

Argyle House  
School

# Records Management Policy

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|----------------------|-----------------|
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## Introduction and Scope

Argyle House School recognises records management as a core corporate function that supports the effective management of the school. A records management programme ensures that authoritative evidence of our work is created, captured, managed and made accessible within the scope of our information governance policy framework. This allows for improved accountability, transparency, continuity, decision-making, and better compliance with relevant legislation and regulations, as well as protecting the rights and interests of ourselves and our pupils.

A record is defined as information created, received and maintained as evidence and as an asset by the school in pursuit of legal obligations or in the transaction of business. Records are retained as evidence for a set period determined by legal, regulatory and functional requirements.

The Records Management policy and retention schedule applies to all records created, received or maintained by the school in the course of carrying out its functions, regardless of whether it is in paper or electronic format.

This policy applies to all employees, governors or Trustees, contractors, agents and representatives, volunteers and temporary staff working for, or on behalf of, the school. It should be read alongside the other policies within our information governance policy framework, including the Data Protection policy, Information Security policy and Acceptable Use policies.

## Roles and Responsibilities

Overall responsibility for ensuring that the school meets the statutory requirements of any legislation lies with the Board of Governors. The following roles have day to day responsibility for records management compliance and provide the necessary assurance to the Board.

### Senior Information Risk Owner (SIRO)

The SIRO is responsible for overseeing the implementation of this policy and ensuring that effective records management practices are in place across the school. They are ultimately responsible for the day-to-day operational management of the school and will ensure that staff are appropriately trained in relation to records management, supported by the SPOC and IAOs. In our organisation this role lies with the Head Teacher Mr John Sample

### Single Point of Contact (SPOC)

The SPOC will support the SIRO in the day-to-day operational management of the school, providing guidance on good records management practices and promoting compliance with this policy so that information can be retrieved easily, appropriately and in a timely way. They will help develop and carry out regular reviews of the records management programme, at least annually, to ensure compliance and to check that records are stored securely and can be accessed appropriately. In our organisation this role lies with the Office Manager Karen Lockerbie.

### Information Asset Owner (IAO)

The IAO is responsible for the security and maintenance of a particular record during its lifecycle. They need to understand how information is created, amended or added to over time, and know who has access to the records and why. They are

responsible for the appropriate disposal of information when it is no longer required. A record of IAOs is included in our Information Asset Register.

### **All staff**

All staff, including governors, contractors, agents and representatives, volunteers and temporary staff working for, or on behalf of, the school are responsible for managing records consistently in accordance with this policy. They must keep complete and accurate records which adequately document their work.

## **Records Management**

We have a robust programme in place for managing our records throughout their lifecycle. This includes using methods such as version control and file plans to ensure that records can be easily searched and accessed in the event of an information request. We also include records and information management as a risk on our corporate risk register.

### **Information Asset Register (IAR)**

In accordance with Article 30 of UK GDPR, we have in place an Information Asset Register (IAR) which maintains a record of our processing activities. The IAR documents exactly what records we hold, where they are stored, who has access to the information and the retention periods in place. This is reviewed, at least annually, to ensure it remains accurate.

### **Email management**

We have a process in place to ensure that emails are also managed in line with this policy and our retention schedule. Emails discussing school business or reflecting significant actions or decisions concerning school business will not be stored in personal email inboxes but will be removed and stored securely in the appropriate filing system.

Personal email inboxes are regularly reviewed by staff to ensure any unnecessary emails are deleted.

## **Pupil Records**

Schools are under a duty to maintain a record for each pupil which serves as the core record of an individual's progress through the education system and should accompany them throughout their school career. The information within the pupil record must be easy to find, accurately and objectively recorded, and expressed in a professional manner.

Pupil records are held electronically within our management information system (MIS). Some information, not forming part of the core record, will be held outside the MIS in either electronic or paper format. This includes information which has shorter retention periods such as attendance registers, consent forms, medical forms, accident forms, absence notes and pupil work.

### **Safeguarding files**

Records relating to pupils involved with child protection or safeguarding are held securely in a designated system accessible to the Designated Safeguarding Leads (DSLs). This is stored separately to the core pupil record to ensure confidentiality and restricted accessibility.

## Staff Records

Records relating to the school workforce will be held securely, either electronically or in paper format, with appropriate measures in place to ensure accessibility is restricted.

## Storage and Security

All records, especially where containing personal data, will be stored securely to maintain confidentiality, whilst also keeping information accessible to those authorised to see it. Electronic records will have appropriate security and access controls in place, and systems will have robust audit functions in place wherever possible.

Paper records will be stored in secure, lockable storage areas with restricted access.

When sharing or transferring records containing personal information, we will ensure appropriate transmission security controls are in place, in line with our Information Security Policy.

## Retention and Disposal

Retention is the period a record is kept for after it stops being actively used, but before it is destroyed. Retention is a vital part of records management as it allows organisations to retain records only for as long as needed, and discourages records being kept for long periods 'just in case'.

The retention period for particular types of records is determined by legal, regulatory or functional requirements. We have adopted a Retention Schedule based on the IRMS Schools Toolkit which sets out our specified retention periods (Appendix [x](#)).

We will ensure that any records containing personal or confidential information are disposed of appropriately and securely when they have reached the end of their retention period, in line with our retention schedule.

Records held in databases or electronic management systems with the functionality for automatic destruction of records after a specified period of time will be used wherever possible. A review of the records will be carried out prior to destruction, where practical.

Where automatic disposal is not in place, for example for paper records, we will carry out a manual review, at least annually, to ensure they are deleted in line with retention guidelines.

The disposal of all information is documented to ensure that we maintain a record of when it has been deleted and by whom. This allows us to evidence that a record no longer exists, or has been transferred to another institution, in the event of a subject access or Freedom of Information request being received.

## Archiving

A small percentage of our records will be selected for permanent preservation as part of the [Local Authority Archives Service](#). This is

maintained as a resource to help inspire and equip current staff and pupils to understand and appreciate issues of identity, belonging and shared heritage; to prompt memories of school-life among many generations; and to serve as a research resource for all interested in the history of the school and the community it serves.

Records containing personal information will only be selected for archive with appropriate safeguards in place to protect the rights and freedoms of individuals. This will include anonymisation or pseudonymisation wherever possible.

## **Training**

Since all employees are involved in creating, maintaining and using records, it is vital that everyone understands their record management responsibilities as set out in this policy. We will ensure that staff are appropriately trained or experienced and that they understand the need for effective record keeping.

When we introduce new technology or ICT systems we ensure that users are appropriately trained to use these systems and can manage records within them effectively.

## Appendix x - Retention Schedule

### 1. Governing Body

This section contains retention periods connected to the work and responsibilities of the governing body.

For further information about governing body records please see: "The constitution of governing bodies of maintained schools - Statutory guidance for governing bodies of maintained schools and local authorities in England August 2017".

| Ref.                                    | Basic file description                                                                        | Statutory Provisions | Retention Period [Operational]                                                                                                                                                                                                                                                      | Action at end of the administrative life of the record | Personal Information |
|-----------------------------------------|-----------------------------------------------------------------------------------------------|----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
| <b>1.1 Management of Governing Body</b> |                                                                                               |                      |                                                                                                                                                                                                                                                                                     |                                                        |                      |
| 1.1.1                                   | Instruments of government                                                                     |                      | For the life of the school                                                                                                                                                                                                                                                          | Consult local archives before disposal                 |                      |
| 1.1.2                                   | Trusts and endowments                                                                         |                      | For the life of the school                                                                                                                                                                                                                                                          | Consult local archives before disposal                 |                      |
| 1.1.3                                   | Records relating to the election of parent and staff governors not appointed by the governors |                      | Date of election + 6 months                                                                                                                                                                                                                                                         | SECURE DISPOSAL                                        | Yes                  |
| 1.1.4                                   | Records relating to the appointment of co-opted governors                                     |                      | Provided that the decision has been recorded in the minutes, the records relating to the appointment can be destroyed once the co-opted governor has finished their term of office (except where there have been allegations concerning children). In this case retain for 25 years | SECURE DISPOSAL                                        | Yes                  |

| <b>Ref.</b> | <b>Basic file description</b>                                               | <b>Statutory Provisions</b> | <b>Retention Period [Operational]</b>                                                                                                                            | <b>Action at end of the administrative life of the record</b> | <b>Personal Information</b> |
|-------------|-----------------------------------------------------------------------------|-----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|-----------------------------|
| 1.1.5       | Records relating to the election of chair and vice chair                    |                             | Once the decision has been recorded in the minutes, the records relating to the election can be destroyed                                                        | SECURE DISPOSAL                                               | Yes                         |
| 1.1.6       | Scheme of delegation and terms of reference for committees                  |                             | Until superseded or whilst relevant [Schools may wish to retain these records for reference purposes in case decisions need to be justified]                     | These could be offered to the archives if appropriate         |                             |
| 1.1.7       | Meetings schedule                                                           |                             | Current year                                                                                                                                                     | STANDARD DISPOSAL                                             |                             |
| 1.1.8       | Agendas - principal copy                                                    |                             | Where possible the agenda should be stored with the principal set of the minutes                                                                                 | Consult local archives before disposal                        | Potential                   |
| 1.1.9       | Minutes - principal set (signed)                                            |                             | Although generally kept for the life of the organisation, the Local Authority is only required to make these available for 10 years from the date of the meeting | Consult local archives before disposal                        | Potential                   |
| 1.1.10      | Reports made to the governors' meeting which are referred to in the minutes |                             | Although generally kept for the life of the organisation, the Local Authority is only required to make these available for 10 years from the date of the meeting | Consult local archives before disposal                        | Potential                   |
| 1.1.11      | Register of attendance at Full governing board meetings                     |                             | Date of last meeting in the book + 6 years                                                                                                                       | SECURE DISPOSAL                                               | Yes                         |

| <b>Ref.</b> | <b>Basic file description</b>                                                                 | <b>Statutory Provisions</b> | <b>Retention Period [Operational]</b>                                                                                                                                                | <b>Action at end of the administrative life of the record</b> | <b>Personal Information</b> |
|-------------|-----------------------------------------------------------------------------------------------|-----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|-----------------------------|
| 1.1.12      | Papers relating to the management of the annual parents' meeting                              |                             | Date of meeting + 6 years                                                                                                                                                            | SECURE DISPOSAL                                               | Yes                         |
| 1.1.13      | Agendas - additional copies                                                                   |                             | Date of meeting                                                                                                                                                                      | STANDARD DISPOSAL                                             |                             |
| 1.1.14      | Records relating to Governor Monitoring Visits                                                |                             | Date of the visit + 3 years                                                                                                                                                          | SECURE DISPOSAL                                               | Yes                         |
| 1.1.15      | Annual Reports required by the DoE                                                            |                             | Date of report + 10 years                                                                                                                                                            | SECURE DISPOSAL                                               |                             |
| 1.1.16      | All records relating to the conversion of schools to Academy status                           |                             | For the life of the organisation                                                                                                                                                     | Consult local archives before disposal                        |                             |
| 1.1.17      | Records relating to complaints made to and investigated by the governing body or head teacher |                             | Major complaints: current year + 6 years. If negligence involved then: current year + 15 years If child protection or safeguarding issues are involved then: current year + 40 years | SECURE DISPOSAL                                               | Yes                         |
| 1.1.18      | Correspondence sent and received by the governing body or head teacher                        |                             | General correspondence should be retained for current year + 3 years                                                                                                                 | SECURE DISPOSAL                                               | Potential                   |
| 1.1.19      | Action plans created and administered by the governing body                                   |                             | Until superseded or whilst relevant                                                                                                                                                  | SECURE DISPOSAL                                               |                             |

| Ref.                           | Basic file description                                                                          | Statutory Provisions | Retention Period [Operational]                                                                                                                                                                                | Action at end of the administrative life of the record | Personal Information |
|--------------------------------|-------------------------------------------------------------------------------------------------|----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
| 1.1.20                         | Policy documents created and administered by the governing body                                 |                      | Until superseded [The school should consider keeping all policies relating to safeguarding, child protection or other pupil related issues such as exclusion until the IICSA has issued its recommendations.] |                                                        |                      |
| <b>1.2 Governor Management</b> |                                                                                                 |                      |                                                                                                                                                                                                               |                                                        |                      |
| 1.2.1                          | Records relating to the appointment of a clerk to the governing body                            |                      | Date on which clerk appointment ceases + 6 years                                                                                                                                                              | SECURE DISPOSAL                                        | Yes                  |
| 1.2.2                          | Records relating to the terms of office of serving governors, including evidence of appointment |                      | Date appointment ceases + 6 years                                                                                                                                                                             |                                                        | Yes                  |
| 1.2.3                          | Records relating to governor declaration against disqualification criteria                      |                      | Date appointment ceases + 6 years                                                                                                                                                                             | SECURE DISPOSAL                                        | Yes                  |
| 1.2.4                          | Register of business interests                                                                  |                      | Date appointment ceases + 6 years                                                                                                                                                                             | SECURE DISPOSAL                                        | Yes                  |
| 1.2.5                          | Governors Code of Conduct                                                                       |                      | This is expected to be a dynamic document; one copy of each version should be kept for the life of the organisation                                                                                           |                                                        |                      |

| Ref.  | Basic file description                                                                | Statutory Provisions | Retention Period [Operational]     | Action at end of the administrative life of the record | Personal Information |
|-------|---------------------------------------------------------------------------------------|----------------------|------------------------------------|--------------------------------------------------------|----------------------|
| 1.2.6 | Records relating to the training required and received by Governors                   |                      | Date Governor steps down + 6 years | SECURE DISPOSAL                                        | Yes                  |
| 1.2.7 | Records relating to the induction programme for new governors                         |                      | Date appointment ceases + 6 years  | SECURE DISPOSAL                                        | Yes                  |
| 1.2.8 | Records relating to DBS checks carried out on clerk and members of the governing body |                      | Date of DBS check + 6 months       | SECURE DISPOSAL                                        | Yes                  |
| 1.2.9 | Governor personnel files                                                              |                      | Date appointment ceases + 6 years  | SECURE DISPOSAL                                        | Yes                  |

## 2. Management of the school

This section contains retention periods connected to the processes involved in managing the school, including Human Resources, Financial Management, Payroll and Property Management.

| Ref.                                              | Basic file description                                             | Statutory Provisions | Retention Period [Operational]                                                      | Action at end of the administrative life of the record                                                           | Personal Information |
|---------------------------------------------------|--------------------------------------------------------------------|----------------------|-------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------------------|
| <b>2.1 Headteacher and Senior Management Team</b> |                                                                    |                      |                                                                                     |                                                                                                                  |                      |
| 2.1.1                                             | Log books of activity in the school maintained by the Head Teacher |                      | Date of last entry in the book + mini- mum of 6 years, then review                  | These could be of permanent historical value and should be offered to the County Archives Service if appropriate | Potential            |
| 2.1.2                                             | Minutes of Senior Management Team meetings and the                 |                      | Date of the meeting + 3 years then review annually, or as required if not destroyed | SECURE DISPOSAL                                                                                                  | Potential            |

| Ref.                                  | Basic file description                                                                                                                                                           | Statutory Provisions | Retention Period [Operational]                                                                             | Action at end of the administrative life of the record | Personal Information |
|---------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|                                       | meetings of other internal administrative bodies                                                                                                                                 |                      |                                                                                                            |                                                        |                      |
| 2.1.3                                 | Reports created by the Head Teacher or the Management Team                                                                                                                       |                      | Date of the report + a minimum of 3 years then review annually or as required if not destroyed             | SECURE DISPOSAL                                        | Potential            |
| 2.1.4                                 | Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities which do not fall under any other category |                      | Current academic year + 6 years then review annually, or as required if not destroyed                      | SECURE DISPOSAL                                        | Potential            |
| 2.1.5                                 | Correspondence created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities                                     |                      | Current year + 3 years                                                                                     | SECURE DISPOSAL                                        | Potential            |
| 2.1.6                                 | Professional development plans                                                                                                                                                   |                      | These should be held on the individual's personnel record. If not then termination of employment + 6 years | SECURE DISPOSAL                                        | Potential            |
| 2.1.7                                 | School development plans                                                                                                                                                         |                      | Life of the plan + 3 years                                                                                 | SECURE DISPOSAL                                        |                      |
| <b>2.2 Operational Administration</b> |                                                                                                                                                                                  |                      |                                                                                                            |                                                        |                      |

| <b>Ref.</b> | <b>Basic file description</b>                                                                                             | <b>Statutory Provisions</b> | <b>Retention Period [Operational]</b>                                                                      | <b>Action at end of the administrative life of the record</b>                  | <b>Personal Information</b> |
|-------------|---------------------------------------------------------------------------------------------------------------------------|-----------------------------|------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|-----------------------------|
| 2.2.1       | General file series which do not fit under any other category                                                             |                             | Current year + 5 years, then review                                                                        | SECURE DISPOSAL                                                                | Potential                   |
| 2.2.2       | Records relating to the creation and publication of the school brochure or prospectus                                     |                             | Current academic year + 3 years                                                                            | The school could preserve a copy for their archive otherwise STANDARD DISPOSAL |                             |
| 2.2.3       | Records relating to the creation and distribution of circulars to staff, parents or pupils                                |                             | Current academic year + 1 year                                                                             | STANDARD DISPOSAL                                                              |                             |
| 2.2.4       | School Privacy Notice which is sent to parents as part of GDPR compliance                                                 |                             | Until superseded + 6 years                                                                                 |                                                                                |                             |
| 2.2.5       | Consents relating to school activities as part of GDPR compliance (for example, consent to be sent circulars or mailings) |                             | Consent will last whilst the pupil attends the school, it can therefore be destroyed when the pupil leaves | SECURE DISPOSAL                                                                | Yes                         |
| 2.2.6       | Newsletters and other items with a short operational use                                                                  |                             | Current academic year + 1 year [Schools may decide to archive one copy]                                    | STANDARD DISPOSAL                                                              |                             |
| 2.2.7       | Visitor management systems (including electronic systems, visitors books and signing-in sheets)                           |                             | Last entry in the visitors book + 6 years (in case of claims by parents or pupils about various actions).  | SECURE DISPOSAL                                                                | Yes                         |
| 2.2.8       | Walking bus registers                                                                                                     |                             | Date of register + 6 years                                                                                 | SECURE DISPOSAL                                                                | Yes                         |

| Ref.                       | Basic file description                                                                                     | Statutory Provisions                                                                                                               | Retention Period [Operational]                                                                                                                                                                               | Action at end of the administrative life of the record | Personal Information |
|----------------------------|------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
| <b>2.3 Human Resources</b> |                                                                                                            |                                                                                                                                    |                                                                                                                                                                                                              |                                                        |                      |
| 2.3.1                      | All records leading up to the appointment of a headteacher                                                 |                                                                                                                                    | Unsuccessful attempts. Date of appointment plus 6 months. Add to personnel file and retain until end of appointment + 6 years, except in cases of negligence or claims of child abuse then at least 15 years | SECURE DISPOSAL                                        | Yes                  |
| 2.3.2                      | All records leading up to the appointment of a member of staff/governor – unsuccessful candidates          |                                                                                                                                    | Date of appointment of successful candidate + 6 months                                                                                                                                                       | SECURE DISPOSAL                                        | Yes                  |
| 2.3.3                      | Pre-employment vetting information – DBS Checks – successful candidates                                    | DBS Update Service Employer Guide June 2014; Keeping Children Safe in Education.2018 (Statutory Guidance from DoE) Sections 73, 74 | Application forms, references and other documents – for the duration of the employee’s employment + 6 years                                                                                                  | SECURE DISPOSAL                                        | Yes                  |
| 2.3.4                      | Forms of proof of identity collected as part of the process of checking “portable” enhanced DBS disclosure |                                                                                                                                    | Where possible this process should be carried out using the on-line system. If it is necessary to take a copy of documentation then it should be retained on the staff personal file.                        | SECURE DISPOSAL                                        | Yes                  |

| Ref.  | Basic file description                                                                                                | Statutory Provisions                                                | Retention Period [Operational]                                                                                                                                                                                                                                                                     | Action at end of the administrative life of the record | Personal Information |
|-------|-----------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
| 2.3.5 | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom – successful candidates | An Employer's Guide to Right to Work Checks [Home Office, May 2015] | Where possible these documents should be added to the staff personnel file [see below], but if they are kept separately then the Home Office requires that the documents are kept for termination of employment + not less than 2 years                                                            | SECURE DISPOSAL                                        | Yes                  |
| 2.3.6 | Staff personnel file                                                                                                  | Limitation Act 1980 (Section 2)                                     | Termination of Employment + 6 years, unless the member of staff is part of any case which falls under the terms of reference of IICSA. If this is the case then the file will need to be retained until IICSA enquiries are complete                                                               | SECURE DISPOSAL                                        | Yes                  |
| 2.3.7 | Annual appraisal/assessment records                                                                                   |                                                                     | Current year + 6 years                                                                                                                                                                                                                                                                             | SECURE DISPOSAL                                        | Yes                  |
| 2.3.8 | Sickness absence monitoring                                                                                           |                                                                     | Sickness records are categorised as sensitive data. There is a legal obligation under statutory sickness pay to keep records for sickness monitoring. Sickness records should be kept separate from accident records. It could be argued that where sickness pay is not paid then current year + 3 | SECURE DISPOSAL                                        | Yes                  |

| Ref.   | Basic file description                                                                                      | Statutory Provisions                                                                      | Retention Period [Operational]                                                                                                                                                                                                                                                                                                                 | Action at end of the administrative life of the record | Personal Information |
|--------|-------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|        |                                                                                                             |                                                                                           | years is acceptable, whilst if sickness pay is made then it becomes a financial record and current year + 6 years applies. The actual retention may depend on the internal auditors. Most seem to accept current year + 3 years as being acceptable as this gives them, 'benefits' and Inland Revenue have time to investigate if they need to |                                                        |                      |
| 2.3.9  | Staff training – where the training leads to continuing professional development                            |                                                                                           | Length of time required by the professional body                                                                                                                                                                                                                                                                                               | SECURE DISPOSAL                                        | Yes                  |
| 2.3.10 | Staff training – except where dealing with children, e.g. first aid or health and safety                    |                                                                                           | This should be retained on the personnel file [see 2.3.1 above]                                                                                                                                                                                                                                                                                | SECURE DISPOSAL                                        | Yes                  |
| 2.3.11 | Staff training – where the training relates to children (e.g. safeguarding or other child related training) |                                                                                           | Date of the training + 40 years [This retention period reflects that the IICSA may wish to see training records as part of an investigation]                                                                                                                                                                                                   | SECURE DISPOSAL                                        | Yes                  |
| 2.3.12 | Records relating to any allegation of a child protection nature against a member of staff                   | "Keeping children safe in education Statutory guidance for schools and colleges September | Until the person's normal retirement age or 10 years from the date of the allegation (whichever is the longer) then REVIEW.                                                                                                                                                                                                                    | SECURE DISPOSAL These records must be shredded         | Yes                  |

| Ref.     | Basic file description    | Statutory Provisions                                                                                                                   | Retention Period [Operational]                                                                                                                                                                                                                                                                                                                                                | Action at end of the administrative life of the record                                              | Personal Information |
|----------|---------------------------|----------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|----------------------|
|          |                           | 2018”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children 2018” | Note: allegations that are found to be malicious should be removed from personnel files. If found they are to be kept on the file and a copy provided to the person concerned UNLESS the member of staff is part of any case which falls under the terms of reference of IICSA. If this is the case then the file will need to be retained until IICSA enquiries are complete |                                                                                                     |                      |
| 2.3.13   | Disciplinary proceedings  |                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                     | Yes                  |
| 2.3.13.1 | Oral warning              |                                                                                                                                        | Date of warning + 6 months                                                                                                                                                                                                                                                                                                                                                    | SECURE DISPOSAL<br>[If warnings are placed on personal files then they must be weeded from the file |                      |
| 2.3.13.2 | Written warning – level 1 |                                                                                                                                        | Date of warning + 6 months                                                                                                                                                                                                                                                                                                                                                    |                                                                                                     |                      |
| 2.3.13.3 | Written warning – level 2 |                                                                                                                                        | Date of warning + 12 months                                                                                                                                                                                                                                                                                                                                                   |                                                                                                     |                      |
| 2.3.13.4 | Final warning             |                                                                                                                                        | Date of warning + 18 months                                                                                                                                                                                                                                                                                                                                                   |                                                                                                     |                      |
| 2.3.13.5 | Case not found            |                                                                                                                                        | If the incident is related to child protection then see above, otherwise dispose of at the conclusion of the case                                                                                                                                                                                                                                                             | SECURE DISPOSAL                                                                                     |                      |

| <b>Ref.</b> | <b>Basic file description</b>             | <b>Statutory Provisions</b>                                 | <b>Retention Period [Operational]</b> | <b>Action at end of the administrative life of the record</b> | <b>Personal Information</b> |
|-------------|-------------------------------------------|-------------------------------------------------------------|---------------------------------------|---------------------------------------------------------------|-----------------------------|
| 2.3.14      | Absence record                            |                                                             | Current year + 3 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.15      | Batches                                   | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.16      | Bonus sheets                              | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 3 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.17      | Car allowance claims                      | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 3 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.18      | Car loans                                 | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Completion of loan + 6 years          | SECURE DISPOSAL                                               | Yes                         |
| 2.3.19      | Car mileage output                        | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.20      | Elements                                  |                                                             | Current year + 2 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.21      | Income tax form P60                       |                                                             | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.22      | Insurance                                 | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.23      | Maternity payment                         |                                                             | Current year + 3 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.24      | Members allowance register                | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.25      | National Insurance – schedule of payments | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.26      | Overtime                                  | Taxes Management Act 1970 Income and Corporation Taxes 1988 | Current year + 3 years                | SECURE DISPOSAL                                               | Yes                         |

| <b>Ref.</b> | <b>Basic file description</b>         | <b>Statutory Provisions</b>                                                                           | <b>Retention Period [Operational]</b> | <b>Action at end of the administrative life of the record</b> | <b>Personal Information</b> |
|-------------|---------------------------------------|-------------------------------------------------------------------------------------------------------|---------------------------------------|---------------------------------------------------------------|-----------------------------|
| 2.3.27      | Part time fee claims                  | Taxes Management Act 1970 Income and Corporation Taxes 1988                                           | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.28      | Pay packet receipt by employee        |                                                                                                       | Current year + 2 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.29      | Payroll awards                        |                                                                                                       | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.30      | Payroll – gross/net weekly or monthly | Taxes Management Act 1970 Income and Corporation Taxes 1988                                           | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.31      | Payroll reports                       | Taxes Management Act 1970 Income and Corporation Taxes 1988                                           | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.32      | Payslips – copies                     | Taxes Management Act 1970 Income and Corporation Taxes 1988                                           | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.33      | Pension payroll                       | Taxes Management Act 1970 Income and Corporation Taxes 1988                                           | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.34      | Personal bank details                 | If employment ceases then end of employment + 6 years                                                 | Until superseded + 3 years            | SECURE DISPOSAL                                               | Yes                         |
| 2.3.35      | Sickness records                      |                                                                                                       | Current year + 3 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.36      | Staff returns                         |                                                                                                       | Current year + 3 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.37      | Superannuation adjustments            | Taxes Management Act 1970 Income and Corporation Taxes 1988                                           | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |
| 2.3.38      | Tax forms P6/P11/P11D/P35/P45/P46/P48 | The minimum requirement - as stated in Inland Revenue Booklet 490 - is for at least 3 years after the | Current year + 6 years                | SECURE DISPOSAL                                               | Yes                         |

| Ref.                         | Basic file description                                                                                      | Statutory Provisions                                                                                                                                                                                                                   | Retention Period [Operational]                                                                                                               | Action at end of the administrative life of the record | Personal Information |
|------------------------------|-------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|                              |                                                                                                             | end of the tax year to which they apply. Originals must be retained in paper/ electronic format. It is a corporate decision to retain for current year + 6 years. Employees should retain records for 22 months after current tax year |                                                                                                                                              |                                                        |                      |
| 2.3.39                       | Time sheets/clock cards/flexitime                                                                           |                                                                                                                                                                                                                                        | Current year + 3 years                                                                                                                       | SECURE DISPOSAL                                        | Yes                  |
| <b>2.4 Health and Safety</b> |                                                                                                             |                                                                                                                                                                                                                                        |                                                                                                                                              |                                                        |                      |
| 2.4.1                        | Health and safety policy statements                                                                         |                                                                                                                                                                                                                                        | Life of policy + 3 years                                                                                                                     | SECURE DISPOSAL                                        |                      |
| 2.4.2                        | Health and safety risk assessments                                                                          |                                                                                                                                                                                                                                        | Life of risk assessment + 3 years provided that a copy of the risk assessment is stored with the accident report if an incident has occurred | SECURE DISPOSAL                                        |                      |
| 2.4.3                        | Accident reporting records relating to individuals who are over 18 years of age at the time of the incident | Social Security (Claims and Payments) Regulations 1979<br>Regulation 25. Social Security Administration Act 1992 Section 8.<br>Limitation Act 1980                                                                                     | The Accident Book – BI 510 - 3 years after last entry in the book<br><br>This includes the new format to be used from 1/1/04                 | SECURE DISPOSAL                                        |                      |

| Ref.  | Basic file description                                                           | Statutory Provisions                                                                                                                                                                                                                                                                                                                                                                                             | Retention Period [Operational]                                                                                                                                                                                                    | Action at end of the administrative life of the record | Personal Information |
|-------|----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|       |                                                                                  | <p>Social Security (Claims and Payments) Regulations 1979. SI 1979 No 628</p> <p>Social Security (Claims and Payments) Regulations SI 1987 No 1968 Revokes all but Part 1 of SI 1979 No 628</p> <p>Social Security Administration Act 1992 Section 8.</p> <p>Social Security (Claims and Payments) Amendment (No 30 Regulations 1993 SI 1993 No 2113</p> <p>Allows the information to be kept electronically</p> | <p>This means that, if it takes 5 years to complete, the book must be retained for a further 3 years from the last entry</p> <p>Completed pages must be kept secure with restricted access. Data Protection Act 2018 and GDPR</p> |                                                        |                      |
| 2.4.4 | Accident reporting records relating to individuals who are under 18 years of age | Social Security (Claims and Payments) Regulations 1979                                                                                                                                                                                                                                                                                                                                                           | The Accident Book – BI 510 - 3 years after last entry in the book                                                                                                                                                                 | SECURE DISPOSAL                                        | Yes                  |

| Ref. | Basic file description      | Statutory Provisions                                                                                                                                                                                                                                                                                                                                                                                                                                  | Retention Period [Operational]                                                                                                                                                                                                                                                               | Action at end of the administrative life of the record | Personal Information |
|------|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|      | at the time of the incident | <p>Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980</p> <p>Social Security (Claims and Payments) Regulations 1979. SI 1979 No 628</p> <p>Social Security (Claims and Payments) Regulations SI 1987 No 1968 Revokes all but Part 1 of SI 1979 No 628</p> <p>Social Security Administration Act 1992 Section 8.</p> <p>Social Security (Claims and Payments) Amendment (No 30 Regulations 1993 SI 1993 No 2113</p> | <p>This includes the new format to be used from 1/1/04</p> <p>This means that, if it takes 5 years to complete, the book must be retained for a further 3 years from the last entry</p> <p>Completed pages must be kept secure with restricted access. Data Protection Act 2018 and GDPR</p> |                                                        |                      |

| Ref.  | Basic file description                                                                                                                                                                         | Statutory Provisions                                                                                                                                                                                                   | Retention Period [Operational]                                                                                             | Action at end of the administrative life of the record | Personal Information |
|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|       |                                                                                                                                                                                                | Allows the information to be kept electronically                                                                                                                                                                       |                                                                                                                            |                                                        |                      |
| 2.4.5 | Records relating to any reportable death, injury, disease or dangerous occurrence (RIDDOR). For more information see <a href="http://www.hse.gov.uk/RIDDOR/">http://www.hse.gov.uk/RIDDOR/</a> | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013 No 1471 Regulation 12(2)                                                                                                            | Date of incident + 3 years provided that all records relating to the incident are held on personnel file [see 2.4.2 above] | SECURE DISPOSAL                                        | Yes                  |
| 2.4.6 | Control of Substances Hazardous to Health (COSHH)                                                                                                                                              | Control of Substances Hazardous to Health Regulations 2002. SI 2002 No 2677 Regulation 11; Records kept under the 1994 and 1999 Regulations to be kept as if the 2002 Regulations had not been made. Regulation 18 (2) | Date of incident + 40 years                                                                                                | SECURE DISPOSAL                                        |                      |
| 2.4.7 | Process of monitoring of areas where employees and persons are likely to have come into contact with asbestos                                                                                  | Control of Asbestos at Work Regulations 2012 SI 1012 No 632 Regulation 19                                                                                                                                              | Last action + 40 years                                                                                                     | SECURE DISPOSAL                                        |                      |
| 2.4.8 | Process of monitoring of areas where employees and                                                                                                                                             | The Ionising Radiation Regulations 2017. SI                                                                                                                                                                            | 2 years from the date on which the examination was made and that the record                                                | SECURE DISPOSAL                                        |                      |

| Ref.                            | Basic file description                                                                                                                                                           | Statutory Provisions                                                                                                        | Retention Period [Operational]                                                                                                                                                                                                                                                                                   | Action at end of the administrative life of the record                   | Personal Information |
|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|----------------------|
|                                 | persons are likely to have come into contact with radiation. Maintenance records or controls, safety features and PPE -----<br>Dose assessment and recording                     | 2017 No 1075 Regulation 11<br><br>As amended by SI 2018 No 390 Personal Protective Equipment (Enforcement) Regulations 2018 | includes the condition of the equipment at the time of the examination.<br>To keep the records made and maintained (or a copy of these records) until the person to whom the record relates has or would have attained the age of 75 years, but in any event for at least 30 years from when the record was made |                                                                          |                      |
| 2.4.9                           | Fire Precautions logbooks                                                                                                                                                        |                                                                                                                             | Current year + 3 years                                                                                                                                                                                                                                                                                           | SECURE DISPOSAL                                                          |                      |
| 2.4.10                          | Health and safety file to show current state of building, including all alterations (wiring, plumbing, building works, etc.), to be passed on in the case of change of ownership |                                                                                                                             | Pass to new owner on sale or transfer of building                                                                                                                                                                                                                                                                |                                                                          |                      |
| <b>2.5 Financial Management</b> |                                                                                                                                                                                  |                                                                                                                             |                                                                                                                                                                                                                                                                                                                  |                                                                          |                      |
| 2.5.1                           | Employer's Liability Insurance Certificate                                                                                                                                       |                                                                                                                             | Closure of the school + 40 years [May be kept electronically]                                                                                                                                                                                                                                                    | SECURE DISPOSAL To be passed to the Local Authority if the school closes |                      |
| 2.5.2                           | Inventories of furniture and equipment                                                                                                                                           |                                                                                                                             | Current year + 6 years                                                                                                                                                                                                                                                                                           | SECURE DISPOSAL                                                          |                      |

| Ref.   | Basic file description                                                                                                       | Statutory Provisions | Retention Period [Operational]                          | Action at end of the administrative life of the record | Personal Information |
|--------|------------------------------------------------------------------------------------------------------------------------------|----------------------|---------------------------------------------------------|--------------------------------------------------------|----------------------|
| 2.5.3  | Burglary, theft and vandalism report forms                                                                                   |                      | Current year + 6 years                                  | SECURE DISPOSAL                                        |                      |
| 2.5.4  | Annual accounts                                                                                                              |                      | Current year + 6 years                                  | STANDARD DISPOSAL                                      |                      |
| 2.5.5  | Loans and grants managed by the school                                                                                       |                      | Date of last payment on the loan + 12 years then review | SECURE DISPOSAL                                        |                      |
| 2.5.6  | All records relating to the creation and management of budgets, including the annual budget statement and back-ground papers |                      | Life of the budget + 3 years                            | SECURE DISPOSAL                                        |                      |
| 2.5.7  | Invoices, receipts, order books and requisitions, delivery notices                                                           |                      | Current financial year + 6 years                        | SECURE DISPOSAL                                        |                      |
| 2.5.8  | Records relating to the collection and banking of monies                                                                     |                      | Current financial year + 6 years                        | SECURE DISPOSAL                                        |                      |
| 2.5.9  | Records relating to the identification and collection of debt                                                                |                      | Final payment of debt + 6 years                         | SECURE DISPOSAL                                        |                      |
| 2.5.10 | Student Grant applications                                                                                                   |                      | Current year + 3 years                                  | SECURE DISPOSAL                                        | Yes                  |
| 2.5.11 | Pupil Premium Fund records                                                                                                   |                      | Date pupil leaves the provision + 6 years               | SECURE DISPOSAL                                        | Yes                  |
| 2.5.12 | All records relating to the management of contracts under seal                                                               | Limitation Act 1980  | Last payment on the contract + 12 years                 | SECURE DISPOSAL                                        |                      |
| 2.5.13 | All records relating to the management of                                                                                    | Limitation Act 1980  | Last payment on the contract + 6 years                  | SECURE DISPOSAL                                        |                      |

| Ref.                           | Basic file description                                                          | Statutory Provisions | Retention Period [Operational]                                                                  | Action at end of the administrative life of the record | Personal Information |
|--------------------------------|---------------------------------------------------------------------------------|----------------------|-------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|                                | contracts under signature                                                       |                      |                                                                                                 |                                                        |                      |
| 2.5.14                         | Records relating to the monitoring of contracts                                 |                      | Life of contract + 6 or 12 years                                                                | SECURE DISPOSAL                                        |                      |
| 2.5.15                         | School Fund - Cheque books                                                      |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        |                      |
| 2.5.16                         | School Fund - Paying in books                                                   |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        |                      |
| 2.5.17                         | School Fund - Ledger                                                            |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        |                      |
| 2.5.18                         | School Fund - Invoices                                                          |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        |                      |
| 2.5.19                         | School Fund - Receipts                                                          |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        |                      |
| 2.5.20                         | School Fund - Bank statements                                                   |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        |                      |
| 2.5.21                         | School Fund - Journey Books                                                     |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        |                      |
| 2.5.22                         | Free school meals registers (where the register is used as a basis for funding) |                      | Current year + 6 years                                                                          | SECURE DISPOSAL                                        | Yes                  |
| 2.5.23                         | School meals registers                                                          |                      | Current year + 3 years                                                                          | SECURE DISPOSAL                                        | Yes                  |
| 2.5.24                         | School meals summary sheets                                                     |                      | Current year + 3 years                                                                          | SECURE DISPOSAL                                        | Yes                  |
| <b>2.6 Property Management</b> |                                                                                 |                      |                                                                                                 |                                                        |                      |
| 2.6.1                          | Title deeds of properties belonging to the school                               |                      | These should follow the property unless the property has been registered with the Land Registry |                                                        |                      |
| 2.6.2                          | Plans of property belonging to the school                                       |                      | These should be retained whilst the building belongs                                            |                                                        |                      |

| Ref.  | Basic file description                                                                                                 | Statutory Provisions | Retention Period [Operational]                                                                                                                             | Action at end of the administrative life of the record | Personal Information |
|-------|------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|       |                                                                                                                        |                      | to the school and should be passed on to any new owners if the building is leased or sold. See 2.4.10                                                      |                                                        |                      |
| 2.6.3 | Leases of property leased by or to the school                                                                          |                      | Expiry of lease + 6 years                                                                                                                                  | SECURE DISPOSAL                                        |                      |
| 2.6.4 | Records relating to the letting of school premises                                                                     |                      | Current financial year + 6 years                                                                                                                           | SECURE DISPOSAL                                        |                      |
| 2.6.5 | All records relating to the maintenance of the school carried out by contractors                                       |                      | These should be retained whilst the building belongs to the school and should be passed on to any new owners if the building is leased or sold. See 2.4.10 | SECURE DISPOSAL                                        |                      |
| 2.6.6 | All records relating to the maintenance of the school carried out by school employees, including maintenance log books |                      | These should be retained whilst the building belongs to the school and should be passed on to any new owners if the building is leased or sold. See 2.4.10 | SECURE DISPOSAL                                        |                      |

### 3. Pupil Management

This section contains retention periods connected to the processes involved in managing a pupil's journey through school, including the admissions process.

| Ref.                          | Basic file description                                                                  | Statutory Provisions                                                                                                                                                      | Retention Period [Operational]                                                      | Action at end of the administrative life of the record | Personal Information |
|-------------------------------|-----------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
| <b>3.1 Admissions Process</b> |                                                                                         |                                                                                                                                                                           |                                                                                     |                                                        |                      |
| 3.1.1                         | All records relating to the creation and implementation of the School Admissions Policy | School Admissions Code 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                                        |                      |
| 3.1.2                         | Admissions – if the admission is successful                                             | School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014 | Date of admission + 1 year                                                          | SECURE DISPOSAL                                        | Yes                  |
| 3.1.3                         | Admissions – if the appeal is unsuccessful                                              | School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014 | Resolution of case + 1 year                                                         | SECURE DISPOSAL                                        | Yes                  |
| 3.1.4                         | Register of Admissions                                                                  | School Admissions Code Statutory guidance for admission                                                                                                                   | Every entry in the admission register must be preserved for a period of three years | REVIEW<br>Schools may wish to consider keeping the     |                      |

| Ref.    | Basic file description                                                                                    | Statutory Provisions                                                                                                                                                      | Retention Period [Operational]                     | Action at end of the administrative life of the record                                                                                                                                                                 | Personal Information |
|---------|-----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
|         |                                                                                                           | authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014                                                         | after the date on which the entry was made         | admission register permanently as an archive record as often schools receive enquiries from past pupils to confirm the dates they attended the school or to transfer these records to the appropriate Archives Service |                      |
| 3.1.5   | Admissions – Secondary Schools – Casual                                                                   |                                                                                                                                                                           | Current year + 1 year                              | SECURE DISPOSAL                                                                                                                                                                                                        | Yes                  |
| 3.1.6   | Proofs of address supplied by parents as part of the admissions process                                   | School Admissions Code Statutory guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014 | Current year + 1 year                              | SECURE DISPOSAL                                                                                                                                                                                                        | Yes                  |
| 3.1.7   | Supplementary information form including additional information such as religion, medical conditions etc. |                                                                                                                                                                           |                                                    |                                                                                                                                                                                                                        | Yes                  |
| 3.1.7.1 | For successful admissions                                                                                 |                                                                                                                                                                           | This information should be added to the pupil file | SECURE DISPOSAL                                                                                                                                                                                                        |                      |

| Ref.                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Basic file description                                                                              | Statutory Provisions                                                                                       | Retention Period [Operational]                        | Action at end of the administrative life of the record                                                                                                                                                                                        | Personal Information |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| 3.1.7.2                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | For unsuccessful admissions                                                                         |                                                                                                            | Until appeals process completed (GDPR)                | SECURE DISPOSAL                                                                                                                                                                                                                               |                      |
| <b>3.2 Pupil's Educational Record</b> Please note that any record containing pupil information may be subject to the requirements of the IICSA. Schools should implement any instruction which has been received from IICSA. The instructions from IICSA will override any guidance given in this Retention Schedule. If any school is unsure about what records should be retained, they should seek the advice of their own local authority or take independent legal advice. |                                                                                                     |                                                                                                            |                                                       |                                                                                                                                                                                                                                               |                      |
| 3.2.1                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005 | The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437 As amended by SI 2018 No 688 |                                                       |                                                                                                                                                                                                                                               | Yes                  |
| 3.2.1.1                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Primary                                                                                             |                                                                                                            | Retain whilst the child remains at the primary school | The file should follow the pupil when he/she leaves the primary school. This will include: <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> </ul> |                      |
| 3.2.1.2                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Secondary                                                                                           | Limitation Act 1980 (Section 2)                                                                            | Date of birth of the pupil + 25 years                 | REVIEW                                                                                                                                                                                                                                        |                      |
| 3.2.2                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Examination Results – pupil copies                                                                  |                                                                                                            |                                                       |                                                                                                                                                                                                                                               | Yes                  |
| 3.2.2.1                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Public                                                                                              |                                                                                                            | This information should be added to the pupil file    | All uncollected certificates should be returned to the examination board after                                                                                                                                                                |                      |

| Ref.                  | Basic file description                              | Statutory Provisions                                                                                                                                                                                                   | Retention Period [Operational]                                                                                                                                                                                                                                                                                                     | Action at end of the administrative life of the record | Personal Information |
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|                       |                                                     |                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                    | reasonable attempts to contact the pupil have failed   |                      |
| 3.2.2.2               | Internal                                            |                                                                                                                                                                                                                        | This information should be added to the pupil file                                                                                                                                                                                                                                                                                 |                                                        |                      |
| 3.2.3                 | Child protection information held on pupil file     | "Keeping children safe in education Statutory guidance for schools and colleges 2018"; "Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children 2018" | 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. Note: These records will be subject to any instruction given by IICSA                                                                          | SECURE DISPOSAL These records must be shredded         | Yes                  |
| 3.2.4                 | Child protection information held in separate files | "Keeping children safe in education Statutory guidance for schools and colleges 2018"; "Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children 2018" | DOB of the child + 25 years then review. This retention period was agreed in consultation with the Safeguarding Children Group on the understanding that the principal copy of this information will be found on the Local Authority Social Services record. Note: These records will be subject to any instruction given by IICSA | SECURE DISPOSAL These records must be shredded         | Yes                  |
| <b>3.3 Attendance</b> |                                                     |                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                    |                                                        |                      |
| 3.3.1                 | Attendance Registers                                | School attendance: Departmental advice for maintained                                                                                                                                                                  | Every entry in the attendance register must be preserved for a period of                                                                                                                                                                                                                                                           | SECURE DISPOSAL                                        | Yes                  |

| Ref.                              | Basic file description                                                                                                                                                                    | Statutory Provisions                                                                         | Retention Period [Operational]                                                                                                                                                                                                               | Action at end of the administrative life of the record | Personal Information |
|-----------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|                                   |                                                                                                                                                                                           | schools, Academies, independent schools and local authorities October 2014                   | 3 years after the date on which the entry was made.                                                                                                                                                                                          |                                                        |                      |
| 3.3.2                             | Correspondence relating to any absence (authorised or unauthorised)                                                                                                                       | Education Act 1996 Section 7                                                                 | Current academic year + 2 years                                                                                                                                                                                                              | SECURE DISPOSAL                                        | Potential            |
| <b>3.4 SEN &amp; EHCP Records</b> |                                                                                                                                                                                           |                                                                                              |                                                                                                                                                                                                                                              |                                                        |                      |
| 3.4.1                             | Special Educational Needs files, reviews and Education, Health and Care Plan, including advice and information provided to parents regarding educational needs and accessibility strategy | Children and Family's Act 2014; Special Educational Needs and Disability Act 2001 Section 14 | Date of birth of the pupil + 31 years [Education, Health and Care Plan is valid until the individual reaches the age of 25 years – the retention period adds an additional 6 years from the end of the plan in line with the Limitation Act] | SECURE DISPOSAL                                        | Yes                  |

#### 4. Curriculum and Extra-Curricular Activities

This section contains retention periods connected to the processes involved in managing the curriculum and extra-curricular activities.

| Ref.                                             | Basic file description              | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record | Personal Information |
|--------------------------------------------------|-------------------------------------|----------------------|--------------------------------|--------------------------------------------------------|----------------------|
| <b>4.1 Statistics and Management Information</b> |                                     |                      |                                |                                                        |                      |
| 4.1.1                                            | Curriculum returns                  |                      | Current year + 3 years         | SECURE DISPOSAL                                        | No                   |
| 4.1.2                                            | Examination Results (school's copy) |                      | Current year + 6 years         | SECURE DISPOSAL                                        | Yes                  |

| Ref.                                        | Basic file description                   | Statutory Provisions | Retention Period [Operational]                                                                                                                                                                                                                                                                                      | Action at end of the administrative life of the record                                       | Personal Information |
|---------------------------------------------|------------------------------------------|----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|----------------------|
| 4.1.2.1                                     | SATS records                             |                      |                                                                                                                                                                                                                                                                                                                     |                                                                                              | Yes                  |
| 4.1.2.2                                     | 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. The school may wish to keep a composite record of all of the whole year's SATs results. These could be kept for current year + 6 years to allow suitable comparison | SECURE DISPOSAL                                                                              |                      |
| 4.1.2.3                                     | Examination Papers                       |                      | The examination papers should be kept until any appeals/validation process is complete                                                                                                                                                                                                                              | SECURE DISPOSAL                                                                              |                      |
| 4.1.3                                       | Published Admission Number (PAN) Reports |                      | Current year + 6 years                                                                                                                                                                                                                                                                                              | SECURE DISPOSAL                                                                              | Yes                  |
| 4.1.4                                       | Value Added and Contextual Data          |                      | Current year + 6 years                                                                                                                                                                                                                                                                                              | SECURE DISPOSAL                                                                              | Yes                  |
| 4.1.5                                       | Self-Evaluation Forms                    |                      |                                                                                                                                                                                                                                                                                                                     | SECURE DISPOSAL                                                                              | Yes                  |
| 4.1.5.1                                     | Internal moderation                      |                      | Academic year plus 1 academic year                                                                                                                                                                                                                                                                                  | SECURE DISPOSAL                                                                              | Yes                  |
| 4.1.5.2                                     | External moderation                      |                      | Until superseded                                                                                                                                                                                                                                                                                                    | SECURE DISPOSAL                                                                              | Yes                  |
| <b>4.2 Implementation of the Curriculum</b> |                                          |                      |                                                                                                                                                                                                                                                                                                                     |                                                                                              |                      |
| 4.2.1                                       | Schemes of work                          |                      | Current year + 1 year                                                                                                                                                                                                                                                                                               | It may be appropriate to review these records at the end of each year and allocate a further |                      |

| Ref.                    | Basic file description                                                         | Statutory Provisions            | Retention Period [Operational]                                                                                                                                                                                                                                                                                                                                                             | Action at end of the administrative life of the record | Personal Information |
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|                         |                                                                                |                                 |                                                                                                                                                                                                                                                                                                                                                                                            | retention period or SECURE DISPOSAL                    |                      |
| 4.2.2                   | Timetable                                                                      |                                 | Current year + 1 year                                                                                                                                                                                                                                                                                                                                                                      |                                                        |                      |
| 4.2.3                   | Class record books                                                             |                                 | Current year + 1 year                                                                                                                                                                                                                                                                                                                                                                      |                                                        |                      |
| 4.2.4                   | Mark books                                                                     |                                 | Current year + 1 year                                                                                                                                                                                                                                                                                                                                                                      |                                                        |                      |
| 4.2.5                   | Record of homework set                                                         |                                 | Current year + 1 year                                                                                                                                                                                                                                                                                                                                                                      |                                                        |                      |
| 4.2.6                   | Pupil's work                                                                   |                                 | Where possible, the pupil's 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                                        |                      |
| <b>4.3 School Trips</b> |                                                                                |                                 |                                                                                                                                                                                                                                                                                                                                                                                            |                                                        |                      |
| 4.3.1                   | Parental consent forms for school trips where there has been no major incident |                                 | Although the consent forms could be retained for Date of birth + 22 years, the school may wish to complete a risk assessment to assess whether the forms are likely to be required and could make a decision to dispose of the consent forms at the end of the trip (or at the end of the academic year). This is a pragmatic approach and if in doubt the school should seek legal advice | SECURE DISPOSAL                                        | Yes                  |
| 4.3.2                   | Parental permission slips for school trips                                     | Limitation Act 1980 (Section 2) | Date of birth of the pupil involved in the incident + 25                                                                                                                                                                                                                                                                                                                                   | SECURE DISPOSAL                                        | Yes                  |

| Ref.                                    | Basic file description                                                                                           | Statutory Provisions | Retention Period [Operational]                                                                                                         | Action at end of the administrative life of the record | Personal Information |
|-----------------------------------------|------------------------------------------------------------------------------------------------------------------|----------------------|----------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------|
|                                         | – where there has been a major incident                                                                          |                      | 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 |                                                        |                      |
| <b>4.4 School Support Organisations</b> |                                                                                                                  |                      |                                                                                                                                        |                                                        |                      |
| 4.4.1                                   | Day books                                                                                                        |                      | Current year + 2 years then review                                                                                                     | SECURE DISPOSAL                                        | Yes                  |
| 4.4.2                                   | Reports for outside agencies – where the report has been included on the case file created by the outside agency |                      | Whilst child is attending school and then destroy                                                                                      | SECURE DISPOSAL                                        | Yes                  |
| 4.4.3                                   | Referral forms                                                                                                   |                      | While the referral is current                                                                                                          | SECURE DISPOSAL                                        | Yes                  |
| 4.4.4                                   | Contact data sheets                                                                                              |                      | Current year then review, if contact is no longer active then destroy                                                                  | SECURE DISPOSAL                                        | Yes                  |
| 4.4.5                                   | Contact database entries                                                                                         |                      | Current year then review, if contact is no longer active then destroy                                                                  | SECURE DISPOSAL                                        | Yes                  |
| 4.4.6                                   | Group registers                                                                                                  |                      | Current year + 2 years                                                                                                                 | SECURE DISPOSAL                                        | Yes                  |
| 4.4.7                                   | Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations    |                      | Current year + 6 years then review                                                                                                     | SECURE DISPOSAL                                        |                      |

## 5. Central Government and Local Authority

This section covers records created in the course of interaction between the school, local authority and central Government.

| Ref.                          | Basic file description                                        | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record | Personal Information |
|-------------------------------|---------------------------------------------------------------|----------------------|--------------------------------|--------------------------------------------------------|----------------------|
| <b>5.1 Local Authority</b>    |                                                               |                      |                                |                                                        |                      |
| 5.1.1                         | Secondary Transfer Sheets (primary)                           |                      | Current year + 2 years         | SECURE DISPOSAL                                        | Yes                  |
| 5.1.2                         | Attendance returns                                            |                      | Current year + 1 year          | SECURE DISPOSAL                                        | Yes                  |
| 5.1.3                         | School census returns                                         |                      | Current year + 5 years         | SECURE DISPOSAL                                        |                      |
| 5.1.4                         | Circulars and other information sent from the local authority |                      | Operational use                | SECURE DISPOSAL                                        |                      |
| <b>5.2 Central Government</b> |                                                               |                      |                                |                                                        |                      |
| 5.2.1                         | OFSTED reports and papers where a physical copy is held       |                      | Life of the report then review | SECURE DISPOSAL                                        |                      |
| 5.2.2                         | Returns made to central government                            |                      | Current year + 6 years         | SECURE DISPOSAL                                        |                      |
| 5.2.3                         | Circulars and other information sent from central government  |                      | Operational use                | SECURE DISPOSAL                                        |                      |

