 3.4.2 | All records relating to the management of contracts under signature | No | Limitation Act 1980 (Section 2) | Last payment on the contract + 6 years | SECURE DISPOSAL |
| 3.4.3 | Records relating to the monitoring of contracts | No | | Current year + 2 years | SECURE DISPOSAL |
| 3.5. School Funds | | | | | |
| 3.5.1 | School Fund - Cheque books | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.2 | School Fund - Paying in books | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.3 | School Fund – Ledger | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.4 | School Fund – Invoices | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.5 | School Fund – Receipts | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.6 | School Fund - Bank statements | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.7 | School Fund – Journey Books | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.6. School Meals | | | | | |
| 3.6.1 | Free School Meals Registers | Yes | | Current year + 6 years | SECURE DISPOSAL |

| | | | | | |
|-------|-----------------------------|-----|--|------------------------|-----------------|
| 3.6.2 | School Meals Registers | Yes | | Current year + 3 years | SECURE DISPOSAL |
| 3.6.3 | School Meals Summary Sheets | No | | Current year + 3 years | SECURE DISPOSAL |

4 Property Management

4.1. Property Management

| | | | | | |
|-------|--|----|--|--|---|
| 4.1.1 | Title deeds of properties 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 belong 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 | | Expiry of lease + 6 years | SECURE DISPOSAL |
| 4.1.4 | Records relating to the letting of school premises | No | | Current financial year + 6 years | SECURE DISPOSAL |

4.2. Maintenance

| | | | | | |
|-------|-----------------------------|----|--|------------------------|-----------------|
| 4.2.1 | All records relating to the | No | | Current year + 6 years | SECURE DISPOSAL |
|-------|-----------------------------|----|--|------------------------|-----------------|

| | | | | | |
|-------|---|----|--|------------------------|-----------------|
| | maintenance of the school carried out by contractors | | | | |
| 4.2.2 | All records relating to the maintenance of the school carried out by school employees including maintenance log books | No | | Current year + 6 years | SECURE DISPOSAL |

5 Pupil Management

5.1. Educational Record

| | | | | | |
|--------|-------------------------------------|-----|---|---|--|
| 5.1.1a | Pupil's Educational Record: Primary | Yes | The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437 | 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"> • to another primary school • to a secondary school • 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. |
|--------|-------------------------------------|-----|---|---|--|

| | | | | | |
|--------|--|-----|--|--|---|
| | | | | | <ul style="list-style-type: none"> • to a pupil referral unit <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> |
| 5.1.2a | Examination Results – Pupil Copies: Public | Yes | | This information should be added to the pupil file | All uncollected certificates should be returned to the examination board. |
| 5.1.2b | Examination Results – Pupil Copies: Internal | | | This information should be added to the pupil file | |

| | | | | | |
|-------|---|-----|--|---|--|
| 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. | 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 | SECURE DISPOSAL – these records MUST be shredded |

| | | | | | |
|------------------------|---|-----|--|--|-----------------|
| 5.1.5 | Attainment Assessments & Predictions | Yes | | E.g. 'Target Tracker' data. Retain in line with the retention period for Child's Pupil Record | SECURE DISPOSAL |
| 5.1.6 | Set/Stream/Ability Grouping Records | Yes | | Retain in line with the retention period for Child's Pupil Record | SECURE DISPOSAL |
| 5.1.7 | Photographs of pupils for Pupil Record | Yes | | Retain in line with the retention period for Child's Pupil Record | SECURE DISPOSAL |
| 5.2. Attendance | | | | | |
| 5.2.1 | Attendance Registers | Yes | School attendance: Departmental advice for maintained schools, academies, independent schools and local authorities 01/10/2014 | Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made. | SECURE DISPOSAL |
| 5.2.2 | Correspondence relating to authorized absence | | Education Act 1996 Section 7 | Current academic year + 2 years | SECURE DISPOSAL |

| 5.3. Special Educational Needs | | | | | |
|--------------------------------|---|-----|--|---------------------------------------|---|
| 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 | SECURE DISPOSAL unless the document is subject to a legal hold |
| 5.3.3 | Advice and information provided to | Yes | Special Educational Needs | Date of birth of the pupil + 25 years | SECURE DISPOSAL unless the document is subject to a legal hold |

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|---------------------------------|---|-----|--|---|--|
| | parents regarding educational needs | | and Disability Act 2001 Section 2 | | |
| 5.3.4 | Accessibility Strategy | Yes | Special Educational Needs and Disability Act 2001 Section 14 | Date of birth of the pupil | SECURE DISPOSAL unless the document is subject to a legal hold |
| 5.4. Other Pupil Records | | | | | |
| 5.4.2 | Photo Books/ Files | Yes | | If held separately from the Pupil Record, retain in line with the Pupil Record's retention period (eg, Tapestry) | SECURE DISPOSAL |
| 5.4.3 | Incident Logs (Records relating to instances of behaviour breaching school rules, e.g. bullying, racism etc, and records of exclusions if not held on Pupil Record) | Yes | | Retain in line with the Pupil Record's retention period, i.e. retain for date of birth +25 years of the youngest individual involved in an incident | SECURE DISPOSAL |
| 5.4.4 | Medical Logs (Records of administering first aid or agreed | Yes | | If not added to the Pupil Record, record in year groups to support retention in line with the Pupil Record | SECURE DISPOSAL |

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|-------|--|-----|--|---|-----------------|
| | regular medication) | | | | |
| 5.4.5 | Emergency Parent/ Guardian Contact Lists | Yes | | Record in year groups to support retention in line with the Pupil Record. | SECURE DISPOSAL |

6 Curriculum Management

6.1. Statistics & Management Information

| | | | | | |
|--------|------------------------------------|-----|--|--|-----------------|
| 6.1.1 | Curriculum returns | No | | Current year + 3 years | SECURE DISPOSAL |
| 6.1.2a | Examination Results (Schools Copy) | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.1.2b | 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 | SECURE DISPOSAL |
| 6.1.2c | SATS records – Examination Papers | Yes | | 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 | SECURE DISPOSAL |
| 6.1.4 | Value Added and Contextual Data | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.1.5 | Self-Evaluation Forms | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.2. Implementation of Curriculum | | | | | |
| 6.2.1 | Schemes of Work | No | | Current year + 3 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 + 3 year | It may be appropriate to review these records at the end of each year and allocate a further retention period or SECURE DISPOSAL |
| 6.2.3 | Class Record Books | No | | Current year + 3 year | It may be appropriate to review these records at the end of each year and allocate a further retention period or SECURE DISPOSAL |
| 6.2.4 | Mark Books | No | | Current year + 3 year | It may be appropriate to review these records at the end of each year and |

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|-------|------------------------|----|--|---|--|
| | | | | | allocate a further retention period or SECURE DISPOSAL |
| 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 | SECURE DISPOSAL |

7 Extra Curricular Activities

7.1. Educational Visits outside the Classroom

| | | | | | |
|-------|---|----|---|--------------------------|-----------------|
| 7.1.1 | Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Primary Schools | No | Outdoor Education Advisers' Panel National Guidance website http://oeapng.info specifically Section 3 - "Legal Framework and Employer Systems" and Section 4 - "Good Practice". | Date of visit + 14 years | SECURE DISPOSAL |
| 7.1.2 | Records created by schools to obtain approval to run an | No | Outdoor Education Advisers' Panel National Guidance website | Date of visit + 10 years | SECURE DISPOSAL |

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|---------------------|--|-----|--|--|---|
| | Educational Visit outside the Classroom – Secondary Schools | | http://oeapng.info specifically Section 3 - “Legal Framework and Employer Systems” and Section 4 - “Good Practice”. | | |
| 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 | SECURE DISPOSAL |
| 7.2. Walking Bus | | | | | |
| 7.3. Family Liaison | | | | | |
| 7.3.1 | Day Books | Yes | | 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 | Yes | | Whilst child is attending school and then destroy | |
| 7.3.3 | Referral forms | Yes | | While the referral is current | |
| 7.3.4 | Contact data sheets | Yes | | Current year then review, if contact is no longer active then destroy | |
| 7.3.5 | Contact database entries | Yes | | Current year then review, if contact is no longer active then destroy | |
| 7.3.6 | Group Registers | Yes | | Current year + 2 years | |

8 Central Government & Local Authority

8.1. LEA

| | | | | | |
|-------|-------------------------------------|-----|--|------------------------|-----------------|
| 8.1.1 | Secondary Transfer Sheets (Primary) | Yes | | Current year + 2 years | SECURE DISPOSAL |
| 8.1.2 | Attendance Returns | Yes | | Current year + 1 year | SECURE DISPOSAL |
| 8.1.3 | School Census Returns | No | | Current year + 5 years | SECURE DISPOSAL |
| 8.1.4 | Circulars and other information | No | | Operational use | SECURE DISPOSAL |

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|------------------------------------|--|----|--|--------------------------------|-----------------|
| | sent from the Local Authority | | | | |
| 8.2. Central Government | | | | | |
| 8.2.1 | OFSTED reports and papers | No | | Life of the report then REVIEW | SECURE DISPOSAL |
| 8.2.2 | Returns made to central government | No | | Current year + 6 years | SECURE DISPOSAL |
| 8.2.3 | Circulars and other information sent from central government | No | | Operational use | SECURE DISPOSAL |
| 9 Information Governance | | | | | |
| 9.1. Information Governance | | | | | |
| 9.1.1 | Records of Processing Activity | No | | Ongoing record | |
| 9.1.2 | Information Governance Report. Annual statement to Governing Body on compliance with Information law, including DPO statement, performance | No | | Current year + 1 year | |

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|-------|------------------------------------|-----|--|-------------------|-----------------|
| | data and audit outcomes | | | | |
| 9.1.3 | Freedom of Information Requests | Yes | | Closure + 1 year | SECURE DISPOSAL |
| 9.1.4 | Environmental Information Requests | Yes | | Closure + 1 year | SECURE DISPOSAL |
| 9.1.5 | Subject Access Requests | Yes | | Closure + 5 years | SECURE DISPOSAL |
| 9.1.6 | ICO Complaints: No further action | Yes | | Closure + 1 year | SECURE DISPOSAL |
| 9.1.7 | ICO Complaints: Action required | Yes | | Closure + 2 years | SECURE DISPOSAL |