
RECORDS MANAGEMENT POLICY

Recommended by:	Trust Strategic Systems and Data Manager
Recommendation Date:	17/03/2021
Recommended for Ratification by:	COO
Ratified by:	Audit Risk & Standards Committee
Signed:	<i>Nick Ufford</i>
Position on the Board:	Chair of Audit Risk and Standards Committee
Ratification Date	17 March 2021
Next Review:	March 2022
Policy Tier (Central/Hub/School):	Central

1. Aims

Central RSA Academies Trust (the Trust) recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the Trust. Records provide evidence for protecting the legal rights and interests of the Trust and for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

2. Scope of the policy

This policy applies to all records created, received or maintained by the Trust in the course of carrying out its functions. The Trust has delegated responsibility to the Principal/Headteacher and the Local Governing Body in each academy for ensuring compliance with this policy within the day-to-day activities of the academy. Where there is an Executive Headteacher/Principal, this is delegated to the Head of School.

Records are defined as all those documents which facilitate the business carried out by the Trust 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.

3. Responsibilities

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

The Data Protection Officer will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately.

Individual staff and employees must ensure that records for which they are responsible are accurate and are maintained and disposed of in accordance with the Trust's records management guidelines.

4. Relationship with existing policies

This policy has been drawn up within the context of:

- Freedom of Information Policy • Data Protection Policy
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the Trust.

5. Managing Email Communication

Email communication is quick and easy and in many instances has replaced telephone conversations and memos. However, the language used in emails is often less formal and more open to misinterpretation. Under the Freedom of Information Act and the Data Protection Act, all school email is disclosable, so anything written in or attached to an email could potentially be made public.

Be aware of data security when you send personal data by email. The consequences of an email containing personal data being sent to an unauthorised person could be a civil monetary penalty from the Information Commissioner Office (ICO) and/or damage to the academy's reputation. When sending emails internally the body of the email will be encrypted. When sending emails externally there is no guarantee that the recipient is using an encrypted system so personal data should not be sent in the body of the email. If you need to send personal data, this can be done in an attachment that has been encrypted using the encryption method within Microsoft Office or Adobe.

Emails can remain in a system for a period of time after you have deleted them. Even if you have deleted your copy of the email, the recipients may not and therefore there will still be copies in existence. These copies could be disclosable under the Freedom of Information Act and the Data Protection Act.

Limit recipients to the people who really need to receive the email. Avoid the use of global distribution lists unless it is absolutely necessary.

Email is primarily a communication tool and email applications are not appropriate for keeping emails to meet records management storage standards.

Where the main purpose of the email is to transfer documents, then the attachments should be saved into the appropriate electronic filing system or printed out and placed on paper files. The email can then be deleted.

Where the text of the email adds to the context or value of the attached documents it may be necessary to keep the whole email. The best way to do this and retain information which makes up the audit trail, is to save the email in .msg format and then save it into the appropriate electronic filing system. The email can then be deleted.

Emails that need to be kept should be identified by content; for example, does it form part of a pupil record? The retention for keeping these emails will then correspond with the classes of records according to content in the retention schedule below. These emails may need to be saved into any appropriate electronic filing system or printed out and placed on paper files.

Management of Central RSA Academies Trust

Governing Body – Secure disposal required¹ (if any sensitive, personal information the records must be shredded)

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
I.1.1	Minutes of Governing Body • Inspection Copies ²	Date of meeting + 3 years		There may be data protection issues if the meeting/report deals with confidential issues relating to staff or pupils	
I.1.2	Action plans created and administered by the governing body	Life of action plan + 3 years			
I.1.3	Policy documents created and administered by the governing body	Life of the policy + 3 years			
I.1.4	Proposals concerning the change of status of a maintained school including specialist status schools and academies	Date of proposal accepted or declined + 3 years			
I.1.5	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 (with the signed set of minutes)		There may be data protection issues if the meeting/report deals with confidential issues relating to staff or pupils	
I.1.6	Records relating to complaints dealt with by the governing body	Date of resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes			
I.1.7	Annual reports created under the requirements of the Education (Governors Annual Reports – England) (Amendment) Regulations 2002	Date of report + 10 years	Education (Governors Annual Reports – England) (Amendment) Regulations 2002 SI 2002 No 1171		

1.1.8	Agendas for Governing Body meetings	One copy should be retained with the master (principal) set of minutes.		There may be data protection issues if the meeting/report deals with confidential issues relating to staff or pupils	
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¹ In this context 'Secure disposal' should be taken to mean disposal using confidential waste bins, or if the school has the facility, shredding using a cross cut shredder.

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These are the copies which the Clerk to the Governors may wish to retain so that requestors can view all the appropriate information without the clerk needing to print off and collate redacted copies of the minutes each time a request is made.

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
		All other copies can be disposed of.			
1.1.9	Minutes of Governing Body meetings <ul style="list-style-type: none"> Principal set of minutes (signed) 	Permanent		There may be data protection issues if the meeting/report deals with confidential issues relating to staff or pupils	
1.1.10	Instruments of Government including Articles of Association	Permanent These should be retained in the school whilst the school is open and then offered to County Archives Service if the school closes		No	
1.1.11	Trust and Endowments managed by the Governing body	Permanent These should be retained in the school whilst the school is open and then offered to County Archives Service if the school closes		No	
1.1.12	Trust Deeds, including Academy Conversion Orders, Commercial Transfer Agreements and Leases/UnderLeases	Permanent These should be retained in the school whilst the school is open and then offered to the County Archives when the school closes.	School Standards and Framework Act 1998 and Academies Act 2010	Commercial Transfer Agreements (CTAs) will probably contain personal contract information for individual members of staff.	

Principal/Headteacher/Head of School & SLT records – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	Data Protection Issues	Responsible member of staff
1.2.1	Minutes of Senior Leadership 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	
1.2.2	Reports created by the Principal/Headteacher/Head of School or the Senior Leadership Team	Date of the report + a minimum of 3 years then review		There may be data protection issues if the report refers to individual pupils or members of staff	
1.2.3	Correspondence created by Senior Leadership Team/ 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	
1.2.4	Log books of activity in the school maintained by the Principal/Headteacher/Head of School	Date of last entry in the book + a minimum of 6 years then review. These could be of historical value and could be offered to the County archives service if appropriate		There may be data protection issues if the log book refers to individual pupils or members of staff	

1.2.5	Records created by Senior Leadership Team/ 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 refer to individual pupils or members of staff	
1.2.6	School development plans	Life of the plan + 3 years		No	
1.2.7	Professional development plans	Life of the plan + 6 years		Yes	

Admissions Process – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
1.3.1	Admissions – if the admission is successful	Date of admission + 1 year	Schools Admissions Code December 2014	Yes	
1.3.2	Supplementary information forms including additional information such as religion, medical conditions etc. • For successful admissions	The information should be added to the pupil file	Schools Admissions Code December 2014	Yes	
1.3.3	Admissions – Secondary Schools – in year	Current year + 1 year		Yes	
1.3.4	Admissions – if the appeal is unsuccessful	Resolution of case + 1 year	Schools Admissions Code December 2014 Schools Admission Appeals Code February 2012	Yes	
1.3.5	Supplementary information forms including additional information such as religion, medical conditions etc. • For unsuccessful admissions	Until appeals process is complete	Schools Admissions Code December 2014	Yes	
1.3.6	All records relating to the creation and implementation of the School Admission Policy	Life of the policy + 3 years then review	Schools Admissions Code December 2014	No	

1.3.7	Register of admissions	Date of birth of the pupil + 25 years This is part of the MIS record (e.g. SIMS)	School attendance: Department advice for maintained schools, academies, independent schools and local authorities November 2016	Yes	
1.3.8	All MS Teams or other online recordings relating to pupil classes	No longer than the 30-day backup provided by MS Teams.		Yes	

Data Collection & Consent Forms – Secure disposal required

Data Collection Forms		Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
1.3.8	Data collection forms will contain consent for marketing purposes. <ul style="list-style-type: none"> Primary Secondary 	File with each year group records. Dispose of when child transfers to secondary Date of birth of the pupil + 25 years	Schools Admissions Code December 2014	Yes	
1.3.9	Consent – Biometric	Date of leaving school + 1 year		Yes	
1.3.10	Consent – Photos/Videos	Date of leaving school + 6 years		Yes	

Administration – Secure disposal required for items I.4.1, I.4.5. and I.4.6. (otherwise Standard disposal)

	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
I.4.1	Records relating to the creation and distribution of circulars to staff, parents or pupils	Current year + 1 year		No	
I.4.2	Newsletters and other items with short operational use	Current year + 1 year		No	
I.4.3	Records relating to the creation and publication of the school brochure or prospectus	Current year + 3 years		No	
I.4.4	General file series	Current year + 5 years then review		No	
I.4.5	Visitors books and signing in sheets	Current year + 6 years then review		Yes	
I.4.6	Records relating to the creation and management of parent/teacher associations and or old pupil's associations	Current year + 6 years then review		No	

Human Resources – Secure disposal required

Recruitment

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDRP Issues	Responsible member of staff
2.1.1	All records leading up to the appointment of a new member of staff – unsuccessful candidates	Date of appointment of successful candidate + 6 months		Yes	
2.1.2	All records leading up the appointment of a new member of staff – successful candidates	All the relevant information should be added to the staff personal file and all other information retained for 6 months		Yes	
2.1.3	Pre-employment vetting information – DBS Checks	The school does not have to keep copies of DBS certificates. If the school does so the copy must NOT be retained more than 6 months.	DBS Update Service Employer Guide - May 2018 Keeping children safe in education - Sept 2018	Yes	
2.1.4	All records leading up to the appointment of a new Principal/Headteacher/Head of School	Date of appointment + 6 years		Yes	
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 personnel file. Retention period – Termination of employment + 6 years.		Yes	
2.1.6	Proofs of identity collected	Copy documentation should be kept and placed on the member of staff's personnel file. Retention period – Termination of employment + 6 years.		Yes	
2.1.7	Pre-employment vetting information – Evidence proving the right to work in the United Kingdom ¹	Where possible these documents should be added to the member of staff's personnel file but if they are kept separately then the Home Office requires	An employer's guide to right to work checks (Home Office August 2017)	Yes	

¹ Employers are required to take a 'clear copy' of the documents which they are shown as part of this process

		that the documents are kept for termination of employment + 2 years			
2.1.8	Complaints	Where possible these documents should be added to the member of staff's personnel file and kept for six years		Yes	

Staff Management – Secure Disposal Required

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
2.2.1	Annual appraisal/assessment records	Current year + 5 years		Yes	
2.2.2	Timesheets	Current year + 6 years		Yes	
2.2.3	Staff personnel file	Termination of employment + 6 years	Limitation Act 1980 (section 2)	Yes	

Management of Disciplinary and Grievance Processes – Secure Disposal Required

Policy ref	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
2.3.1	Disciplinary hearings – If warnings are placed on personal files then they must be weeded from each file.			Yes	
	• Oral warning	Date of warning ² + 6 months			
	• Written warning – Level 1	Date of warning + 6 months			
	• Written warning – Level 2	Date of warning + 12 months			
	• Final warning	Date of warning + 18 months			
• Case not found	If the incident is child protection related then see below otherwise dispose at the conclusion of the case.				

² If the disciplinary proceedings relate to a child protection matter please contact your Safeguarding Lead for further advice.

	• Management guidance	Added to the member of staff's personnel file			
2.3.2	Allegation of a child protection nature against a member of staff including where an allegation is unfounded THESE RECORDS MUST BE SHREDDED	Until the person's normal retirement age or 10 years from the date of 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 file and a copy provided to the person concerned.	Keeping children safe in education statutory guidance for schools and colleges - Sept 2016	Yes	

Payroll and Pension – Secure Disposal Required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	Data Protection Issues	Responsible member of staff
2.5.1	Maternity pay records	Current year + 3 years	Statutory maternity pay (general) Regulation 1986 (SI1986/1960); revised 1999 (SI1999/567)	Yes	
2.5.2	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Current year + 6 years	Retirements Benefits Schemes (Information Powers) Regulations 1995	Yes	
2.5.3	National Insurance – schedule of payments	Current year + 6 years	Taxes Management Act 1970 Income and Corporation Taxes 1988	Yes	
2.5.4	Overtime	Current year + 3 years	Taxes Management Act 1970 Income and Corporation Taxes 1988	Yes	
2.5.5	Payroll awards	Current year + 6 years	Taxes Management Act 1970 Income and Corporation Taxes 1988	Yes	

2.5.6	Payroll – gross/net weekly/monthly & Payroll reports and payslips - copies	Current year + 6 years	Taxes Management Act 1970 Income and Corporation Taxes 1988	Yes	
2.5.7	Pension payroll	Current year + 6 years	Taxes Management Act 1970 Income and Corporation Taxes 1988	Yes	
2.5.8	Sickness records & Staff returns	Current year + 3 years		Yes	
2.5.9	Tax forms P6/P11/P11D/P35/P45/P46/P48	Current year + 6 years	The minimum requirement – as stated in Inland Revenue booklet 490 – is for at least 3 years after the end of the tax year to which they apply. Originals must be retained in paper/electronic format. It is a corporate decision to retain for current year + 6 years. Employees should retain records for 22 months after current tax year.	Yes	

Health & Safety – Secure Disposal Required

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
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2.4.1	Health and safety policy statement	Life of policy + 3 years		No	
2.4.2	Health and safety risk assessment	Life of risk assessment + 3 years		Yes	
2.4.3	Fire precautions log books	Current year + 6 years		No	
2.4.4	Accident reporting - Adults	Date of incident + 6 years	Social Security (Claims and Payments) Regulations 1979 - Regulation 25. Social Security Administration Act 1992 - Section 8. Limitation Act 1980		
2.4.5	Records relating to accident/injury at work	Date of incident + 12 years. In the case of serious accidents a further retention period will need to be applied		Yes	
2.4.6	Accident reporting - Children	Date of birth of the child + 25 years	Social Security (Claims and Payments) Regulations 1979 - Regulation 25. Social Security Administration Act 1992 - Section 8. Limitation Act 1980	Yes	
2.4.7	Control of substances hazardous to health (COSHH)	Current year + 40 years	COSHH 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	No	
2.4.8	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Last action + 40 years	Control of asbestos at work regulations 2012 SI 1012 No632 Regulation 19	No	
2.4.9	Process of monitoring of areas where employees and persons are likely to have become in contact with radiation	Last action + 50 years		No	

Financial Management of the School

Insurances – Secure disposal required

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
3.1.1	Employers liability insurance certificate	Closure of the school + 40 years		No	

Asset Management – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
3.2.1	Inventories of furniture and equipment	Current year + 6 years		No	
3.2.2	Burglary, theft and vandalism forms	Current year + 6 years		No	

Accounts and Statements – Secure disposal required (except Annual Accounts – standard disposal)

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
3.3.1	Student grant applications	Current year + 3 years		Yes	
3.3.2	All records relating to the creation and management of budgets including Annual Budget statement and background papers	Life of budget + 3 years		No	
3.3.3	Annual Accounts	Current year + 6 years		No	
3.3.4	Invoices, receipts, order books and requisitions, delivery notices	Current financial year + 6 years		Yes, if the records relate to individuals	
3.3.5	Records relating to the collection and banking of monies	Current financial years + 6 years		No	
3.3.6	Records relating to the identification and collection of debt	Current financial year + 6 years		Yes, if the records relate to individuals	
3.3.7	Loans and grants managed by the school	Date of last payment on loan + 12 years then review		No	

Contract Management – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
3.4.1	Records relating to the monitoring of contracts	Current year + 2 years		No	
3.4.2	All records relating to the management of contract under signature	Last payment on the contract + 6 years	Limitation Act 1980	No	
3.4.3	All records relating to the management of contracts under seal	Last payment on the contract + 12 years	Limitation Act 1980	No	

School Fund – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
3.5.1	School fund – Cheque books	Current year + 6 years		No	
3.5.2	School fund – Paying in books	Current year + 6 years		No	
3.5.3	School fund – ledger	Current year + 6 years		No	
3.5.4	School fund – invoices	Current year + 6 years		No	
3.5.5	School fund – receipts	Current year + 6 years		No	
3.5.6	School fund – bank statements	Current year + 6 years		No	
3.5.7	School fund – journey books	Current year + 6 years		No	

School Meals – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
3.6.1	School meals summary sheets	Current year + 3 years		No	
3.6.2	School meal registers	Current year + 3 years		Yes	
3.6.3	Free school meals registers	Current year + 6 years		Yes	

Leases and Letting of School Premises – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
4.1.1	Leases of property by or to the school	Expiry of lease + 6 years		No	
4.1.2	Records relating to the letting of school premises	Current financial year + 6 years		Yes	

Property Maintenance – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
4.2.1	All records relating to the maintenance of the school carried out by contactors	Current year + 6 years		No	
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		No	

Capital Projects – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
4.3.1	DBS checks for contractor staff	DBS reference number stored on single central register. No copy is taken of the DBS	DBS Update Service Employer Guide May 2018 Keeping children safe in education Sept 2016	Yes	
4.3.2	All correspondence (non-financial)	Current year + 1 year	None	Yes	
4.3.3	Capital Project Contact Directory	Year of practical completion of the capital scheme + 1 year then review.	None	Yes	
4.3.4	All financial correspondence (inclusive of competitive / successful quotes, LA Loan Agreements)	Current financial year + 6 years	None	Yes	

Pupil's Educational Record

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
5.1.1	<p>Pupil's Educational Record required by the Education (Pupil Information) (England) Regulations 2005</p> <ul style="list-style-type: none"> Primary 	<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 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 <p>If a pupil transfers to an independent school, elective home education or leaves the country the file should be returned to the Local Authority to be retained for the statutory retention period.</p>	The Education (Pupil Information) (England) Regulations 2005 SI 2005 No 1437	Yes	
5.1.2	<p>Pupil's Educational Record required by the Education (Pupil Information) (England) Regulations 2005</p> <ul style="list-style-type: none"> Secondary 	Date of birth of the pupil + 25 years	Limitation Action 1980 (Section 2)	Yes	

Examination Results – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
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5.2.1	Examination results – Pupil Copies <ul style="list-style-type: none"> SATS Results Public Examinations e.g. GCSE, A Level All uncollected certificates should be disposed of securely after 12 months	This information should be added to the pupil file This information should be added to the pupil file		Yes	
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Pupil Attendance Records – Secure disposal required

	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
5.3.1	Attendance registers	Every entry in the attendance register must be preserved for a period of 3 years after the dates on which the entry was made	School attendance: Departmental advice for maintained schools, academies, independent schools and Local Authorities November 2016	Yes	
5.3.2	Correspondence relating to absence	Current academic year + 2 years	Education Act 1996 Section 7	Yes	
5.3.3	Attendance analysis reports	Current academic year + 2 years		Yes	

Child Protection Information – Secure disposal, these records must be shredded

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
5.4.1	Child protection information	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	Keeping Children Safe in Education statutory guidance for schools and colleges - Sept 2016 'Working Together to Safeguard Children A guide to interagency working to safeguard children – March 2015	Yes	

5.4.2	Child protection information held in separate files	Date of birth 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	Keeping Children Safe in Education statutory guidance for schools and colleges - Sept 2016 'Working Together to Safeguard Children A guide to interagency working to safeguard children – March 2015	Yes	
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Retention periods relating to allegations made against adults can be found in the Human Resources section.

Special Educational Needs – Secure disposal unless the document is subject to legal hold

	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
5.5.1	Special Educational Needs files, reviews and individual education plans (IEPs)	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.	Limitation Act 1980 (Section 2)	Yes	
5.5.2	Education, Health and Care Plans and Statements maintained under section 234 of the Education Act 1996 and any amendments made to the statement	Date of birth of the pupil + 25 years (This would normally be retained on the pupil file) EHC Plans should follow the child through Education.	Education Act 1996. Special Educational Needs and Disability Act 2001 Section 1. SEND Reforms 2014	Yes	

5.5.3	Advice and information provided to parents regarding educational needs	Date of birth of the pupil + 25 years (This would normally be retained on the pupil file)	Education Act 1996. Special Educational Needs and Disability Act 2001 Section 1. SEND Reforms 2014	Yes	
5.5.4	Accessibility strategy	Date of birth of the pupil + 25 years (This would normally be retained on the pupil file)	Education Act 1996. Special Educational Needs and Disability Act 2001 Section 1. SEND Reforms 2014	Yes	

Statistical and Management Information – Secure disposal required

Policy Ref	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
6.1.1	Examination papers/SATS papers	The examination papers should be kept until any appeals/validation process is complete		Yes	
6.1.2	School re-organisation plans/proposals	Current year + 3 years		No	
6.1.3	Examination results (School's copy) <ul style="list-style-type: none"> SATS results The SATS results should be recorded on the pupils educational file and will therefore be retained until the pupil reaches the age of 25 years 	Current year + 6 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		Yes	
6.1.4	Value added and contextual data	Current year + 6 years		Yes	
6.1.5	Self-Evaluation Forms	Current year + 6 years		Yes	
6.1.6	Internal attainment and progress tracking data	Current year + 6 years		Yes	

Curriculum Implementation – Secure disposal required except for 6.2.1. and 6.2.5.

	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
6.2.1	Schemes of Work	Current year + 1 year		No	
6.2.2	Timetable	Current year + 1 year		Yes	

6.2.3	Class Record Books	Current year + 1 year		Yes	
6.2.4	Mark Books	Current year + 1 year		Yes	
6.2.5	Record of homework set	Current year + 1 year		No	
6.2.6	Pupils' Work	Where possible pupils work should be returned to the pupil at the end of the academic year. If not returned then current year + 1 year		Yes	
6.2.7	All MS Teams or other online recordings relating to pupil classes	No longer than the 30-day backup provided by MS Teams.		Yes	

Educational Visits – Secure disposal required

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
7.1.1	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 date of birth of child +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.		Yes	

7.1.2	Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Secondary Schools	Date of visit + 10 years	Outdoor Education Advisers Panel National Guidance website http://oeapng.info specifically Section 3 – Legal Framework and Employer Systems and Section 4 – Good Practice	No	
7.1.3	Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Primary Schools	Date of visit + 14 years	Outdoor Education Advisers Panel National Guidance website http://oeapng.info specifically Section 3 – Legal Framework and Employer Systems and Section 4 – Good Practice	No	
7.1.4	Parental permission slips for school trips – where there has been a major incident	Date of birth 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	Limitation Act 1980 (Section 2)	Yes	
7.1.5	Records on medication administered during educational visits	If no incident during the trip, then as long as any medication administered has been recorded then records are no longer required		Yes	

Walking Bus – Secure disposal required (If these documents are retained electronically any back-up copies should be destroyed at the same time)

Policy ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
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		Yes	

Family Liaison and Home School Liaison Records – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
7.3.1	Referral forms	While the referral is current		Yes	
7.3.2	Contact data sheets	Current year then review, if contact is no longer active then destroy		Yes	
7.3.3	Contact database entries	Current year then review, if contact is no longer active then destroy		Yes	
7.3.4	Group Registers	Current year + 2 years		Yes	
7.3.5	Day Books	Current year + 2 years then review		Yes	
7.3.6	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		Yes	

Local Authority related records – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
8.1.1	Attendance Returns	Current year + 1 year		Yes	
8.1.2	Secondary Transfer Sheets (Primary)	Current year + 2 years		Yes	
8.1.3	School Census Returns	Current year + 6 years		Yes	

8.1.4	School Workforce Census	Current year + 6 years		Yes	
8.1.5	Files created relating to Statutory results data collections (e.g. CTF files for EYFS, Phonics and KSI) – Primary)	Current year + 6 years		Yes	
8.1.6	Circulars and other information sent from the Local Authority	Operational use		No	

Central Government related records – Secure disposal required

Policy Ref.	Basic File Description	Retention Period (operational)	Statutory Provisions	DP/GDPR Issues	Responsible member of staff
8.2.1	OFSTED reports and papers	Life of the report then REVIEW		No	
8.2.2	Returns made to central government	Current year + 6 years		Yes	
8.2.3	Circulars and other information sent from central government	Operational use		No	

Records Retention Schedule Template

Please use a copy of this template to log all record disposal

Record Category	Record Type	Year of Record	Retention Period	Record Format	Reason for Disposal	Method of Disposal	Date of Disposal	Authorised By	Disposed By
e.g. Pupil's educational record	Pupil File	2009	DoB +25	Paper	End of retention period	Secure disposal	01/09/2018		

