

# SEEAT

SOUTH EAST ESSEX  
ACADEMY TRUST



## DOCUMENT RETENTION AND DISPOSAL GUIDELINES

### Version Control

Date	Version	Reason	Owner	Author
May 2018	Final	Initial adoption	Executive Principal and SEEAT Board	Data Protection Officer

### To be read in conjunction with the following:

Data Protection/GDPR Policy  
Records Management Policy

## **Information and Records Management Society Retention Guidelines for Schools**

This retention schedule contains recommended retention periods for the different record series created and maintained by schools in the course of their business. The schedule refers to all information regardless of the media in which it is stored.

Some of the retention periods are governed by statute. Others are guidelines following best practice. Every effort has been made to ensure that these retention periods are compliant with the requirements of the Data Protection Act 1998, The General Data Protection Regulation and the Freedom of Information Act 2000.

Managing record series using these retention guidelines will be deemed to be “normal processing” under the legislation mentioned above. If record series are to be kept for longer or shorter periods than laid out in this document the reasons for this need to be documented.

This schedule should be reviewed on a regular basis.

This document is designed as a guideline only and liability lies with the end user.

## Introduction

In the course of carrying out its various functions and activities, **South East Essex Academy Trust (SEEAT)** collects information from pupils, parents and external organisations; generating a wide range of data and information which is recorded. These records can take many different forms, including:

- Pupils Records
- Letters received from parents/third parties
- File attendance notes
- Minutes
- Completed application forms
- Financial records
- Child Protection files
- Admission Registers
- e-mail communications (and any attachments)
- Biometric information
- Photographs

Many of the above can be retained as 'hard' paper records or in electronic form. Retention of specific documents may be necessary to:

- Fulfil statutory or other regulatory requirements
- Evidence events and agreements in the case of disputes
- Meet operational needs
- Ensure the preservation of documents of historic or other value

The untimely destruction of documents could cause the Trust:

- Difficulty in defending litigious claims
- Operational problems
- Embarrassment
- Failure to comply with the Freedom of Information or Data Protection Acts

Conversely, the permanent retention of all documents is undesirable, and appropriate disposal is to be encouraged for the following reasons:

- There is a shortage of new storage space
- Disposal of existing documents can free up space for more productive activities
- Indefinite retention of personal data may be unlawful
- Reduction of fire risk (in the case of paper records)
- There is evidence that the de-cluttering of office accommodation can be psychologically beneficial for many workers

## Safe disposal of records which have reached the end of their administrative life

All records containing personal information, or sensitive policy information should be made either unreadable or unreconstructable.

- Paper records should be shredded using a cross-cutting shredder
- CDs / DVDs / Floppy Disks should be cut into pieces
- Audio / Video Tapes and Fax Rolls should be dismantled and shredded
- Hard Disks should be dismantled and sanded

Any other records should be bundled up and disposed of to a waste paper merchant or disposed of in other appropriate ways. Do not put records in with the regular waste or a skip unless there is no other alternative.

There are companies who can provide confidential waste bins and other services which can be purchased to ensure that records are disposed of in an appropriate way.

Destruction needs to be planned with specific dates and all records should be identified as to the date of destruction.

It is important to understand that if the records are recorded as to be destroyed but have not yet been destroyed and a request for the records has been received they **MUST** still be provided.

Where records are destroyed internally, the process must ensure that all records that are recorded are authorised to be destroyed by a Senior Manager and the destruction recorded. Records should be shredded as soon as the record has been documented as being destroyed.

**All disposals should be documented in the destruction log at Appendix 1.  
Copies of all logs should be maintained.**

## 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 County Archives Service. The school should contact the local record office if there is a requirement to permanently archive the records.

## Legal Requirements

### Data Protection Act (DPA) 1998

The Senior Management Team need to be aware that under the DPA personal data processed for any purpose must not be kept for longer than is necessary for that purpose. In other words, retaining documents or records that contain personal data beyond the length of time necessary for the purpose for which that data was obtained is unlawful.

Principle 5 of the DPA states that “personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.”

### General Data Protection Regulation (GDPR)

The new European Union (EU) GDPR was formally adopted by the European Parliament and the GDPR is to take effect from 25th May 2018. Although the Brexit Referendum raised some concerns; the government has now confirmed that the UK will be implementing the GDPR. This was done by the DCMS Secretary of State, Karen Bradley, who on 31st October 2016 told the Culture, Media and Sports Select Committee:

“We will be members of the EU in 2018 and therefore it would be expected and quite normal for us to opt into the GDPR and then look later at how best we might be able to help British business with data protection while maintaining high levels of protection for members of the public.”

Under the GDPR data subjects have the right to have their data ‘erased’ in certain specified situations – in essence where the processing fails to satisfy the requirements of the GDPR. The right can be exercised against controllers, who must respond without undue delay.

### The Freedom of Information Act (FOIA) 2000

The Act requires the school to make information available to the public unless specific exemptions(s) apply. The Lord Chancellor’s Code of Practice on the Management of Records issued under Section 46 of the Freedom of Information Act 2000 sets out rules on how we should manage records and information, including responsibilities on all staff to implement records retention and disposal schedules.

### The Goddard Enquiry

On 12 March 2015, the Home Secretary established a statutory inquiry under the 2005 Inquiries Act with the aim of conducting an overarching national review of the extent to which institutions in England and Wales have discharged their duty of care to protect children against sexual abuse.

On 15th July 2015, Justice Goddard wrote to every Chief Executive of a Local Authority in England and Wales, requesting that:

‘retain any and all documents; correspondence; notes; emails and all other information however held- which contain or may contain content pertaining directly or indirectly to the sexual abuse of children or to child protection and care. For the purposes of this appendix, the word “children” relates to any person under the age of 18.’

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1. Child Protection					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
1.1	Child Protection files	Yes	Education Act 2002, s175, related guidance "Keeping Children Safe in Education, September 2016"	DOB + 25 years <sup>1</sup>	SECURE DISPOSAL
1.2	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 whichever is the longer	SECURE DISPOSAL

<sup>1</sup> This amendment has been made in consultation with the Safeguarding Children Group.

<sup>2</sup> 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 pupils and members of staff will become subject to the Data Protection Act 1998.

2. Governors					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
2.1	<b>Minutes</b>				
	• Principal set (signed)	No		Permanent	Retain in school for 6 years from date of meeting
	• Inspection copies	No		Date of meeting + 3 years	SECURE DISPOSAL [If these minutes contain any sensitive personal information they should be shredded]
2.2	Agendas	No		Date of meeting	SECURE DISPOSAL
2.3	Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting
2.4	Annual Parents' meeting papers	No		Date of report + 6 years	Retain in school for 6 years from date of meeting
2.5	Instruments of Government	No		Permanent	Retain in school whilst school is open
2.6	Trusts and Endowments	No		Permanent	Retain in school whilst operationally required
2.7	Action Plans	No		Date of action plan + 3 years	SECURE DISPOSAL
2.8	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)
2.9	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. Routine complaints. SECURE DISPOSAL

2.10	Annual Reports required by the Department for Education	No	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002. SI 2002 No 1171	Date of report + 10 years	Retain in the school for 10 years from the date of the last entry SECURE DISPOSAL
2.11	Proposals for schools to become, No or be established as Specialist Status schools			Current year + 3 years	Retain in the school for 3 years from the date of the last entry SECURE DISPOSAL

3. Management					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
3.1	Log Books	Yes		Date of last entry in the book + 6 years	Retain in the school for 6 years from the date of the last entry
3.2	Minutes of the Senior Management Team and other internal administrative bodies	Yes		Yes Date of meeting + 5 years	Retain in the school for 5 years from meeting
3.3	Reports made by the head teacher or the management team	Yes		Yes Date of report + 3 years	Retain in the school for 3 years from meeting
3.4	Records created by Headteachers, Deputy Headteachers, Heads of Year and other members of staff with administrative responsibilities	Yes		Closure of file +6 years	SECURE DISPOSAL
3.5	Correspondence created by Headteachers, Deputy Headteachers, Heads of Year and other members of staff with administrative responsibilities	No		Date of correspondence + 3 years	SECURE DISPOSAL
3.6	Professional development plans	Yes		Closure + 6 years	SECURE DISPOSAL
3.7	School development plans	Yes		Closure + 6 years	Review
3.8	Admissions - if the admission is successful	Yes		Admission + 1 year	SECURE DISPOSAL
3.9	Admissions - if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SECURE DISPOSAL
3.10	Admissions - Secondary Schools -Casual	Yes		Current year + 1 year	SECURE DISPOSAL
3.11	Proofs of address supplied by parents as part of the admissions process	Yes		Current year + 1 year	SECURE DISPOSAL

4. Pupils					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
4.1	Admission Registers	Yes		Date of last entry in the book (or file) + 6 years Reconsider Retention Period. Feedback from Teaching Relative was thought to be 7 Year Retention. These records are no longer generated in paper but electronically held using SIMS BROCON software.	Retain in the school for 6 years from the date of the last entry then consider transfer to the Archives
4.2	Attendance registers	Yes		Date of register + 3 years	SECURE DISPOSAL [If these records are retained electronically any backup copies should be destroyed at the same time]
4.3	<b>Pupil Files Retained in Schools</b>	Yes			
4.3a	• Primary	Yes		Retain for the time which the pupil remains at the primary school	Transfer to the secondary school (or other primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Pupil Referral Unit
4.3b	• Secondary	Yes	Limitation Act 1980	DOB of the pupil + 25 years <sup>3</sup>	SECURE DISPOSAL

4.4	<b>Pupil files</b>	Yes			
4.4a	• Primary	Yes		Retain for the time which the pupil	Transfer to the secondary school (or other remains at the primary school primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Pupil Referral Unit
4.4b	• Secondary	Yes	Limitation Act 1980	DOB of the pupil + 25 years <sup>4</sup>	SECURE DISPOSAL
4.5	Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 25 years the review  <b>NOTE:</b> This retention period is the minimum 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.	SECURE DISPOSAL

<sup>3</sup> If these records are retained on the pupil file or in their National Record of Achievement they need only to be kept for as long as operationally necessary.

<sup>4</sup> As above

4. Pupils					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
4.6	Correspondence Relating to Authorised Absence and Issues	No		Date of absence + 2 years	SECURE DISPOSAL
4.7	<b>Examination results</b>	Yes			
4.7a	• Public	No		Year of examinations + 6 years	SECURE DISPOSAL
4.7b	• Internal examination results	Yes		Current year + 5 years <sup>5</sup>	SECURE DISPOSAL
4.8	Any other records created in the course of contact with pupils	Yes/No		Current year +3 years	Review at the end of 3 years and either allocate a further retention period or SECURE DISPOSAL
4.9	Statement maintained under The Education Act 1996 – Section 324	Yes	Special Educational Needs and Disability Act 2001 Section1	DOB + 30 years	SECURE DISPOSAL unless legal action is pending
4.10	Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SECURE DISPOSAL unless legal action is pending
4.11	Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
4.12	Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
4.13	Parental permission slips for school trips - where there has been no major incident	Yes		Conclusion of the trip	SECURE DISPOSAL

<sup>5</sup> If these records are retained on the pupil file or in their National Record of Achievement they need only be kept for as long as operationally necessary.

#### 4. Pupils

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
4.14	Parental permission slips for school trips - where there has been a major incident	Yes	Limitation Act 1980	DOB of the pupil involved in the incident + 25 years The permission slips for all pupils on the trip need to be retained to show that the rules had been followed for all pupils	SECURE DISPOSAL
4.15	Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Primary Schools	No	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 14 years <sup>6</sup>	SECURE DISPOSAL
4.16	Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Secondary Schools	No	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 10 years	SECURE DISPOSAL
4.17	Walking Bus registers	Yes		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	SECURE DISPOSAL [If these records are retained electronically any backup copies should be destroyed at the same time]

<sup>6</sup> This retention period has been set in agreement with the Safeguarding Children's Officer.

5. Curriculum					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
5.1	School Development Plan	No		Current year + 6 years	SECURE DISPOSAL
5.2	Curriculum returns	No		Current year + 3 years	SECURE DISPOSAL
5.3	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 SECURE DISPOSAL
5.4	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 SECURE DISPOSAL
5.5	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 SECURE DISPOSAL
5.6	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 SECURE DISPOSAL

5.7	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 SECURE DISPOSAL
5.8	Pupils' 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 SECURE DISPOSAL
5.9	Examination results	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL
5.10	SATS records – Examination Papers and Results	Yes		Current year + 6 years	SECURE DISPOSAL
5.11	PAN reports	Yes		Current year + 6 years	SECURE DISPOSAL
5.12	Value Asses & Contextual Data	Yes		Current year + 6 years	SECURE DISPOSAL
5.13	Self-Evaluation forms	Yes		Current year + 6 years	SECURE DISPOSAL

6. Personnel Records held in Schools					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
6.1	Timesheets, sick pay	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL
6.2	Staff Personal files	Yes		Termination + 7 years	SECURE DISPOSAL
6.3	Interview notes and recruitment records	Yes		Date of interview + 6 months	SECURE DISPOSAL
6.4	Pre-employment vetting information (including DBS checks)	No	DBS guidelines	Date of check + 6 months	SECURE DISPOSAL [by the designated member of staff]
6.5	<b>Disciplinary proceedings:</b>	Yes	Where the warning relates to child protection issues see 1.2. If the disciplinary proceedings relate to a child protection matter please contact your safeguarding children officer for further advice.		
6.5a	• oral warning	Yes		Date of warning + 6 months	SECURE DISPOSAL <sup>7</sup>
6.5b	• written warning - level one	Yes		Date of warning + 6 months	SECURE DISPOSAL
6.5c	• written warning - level two	Yes		Date of warning + 12 months	SECURE DISPOSAL
6.5d	• final warning	Yes		Date of warning + 18 months	SECURE DISPOSAL

6.5e	• case not found	Yes		If child protection related please see 1.2 otherwise SECURE DISPOSAL immediately at the conclusion of the case	SECURE DISPOSAL
6.6	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
6.7	Annual appraisal/ assessment records	No		Current year + 5 years	SECURE DISPOSAL
6.8	Salary cards	Yes		Last date of employment + 85 years	SECURE DISPOSAL
6.9	Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year + 3 years	SECURE DISPOSAL
6.10	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	SECURE DISPOSAL
6.11	Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure	Yes		Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff’s personal file.	

<sup>7</sup> If this is placed on a personal file it must be weeded from the file.

Comment: DBS Guidelines all falls under the heading of Data Recruitment Polices. Consideration needs to be applied to adding a separate category maybe.

7. Health and Safety					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
7.1	Accessibility Plans	Yes	Disability Discrimination Act	Current year + 6 years	SECURE DISPOSAL
7.2	<b>Accident Reporting</b>	Yes	Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980		
7.2a	• Adults	Yes		Date of incident + 7 years	SECURE DISPOSAL
7.2b	• Children	Yes		DOB of child + 25 years <sup>8</sup>	SECURE DISPOSAL
7.3	COSHH			Current year + 10 years [where appropriate an additional retention period may be allocated]	SECURE DISPOSAL
7.4	Incident reports	Yes		Current year + 20 years	SECURE DISPOSAL
7.5	Policy Statements			Date of expiry + 1 year	SECURE DISPOSAL
7.6	Risk Assessments	Yes		Current year + 3 years	SECURE DISPOSAL
7.7	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	No		Last action + 40 years	SECURE DISPOSAL
7.8	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	No		Last action + 50 years	SECURE DISPOSAL
7.9	Fire Precautions log books	No		Current year + 6 years	SECURE DISPOSAL

<sup>8</sup> A child may make a claim for negligence for 7 years from their 18th birthday. To ensure that all records are kept until the pupil reaches the age of 25 this retention period has been applied.

## 8. Administrative

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
8.1	Employer's Liability certificate	No		Closure of the school + 40 years	SECURE DISPOSAL
8.2	Inventories of equipment & furniture	No		Current year + 6 years	SECURE DISPOSAL
8.3	General file series	No		Current year + 5 years	Review to see whether a further retention period is required
8.4	School brochure or prospectus	No		Current year + 3 years	
8.5	Circulars (staff/parents/pupils)	No		Current year +1 year	SECURE DISPOSAL
8.6	Newsletters, ephemera	No		Current year + 1 year	Review to see whether a further retention period is required
8.7	Visitors book	No		Current year + 2 years	Review to see whether a further retention period is required
8.8	PTA/Old Pupils Associations	No		Current year + 6 years	Review to see whether a further retention period is required

## 9. Finance

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
9.1	Annual Accounts		Financial Regulations	Current year + 6 years	
9.2	Loans and grants		Financial Regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required
9.3	<b>Contracts</b>				
9.3a	• under seal			Contract completion date + 12 years	SECURE DISPOSAL
9.3b	• under signature			Contract completion date + 6 years	SECURE DISPOSAL
9.3c	• monitoring records			Current year + 2 years	SECURE DISPOSAL
9.4	Copy orders			Current year + 2 years	SECURE DISPOSAL
9.5	Budget reports, budget monitoring etc.			Current year + 3 years	SECURE DISPOSAL
9.6	Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SECURE DISPOSAL
9.7	Annual Budget and background papers			Current year + 6 years	SECURE DISPOSAL
9.8	Order books and requisitions			Current year + 6 years	SECURE DISPOSAL
9.9	Delivery Documentation			Current year + 6 years	SECURE DISPOSAL
9.10	Debtors' Records		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL
9.11	School Fund-Chequebooks			Current year + 3 years	SECURE DISPOSAL
9.12	School Fund-Paying in books			Current year + 6 years then review	SECURE DISPOSAL

9.13	School Fund-Ledger			Current year + 6 years then review	SECURE DISPOSAL
9.14	School Fund-Invoices			Current year + 6 years then review	SECURE DISPOSAL
9.15	School Fund - Receipts			Current year + 6 years	SECURE DISPOSAL
9.16	School Fund - Bank statements			Current year + 6 years then review	SECURE DISPOSAL
9.17	School Fund-School Journey books			Current year + 6 years then review	SECURE DISPOSAL
9.18	Student grant applications			Current year + 3 years	SECURE DISPOSAL
9.19	Free school meals registers	Yes		Current year + 6 years	SECURE DISPOSAL
9.20	Petty cash books			Current year + 6 year	SECURE DISPOSAL

10. Property					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
10.1	Title Deeds			Permanent	Permanent, these should follow the property unless the property has been registered at the Land Registry
10.2	Plans			Permanent	Retain in school whilst operational
10.3	Maintenance and contractors		Financial Regulations	Current year + 6 years	SECURE DISPOSAL
10.4	Leases			Expiry of lease+ 6 years	SECURE DISPOSAL
10.5	Lettings			Current year + 3 years	SECURE DISPOSAL
10.6	Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL
10.7	Maintenance log books			Current year + 6 years	SECURE DISPOSAL
10.8	Contractors' Reports			Current year + 6 years	SECURE DISPOSAL

## 11. Local Authority

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
11.1	Secondary transfer sheets (Primary)	Yes		Current year + 2 years	SECURE DISPOSAL
11.2	Attendance returns	Yes		Current year + 1 year	SECURE DISPOSAL
11.3	Circulars from LA			Whilst required operationally	Review to see whether a further retention period is required

12. Department for Education					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
12.1	HMI reports			These do not need to be kept any longer	
12.2	OFSTED reports and papers			Replace former report with any new inspection report	Review to see whether a further retention period is required
12.3	Returns			Current year + 6 years	SECURE DISPOSAL
12.4	Circulars from Department for Education			Whilst operationally required	Review to see whether a further retention period is required

### 13. Connexions

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
13.1	Service level agreements			Until superseded	SECURE DISPOSAL
13.2	Work Experience agreement			DOB of child + 18 years	SECURE DISPOSAL

## 14. School Meals

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
14.1	Dinner Register			Current year + 3 years	SECURE DISPOSAL
14.2	School Meals Summary Sheets			Current year + 3 years	SECURE DISPOSAL

## 15. Family Liaison Officers and Home School Liaison Assistants

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
15.1	Day Books	Yes		Current year + 2 years then review	SECURE DISPOSAL
15.2	Reports for outside agencies - where the report has been included on the case file created by the outside agency	Yes		Whilst the child is attending the school then destroy	SECURE DISPOSAL
15.3	Referral forms	Yes		While the referral is current	SECURE DISPOSAL
15.4	Contact data sheets	Yes		Current year then review, if contact is no longer active then destroy	SECURE DISPOSAL
15.5	Contact database entries	Yes		Current year then review, if contact is no longer active then destroy	DELETE
15.6	Group Registers	Yes		Current year + 2 years	SECURE DISPOSAL

16. Early Years Provision		16.1 Records to be kept by Registered Persons – All Cases		
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]
16.1.1	The name, home address and date of birth of each child who is looked after on the premises	Yes		Closure of setting + 50 years [These could be required to show whether or not an individual child attended the setting in a child protection investigation]
16.1.2	The name, home address and telephone number of a parent of each child who is looked after on the premises	Yes		If this information is kept in the same book or on the same form as in 16.1.1 then the same retention period should be used as in 16.1.1. If the information is stored separately, then destroy once the child has left the setting (unless the information is collected for anything other than emergency contact)
16.1.3	The name, address and telephone number of any person who will be looking after children on the premises	Yes		See 16.4.5 below
16.1.4	A daily record of the names of children looked after on the premises, their hours of attendance and the names of the persons who looked after them	Yes		The Day Care and Child Minding (National Standards) (England) Regulations 2003 The regulations say that these records should be kept for 2 years (SI200319967(1b)). If these records are likely to be needed in a child protection setting (see 16.1.1 above) then the records should be retained for closure of setting + 50 years

16.1.5	A record of accidents occurring on the premises and incident books relating to other incidents	Yes		The Day Care and Child Minding(National Standards) (England) Regulations 2003 <sup>1</sup> DOB of the child involved in the accident or the incident + 25years. If an adult is injured then the accident book must be kept for 7 years from the date of the incident
16.1.6	A record of any medicinal product administered to any child on the premises, including the date and circumstances of its administration, by whom it was administered, including medicinal products which the child is permitted to administer to himself, together with a record of parent's consent	Yes		The Day Care and Child Minding(National Standards) (England) Regulations 2003 <sup>2</sup> DOB of the child being given/taking the medicine + 25 years

<sup>1</sup> The regulations say that these records should be kept for 2 years (SI20031996 7(1b)).The Statute of Limitations states that a minor may make a claim for 7 years from their eighteenth birthday; therefore the retention should be for the longer period.

<sup>2</sup> The regulations say that these records should be kept for 2 years (SI20031996 7(1b)).The NHS records retention schedule states that any records relating to a child under the age of 18 should be retained until that child reaches the age of 25 years. Therefore, the retention should be DOB of the child being given/taking the medicine + 25 years

16. Early Years Provision		16.2 Records to be kept by Registered Persons – Day Care		
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]
16.2.1	The name and address and telephone number of the registered person and every other person living or employed on the premises	Yes		See 16.4 below
16.2.2	A statement of the procedure to be followed in the event of a fire or accident	No		Procedure superseded + 7 years
16.2.3	A statement of the procedure to be followed in the event of a child being lost or not collected	No		Procedure superseded + 7 years
16.2.4	A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person	No		Until superseded
16.2.5	A statement of the arrangements in place for the protection of children, including arrangements to safeguard the children from abuse or neglect and procedures to be followed in the event of allegations of abuse or neglect	No		Closure of setting + 50 years [These could be required to show whether or not an individual child attended the setting in a child protection investigation]

16. Early Years Provision		16.3 Records to be kept by Registered Persons – Overnight provision – under 2's		
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]
16.3.1	Emergency contact details for appropriate adult to collect the child if necessary	Yes		Destroy once the child has left the setting(unless the information is collected for anything other than emergency contact)
16.3.2	Contract, signed by the parent, stating all the relevant details regarding the child and their care, including the name of the emergency contact and confirmation of their agreement to collect the child during the night	Yes		Date of birth of the child who is the subject of the contract + 25 years

16. Early Years Provision		16.4 Other records – Administration		
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]
	<b>Financial Records</b>			
16.4.1	Financial records - accounts, statements, invoices, petty cash etc.	No		Current year + 6 years
	<b>Insurance</b>			
16.4.2	Insurance policies -Employers Liability	No	Employers Liability Financial Regulations	The policies are kept for a minimum of 6 years and a maximum of 40 years depending on the type of policy
16.4.3	Claims made against insurance policies - damage to property	Yes		Case concluded + 3 years
16.4.4	Claims made against insurance policies - personal injury	Yes		Case concluded + 6 years
	<b>Human Resources</b>			
16.4.5	Personal Files - records relating to an individual's employment history	Yes <sup>3</sup>		Termination + 6 years then review
16.4.6	Pre-employment vetting information (including DBS checks)	No	CRB guidelines	Date of check + 6 months
16.4.7	Staff training records - general	Yes		Current year + 2 years

16.4.8	Training (proof of completion such as certificates, awards, exam results)	Yes		Last action + 7 years
	<b>Premises and Health and Safety</b>			
16.4.9	Premises files (relating to maintenance)	No		Cessation of use of building + 7 years then review
16.4.10	Risk Assessments	No		Current year + 3 years

<sup>3</sup> For Data Protection purposes the following information should be kept on the file for the following periods:

- All documentation on the personal file; duration of employment
- Pre-employment and vetting information Start date +6 months
- Records relating to accident or injury at work Minimum of 12 years
- Annual appraisal/assessment records Minimum of 5 years
- Records relating to disciplinary matters (kept on personal files)
  - Oral warning 6 months
  - First level warning 6 months
  - Second level warning 12 months
  - Final warning 18 months

**Record Destruction Form**

Use this form for the destruction of records containing personal information. Print and retain a signed copy for your records

<b>Department/Service area:</b>		<b>Contact:</b>		<b>Telephone/e-mail:</b>		<b>Date:</b>	
<b>Record No/Title:</b>	<b>Brief Description:</b>	<b>Date Range:</b>		<b>Destruction Method</b>			
		<b>From:</b>	<b>To:</b>				
				<b>Please choose one of the following:</b>			
				<b>Please select here...</b>			
				<b>Please select here...</b>			
				<b>Please select here...</b>			
				<b>Please select here...</b>			
				<b>Please select here...</b>			
				<b>Please select here...</b>			
<b>Approved By ( name):</b>		<b>Position Title:</b>		<b>Signature:</b>			