

RETENTION SCHEDULE FOR DATA

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| --- | --- |
| Reference this policy is aligned to with LCC | **n/a** |
| Agreed with Support Staff Trade Unions | **n/a** |
| Adopted by the Governing Body | **Sep 20** |
| Next Review Due | **Sep 22** |
| Agreed with Teacher Trade Unions and Professional Associations | **n/a** |

### Document Retention and Disposal Schedule

The GDPR and Under the Freedom of Information Act 2000, schools are required to maintain a retention schedule. The schedule should list the types of documents the school holds, how long they should be kept for and how they should be destroyed. Members of staff are encouraged to manage their current record keeping systems using the retention schedule and to take account of the different kinds of retention periods when they are creating new record keeping systems. The retention schedule refers to all information, regardless of the media in which it is stored.

There are a number of benefits which arise from the use of a complete retention schedule:

* Managing records against the retention schedule is deemed to be “normal processing” under the Data Protection Act 1998 and the Freedom of Information Act 2000
* Members of staff can be confident about destroying information at the appropriate time
* Information which is subject to Freedom of Information and Data Protection legislation will be available when required
* The school is not maintaining and storing information unnecessarily

This retention schedule sets out the minimum amount of time the school needs to keep certain records. Where there isn’t an entry in the ‘statutory provisions’ column the retention period has been calculated by the Local Authority from current custom and practice in discussion with Leicestershire schools and other Local Authorities. This schedule is an adaptation of the Records Management Society’s retention guidelines published in February 2006. This schedule has been updated with current practice and some sections have been added to reflect the variety of records kept in Leicestershire.

Where appropriate the retention schedule should be reviewed and amended to include any new record series created and remove any obsolete record series.

### Destruction of Records

Where records have been identified for destruction they should be disposed of in an appropriate manner. All records containing personal information or sensitive policy information should be shredded before disposal (if possible).

The Freedom of Information Act 2000 requires the school to maintain a list of records which have been destroyed and who authorised their destruction. This must include:

* File reference (or other unique identifier)
* File title (or brief description)
* Number of files
* The name of the authorising officer

This will be kept in an Excel spread sheet.

### Transfer of Records to the Archives

Where records have been identified as being worthy of permanent preservation, arrangements should be made to transfer the records to the Archives. A list of the records sent to the archives will be created to include the information above.

### Transfer of information to other Media

Where lengthy retention periods have been allocated to records, the head teacher and governors will consider converting paper records to other media such as microfilm or digital media. The lifespan of the media and the ability to migrate data where necessary will always be considered.

| **Function Description** | **Data Protection Issues** | **Statutory Provisions** | **Retention Period** | **Action at End of Administrative Life of the Record** |
| --- | --- | --- | --- | --- |
| **1. Child Protection** | | | | |
| Child Protection files | Yes | Education Act 2002, s175, related guidance  “Safeguarding children in Education”, September 2004  Children’s Act 2004 | DOB + 25 years | **SHRED**  Child Protection information must be copied and sent under separate cover to new school/college whilst the child is still under 18 (i.e. the information does not need to be sent to a university for example). Where a child is removed from roll to be educated at home, the file should be copied to the Local Authority. |
| Allegation of a child protection nature against a member of staff, including where the allegation is unfounded | Yes | Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) Education Act 2002 guidance “Dealing with Allegations of Abuse against Teachers and Other Staff” November 2005 | Until the person’s normal retirement age, or 10 years from the date of the allegation if that’s longer | **SHRED**  “Records of allegations about workers who have been investigated and found to be without substance should not normally be retained once an investigation has been completed. There are some exceptions to this where for its own protection the employer has to keep a limited record that an allegation was received and investigated, for example, where the allegation relates to abuse and the worker is employed to work with children or other vulnerable individuals”.  Summary record to be retained on confidential personnel file, and a copy given to the person concerned. |
| **2. Governors** | | | | |
| Minutes – Principal set (signed) | No |  | Permanent | Retain in school for 6 years from date of meeting. **Transfer to Archives** |
| Minutes – Inspection copies | No |  | Date of meeting + 3 years | **DESTROY**  [If these minutes contain any sensitive personal information they should be shredded] |
| Agendas | No |  | Date of meeting | **DESTROY** |
| Reports | No |  | Date of report + 6 years | Retain in school for 6 years from date of meeting. **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Annual Parents’ meeting papers | No |  | Date of meeting + 6 years | Retain in school for 6 years from date of meeting. **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Trusts and Endowments | No |  | Permanent | Retain in school whilst operationally required. **Transfer to Archives** |
| Action Plans | No |  | Date of action plan + 3 years | **DESTROY**  It may be appropriate to offer to the Archives for a sample to be taken if the school has been through a difficult period |
| Policy documents | No |  | Expiry of policy | Retain in school whilst policy is operational (this includes if the expired policy is part of a past decision making process)  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Complaints files | Yes |  | Date of resolution of complaint + 6 years | Retain in school for the first six years. Review for further retention in the case of contentious disputes. Destroy routine complaints. **Complaints alleging possible harm to a young person by a member of staff are covered in section 1 above.** |
| Annual Reports required by the DCSF | No | Education (Governors’  Annual Reports) (England)  (Amendment) Regulations 2002.SI 2002 No 1171 | Date of report + 10 years | **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Proposals to become, or be established as a Specialist Status school | No |  | Current year + 3 years | **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| **3. Management** | | | | |
| Log Books  [Books where the Head-teacher or another member of staff keeps a record of what happens in the school, this may include details of events, photographs and other information] | Yes |  | Date of last entry in the book + 6 years | **Transfer to Archives**  From January 1st 2005 subject access is permitted into unstructured filing systems and log books and other records created within the school containing details about the activities of individual students and members of staff will become subject to the Data Protection Act 1998. |
| Minutes of the Senior Management Team and other internal administrative bodies | Yes |  | Date of meeting + 5 years | Retain in the school for 5 years from meeting. **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Reports made by the head teacher or the management team | Yes |  | Date of report + 3 years | Retain in the school for 3 years from meeting. **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Records created by head teachers, deputy head teachers, heads of year and other staff with administrative responsibilities (except child protection records which are dealt with in section 1 above). | Yes |  | Closure of file + 6 years | **DESTROY**  If these records contain sensitive information they should be shredded |
| Correspondence created by head teachers, deputy head teachers, heads of year and staff with administrative responsibilities | No |  | Date of correspondence + 3 years | **DESTROY**  If these records contain sensitive information they should be shredded |
| Professional development plans | Yes |  | Closure + 6 years | **SHRED** |
| School development plans | No |  | Closure + 6 years | Review  Offer to the Archives |
| **4. Students** | | | | |
| Admission Registers | Yes |  | Date of last entry in the book (or file) + 6 years | Retain in the school for 6 years from the date of the last entry.  **Transfer to the Archives** |
| Attendance registers | Yes |  | Date of register + 3 years | **DESTROY**  [If these records are retained electronically any back-up copies should be destroyed at the same time] |
| Student record cards | Yes |  | Retain while the student remains at the primary school | Transfer to the secondary school (or other primary school) when the child leaves the school. |
| Student files | Yes |  | Retain for the time which the student remains at the primary school | Transfer to the secondary school (or other primary school) when the child leaves the school. |
| Special Educational Needs case files, reviews and Individual Education Plans | Yes |  | 35 years from closure (the LA should have a copy so compare the file to ensure duplicates are not being retained) | **SHRED** |
| Letters authorising absence | No |  | Date of absence + 2 years | **SHRED** |
| Absence books | Yes |  | Current year + 6 years | **SHRED** |
| Examination results  • *Public*  • *Internal examination*  *results* | No  Yes |  | Year of examinations + 6 years  Current year + 5 years  If these records are retained on the student file or in their National Record of Achievement they need only be kept for as long as operationally necessary. | **DESTROY**  Any certificates left unclaimed should be returned to the appropriate Examination Board  **DESTROY** |
| Any other records created in the course of contact with students | Yes/No |  | Current year + 3 years | Review at the end of 3 years and either allocate a further retention period or **DESTROY** |
| Statement maintained under The Education Act 1996 - Section 324 | Yes | Special Educational Needs and Disability Act 2001 Section 1 | DOB + 30 years | **DESTROY** unless legal action is pending |
| Proposed statement or amended statement | Yes | Special Educational Needs and Disability Act 2001 Section 1 | DOB + 30 years | **DESTROY** unless legal action is pending |
| Advice and information to parents regarding educational needs | Yes | Special Educational Needs and Disability Act 2001 Section 2 | Closure + 12 years | **DESTROY** unless legal action is pending |
| Accessibility Strategy | Yes | Special Educational Needs and Disability Act 2001 Section 14 | Closure + 12 years | **DESTROY** unless legal action is pending |
| Children SEN Files | Yes |  | Closure + 35 years | **DESTROY** unless legal action is  pending |
| **5. Curriculum** | | | | |
| Curriculum development | No |  | Current year + 6 years | **DESTROY** |
| Curriculum returns | No |  | Current year + 3 years | **DESTROY** |
| School syllabus | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or **DESTROY** |
| 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 new retention period or **DESTROY** |
| Timetable | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or **DESTROY** |
| Class record books | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or **DESTROY** |
| Mark Books | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or **DESTROY** |
| Record of homework set | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or **DESTROY** |
| Students’ work | No |  | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a new retention period or **DESTROY** |
| Examination results | Yes |  | Current year + 6 years | **DESTROY**  [These records should be shredded] |
| Value added records | Yes |  | Current year + 6 years | **DESTROY**  [These records should be shredded] |
| **6. Human Resources** | | | | |
| Timesheets, sick pay | Yes | Financial Regulations | Current year + 6 years | **SHRED** |
| Staff Personal files | Yes |  | Termination + 7 years | **SHRED** |
| Interview notes and  recruitment records | Yes |  | Date of interview + 6 months | **SHRED** |
| Pre-employment vetting information (including  unsuccessful CRB  checks) | No | CRB guidelines | Date of check + 6 months | **SHRED** [by the designated member of staff]  This information should be placed on the personnel file if the applicant is successful and managed according to the guidelines |
| Disciplinary proceedings for all matters **except** those relating to child protection issues (see section 1above):  *Oral warning*  • *written warning –*  *level one*  • *written warning –*  *level two*  • *final warning*  • *case not found* (except child protection allegations see section 1 above) | Yes |  | Date of warning + 6 months  Date of warning + 6  months  Date of warning + 12 months  Date of warning + 18 months | **SHRED**  If this is placed on a personal file, it must be weeded from the file.  **SHRED**  If this is placed on a personal file, it must be weeded from the file.  **SHRED**  If this is placed on a personal file, it must be weeded from the file.  **SHRED**  If this is placed on a personal file, it must be weeded from the file.  **DESTROY** immediately at the conclusion of the case |
| Records relating to  accident/injury at work | Yes |  | Date of incident + 12 years | Review at the end of this period. In the case of serious accidents a further retention period will need to be applied |
| Annual appraisal/ assessment records | No |  | Current year + 5 years | **SHRED** |
| Salary cards | Yes |  | Last date of employment + 6 years | The information should be transferred to the superannuation department at the appropriate time who will maintain the master record  **SHRED** |
| Maternity pay records | Yes | Statutory Maternity  Pay (General) Regulations 1986 (SI 1986/1960),  revised 1999 (SI 1999/567) | Current year, +3yrs | **SHRED** |
| Records held under  Retirement Benefits  Schemes (Information  Powers) Regulations 1995 | Yes |  | Last payment + 6 years | **SHRED** |
| **7. Health and Safety** | | | | |
| Accessibility Plans |  | Disability Discrimination Act | Current year + 6 years | **DESTROY** |
| Accident Reporting  • *Adults – Accident Book*  • *Adults – Internal Reports*  • *Children* | Yes  Yes  Yes | Social Security (Claims and Payments) Regulations 1979 Regulation 25.  Social Security Administration Act 1992 Section 8.  Limitation Act 1980 | Last entry in the accident book + 3 years  Current year + 3 years  DOB + 25 years. | **SHRED**  **SHRED**  **SHRED**  A child may make a claim for negligence for 7 years from their 18th birthday. To ensure that all records are kept until the student reaches the age of 25 this retention period has been applied. |
| COSHH |  |  | Current year + 10 years | Review  [where appropriate an additional retention period may be allocated] |
| Incident reports | Yes |  | Current year + 20 years | **SHRED** |
| Policy Statements |  |  | Date of expiry + 1 year | **DESTROY** |
| Risk Assessments |  |  | Date assessment superseded + 3 years | **DESTROY** |
| Process of monitoring of areas where employees and persons are likely to have come in contact with **asbestos** |  |  | Last action + 40 years | **DESTROY** |
| Process of monitoring of areas where employees and persons are likely to have come in contact with **radiation** |  |  | Last action + 50 years | **DESTROY** |
| Fire Precautions log books |  |  | Current year + 6 years | **DESTROY** |
| **8. Administrative** | | | | |
| Employer's Liability certificate |  |  | Permanent whilst the school is open | Retain for 40 years after school has closed |
| Inventories of equipment  and furniture |  |  | Disposal of last item + 6 years  OR  Date superseded + 6 years | **DESTROY** |
| General file series |  |  | Current year + 5 years | Review to see whether a further retention period is required  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| School Brochure / prospectus |  |  | Current year + 3 years] | **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation |
| Circulars (staff/parents/students) |  |  | Current year + 1 year | **DESTROY** |
| Newsletters, ephemera |  |  | Current year + 1 year | Review to see whether a further retention period is required  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Visitors’ book |  |  | Current year + 2 years | Review to see whether a further retention period is required  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| PTA/Old Students’  Associations |  |  | Current year + 6 years | Review to see whether a further retention period is required  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| **9. Financial** | | | | |
| Annual Accounts |  | Financial Regulations | Current year + 6 years | **Offer to Archives** |
| Loans and grants |  | Financial  Regulations | Date of last payment on loan + 12 years | Review to see whether a further retention period is required  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Contracts  • under seal  • under signature  • monitoring records |  |  | Contract completion date + 12 years  Contract completion date + 6 years  Current year + 2 years | **SHRED**  **SHRED**  **SHRED** |
| Copy orders |  |  | Current year + 2 years | **SHRED** |
| Budget reports, budget monitoring etc. |  |  | Current year + 3 years | **SHRED** |
| Invoice, receipts and other records covered by the Financial Regulations |  | Financial Regulations | Current year + 6 years | **SHRED** |
| Annual Budget and background papers |  |  | Current year + 6 years | **SHRED** |
| Order books and requisitions |  |  | Current year + 6 years | **SHRED** |
| Delivery Documentation |  |  | Current year + 6 years | **SHRED** |
| Debtors’ Records |  | Limitation Act 1980 | Current year + 6 years | **SHRED** |
| School Fund – Cheque books |  |  | Current year + 3 years | **SHRED** |
| School Fund – Paying in books |  |  | Current year + 6 years | **SHRED** |
| School Fund – Ledger |  |  | Current year + 6 years | **SHRED** |
| School Fund – Invoices |  |  | Current year + 6 years | **SHRED** |
| School Fund – Receipts |  |  | Current year + 6 years | **SHRED** |
| School Fund – Bank statements |  |  | Current year + 6 years | **SHRED** |
| School Fund – School Journey books |  |  | Current year + 6 years | **SHRED** |
| Applications for free school meals, travel, uniforms etc. |  |  | Whilst child at school | **SHRED** |
| Student grant applications |  |  | Current year + 3 years | **SHRED** |
| Free school meals registers | Yes | Financial Regulations | Current year + 6 years | **SHRED** |
| Petty cash books |  | Financial Regulations | Current year + 6 years | **SHRED** |
| **10. Property** | | | | |
| Title Deeds |  |  | Permanent.  These should follow the property | **Offer to Archives** |
| Plans |  |  | Permanent. | **Offer to Archives**  Retain until superseded then offer to archives before destruction |
| Maintenance and contractors |  | Financial Regulations | Current year + 6 years | **DESTROY** |
| Leases |  |  | Expiry of lease + 6 years | **DESTROY** |
| Lettings |  |  | Current year + 3 years | **DESTROY** |
| Burglary, theft and vandalism report forms |  |  | Current year + 6 years | **SHRED** |
| Maintenance log books |  |  | Last entry + 10 years | **DESTROY** |
| Contractors’ Reports |  |  | Current year + 6 years | **DESTROY** |
| **11. Local Authority** | | | | |
| Secondary transfer  sheets (Primary) | Yes |  | Current year + 2 years | **SHRED** |
| Attendance returns | Yes |  | Current year + 1 year | **DESTROY** |
| Circulars from LA |  |  | Whilst operationally  required | Review to see whether a further retention period is required  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| **12. DfE** | | | | |
| HMI reports |  |  |  | These do not need to be kept any longer  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| OFSTED reports  and papers |  |  | Replace former report with any new inspection report | Review to see whether a further retention period is required  **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| Census returns  (SIMS does not retain an electronic copy) |  |  | Current year + 6 years | **DESTROY** |
| Circulars from DCSF |  |  | Whilst operationally required Review to see whether a further retention period is required | **Transfer to Archives**  [The appropriate archivist will then take a sample for permanent preservation] |
| **13. Connexions** | | | | |
| Service level Agreements |  |  | Until superseded | **SHRED** |
| Work Experience Agreement |  |  | DOB of child + 18 years | **SHRED** |
| **14. School Meals** | | | | |
| Dinner Register |  |  | Current year + 3 years | **SHRED** |
| School Meals Summary  Sheets |  |  | Current year + 3 years | **SHRED** |
| **15. Arts in Education** | | | | |
| Student Reports |  |  | 6 years from event | **SHRED** |
| Student registration forms |  |  | 6 years from registration | **SHRED** |