

# RECORDS RETENTION POLICY

|                           |                              |
|---------------------------|------------------------------|
| Date approved by Trustees | December 2022                |
| Date of next Review       | October 2023                 |
| Status                    | Non-Statutory – Trust Policy |
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## OUR VISION

A community of Primary and Secondary academies that are the first choice for students and families in Sussex, with an outstanding reputation for high aspiration and high achievement.

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## **South Downs Learning Trust Records Management Policy**

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 institution. Records provide evidence for protecting the legal rights and interests of the trust and its academies and provide evidence 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

### **1. Scope of the policy**

1.1 This policy applies to all records created, received or maintained by staff of the trust in the course of carrying out its functions.

1.2 Records are defined as all those documents which facilitate the business carried out by the trust and/or academies and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

1.3 A small percentage of the records of the trust and/or academies will be selected for permanent preservation as part of the institution's archives and for historical research. This should be done in liaison with the County Archives Service.

### **2. Responsibilities**

2.1 The trust has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Executive Headteacher and the relevant Headteacher/Head of School where the records relate to a particular academy within the trust or to a particular student attending an academy within the trust.

2.2 The person responsible for records management in the school 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.

2.3 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.

### **3. Relationship with existing policies**

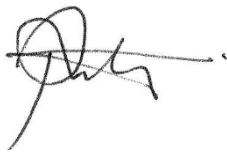
This policy has been drawn up within the context of:

Data Protection Policy

Freedom of Information Policy and Publication Scheme

Acceptable Use Policy

and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the school.

A handwritten signature in black ink, appearing to read 'Paul Murphy', with a stylized flourish at the end.

Signed:

Paul Murphy Executive Headteacher

## **How to Use the Records Retention Schedule**

### **Locating a Record Series**

This retention schedule has been split into sections to reflect the different areas and functions which produce records in a school. Click on each tab at the bottom of the screen to switch between each sheet.

The records in each section are listed under sub-headings, which reflect the general functions and activities that occur within that section. You can use these sub-headings to easily browse the schedule and locate the records associated with each activity.

A record series is a group of records that relate to and inform each other. For example, an employee's application form, references, DBS check, tax form, contract and correspondence relating to their employment are different types of records, but come together as a record series as their personnel file. Grouping records together in this way makes managing them easier, as the individual records can be treated as a whole and in the same way. Retention periods are therefore usually provided for record series, rather than different types of records.

The retention schedule contains the following column headings:

**Record Series** A basic description of the type of records or file.

**Notes on Retention** Any statutory provisions, legislation or specific business need that inform how long the records should be kept for.

**Retention Period** How long the records should be kept for and from what point this should be calculated.

**Action** What to do once the records reach the end of their retention period.

**Personal data?** Whether the records contain personal data or not.

Retention periods should be applied regardless of the format or media the records are in. If a record series is made up of paper records, digital files, and information held within databases, these should all be treated in the same way and have the same retention

### **Applying a Retention Period**

Once you have located the record series you want and found its assigned retention period, you will then need to apply this. If the records are out of their retention period, you should carry out the action given in the retention schedule. This may be to destroy/delete the records, transfer them elsewhere, or you may have to review the records to see if their retention period needs to be extended.

**WARNING:** At the time of writing, the Independent Inquiry Into Child Sexual Abuse (IICSA) is still ongoing. In 2015, the Home Secretary requested that any records

“which contain or may contain content pertaining directly or indirectly to the sexual abuse of children or to child protection and care” must not be destroyed until the Inquiry is concluded. It is currently a criminal offence to knowingly destroy such material. If any of the records that are out of their retention period could be considered to be included in this, then you must not destroy/delete them until new instructions are received from the Home Secretary.

Similarly, if the records that have reached the end of their retention period are part of an ongoing enquiry, investigation, claim, Subject Access Request (SAR), FOI request, or legal proceedings, these should not be destroyed/deleted until this has been concluded and the case is closed.

Before destroying records listed in the retention schedule, you should get this signed off/agreed by the relevant person. This may be the Headteacher, School Business Manager, IT Manager, or the creator of the records for example.

If the records contain personal data, sensitive or confidential information, you should make sure these are securely destroyed. For paper records this means shredding them before throwing them away. For digital records, you should speak to your IT Manager for advice on how to do this (clicking delete does not necessarily mean the record is gone, as it may just have moved location or still be recoverable).

You should keep a record of what you have destroyed/deleted and when. If your school has a destruction log or schedule you should ensure the records you are destroying/deleting are recorded on it.

## SDLT Records Retention Schedule - 1. Governance, Funding and Financial Management of the Academy Trust

| Record Series (Basic file description)                         | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions)   | Retention Period   | Action at end of administrative life of record |
|--|---|---|--|--|
| <b>Governance of the Academy Trust</b>                         |   |   |  |  |
| Governance Statement   | No                                      |   | Life of governance statement + 6 years                         | SECURE DISPOSAL                                |
| Articles of Association  | No                                      |   | Life of the Academy  |  |
| Memorandum of Association                                      | No                                      |   | This can be disposed of once the Academy has been incorporated | SECURE DISPOSAL                                |
| Memorandum of Understanding of Shared Governance among Schools | No                                      | Companies Act 2006 section 355              | Life of Memorandum of Understanding + 6 years                  | SECURE DISPOSAL                                |
| Constitution   | No                                      |   | Life of the Academy  |  |
| Special Resolutions to amend the Constitution                  | No                                      |   | Life of the Academy  |  |
| Written Scheme of Delegation                                   | No                                      | Companies Act 2006 section 355              | Life of Written Scheme of Delegation + 10 years                | SECURE DISPOSAL                                |
| Directors – Appointment  | No                                      |   | Life of appointment + 6 years                                  | SECURE DISPOSAL                                |
| Directors – Disqualification                                   | No                                      | Company Directors Disqualification Act 1986 | Date of disqualification + 15 years                            | SECURE DISPOSAL                                |
| Directors – Termination of Office                              | No                                      |   | Date of termination + 6 years                                  | SECURE DISPOSAL                                |
| Annual Report – Trustees Report                                | No                                      | Companies Act 2006 section 355              | Date of report + 10 years                                      | SECURE DISPOSAL                                |

|  |  |                                    |                               |                    |
|--|--|------------------------------------|-------------------------------|--------------------|
| Annual Report and Accounts                                 | No   | Companies Act 2006<br>section 355  | Date of report + 10 years     | SECURE<br>DISPOSAL |
| Annual Return  | No   | Companies Act 2006<br>section 355  | Date of report + 10 years     | SECURE<br>DISPOSAL |
| Appointment of Trustees and<br>Governors and Directors     | Yes  |                                    | Life of appointment + 6 years | SECURE<br>DISPOSAL |
| Statement of Trustees<br>Responsibilities                  | No   |                                    | Life of appointment + 6 years | SECURE<br>DISPOSAL |
| Appointment and removal of<br>Members                      | No   |                                    | Life of appointment + 6 years | SECURE<br>DISPOSAL |
| Strategic Review   | No   |                                    | Date of the review + 6 years  | SECURE<br>DISPOSAL |
| Strategic Plan [also known as<br>School Development Plans] | No   |                                    | Life of plan + 6 years        | SECURE<br>DISPOSAL |
| Accessibility Plan   | There may<br>be if the plan<br>refers to<br>specific<br>pupils | Limitation Act 1980<br>(Section 2) | Life of plan + 6 years        | SECURE<br>DISPOSAL |

| <b>Board of Directors, Members Meetings and Governing Body</b> |  |                                   |   |                      |
|--|--|-----------------------------------|---|----------------------|
| <b>Board of Directors</b>                                      |  |                                   |   |                      |
| Board Meeting Minutes  | Could be if<br>the minutes<br>refer to living<br>individuals   | Companies Act 2006<br>section 248 | Minutes must be kept for at least<br>10 years from the date of the<br>meeting | OFFER TO<br>ARCHIVES |
| Board Decisions  | Could be if<br>the decisions<br>refer to living<br>individuals |                                   | Date of the meeting + a minimum<br>of 10 years                                | OFFER TO<br>ARCHIVES |



|   |   |                                 |   |                   |
|---|---|---------------------------------|---|-------------------|
| Board Meeting: Annual Schedule of Business                          | No  |                                 | Current year  | SECURE DISPOSAL   |
| Board Meeting: Procedures for conduct of meeting                    | No  | Limitation Act 1980 (Section 2) | Date procedures superseded + 6 years  | SECURE DISPOSAL   |
| <b>Committees</b>   |   |                                 |   |                   |
| Minutes relating to any committees set up by the Board of Directors | Could be if the minutes refer to living individuals   |                                 | Date of the meeting + a minimum of 10 years   | OFFER TO ARCHIVES |
| <b>General Members' Meeting</b>                                     |   |                                 |   |                   |
| Records relating to the management of General Members' Meetings     | Could be if the minutes refer to living individuals   | Companies Act 2006 section 248  | Minutes must be kept for at least 10 years from the date of the meeting[1]                      | OFFER TO ARCHIVES |
| Records relating to the management of the Annual General Meeting[2] | Could be if the minutes refer to living individuals   | Companies Act 2006 section 248  | Minutes must be kept for at least 10 years from the date of the meeting[3]                      | OFFER TO ARCHIVES |
| <b>Governors</b>  |   |                                 |   |                   |
| <b>Agendas for Governing Body meetings</b>                          | May be data protection issues, if the meeting is dealing with confidential issues relating to staff |                                 | One copy should be retained with the master set of minutes. All other copies can be disposed of | SECURE DISPOSAL   |

|  |   |                                |  |                    |
|--|---|--------------------------------|--|--------------------|
| Minutes of, and papers considered at, meetings of the Governing Body and its committees                | May be data protection issues, if the meeting is dealing with confidential issues relating to staff |                                |  |                    |
| Principal Set (signed)   |   |                                | Life of Academy  |                    |
| Inspection Copies  |   |                                | Date of meeting + 3 years  | SECURE DISPOSAL    |
| Reports presented to the Governing Body  | May be data protection issues, if the report deals with confidential issues relating to staff       |                                | Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports, then the reports should be kept for the life of the Academy | SECURE DISPOSAL or |
| Meeting papers relating to the annual parents' meeting held under Section 33 of the Education Act 2002 | No  | Education Act 2002, Section 33 | Date of the meeting + a minimum of 6 years   | SECURE DISPOSAL    |
| Trusts and Endowments managed by the Governing Body  | No  |                                | PERMANENT  |                    |
| Records relating to complaints dealt with by the Governing Body  | Yes   |                                | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes   | SECURE DISPOSAL    |

|   |    |  |                               |                 |
|---|----|--|-------------------------------|-----------------|
| Annual Reports created under the requirements of the Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 | No | Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171 | Date of report + 10 years     | SECURE DISPOSAL |
| <b>Statutory Registers</b>  |    |  |                               |                 |
| Register of Directors   |    | Companies Act 2006   | Life of the Academy + 6 years | SECURE DISPOSAL |
| Register of Directors' interests [this is not a statutory register]   |    |  | Life of the Academy + 6 years | SECURE DISPOSAL |
| Register of Directors' residential addresses  |    | Companies Act 2006   | Life of the Academy + 6 years | SECURE DISPOSAL |
| Register of gifts, hospitality and entertainments   |    | Companies Act 2006   | Life of the Academy + 6 years | SECURE DISPOSAL |
| Register of members   |    | Companies Act 2006   | Life of the Academy + 6 years | SECURE DISPOSAL |
| Register of secretaries   |    | Companies Act 2006   | Life of the Academy + 6 years | SECURE DISPOSAL |
| Register of Trustees interests  |    |  | Life of the Academy + 6 years | SECURE DISPOSAL |
| Declaration of Interests Statements [Governors] [this is not a statutory register]  |    |  | Life of the Academy + 6 years | SECURE DISPOSAL |

|  |    |  |                                  |                 |
|--|----|--|----------------------------------|-----------------|
| <b>Funding and Finance</b>                     |    |  |                                  |                 |
| <b>Statagic Finance</b>                        |    |  |                                  |                 |
| Statement of financial activities for the year | No |  | Current financial year + 6 years | SECURE DISPOSAL |
| Financial planning                             | No |  | Current financial year + 6 years | SECURE DISPOSAL |

|   |    |  |  |                 |
|---|----|--|--|-----------------|
| Value for money statement   | No |  | Current financial year + 6 years           | SECURE DISPOSAL |
| Records relating to the management of VAT                                     | No |  | Current financial year + 6 years           | SECURE DISPOSAL |
| Whole of government accounts returns  | No |  | Current financial year + 6 years           | SECURE DISPOSAL |
| Borrowing powers  | No |  | Current financial year + 6 years           | SECURE DISPOSAL |
| Budget plan   | No |  | Current financial year + 6 years           | SECURE DISPOSAL |
| Charging and remissions policy  | No |  | Date policy superseded + 3 years           | SECURE DISPOSAL |
| <b>Audit Arrangements</b>   |    |  |  |                 |
| Audit Committee and appointment of responsible officers                       | No |  | Life of the Academy                        | SECURE DISPOSAL |
| Independent Auditor's report on regularity                                    | No |  | Financial year report relates to + 6 years | SECURE DISPOSAL |
| Independent Auditor's report on financial statements                          | No |  | Financial year report relates to + 6 years | SECURE DISPOSAL |
| <b>Funding Agreements</b>   |    |  |  |                 |
| Funding Agreement with Secretary of State and supplemental funding agreements | No |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Funding Agreement – Termination of the funding agreement                      |    |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Funding Records – Capital Grant   | No |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Funding Records – Earmarked Annual Grant (EAG)                                | No |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Funding Records – General Annual Grant (GAG)                                  | No |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |

|  |     |  |  |                 |
|--|-----|--|--|-----------------|
| Per pupil funding records  | No  |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Exclusions agreement   | No  |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Funding records  | No  |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Gift Aid and Tax Relief  | No  |  | Date of last payment of funding + 6 years  | SECURE DISPOSAL |
| Records relating to loans  | No  |  | Date of last payment on loan + 6 years if the loan is under £10,000 or date of last payment on loan + 12 years if the loan is over £10,000 | SECURE DISPOSAL |
| Payroll and Pensions   |     |  |  |                 |
| Maternity pay records  | Yes | Statutory Maternity Pay (General) Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567)    | Current year + 3 years   | SECURE DISPOSAL |
| Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes | Regulation 15 Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103) | From the end of the year in which the accounts were signed for a minimum of 6 years  | SECURE DISPOSAL |
|  |     |  |  |                 |
| Management of the Teachers' Pension Scheme   | Yes |  | Date of last payment on the pension + 6 years  | SECURE DISPOSAL |
| Records relating to pension registrations  | Yes |  | Date of last payment on the pension + 6 years  | SECURE DISPOSAL |
| Payroll records  | Yes |  | Date payroll run + 6 years   | SECURE DISPOSAL |
| <b>Risk Management and Insurance</b>   |     |  |  |                 |

|   |     |                     |   |                   |
|---|-----|---------------------|---|-------------------|
| Insurance policies  | No  |                     | Date the policy expires + 6 years                       | SECURE DISPOSAL   |
| Records relating to the settlement of insurance claims  | No  |                     | Date claim settled + 6 years                            | SECURE DISPOSAL   |
| Employer's Liability Insurance Certificate  | No  |                     | Closure of the school + 40 years                        | SECURE DISPOSAL   |
| <b>Endowment Funds and Investments</b>  |     |                     |   |                   |
| Investment policies   | No  |                     | Life of the investment + 6 years                        | SECURE DISPOSAL   |
| Management of Endowment Funds   | No  |                     | Life of the fund + 6 years                              |                   |
| <b>Accounts and Statements</b>  |     |                     |   |                   |
| Annual accounts   | No  |                     | Current year + 6 years                                  | STANDARD DISPOSAL |
| Loans and grants managed by the school  | No  |                     | Date of last payment on the loan + 12 years then REVIEW | SECURE DISPOSAL   |
| Student Grant applications  | Yes |                     | Current year + 3 years                                  | SECURE DISPOSAL   |
| All records relating to the creation and management of budgets, including the Annual Budget statement and background papers | No  |                     | Life of the budget + 3 years                            | SECURE DISPOSAL   |
| Invoices, receipts, order books and requisitions, delivery notices  | No  |                     | Current financial year + 6 years                        | SECURE DISPOSAL   |
| Records relating to the collection and banking of monies  | No  |                     | Current financial year + 6 years                        | SECURE DISPOSAL   |
| Records relating to the identification and collection of debt   | No  |                     | Current financial year + 6 years                        | SECURE DISPOSAL   |
| <b>Contract Management</b>  |     |                     |   |                   |
| All records relating to the management of contracts under seal  | No  | Limitation Act 1980 | Last payment on the contract + 12 years                 | SECURE DISPOSAL   |

|  |    |                     |   |                 |
|--|----|---------------------|---|-----------------|
| All records relating to the management of contracts under signature          | No | Limitation Act 1980 | Last payment on the contract + 6 years            | SECURE DISPOSAL |
| Records relating to the monitoring of contracts                              | No |                     | Current year + 2 years                            | SECURE DISPOSAL |
| <b>Asset Management</b>  |    |                     |   |                 |
| Inventories of furniture and equipment                                       | No |                     | Current year + 6 years                            | SECURE DISPOSAL |
| Burglary, theft and vandalism report forms                                   | No |                     | Current year + 6 years                            | SECURE DISPOSAL |
| Records relating to the leasing of shared facilities, such as sports centres | No |                     | Current year + 6 years                            | SECURE DISPOSAL |
| Land and building valuations   | No |                     | Date valuation superseded + 6 years               | SECURE DISPOSAL |
| Disposal of assets   | No |                     | Date asset disposed of + 6 years                  | SECURE DISPOSAL |
| Community School leases for land   | No |                     | Date lease expires + 6 years                      | SECURE DISPOSAL |
| Commercial transfer arrangements   | No |                     | Date of transfer + 6 years                        | SECURE DISPOSAL |
| Transfer of land to the Academy Trust  | No |                     | Life of land ownership then transfer to new owner | SECURE DISPOSAL |
| Transfers of freehold land   | No |                     | Life of land ownership then transfer to new owner | SECURE DISPOSAL |
| <b>School Fund</b>   |    |                     |   |                 |
| School Fund – Cheque books   | No |                     | Current year + 6 years                            | SECURE DISPOSAL |
| School Fund – Paying in books  | No |                     | Current year + 6 years                            | SECURE DISPOSAL |

|                               |     |  |                        |                 |
|-------------------------------|-----|--|------------------------|-----------------|
| School Fund – Ledger          | No  |  | Current year + 6 years | SECURE DISPOSAL |
| School Fund – Invoices        | No  |  | Current year + 6 years | SECURE DISPOSAL |
| School Fund – Receipts        | No  |  | Current year + 6 years | SECURE DISPOSAL |
| School Fund – Bank statements | No  |  | Current year + 6 years | SECURE DISPOSAL |
| School Fund – Journey books   | No  |  | Current year + 6 years | SECURE DISPOSAL |
| <b>School Meals</b>           |     |  |                        |                 |
| Free school meals registers   | Yes |  | Current year + 6 years | SECURE DISPOSAL |
| School meals registers        | Yes |  | Current year + 3 years | SECURE DISPOSAL |
| School meals summary sheets   | No  |  | Current year + 3 years | SECURE DISPOSAL |

| <b>Policies, Frameworks and Overarching Requirements</b> |    |  |   |                 |
|--|----|--|---|-----------------|
| Information Security Breach Policy                       | No |  | Date policy superseded + 6 years          | SECURE DISPOSAL |
| Special Educational Needs Policy                         | No |  | Date policy superseded + 6 years          | SECURE DISPOSAL |
| Complaints Policy  | No |  | Date policy superseded + 6 years          | SECURE DISPOSAL |
| Risk and Control Framework                               | No |  | Life of framework + 6 years               | SECURE DISPOSAL |
| Rules and Bylaws   | No |  | Date rules or bylaws superseded + 6 years | SECURE DISPOSAL |



|   |    |  |                                  |                    |
|---|----|--|----------------------------------|--------------------|
| Home School Agreements[1]   | No |  | Date agreement revised + 6 years | SECURE<br>DISPOSAL |
| Equality Information and Objectives<br>(public sector equality duty)<br>Statement for publication | No |  | Date of statement + 6 years      | SECURE<br>DISPOSAL |

## SDLT Records Retention Schedule - 2. Human Resources

| Record Series (Basic file description)   | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions)   | Retention Period  | Action at end of administrative life of record |
|--|---|---|---|--|
| <b>Recruitment</b>   |   |   |   |  |
| All records leading up to the appointment of a new Head Teacher                                    | Yes                                     |   | Date of appointment + 6 years   | SECURE DISPOSAL                                |
| All records leading up to the appointment of a new member of staff – unsuccessful candidates       | Yes                                     |   | Date of appointment of successful candidate + 6 months  | SECURE DISPOSAL                                |
| All records leading up to the appointment of a new member of staff – successful candidate          | Yes                                     |   | All relevant information should be added to the Staff Personal File (see below) and all other information retained for 6 months   | SECURE DISPOSAL                                |
| Pre-employment vetting information – DBS Checks  | No                                      | DBS Update Service Employer Guide June 2014 | The organisation should take a copy of the DBS certificate when it is shown to them by the individual and should be added to the Staff Personal File  | SECURE DISPOSAL                                |
| 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 added to the Staff Personal File | SECURE DISPOSAL                                |

|   |     |  |   |                 |
|---|-----|--|---|-----------------|
| Pre-employment vetting information – Evidence proving the right to work in the United Kingdom | Yes | An employer's guide to right to work checks [Home Office May 2015] | Where possible, these documents should be added to the Staff Personal File, but if they are kept separately, then the Home Office requires that the documents are kept for termination of employment plus not less than 2 years | SECURE DISPOSAL |
| Records relating to the employment of overseas teachers                                       | Yes |  | Where possible, these documents should be added to the Staff Personal File, but if they are kept separately, then the Home Office requires that the documents are kept for termination of employment plus not less than 2 years | SECURE DISPOSAL |
| Records relating to the TUPE process  | Yes |  | Date last member of staff transfers or leaves the organisation + 6 years  | SECURE DISPOSAL |
| <b>Operational Staff Management</b>   |     |  |   |                 |
| Staff Personal File, including employment contract and staff training records                 | Yes | Limitation Act 1980 (Section 2)                                    | Termination of employment + 6 years   | SECURE DISPOSAL |
| Timesheets  | Yes |  | Current year + 6 years  | SECURE DISPOSAL |
| Annual appraisal/assessment records   | Yes |  | Current year + 5 years  | SECURE DISPOSAL |
| Records relating to the agreement of pay and conditions                                       | No  |  | Date pay and conditions superseded + 6 years  | SECURE DISPOSAL |
| Training needs analysis   | No  |  | Current year + 1 year   | SECURE DISPOSAL |

| <b>Management of Disciplinary and Grievance Processes</b>  |     |  |  |   |
|--|-----|--|--|---|
| Allegation which is child protection in nature against a member of staff, including where the allegation is unfounded[1] | Yes | “Keeping children safe in education Statutory guidance for schools and colleges March 2015”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015” | Until the person’s normal retirement age or 10 years from the date of the allegation, whichever is longer, then REVIEW | SECURE DISPOSAL<br>These records must be shredded |
| Disciplinary Proceedings   | Yes |  |  |   |
| • Oral warning   |     |  | Date of warning[2] + 6 months  | SECURE DISPOSAL                                   |
| • Written warning – level 1  |     |  | Date of warning + 6 months   | SECURE DISPOSAL                                   |
| • Written warning – level 2  |     |  | Date of warning + 12 months  | SECURE DISPOSAL                                   |
| • Final warning  |     |  | Date of warning + 18 months  | SECURE DISPOSAL                                   |
| • Case not found   |     |  | If the incident is child protection related, then see above; otherwise, dispose of at the conclusion of the case       | SECURE DISPOSAL                                   |
| <b>Health and Safety</b>   |     |  |  |   |
| Health and Safety policy statements  | No  |  | Life of policy + 3 years   | SECURE DISPOSAL                                   |
| Health and Safety risk assessments   | No  |  | Life of risk assessment + 3 years  | SECURE DISPOSAL                                   |

|  |     |  |   |                 |
|--|-----|--|---|-----------------|
| 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 |
| Accident reporting   | Yes | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980 | The official Accident Book must be retained for 3 years after the last entry in the book. The book may be in paper or electronic format. The incident reporting form may be retained as below |                 |
| • Adults   |     |  | Date of incident + 6 years  | SECURE DISPOSAL |
| • Children   |     |  | Date of birth of the child + 25 years   | SECURE DISPOSAL |
| Control of Substances Hazardous to Health (COSHH)  | No  |  | Current year + 10 years then REVIEW   | SECURE DISPOSAL |
| Process of monitoring of areas where employees and persons are likely to have come into contact with asbestos  | No  |  | Last action + 40 years  | SECURE DISPOSAL |
| Process of monitoring of areas where employees and persons are likely to have come into contact with radiation | No  |  | Last action + 50 years  | SECURE DISPOSAL |
| Fire precautions log books   | No  |  | Current year + 6 years  | SECURE DISPOSAL |

|                       |     |                         |                                       |                 |
|-----------------------|-----|-------------------------|---------------------------------------|-----------------|
| Fire risk assessments | No  | Fire Service Order 2005 | Life of the risk assessment + 6 years | SECURE DISPOSAL |
| Incident reports      | Yes |                         | Current year + 20 years               | SECURE DISPOSAL |

### SDLT Records Retention Schedule - 3. Management of the Academy

| Record Series (Basic file description)   | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions)   | Retention Period  | Action at end of administrative life of record  |
|--|---|---|---|---|
| <b>Admissions</b>  |   |   |   |   |
| All records relating to the creation and implementation of the School Admissions' Policy | No                                      | School Admissions Code<br>Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014 | Life of the policy + 3 years then REVIEW  | SECURE DISPOSAL   |
| Admissions – if the admission is successful  | Yes                                     | School Admissions Code  | Date of admission + 1 year  | SECURE DISPOSAL   |
| Admissions – if the appeal is unsuccessful   | Yes                                     | School Admissions Code  | Resolution of case + 1 year   | SECURE DISPOSAL   |
| Register of admissions   | Yes                                     | School attendance:<br>Departmental advice for maintained schools, Academies, independent schools and local authorities October 2014   | Every entry in the admission register must be preserved for a period of 3 years after the date on which the entry was made[1] | REVIEW Schools may wish to consider keeping the admission register permanently, as often schools receive enquiries from past pupils to confirm the dates they attended the school |

|  |     |   |  |                 |
|--|-----|---|--|-----------------|
| Admissions – Secondary Schools – Casual  | Yes |   | Current year + 1 year                              | SECURE DISPOSAL |
| Proofs of address supplied by parents as part of the admissions process                                  | Yes | School Admissions Code  | Current year + 1 year                              | SECURE DISPOSAL |
|  |     | Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014 |  |                 |
| Supplementary information form, including additional information such as religion and medical conditions | Yes |   |  |                 |
| · For successful admissions  |     |   | This information should be added to the pupil file | SECURE DISPOSAL |
| · For unsuccessful admissions  |     |   | Until appeals process completed                    | SECURE DISPOSAL |

| Head Teacher and Senior Management Team                            |   |  |   |   |
|--|---|--|---|---|
| Log books of activity in the school maintained by the Head Teacher | There may be data protection issues if the log book refers to individual pupils or members of staff |  | Date of last entry in the book + a minimum of 6 years then REVIEW | These could be of permanent historical value and should be offered to the County Archives Service, if appropriate |



|  |   |  |   |                 |
|--|---|--|---|-----------------|
| Minutes of Senior Management Team meetings and meetings of other internal administrative bodies  | There may be data protection issues if the minutes refers to individual pupils or members of staff        |  | Date of the meeting + 3 years then REVIEW             | SECURE DISPOSAL |
| Reports created by the Head Teacher or the Management Team   | There may be data protection issues if the report refers to individual pupils or members of staff         |  | Date of the report + a minimum of 3 years then REVIEW | SECURE DISPOSAL |
| Records created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities        | There may be data protection issues if the records refer to individual pupils or members of staff         |  | Current academic year + 6 years then REVIEW           | SECURE DISPOSAL |
| Correspondence created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities | There may be data protection issues if the correspondence refers to individual pupils or members of staff |  | Date of correspondence + 3 years then REVIEW          | SECURE DISPOSAL |
| Professional Development Plans   | Yes   |  | Life of the plan + 6 years                            | SECURE DISPOSAL |

#### Operational Administration

|   |     |  |  |                   |
|---|-----|--|--|-------------------|
| Management of complaints  | Yes |  | Date complaint resolved + 3 years          | SECURE DISPOSAL   |
| Records relating to the management of contracts with external providers                                       | No  |  | Date of last payment on contract + 6 years | SECURE DISPOSAL   |
| Records relating to the management of software licences   | No  |  | Date licence expires + 6 years             | SECURE DISPOSAL   |
| General file series   | No  |  | Current year + 5 years then REVIEW         | SECURE DISPOSAL   |
| Records relating to the creation and publication of the school brochure or prospectus                         | No  |  | Current year + 3 years                     | STANDARD DISPOSAL |
| Records relating to the creation and distribution of circulars to staff, parents or pupils                    | No  |  | Current year + 1 year                      | STANDARD DISPOSAL |
| Newsletters and other items with a short operational use  | No  |  | Current year + 1 year                      | STANDARD DISPOSAL |
| Visitors' books and signing in sheets   | Yes |  | Current year + 6 years then REVIEW         | SECURE DISPOSAL   |
| Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations | No  |  | Current year + 6 years then REVIEW         | SECURE DISPOSAL   |

## SDLT Records Retention Schedule - 4. Property Management

| Record Series (Basic file description)   | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions) | Retention Period  | Action at end of administrative life of record |
|--|---|---|---|--|
| <b>Property Management</b>   |   |   |   |  |
| Title deeds of properties belonging to the school  | No                                      |   | These should follow the property, unless the property has been registered with the Land Registry  |  |
| Plans of property belonging to the school  | No                                      |   | These should be retained whilst the building belongs to the school and should be passed onto any new owners if the building is leased or sold |  |
| Leases of property leased by or to the school  | No                                      |   | Expiry of lease + 6 years   | SECURE DISPOSAL                                |
| Records relating to the letting of school premises   | No                                      |   | Current financial year + 6 years  | SECURE DISPOSAL                                |
| Business continuity and disaster recovery plans  | No                                      |   | Date the plan superseded + 3 years  | SECURE DISPOSAL                                |
| All records relating to the maintenance of the school carried out by contractors                                       | No                                      |   | Current year + 6 years  | SECURE DISPOSAL                                |
| All records relating to the maintenance of the school carried out by school employees, including maintenance log books | No                                      |   | Current year + 6 years  | SECURE DISPOSAL                                |

| <b>Fleet Management</b>   |   |                                 |  |                 |
|---|---|---------------------------------|--|-----------------|
| The process of acquisition and disposal of vehicles through lease or purchase, e.g., contracts/leases, quotes, approvals          | N | Limitation Act 1980 (Section 2) | Disposal of the vehicle + 6 years  | SECURE DISPOSAL |
| The process of managing allocation and maintenance of vehicles, e.g., lists of who was driving the vehicles and when, maintenance | N | Limitation Act 1980 (Section 2) | Disposal of the vehicle + 6 years  | SECURE DISPOSAL |
| Service logs and vehicle logs   | N | Limitation Act 1980 (Section 2) | Life of the vehicle, then either to be retained for 6 years by school or to be returned to lease company | SECURE DISPOSAL |
| GPS tracking data relating to the vehicles  | N | Limitation Act 1980 (Section 2) | Date of journey + 6 years  | SECURE DISPOSAL |

## SDLT Records Retention Schedule - 5. Pupil Management

| Record Series (Basic file description)  | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions)                                     | Retention Period  | Action at end of administrative life of record                           |
|---|---|---|---|--|
| <b>Pupil's Educational Record</b>   |   |   |   |  |
| Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005   | Yes                                     | The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437 |   |  |
| • Secondary   |   | Limitation Act 1980 (Section 2)   | Date of birth of the pupil + 25 years   | SECURE DISPOSAL  |
| Records relating to the management of exclusions  | Yes                                     |   | Date of birth of the pupil involved + 25 years  | SECURE DISPOSAL  |
| Management of examination registrations   | Yes                                     |   | The examination board will usually mandate how long these records need to be retained |  |
| Examination results – pupil copies  | Yes                                     |   |   |  |
| • Public  |   |   | This information should be added to the pupil file                                    | All uncollected certificates should be returned to the examination board |
|   |   |   |   |  |
| • Internal  |   |   | This information should be added to the pupil file                                    |  |
| <b>This review took place when the Independent Inquiry on Historical Child Sexual Abuse was beginning. In light of this, it is recommended that all records relating to child abuse are retained until the Inquiry is completed. This section will then be reviewed again to take into account any recommendations the Inquiry might make concerning record retention</b> |   |   |   |  |

|   |     |  |   |  |
|---|-----|--|---|--|
| Child protection information held on pupil file     | Yes | "Keeping children safe in education Statutory guidance for schools and colleges March 2015"; "Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015" | If any records relating to child protection issues are placed on the pupil file, it should be in a sealed envelope and then retained for the same period of time as the pupil file                    | SECURE DISPOSAL – these records MUST be shredded |
| Child protection information held in separate files | Yes | "Keeping children safe in education Statutory guidance for schools and colleges March 2015"; "Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015" | Date of birth of the child + 25 years then REVIEW   | SECURE DISPOSAL – these records MUST be shredded |
|   |     |  | 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 LA Social Services record |  |
| <b>Attendance</b>                                   |     |  |   |  |

|  |     |   |   |   |
|--|-----|---|---|---|
| Attendance registers   | Yes | School attendance:<br>Departmental advice for<br>maintained schools,<br>Academies, independent<br>schools and local<br>authorities October 2014 | Every entry in the attendance<br>register must be preserved<br>for a period of 3 years after<br>the date on which the entry<br>was made | SECURE<br>DISPOSAL  |
| Correspondence relating to<br>authorised absence   |     | Education Act 1996<br>Section 7   | Current academic year + 2<br>years  | SECURE<br>DISPOSAL  |
| <b>Special Educational Needs</b>   |     |   |   |   |
| Statement maintained under section<br>234 of the Education Act 1990 and<br>any amendments made to the<br>statement | Yes | Education Act<br>1996 Special Educational<br>Needs and Disability Act<br>2001 Section 1   | Date of birth of the pupil + 25<br>years [This would normally<br>be retained on the pupil file]   | SECURE<br>DISPOSAL, unless<br>the document is<br>subject to a legal<br>hold |
| Advice and information provided to<br>parents regarding educational needs  | Yes | Special Educational<br>Needs and Disability Act<br>2001 Section 2   | Date of birth of the pupil + 25<br>years [This would normally<br>be retained on the pupil file]   | SECURE<br>DISPOSAL, unless<br>the document is<br>subject to a legal<br>hold |
| Accessibility strategy   | Yes | Special Educational<br>Needs and Disability Act<br>2001 Section 14  | Date of birth of the pupil + 25<br>years [This would normally<br>be retained on the pupil file]   | SECURE<br>DISPOSAL, unless<br>the document is<br>subject to a legal<br>hold |

## SDLT Records Retention Schedule - 6. Curriculum Management

| Record Series (Basic file description)       | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions) | Retention Period   | Action at end of administrative life of record |
|--|---|---|--|--|
| <b>Statistics and Management Information</b> |   |   |  |  |
| Curriculum returns                           | No                                      |   | Current year + 3 years   | SECURE DISPOSAL                                |
| Examination results (schools copy)           | Yes                                     |   | Current year + 6 years   | SECURE DISPOSAL                                |
| SATs records –                               | Yes                                     |   |  |  |
| • Results                                    |   |   | The SATS results should be recorded on the pupil's educational file and will therefore be retained until the pupil reaches the age of 25 years                 | SECURE DISPOSAL                                |
|  |   |   | 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 |  |
| • Examination papers                         |   |   | The examination papers should be kept until any appeals/validation process is complete   | SECURE DISPOSAL                                |
| Published Admission Number (PAN) reports     | Yes                                     |   | Current year + 6 years   | SECURE DISPOSAL                                |



|                                     |     |  |                        |  |
|-------------------------------------|-----|--|------------------------|--|
| Value added and contextual data     | Yes |  | Current year + 6 years | SECURE<br>DISPOSAL   |
| Self-evaluation forms               | Yes |  | Current year + 6 years | SECURE<br>DISPOSAL   |
| <b>Implementation of Curriculum</b> |     |  |                        |  |
| 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 further retention period, or, SECURE DISPOSAL |
| Timetable                           | No  |  | Current year + 1 year  | It may be appropriate to review these records at the end of each year and allocate a further retention period, or, SECURE DISPOSAL |

|                        |    |  |  |  |
|------------------------|----|--|--|--|
| 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 further retention period, or, SECURE DISPOSAL |
| Mark books             | No |  | Current year + 1 year  | It may be appropriate to review these records at the end of each year and allocate a further retention period, or, SECURE DISPOSAL |
| 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 further retention period, or, SECURE DISPOSAL |
| Pupils' work           | No |  | Where possible, work should be returned to the pupil at the end of the academic year. If this is not the school's policy, then current year + 1 year | SECURE DISPOSAL  |

### SDLT Records Retention Schedule - 6. Extra-Curricular Activities

| Record Series (Basic file description)   | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions)  | Retention Period         | Action at end of administrative life of record |
|--|---|--|--------------------------|--|
| <b>Educational Visits outside the Classroom</b>  |   |  |                          |  |
| Records created by schools in order to obtain approval to run an educational visit outside the classroom – Primary schools   | No                                      | Outdoor Education Advisers' Panel National Guidance website <a href="http://oeapng.info">http://oeapng.info</a> specifically Section 3 – "Legal Framework and Employer Systems" and Section 4 – "Good Practice". | Date of visit + 14 years | SECURE DISPOSAL                                |
| Records created by schools in order to obtain approval to run an educational visit outside the classroom – Secondary schools | No                                      | Outdoor Education Advisers' Panel National Guidance website <a href="http://oeapng.info">http://oeapng.info</a> specifically Section 3 – "Legal Framework and Employer Systems" and Section 4 – "Good Practice". | Date of visit + 10 years | SECURE DISPOSAL                                |

|  |     |                                 |   |  |
|--|-----|---------------------------------|---|--|
| Parental consent forms for school trips where there has been no major incident.    | Yes |                                 | Conclusion of the trip  | Although the consent forms could be retained for date of birth + 25 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 |
| Parental permission slips for school trips – where there has been a major incident | Yes | Limitation Act 1980 (Section 2) | 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 |  |
| Records relating to residential trips  | Yes |                                 | Date of birth of youngest pupil involved + 25 years   | SECURE DISPOSAL  |

SDLT Records Retention Schedule - 8. Central Government  
and Local Authority (LA)

| Record Series (Basic file description)                       | Personal Data? (Data Protection Issues) | Notes on Retention (Statutory Provisions) | Retention Period               | Action at end of administrative life of record |
|--|---|---|--------------------------------|--|
| <b>Local Authority</b>                                       |   |   |                                |  |
| Secondary transfer sheets (Primary)                          | Yes                                     |   | Current year + 2 years         | SECURE DISPOSAL                                |
| Attendance returns   | Yes                                     |   | Current year + 1 year          | SECURE DISPOSAL                                |
| School census returns  | No                                      |   | Current year + 5 years         | SECURE DISPOSAL                                |
| <b>Central Government</b>                                    |   |   |                                |  |
| OFSTED reports and papers                                    | No                                      |   | Life of the report then REVIEW | SECURE DISPOSAL                                |
| Returns made to central government                           | No                                      |   | Current year + 6 years         | SECURE DISPOSAL                                |
| Circulars and other information sent from central government | No                                      |   | Operational use                | SECURE DISPOSAL                                |