

# Records Retention and Management Policy

Gosforth Junior High Academy 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 academy, 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
- Managing pupil records
- Managing staff records
- Managing records of business operations
- Retention schedule

## 1. Scope of the policy

- 1.1 This policy applies to all records created, received or maintained by staff of the academy 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 academy 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.

## 2. Responsibilities

- 2.1 The academy 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 Principal.
- 2.2 The Director of Operations is responsible for records management in the academy and 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. The Director of Operations 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 academy's records management guidelines.

### 3. Relationships with existing policies

3.1 This policy has been drawn up within the context of the Academy's other policies and plans, including:

- Accessibility Plan;
- Admissions Policy;
- Business continuity and critical incident management plans;
- Data Protection Policy;
- Freedom of Information Policy;
- Human Resources policies;
- SEND Policy

### 4. Managing Pupil Records

4.1 The pupil record should be seen as the core record charting an individual pupil's progress through the education system. The pupil record should accompany the pupil to every school they attend and should contain information that is accurate, objective and easy to access.

#### 4.2 Recording information

4.2.1 Pupils have a right of access to their educational record under the General Data Protection Regulation. This right exists until the point that the record is destroyed. Therefore, it is important to remember that all information should be accurately recorded, objective in nature and expressed in a professional manner.

#### 4.3 Opening a file

4.3.1 These guidelines apply to information created and stored in both physical and electronic format.

4.3.2 The pupil record starts its life when a file is opened for each new pupil as they begin school. This is the file which will follow the pupil for the rest of his/her school career. If pre-printed file covers are not being used then the following information should appear on the front of the paper file:

- Surname
- Forename
- DOB
- Unique Pupil Number

4.3.3 The file cover should also contain a note of the date when the file was opened and the date when the file is closed if it is felt to be appropriate. Inside the front cover the following information should be easily accessible:

- The name of the pupil's doctor

- Emergency contact details
- Gender
- Preferred name
- Position in family
- Ethnic origin
- Language of home (if other than English)
- Religion
- Any allergies or other medical conditions
- Names of adults who hold parental responsibility with home address and telephone number (and any additional relevant carers and their relationship to the child)
- Name of the school, admission number and the date of admission and the date of leaving.
- Any other agency involvement e.g. speech and language therapist, paediatrician

4.3.4 It is essential that these files, which contain personal information, are managed against the Academy's information security and business continuity policies.

#### 4.4 Items which should be included on the pupil record

- Admission form (application form)
- Privacy Notice [if these are issued annually only the most recent need be on the file]
- Photography Consents
- Years Record
- Annual Written Report to Parents
- National Curriculum and Religious Education Locally Agreed Syllabus Record Sheets
- Any information relating to a major incident involving the child (either an accident or other incident)
- Any reports written about the child
- Any information about a statement and support offered in relation to the statement
- Any relevant medical information (should be stored in the file in a sealed envelope clearly marked as such)
- Child protection reports/disclosures (should be stored in the file in a sealed envelope clearly marked as such)
- Any information relating to exclusions (fixed or permanent)
- Any correspondence with parents or outside agencies relating to major issues
- Details of any complaints made by the parents or the pupil

4.4.1 The following records should be stored separately to the pupil record as they are subject to shorter retention periods and if they are placed on the file then it will involve a lot of unnecessary weeding of the files before they are transferred to another school.

- Absence notes

- Parental consent forms for trips/outings [in the event of a major incident all the parental consent forms should be retained with the incident report not in the pupil record]
- Correspondence with parents about minor issues
- Accident forms (these should be stored separately and retained on the school premises until their statutory retention period is reached. A copy could be placed on the pupil file in the event of a major incident)

#### **4.5 Transferring the pupil record between schools**

- 4.5.1 The pupil record should not be weeded before transfer between schools unless any records with a short retention period have been placed in the file. It is important to remember that the information which may seem unnecessary to the person weeding the file may be a vital piece of information required at a later stage.
- 4.5.2 Schools do not need to keep copies of any records in the pupil record except if there is an ongoing legal action when the pupil leaves the school. Custody of and responsibility for the records passes to the school the pupil transfers to.
- 4.5.3 Files should not be sent by post unless absolutely necessary. If files are sent by post, they should be sent by registered post with an accompanying list of the files. The new school should sign a copy of the list to say that they have received the files and return that to the old school. Where appropriate, records can be delivered by hand with signed confirmation for tracking and auditing purposes.
- 4.5.4 Electronic documents that relate to the pupil file also need to be transferred, or if duplicated in a master paper file, destroyed.

#### **4.6 Responsibility for the pupil record once the pupil leaves the school**

- 4.6.1 The school which the pupil attended until statutory school leaving age is responsible for retaining the pupil record until the pupil reaches the age of 25 years.

#### **4.7 Safe destruction of the pupil record**

- 4.7.1 The pupil record should be disposed of in accordance with safe disposal of records guidelines.
- 4.7.2 All records containing personal or sensitive information should be made either unreadable or unable to be reconstructed.
- Paper records should be shredded using a cross-cutting shredder
  - CDs/DVDs should be cut into pieces
  - Audio and video tapes should be dismantled and shredded
  - Hard disks should be dismantled and sanded

#### **4.8 Transfer of a pupil record outside the EU area**

- 4.8.1 If the Academy is requested to transfer a pupil file outside the EU area because a pupil has moved into that area, the Local Authority will be contacted for further advice.

## **5. Storage of pupil records**

- 5.1 All pupil records should be kept securely at all times. Paper records, for example, should be kept in lockable storage areas with restricted access, and the contents should be secure within the file. Equally, electronic records should have appropriate security.
- 5.2 Access arrangements for pupil records should ensure that confidentiality is maintained whilst equally enabling information to be shared lawfully and appropriately, and to be accessible for those authorised to see it.

## **6. Managing staff records**

- 6.1 There is a substantial and complex amount of EU and UK legislation which has an impact upon the retention of personnel and other related records. So, the principles applied to pupil data equally apply to personal information held and stored about the Academy's workforce.
- 6.2 In general, the Academy holds information about staff that relates to:
- Recruitment and selection
  - Employment records
  - Pay and pensions
  - Monitoring at work, including performance management
  - Information about workers health
- 6.3 The definitive staff file will be retained by the Human Resources Department. This will facilitate disposal and will safeguard sensitive information.
- 6.4 Employee records held in electronic databases will be retained for the same periods as that for the equivalent paper records.

## **7. Managing records of business operations**

- 7.1 Information about the business operations are also included in this policy since a substantial amount of records are generated to support the running of the Academy.
- 7.2 Documents should be retained and stored securely in line with data protection principles. More detailed guidance is provided in the retention schedule below.

## **8. Retention guidelines**

- 8.1 Under the Freedom of Information Act 2000, schools are required to maintain a retention schedule listing the record series which the school creates in the course of its business.

- 8.2 To comply with GDPR the Academy is committed to ensure that records shall be 'adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed'
- 8.3 Article 5 (e) of the GDPR states that personal data shall be kept for no longer than is necessary for the purposes for which it is being processed. There are some circumstances where personal data may be stored for longer periods (e.g. archiving purposes in the public interest, scientific or historical research purposes).
- 8.4 The GDPR also states that the period for which the personal data is stored should be limited to a strict minimum and that time limits should be established by the data controller for deletion of the records (referred to as erasure in the GDPR) or for a periodic review.
- 8.5 The records retention schedule that follows outlines the Academy's specific policy and procedures for holding personal data and to ensure that it is securely disposed of when no longer needed, to reduce the risk that it will become inaccurate, out of date or irrelevant.

## **9. Records Retention schedule**

The Records Retention Schedule is divided into eight sections:

1. Management of the Academy
2. Human Resources
3. Financial Management
4. Property Management
5. Pupil Management
6. Curriculum Management
7. Extra-curricular Activities
8. Central Government and Local Authority



**Gosforth Junior High Academy**

# **RECORDS RETENTION SCHEDULE**

# 1. Management of the Academy

| 1.1 Governing Body |  |  |                                |   |  |
|--------------------|--|--|--------------------------------|---|--|
| Record description |  | DP issues  | Statutory provisions           | Retention Period  | Action at the end of the administrative life of the record               |
| 1.1.1              | Agenda for Governing Body meetings                     | Potential data protection issues in relation to pupils and staff |                                | One copy should be kept with the master set of minutes  | SECURE DISPOSAL <sup>1</sup>   |
| 1.1.2              | Minutes of Governing Body meetings                     | Potential data protection issues in relation to pupils and staff |                                |   |  |
|                    | Principal set (signed)                                 |  |                                | PERMANENT   | Archive  |
|                    | Inspection copies <sup>2</sup>                         |  |                                | Date of meeting + 3 years   | Minutes containing sensitive or personal information should be shredded. |
| 1.1.3              | Reports presented to the Governing Body                | Potential data protection issues in relation to pupils and staff |                                | Reports should be kept for a minimum of 6 years. If minutes refer directly to individual reports these should be kept permanently | SECURE DISPOSAL or retain with the signed set of minutes                 |
| 1.1.4              | Meeting papers relating to the annual parents’ meeting | No   | Education Act 2002, Section 33 | Date of meeting + a minimum of 6 years  | SECURE DISPOSAL  |

<sup>1</sup> SECURE DISPOSAL should be taken to mean using confidential waste bins, or shredding using a cross cut shredder.

<sup>2</sup> Copies that the Clerk to the Governing Body may wish to retain so that requestors can view all appropriate information without the need to redact copies each time a request is received.



| 1.1 Governing Body |  |           |  |  |   |
|--------------------|--|-----------|--|--|---|
|                    | Record description   | DP issues | Statutory provisions   | Retention Period   | Action at the end of the administrative life of the record          |
| 1.1.5              | Instruments of Government including Articles of Association                  | No        |  | PERMANENT  | Retained in school then archived <sup>3</sup> if the academy closes |
| 1.1.6              | Trusts and Endowments managed by the Governing Body                          | No        |  | PERMANENT  | Retained in school then archived if the academy closes              |
| 1.1.7              | Action plans created and administered by the Governing Body                  | No        |  | Life of the action plan + 3 years  | SECURE DISPOSAL   |
| 1.1.8              | Policy documents created and administered by the Governing Body              | No        |  | Life of the policy + 3 years   | SECURE DISPPPOSAL   |
| 1.1.9              | Records relating to complaints dealt with by the Governing Body              | Yes       |  | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | SECURE DISPOSAL   |
| 1.1.10             | Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 | No        | Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171 | Date of report + 10 years  | SECURE DISPOSAL   |
| 1.1.11             | Proposals concerning the change of status of the academy                     | No        |  | Date proposal accepted or declined + 3 years   | SECURE DISPPPOSAL   |

<sup>3</sup> Archive to local authority Archive Services

## 1.2 Principal and Directors

|       | Record description  | DP issues  | Statutory provisions | Retention Period                                      | Action at the end of the administrative life of the record |
|-------|---|--|----------------------|---|--|
| 1.2.1 | Minutes of senior management team meetings  | Potential data protection issues in relation to pupils and staff |                      | Date of meeting + 3 years then review                 | SECURE DISPOSAL  |
| 1.2.2 | Reports created by the Principal or Directors   | Potential data protection issues in relation to pupils and staff |                      | Date of the report + a minimum of 3 years then review | SECURE DISPOSAL  |
| 1.2.3 | Records created by the Principal, Directors and other academy leaders with management responsibilities        | Potential data protection issues in relation to pupils and staff |                      | Current academic year + 6 years then review           | SECURE DISPOSAL  |
| 1.2.4 | Correspondence created by the Principal, Directors and other academy leaders with management responsibilities | Potential data protection issues in relation to pupils and staff |                      | Date of correspondence + 3 years then review          | SECURE DISPOSAL  |
| 1.2.5 | Professional Development Plans  | Yes  |                      | Life of the plan + 6 years                            | SECURE DISPOSAL  |
| 1.2.6 | Academy Development Plans   | No   |                      | Life of the plan + 3 years                            | SECURE DISPOSAL  |

| 1.3 Operational administration |  |           |                      |                                   |  |
|--------------------------------|--|-----------|----------------------|-----------------------------------|--|
|                                | Record description   | DP issues | Statutory provisions | Retention Period                  | Action at the end of the administrative life of the record |
| 1.3.1                          | School brochures and prospectus                              | No        |                      | Current year + 3 years            | STANDARD DISPOSAL  |
| 1.3.2                          | Circulars and newsletters to staff, parents or pupils        | No        |                      | Current year + 1 year             | STANDARD DISPOSAL  |
| 1.3.3                          | Visitors' books and signing in records                       | Yes       |                      | Current year + 6 years the review | SECURE DISPOSAL  |
| 1.3.4                          | Records relating to management of Parent Forums/Associations | No        |                      | Current year + 6 years the review | SECURE DISPOSAL  |

## 2. Human Resources

| 2.1 Recruitment |  |           |                      |  |  |
|-----------------|--|-----------|----------------------|--|--|
|                 | Record description   | DP issues | Statutory provisions | Retention Period                                       | Action at the end of the administrative life of the record |
| 2.1.1           | All records in relation to the appointment of a new Principal                  | Yes       |                      | Date of appointment + 6 years                          | SECURE DISPOSAL  |
| 2.1.2           | All records in relation to the appointment of new staff members – unsuccessful | Yes       |                      | Date of appointment of successful candidate + 6 months | SECURE DISPOSAL  |

|       |  |     |  |   |                 |
|-------|--|-----|--|---|-----------------|
| 2.1.3 | All records in relation to the appointment of new staff members – successful candidates          | Yes |  | All the relevant information should be added to the staff personal file (see below)   | SECURE DISPOSAL |
| 2.1.4 | Pre-employment vetting information – DBS checks  | Yes | <p>DBS update service: employer guide, March 2016</p> <p>Keeping children safe in education, September 2016 (statutory guidance from DfE) Sections 71-74</p> | The Academy does not have to keep copies of DBS certificates. If the Academy does so the copy must NOT be retained for more than 6 months   | SECURE DISPOSAL |
| 2.1.5 | Proofs of identity collected as part of the process of checking portable 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 members of staff's personal file        |                 |
| 2.1.6 | Pre-employment vetting information – evidence proving the right to work in the UK                | Yes | An employer's guide to right to work checks (Home Office, August 2017)   | 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 two years |                 |

## 2.2 Operational staff management

|       | Record description                  | DP issues | Statutory provisions            | Retention Period                    | Action at the end of the administrative life of the record |
|-------|-------------------------------------|-----------|---------------------------------|-------------------------------------|--|
| 2.2.1 | Staff personal file                 | Yes       | Limitation Act 1980 (Section 2) | Termination of employment + 6 years | SECURE DISPOSAL  |
| 2.2.2 | Timesheets                          | Yes       |                                 | Current year + 6 years              | SECURE DISPOSAL  |
| 2.2.3 | Annual appraisal/assessment records | Yes       |                                 | Current year + 5 years              | SECURE DISPOSAL  |

## 2.3 Management of disciplinary and grievance processes

|       | Record description  | DP issues | Statutory provisions  | Retention Period  | Action at the end of the administrative life of the record |
|-------|---|-----------|---|---|--|
| 2.3.1 | Allegation of a child protection nature against a member of staff including where the allegation is unfounded | Yes       | Keeping children safe in education, September 2016.<br><br>Working together to safeguard children, March 2015 | Until the person's normal retirement age of 10 years from the date of the allegation, whichever is the longer then REVIEW. Allegations that are found to be malicious should be removed from personnel files. | SECURE DISPOSAL. These records must be shredded            |
| 2.3.2 | Disciplinary proceedings:   | Yes       |   |   |  |
|       | Oral warning  |           |   | Date of warning + 6 months  | SECURE DISPOSAL <sup>4</sup>                               |
|       | 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  |           |   | Dispose of at conclusion of the case <sup>5</sup>   | SECURE DISPOSAL  |

<sup>4</sup> If warnings are placed on personal files then they must be weeded from the file

<sup>5</sup> If the incident is child protection related then refer to 2.3.1

## 2.4 Health and safety

|       | Record description                                | DP issues | Statutory provisions  | Retention Period   | Action at the end of the administrative life of the record |
|-------|---|-----------|---|--|--|
| 2.4.1 | Health and Safety Policy Statements               | No        | Health and Safety at Work Act 1974.<br><br>Health and Safety Executive  | Life of policy + 3 years   | SECURE DISPOSAL  |
| 2.4.2 | Health and safety risk assessments                | No        |   | Life of risk assessment  | SECURE DISPOSAL  |
| 2.4.3 | Records relating to accidents or injuries at work | Yes       |   | Date of incident + 12 years. In the case of serious accidents a further retention period will need to be applied | SECURE DISPOSAL  |
| 2.4.4 | Accident reporting:                               | Yes       | Social Security (Claims and Payments) Regulations 1987.<br>Social Security Administration Act 1992. Limitation Act 1980 |  |  |
|       | Adults  |           |   | Date of the incident + 6 years   | SECURE DISPOSAL  |
|       | Children  |           |   | DOB of the child + 25 years  | SECURE DISPOSAL  |
| 2.4.5 | Control of Substances Hazardous to Health (COSHH) | No        | Control of Substances Hazardous to Health Regulations 2002  | Current year + 40 years  | SECURE DISPOSAL  |

|       |  |    |                                      |                        |                 |
|-------|--|----|--------------------------------------|------------------------|-----------------|
| 2.4.6 | Process of monitoring of areas where employees and persons are likely to have come in contact with asbestos  | No | Control of Asbestos Regulations 2012 | Last action + 40 years | SECURE DISPOSAL |
| 2.4.7 | 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 |
| 2.4.8 | Fire precautions log books   | No |                                      | Current year + 6 years | SECURE DISPOSAL |

## 2.5 Payroll and pensions

|       | Record description   | DP issues | Statutory provisions                     | Retention Period       | Action at the end of the administrative life of the record |
|-------|--|-----------|--|------------------------|--|
| 2.5.1 | Maternity pay records  | Yes       | Statutory Maternity Pay Regulations 2005 | Current year + 3 years | SECURE DISPOSAL  |
| 2.5.2 | Records held under Retirement Benefits (Information Powers) Regulations 1995 | Yes       |  | Current year + 6 years | SECURE DISPOSAL  |

## 3. Financial Management

### 3.1 Risk management and insurance

|       | Record description                         | DP issues | Statutory provisions | Retention Period                  | Action at the end of the administrative life of the record |
|-------|--|-----------|----------------------|-----------------------------------|--|
| 3.1.1 | Employer's Liability Insurance Certificate | No        |                      | Closure of the academy + 40 years | SECURE DISPOSAL  |

### 3.2 Asset management

|       | Record description                         | DP issues | Statutory provisions | Retention Period       | Action at the end of the administrative life of the record |
|-------|--|-----------|----------------------|------------------------|--|
| 3.2.1 | Inventories of furniture and equipment     | No        |                      | Current year + 6 years | SECURE DISPOSAL  |
| 3.2.2 | Burglary, theft and vandalism report forms | No        |                      | Current year + 6 years | SECURE DISPOSAL  |

### 3.3 Accounts and statements including budget management

|       | Record description   | DP issues | Statutory provisions | Retention Period                                       | Action at the end of the administrative life of the record |
|-------|--|-----------|----------------------|--|--|
| 3.3.1 | Annual accounts  | No        |                      | Current year + 6 years                                 | STANDARD DISPOSAL  |
| 3.3.2 | Loans and grants managed by the school   | No        |                      | Date of last payment on the loan +12 years then REVIEW | SECURE DISPOSAL  |
| 3.3.3 | Student grant applications   | Yes       |                      | Current year + 3 years                                 | SECURE DISPOSAL  |
| 3.3.4 | All records relating to the creation and management of budgets including the annual budget statement and background papers | No        |                      | Life of the budget + 3 years                           | SECURE DISPOSAL  |
| 3.3.5 | Invoices, receipts, order books and requisitions, delivery notes   | No        |                      | Current financial year + 6 years                       | SECURE DISPOSAL  |



|       |   |    |  |                                  |                 |
|-------|---|----|--|----------------------------------|-----------------|
| 3.3.6 | Records relating to the collection and banking of monies      | No |  | Current financial year + 6 years | SECURE DISPOSAL |
| 3.3.7 | Records relating to the identification and collection of debt | No |  | Current financial year + 6       | SECURE DISPOSAL |

### 3.4 Contract management

|       | Record description  | DP issues | Statutory provisions | Retention Period                        | Action at the end of the administrative life of the record |
|-------|---|-----------|----------------------|---|--|
| 3.4.1 | All records relating to the management of contracts under seal      | No        | Limitation Act 1980  | Last payment on the contract + 12 years | SECURE DISPOSAL  |
| 3.4.2 | All records relating to the management of contracts under signature | No        | Limitation Act 1980  | Last payment on the contract + 6 years  | SECURE DISPOSAL  |
| 3.4.3 | Records relating to the monitoring of contracts                     | No        |                      | Current year + 2 years                  | SECURE DISPOSAL  |

### 3.5 School fund(s)

|       | Record description   | DP issues | Statutory provisions | Retention Period      | Action at the end of the administrative life of the record |
|-------|--|-----------|----------------------|-----------------------|--|
| 3.5.1 | School fund – cheque books, paying in books, ledger, invoices, receipts, bank statements, etc. | No        |                      | Current year +6 years | SECURE DISPOSAL  |

### 3.6 School meals management

|       | Record description          | DP issues | Statutory provisions | Retention Period       | Action at the end of the administrative life of the record |
|-------|-----------------------------|-----------|----------------------|------------------------|--|
| 3.6.1 | Free school meals registers | Yes       |                      | Current year + 6 years | SECURE DISPOSAL  |
| 3.6.2 | School meals registers      | Yes       |                      | Current year + 3 years | SECURE DISPOSAL  |
| 3.6.3 | School meals summary sheets | No        |                      | Current year + 3 years | SECURE DISPOSAL  |

## 4. Property Management

### 4.1 Property management

|       | Record description                                  | DP issues | Statutory provisions | Retention Period  | Action at the end of the administrative life of the record |
|-------|---|-----------|----------------------|---|--|
| 4.1.1 | Title deeds of properties belong to the school      | No        |                      | PERMANENT. These should follow the property unless the property has been registered with the Land Registry                                |  |
| 4.1.2 | Plans of property belonging to the school           | No        |                      | These should be retained whilst the building belongs to the school and should be passed onto new owners if the building is leased or sold |  |
| 4.1.3 | Leases of property leased by or to the school       | No        |                      | Expiry of lease + 6 years   | SECURE DISPOSAL  |
| 4.1.4 | Records relating to the lettings of school premises | No        |                      | Current financial year + 6 years  | SECURE DISPOSAL  |

| 4.2 Maintenance |   |           |                      |                        |  |
|-----------------|---|-----------|----------------------|------------------------|--|
|                 | Record description  | DP issues | Statutory provisions | Retention Period       | Action at the end of the administrative life of the record |
| 4.2.1           | All records relating to the maintenance of the school carried out by contractors                                  | No        |                      | Current year + 6 years | SECURE DISPOSAL  |
| 4.2.2           | All records relating to the maintenance of the school carried out by academy employees including maintenance logs | No        |                      | Current year + 6 years | SECURE DISPOSAL  |

## 5. Pupil Management

| 5.1 Admissions process |   |           |  |  |  |
|------------------------|---|-----------|--|--|--|
|                        | Record description  | DP issues | Statutory provisions                                     | Retention Period                         | Action at the end of the administrative life of the record |
| 5.1.1                  | All records relating to the creation of the Academy Admissions Policy | No        | School Admissions Code <sup>6</sup> (DfE), December 2014 | Life of the policy + 3 years then review | SECURE DISPOSAL  |
| 5.1.2                  | Admissions – if the admission is successful                           | Yes       | School Admissions Code (DfE), December 2014              | Date of admission + 1 year               | SECURE DISPOSAL  |

<sup>6</sup> School Admissions Code: Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels

|       |  |     |   |   |   |
|-------|--|-----|---|---|---|
| 5.1.3 | Admissions – if the appeal is unsuccessful   | Yes | School Admissions Code (DfE), December 2014 | Resolution of case + 1 year   | SECURE DISPOSAL   |
| 5.1.4 | Register of admissions   | Yes | School Attendance (DfE), December 2016      | Every entry in the admission register must be preserved for a period of three years after the date on which the entry was made <sup>7</sup> | 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 school |
| 5.1.5 | Admissions - secondary schools (casual)  | Yes |   | Current year + 1 year   | SECURE DISPOSAL   |
| 5.1.6 | Proofs of address supplied by parents as part of the admissions process                                      | Yes | School Admissions Code (DfE), December 2014 | Current year + 1 year   | SECURE DISPOSAL   |
| 5.1.7 | Supplementary information forms including additional information such as religion, medical conditions, etc.: | Yes |   |   |   |
|       | For successful admissions  |     |   | This information should be added to the pupil file  | SECURE DISPOSAL   |
|       | For unsuccessful admissions  |     |   | Until appeals process completed   | SECURE DISPOSAL   |

<sup>7</sup> School attendance: Guidance for maintained schools, academies, independent schools and local authorities. December 2016, p6

## 5.2 Pupil's education record

|       | Record description                                       | DP issues | Statutory provisions   | Retention Period                                     | Action at the end of the administrative life of the record  |
|-------|--|-----------|--|--|---|
| 5.2.1 | Pupil's educational record:                              | Yes       | The Education (Pupil Information) (England) Regulations 2005 |  |   |
|       | Primary  |           |  | Retain while the child remains at the primary school | <p>The file should follow the pupil when he/she leaves the primary school. This will include:</p> <ul style="list-style-type: none"> <li>• To another primary school</li> <li>• To a secondary school</li> <li>• To a pupil referral unit</li> <li>• If the pupil dies whilst at primary school the file should be returned to the local authority to be retained for statutory retention.</li> </ul> <p>If the pupil transfers to an independent school, transfers to home schooling or leaves the country the file should be returned to the local authority to be retained for the statutory retention period.</p> |
|       | Secondary  |           | Limitation Act 1980 (Section 2)                              | Date of birth of the pupil + 25 years                | SECURE DISPOSAL   |
| 5.2.2 | Examination results – pupil copies (public and internal) | Yes       |  | This information should be added to the pupil file   | All uncollected certificates should be returned to the examination board  |

|       |   |     |   |   |  |
|-------|---|-----|---|---|--|
| 5.2.3 | Child protection information held on pupil file     | Yes | Keeping children safe in education, September 2016.<br><br>Working together to safeguard children, March 2015 | If any records relating to child protection issues are placed on the pupil file, it should be in a sealed envelope and then retained for the same period of time as the pupil file. | SECURE DISPOSAL – these records MUST be shredded |
| 5.2.4 | Child protection information held in separate files | Yes | Keeping children safe in education, September 2016.<br><br>Working together to safeguard children, March 2015 | DOB of the child + 25 years then review. Copy information should also be found on the local authority social services record.   | SECURE DISPOSAL – these records MUST be shredded |

Retention periods relating to allegations made against adults can be found in the Human Resources section of this schedule

| 5.3 Attendance |   |           |  |   |  |
|----------------|---|-----------|--|---|--|
|                | Record description                            | DP issues | Statutory provisions                   | Retention Period  | Action at the end of the administrative life of the record |
| 5.3.1          | Attendance registers                          | Yes       | School Attendance (DfE), December 2016 | Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made | SECURE DISPOSAL  |
| 5.3.2          | Correspondence relating to authorised absence | Yes       |  | Current academic year + 2 years   | SECURE DISPOSAL  |

#### 5.4 Special Educational Needs and Disabilities (SEND)

|       | Record description  | DP issues | Statutory provisions   | Retention Period                      | Action at the end of the administrative life of the record  |
|-------|---|-----------|--|---------------------------------------|---|
| 5.4.1 | Special Educational Needs files, reviews and Individual Education Plans | Yes       | Limitation Act 1980 (Section 2)  | Date of birth of the pupil + 25 years | SECURE DISPOSAL. This retention period is the minimum retention period that the pupil file should be kept. SEN files can be retained for longer periods to respond to any potential claim against 'failure to provide sufficient education', but any decision to keep records beyond the minimum period should be documented. |
| 5.4.2 | SEND statements   | Yes       | Education Act 1996.<br><br>Special Educational Needs and Disability Act 2001 | Date of birth of the pupil + 25 years | SECURE DISPOSAL unless the document is subject to a legal hold  |
| 5.4.3 | Advice and information to parents regarding educational needs           | Yes       | Special Educational Needs and Disability Act 2001                            | Date of birth of the pupil + 25 years | SECURE DISPOSAL unless the document is subject to a legal hold  |
| 5.4.4 | Accessibility Strategy  | Yes       | Special Educational Needs and Disability Act 2001                            | Date of birth of the pupil + 25 years | SECURE DISPOSAL unless the document is subject to a legal hold  |

## 6. Curriculum Management

### 6.1 Statistics and management information

|       | Record description                       | DP issues | Statutory provisions | Retention Period                                    | Action at the end of the administrative life of the record |
|-------|--|-----------|----------------------|---|--|
| 6.1.1 | Curriculum returns                       | No        |                      | Current year + 3 years                              | SECURE DISPOSAL  |
| 6.1.2 | Examination results                      | Yes       |                      | Current year + 6 years                              | SECURE DISPOSAL  |
| 6.1.3 | SATS records:                            | Yes       |                      |   |  |
|       | Results                                  |           |                      | Date of birth of the pupil + 25 years               | SECURE DISPOSAL  |
|       | Examination papers                       |           |                      | Retain until appeals/validation process is complete | SECURE DISPOSAL  |
| 6.1.4 | Published Admission Number (PAN) Reports | Yes       |                      | Current year + 6 years                              | SECURE DISPOSAL  |
| 6.1.5 | Value added and contextual data          | Yes       |                      | Current year + 6 years                              | SECURE DISPOSAL  |
| 6.1.6 | Self-Evaluation Forms (SEF)              | Yes       |                      | Current year + 6 years                              | SECURE DISPOSAL  |

### 6.2 Implementation of curriculum

|       | Record description | DP issues | Statutory provisions | Retention Period      | Action at the end of the administrative life of the record |
|-------|--------------------|-----------|----------------------|-----------------------|--|
| 6.2.1 | Schemes of work    | No        |                      | Current year + 1 year | SECURE DISPOSAL  |



|       |                    |    |  |                       |                 |
|-------|--------------------|----|--|-----------------------|-----------------|
| 6.2.2 | Timetable          | No |  | Current year + 1 year | SECURE DISPOSAL |
| 6.2.3 | Class record books | No |  | Current year + 1 year | SECURE DISPOSAL |
| 6.2.4 | Mark books         | No |  | Current year + 1 year | SECURE DISPOSAL |
| 6.2.5 | Homework records   | No |  | Current year + 1 year | SECURE DISPOSAL |
| 6.2.6 | Pupils' work       | No |  | Current year + 1 year | SECURE DISPOSAL |

## 7. Extra-curricular Activities

### 7.1 Educational visits outside of the classroom

|       | Record description  | DP issues | Statutory provisions  | Retention Period         | Action at the end of the administrative life of the record |
|-------|---|-----------|---|--------------------------|--|
| 7.1.1 | Records created to obtain approval to run an education visit outside of the classroom – primary schools   | No        | Outdoor Education Advisers' Panel National Guidance.<br><a href="http://oeapng.info/">http://oeapng.info/</a> | Date of visit + 14 years | SECURE DISPOSAL  |
| 7.1.2 | Records created to obtain approval to run an education visit outside of the classroom – secondary schools | No        | Outdoor Education Advisers' Panel National Guidance.<br><a href="http://oeapng.info/">http://oeapng.info/</a> | Date of visit + 10 years | SECURE DISPOSAL  |
| 7.1.3 | Parental consent forms for educational visits where there has been no major incident                      | Yes       |   | Conclusion of the trip   | SECURE DISPOSAL  |

|       |  |     |                                 |  |                 |
|-------|--|-----|---------------------------------|--|-----------------|
| 7.1.4 | Parental permission slips for educational visits where there has been a major incident | Yes | Limitation Act 1980 (Section 2) | <p>Date of birth of the pupil involved in the incident + 25 years.</p> <p>The permission slips for all of the pupils on the visit need also to be retained to demonstrate that procedures had been followed for all pupils</p> | SECURE DISPOSAL |
|-------|--|-----|---------------------------------|--|-----------------|

## 8. Central Government and Local Authority

| 8.1 Local authority |   |           |                      |                        |  |
|---------------------|---|-----------|----------------------|------------------------|--|
|                     | Record description  | DP issues | Statutory provisions | Retention Period       | Action at the end of the administrative life of the record |
| 8.1.1               | Secondary transfer sheets (Primary)                           | Yes       |                      | Current year + 2 years | SECURE DISPOSAL  |
| 8.1.2               | Attendance returns  | Yes       |                      | Current year + 1 year  | SECURE DISPOSAL  |
| 8.1.3               | School census returns   | No        |                      | Current year + 5 years | SECURE DISPOSAL  |
| 8.1.4               | Circulars and other information sent from the local authority | No        |                      | Operational use        | SECURE DISPOSAL  |

| 8.2 Central government |  |           |                      |                                |  |
|------------------------|--|-----------|----------------------|--------------------------------|--|
|                        | Record description   | DP issues | Statutory provisions | Retention Period               | Action at the end of the administrative life of the record |
| 8.2.1                  | Ofsted reports and papers                                    | No        |                      | Life of the report then REVIEW | SECURE DISPOSAL  |
| 8.2.2                  | Returns made to central government                           | No        |                      | Current year + 6 years         | SECURE DISPOSAL  |
| 8.2.3                  | Circulars and other information sent from central government | No        |                      | Operational use                | SECURE DISPOSAL  |