



STEP Academy Trust

Information Management Policy

Date of Policy: April 2019

Review: January 2022

Introduction

STEP Academy Trust Board of Trustees has agreed this Policy and as such, it applies to all Academies within the Trust.

The Academies within the Trust hold a great deal of information, much of which is confidential. This may be information about:

- our students;
- our students' parents, or guardians;
- our teachers and other staff;
- our governors.

The Trust recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution. Records provide evidence for protecting the legal rights and interests of the Academy, and provide evidence for demonstrating performance and accountability.

This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

Scope of the policy

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

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

A small percentage of the Academy's records will be selected for permanent preservation as part of the Trust's archives and for historical research. This will be done in liaison with the Local Authority Archives Service.

Responsibilities

Each Academy has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Head Teacher.

The person responsible for records management in the Academy will give guidance for good records management practice and will promote compliance with this policy so that information will be

retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately.

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

Relationship with existing policies

This policy has been drawn up within the context of:

- Freedom of Information Policy;
- Online Safety and Data Security Policy;
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the Academy.

The Retention Schedule (Appendix C) is in operation. This lays down the length of time a record needs to be retained, after which it will be destroyed. Time scales are based on DfE guidelines.

Proforma of individual records to be converted to electronic media

| Unique Identifier | Full Name | Date of Birth | Type of Record | Date to be Digitised (once known) |
|-------------------|-----------|---------------|----------------|-----------------------------------|
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Date completed -----
Signed -----
Name -----
Designation -----

Date completed -----
Signed -----
Name -----
Designation -----

Please contact [enter appropriate person] on [insert contact number] before destroying any records.

The destruction of records must be authorised by your line manager.

APPENDIX C

INFORMATION RETENTION SCHEDULE

The Retention Schedule is divided into the following sections:

- Management of the Academy
- Human Resources
- Financial Management of the Academy
- Property Management
- Pupil Management
- Curriculum Management
- Extra-Curricular Activities
- Central Government and Local Authority

1. Management of the Academy

This section contains retention periods connected to the general management of the Academy. This covers the work of the Strategic Governing Body, the Head Teacher and the senior management team, the admissions process and operational administration.

| 1.1 Strategic Governing Body | | | | | |
|------------------------------|---|---|----------------------|---|--|
| | Basic file description | GDPR Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 1.1.1 | Agendas for Governing Body meetings | There may be GDPR issues if the meeting is dealing with confidential issues relating to staff | | One copy should be retained with the master set of minutes. All other copies can be disposed of | SECURE DISPOSAL ¹ |
| 1.1.2 | Minutes of Governing Body meetings | There may be GDPR issues if the meeting is dealing with confidential issues relating to staff | | | |
| | Principal Set (signed) | | | PERMANENT | If the Academy is unable to store these then they should be offered to the LA Archives Service |
| | Inspection Copies ² | | | Date of meeting + 3 years | If these minutes contain any sensitive, personal information they must be shredded. |
| 1.1.3 | Reports presented to the Governing Body | There may be GDPR issues if the report deals with confidential issues relating to staff | | Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports then the reports should be kept permanently | SECURE DISPOSAL or retain with the signed set of the minutes |

¹ In this context SECURE DISPOSAL should be taken to mean disposal using confidential waste bins, or if the Academy has the facility, shredding using a cross cut shredder.

² These are the copies which the clerk to the Governor may wish to retain so that requestors can view all the appropriate information without the clerk needing to print off and collate redacted copies of the minutes each time a request is made.

1.1 Governing Body

| | Basic file description | GDPR Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|-------------|----------------------|--|--|
| 1.1.4 | Instruments of Government including Articles of Association | No | | PERMANENT | These should be retained in the Academy whilst the Academy is open and then offered to LA Archives Service when the Academy closes. Articles of Association to be kept at registered office. |
| 1.1.5 | Trusts and Endowments managed by the Governing Body | No | | PERMANENT | These should be retained in the Academy whilst the Academy is open and then offered to LA Archives Service when the Academy closes. |
| 1.1.6 | Action plans created and administered by the Governing Body | No | | Life of the action plan + 3 years | SECURE DISPOSAL |
| 1.1.7 | Policy documents created and administered by the Governing Body | No | | Life of the policy + 3 years | SECURE DISPOSAL |
| 1.1.8 | Records relating to complaints dealt with by the Governing Body | Yes | | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | SECURE DISPOSAL |
| 1.1.9 | Proposals concerning the change of status of a maintained school including Specialist Status Schools and Academies | No | | Date proposal accepted or declined + 3 years | SECURE DISPOSAL |

Please note that all information about the retention of records concerning the recruitment of Head Teachers can be found in the Human Resources section below.

1.2 Head Teacher and Senior Management Team

| record | Basic file description | GDPR Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the |
|--------|--|--|----------------------|---|--|
| 1.2.1 | Log books of activity in the Academy maintained by the Head Teacher | There may be GDPR issues if the log book refers to individual pupils or members of staff | | Date of last entry in the book + a minimum of 6 years then review | These could be of permanent historical value and should be offered to the County Archives Service if appropriate |
| 1.2.2 | Minutes of Senior Management Team meetings and the meetings of other internal administrative bodies | There may be GDPR issues if the minutes refers to individual pupils or members of staff | | Date of the meeting + 3 years then review | SECURE DISPOSAL |
| 1.2.3 | Reports created by the Head Teacher or the Management Team | There may be GDPR issues if the report refers to individual pupils or members of staff | | Date of the report + a minimum of 3 years then review | SECURE DISPOSAL |
| 1.2.4 | Records created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities | There may be GDPR issues if the records refer to individual pupils or members of staff | | Current academic year + 6 years then review | SECURE DISPOSAL |
| 1.2.5 | Correspondence created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities | There may be GDPR issues if the correspondence refers to individual pupils or members of staff | | Date of correspondence + 3 years then review | SECURE DISPOSAL |
| 1.2.6 | Professional Development Plans | Yes | | Life of the plan + 6 years | SECURE DISPOSAL |
| 1.2.7 | Academy Development Plans | No | | Life of the plan + 3 years | SECURE DISPOSAL |

1.3 Admissions Process

| | Basic file description | GDPR Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|---|-------------|---|--|---|
| 1.3.1 | All records relating to the creation and implementation of the Academy's Admissions' Policy | No | 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 |
| 1.3.2 | Admissions – if the admission is successful | Yes | 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 |
| 1.3.3 | Admissions – if the appeal is unsuccessful | Yes | 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 |
| 1.3.4 | Register of Admissions | Yes | School attendance: Departmental advice for maintained schools, academies, independent schools and local authorities October 2014 | Every entry in the admission register must be preserved for a period of three years after the date on which the entry was made. ³ | REVIEW Academies may wish to consider keeping the admission register permanently as often schools receive enquiries from past pupils to confirm the dates they attended the Academy. |
| 1.3.5 | Admissions – Secondary Schools – Casual | Yes | | Current year + 1 year | SECURE DISPOSAL |
| 1.3.6 | Proofs of address supplied by parents as part of the admissions process | Yes | 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 |

1.3 Admissions Process

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|------------------|----------------------|--|--|
| 1.3.7 | Supplementary Information form including additional information such as religion, medical conditions etc | Yes | | | |
| | For successful admissions | | | This information should be added to the pupil file | SECURE DISPOSAL |
| | For unsuccessful admissions | | | Until appeals process completed | SECURE DISPOSAL |

1.4 Operational Administration

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|---|------------------|----------------------|--------------------------------|--|
| 1.4.1 | General file series | No | | Current year+5yearsthenREVIEW | SECURE DISPOSAL |
| 1.4.2 | Records relating to the creation and publication of the Academy brochure or prospectus | No | | Current year + 3 years | STANDARD DISPOSAL |
| 1.4.3 | Records relating to the creation and distribution of circulars to staff, parents or pupils | No | | Current year + 1 year | STANDARD DISPOSAL |
| 1.4.4 | Newsletters and other items with a short operational use | No | | Current year + 1 year | STANDARD DISPOSAL |
| 1.4.5 | Visitors' Books and Signing in Sheets | Yes | | Current year+6yearsthenREVIEW | SECURE DISPOSAL |
| 1.4.6 | Records relating to the creation and management of Parent Teacher Assosiations and/or Old Pupils Assosiations | No | | Current year+6yearsthenREVIEW | SECURE DISPOSAL |

2. Human Resources

This section deals with all matters of Human Resources management within the Academy.

| 2.1 Recruitment | | | | | |
|-----------------|--|------------------|---|---|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 2.1.1 | All records leading up to the appointment of a new Head Teacher | Yes | | Date of appointment + 6 years | SECURE DISPOSAL |
| 2.1.2 | All records leading up to the appointment of a new member of staff – unsuccessful candidates | Yes | | Date of appointment of successful candidate + 6 months | SECURE DISPOSAL |
| 2.1.3 | All records leading up to the appointment of a new member of staff – successful candidate | Yes | | All the relevant information should be added to the staff personal file (see below) and all other information retained for 6 months | SECURE DISPOSAL |
| 2.1.4 | Pre-employment vetting information – DBS Checks | No | DBS Update Service Employer Guide June 2014: Keeping children safe in education. September 2018 (Statutory Guidance from Dept. of Education) Sections 73, 74 | The Academy does not have to keep copies of DBS certificates. If the Academy does so the copy must NOT be retained for more than 6 months | |
| 2.1.5 | Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure | Yes | | Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff’s personal file | |
| 2.1.6 | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom ⁴ | Yes | An employer’s guide to right to work checks [Home Office May 2015] | Where possible these documents should be added to the Staff Personal File [see below], but if they are kept separately then the Home Office requires that the documents are kept for termination of Employment plus not less than two years | |

2.2 Operational Staff Management

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--------------------------------------|------------------|---------------------------------|-------------------------------------|--|
| 2.2.1 | Staff Personal File | Yes | Limitation Act 1980 (Section 2) | Termination of Employment + 6 years | SECURE DISPOSAL |
| 2.2.2 | Timesheets | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 2.2.3 | Annual appraisal/ assessment records | Yes | | Current year + 5 years | SECURE DISPOSAL |

2.3 Management of Disciplinary and Grievance Processes

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|------------------|---|---|---|
| 2.3.1 | Allegation of a child protection nature against a member of staff including where the allegation is unfounded ⁵ | Yes | “Keeping children safe in education Statutory guidance for schools and colleges September 2018”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children” | Until the person’s normal retirement age or 10 years from the date of the allegation whichever is the longer then REVIEW. Note: allegations that are found to be malicious should be removed from personnel files. If found they are to be kept on the file and a copy provided to the person concerned | SECURE DISPOSAL These records must be shredded |
| 2.3.2 | Disciplinary Proceedings | Yes | | | |
| | oral warning | | | Date of warning ⁶ + 6 months | |
| | written warning – level 1 | | | Date of warning + 6 months | SECURE DISPOSAL |
| | written warning – level 2 | | | Date of warning + 12 months | [If warnings are placed on personal files then they must be weeded from the file] |
| | final warning | | | Date of warning + 18 months | |
| | case not found | | | If the incident is child protection related then see above otherwise dispose of at the conclusion of the case | SECURE DISPOSAL |

2.4 Health and Safety

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|------------------|--|--|--|
| 2.4.1 | Health and Safety Policy Statements | No | | Life of policy + 3 years | SECURE DISPOSAL |
| 2.4.2 | Health and Safety Risk Assessments | No | | Life of risk assessment + 3 years | SECURE DISPOSAL |
| 2.4.3 | Records relating to accident/injury at work | Yes | | Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied | SECURE DISPOSAL |
| 2.4.4 | Accident Reporting | Yes | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980 | | |
| | Adults | | | Date of the incident + 6 years | SECURE DISPOSAL |
| | Children | | | DOB of the child + 25 years | SECURE DISPOSAL |
| 2.4.5 | Control of Substances Hazardous to Health (COSHH) | No | Control of Substances Hazardous to Health Regulations 2002. 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) | Current year + 40 years | SECURE DISPOSAL |
| 2.4.6 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | No | Control of Asbestos at Work Regulations 2012 SI 1012 No 632 Regulation 19 | Last action + 40 years | SECURE DISPOSAL |
| 2.4.7 | Process of monitoring of areas where employees and persons are likely to have become in contact with radiation | No | | Last action + 50 years | SECURE DISPOSAL |
| 2.4.8 | Fire Precautions log books | No | | Current year + 6 years | SECURE DISPOSAL |

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

2.5 Payroll and Pensions

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|------------------|---|--------------------------------|--|
| 2.5.1 | Maternity pay records | Yes | Statutory Maternity Pay (General) Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567) | Current year + 3 years | SECURE DISPOSAL |
| 2.5.2 | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes | | Current year + 6 years | SECURE DISPOSAL |

3. Financial Management of the Academy

This section deals with all aspects of the financial management of the Academy including the administration of school meals.

3.1 Risk Management and Insurance

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|------------------|----------------------|-----------------------------------|--|
| 3.1.1 | Employer's Liability Insurance Certificate | No | | Closure of the Academy + 40 years | SECURE DISPOSAL |

3.2 Asset Management

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|------------------|----------------------|--------------------------------|--|
| 3.2.1 | Inventories of furniture and equipment | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.2.2 | Burglary, theft and vandalism report forms | No | | Current year + 6 years | SECURE DISPOSAL |

⁵ This review took place as the Independent Inquiry on Child Sexual Abuse was beginning. In light of this, it is recommended that all records relating to child abuse are retained until the Inquiry is completed. This section will then be reviewed again to take into account any recommendations the Inquiry might make concerning record retention

⁶ Where the warning relates to child protection issues see above. If the disciplinary proceedings relate to a child protection matter please contact your Safeguarding Children Officer for further advice

3.3 Accounts and Statements including Budget Management

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|--|------------------|----------------------|---|--|
| 3.3.1 | Annual Accounts | No | | Current year + 6 years | STANDARD DISPOSAL |
| 3.3.2 | Loans and grants managed by the Academy | No | | Date of last payment on the loan + 12 years then REVIEW | SECURE DISPOSAL |
| 3.3.3 | Student Grant applications | Yes | | Current year + 3 years | SECURE DISPOSAL |
| 3.3.4 | All records relating to the creation and management of budgets including the Annual Budget statement and background papers | No | | Life of the budget + 3 years | SECURE DISPOSAL |
| 3.3.5 | Invoices, receipts, order books and requisitions, delivery notices | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 3.3.6 | Records relating to the collection and banking of monies | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 3.3.7 | Records relating to the identification and collection of debt | No | | Current financial year + 6 years | SECURE DISPOSAL |

3.4 Contract Management

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|---|------------------|----------------------|---|--|
| 3.4.1 | All records relating to the management of contracts under seal | No | Limitation Act 1980 | Last payment on the contract + 12 years | SECURE DISPOSAL |
| 3.4.2 | All records relating to the management of contracts under signature | No | Limitation Act 1980 | Last payment on the contract + 6 years | SECURE DISPOSAL |
| 3.4.3 | Records relating to the monitoring of contracts | No | | Current year + 2 years | SECURE DISPOSAL |

3.5 School Fund

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|-------------------------------|------------------|----------------------|--------------------------------|--|
| 3.5.1 | School Fund - Cheque books | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.2 | School Fund - Paying in books | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.3 | School Fund – Ledger | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.4 | School Fund – Invoices | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.5 | School Fund – Receipts | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.6 | School Fund - Bank statements | No | | Current year + 6 years | SECURE DISPOSAL |
| 3.5.7 | School Fund – Journey Books | No | | Current year + 6 years | SECURE DISPOSAL |

3.6 School Meals Management

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|-----------------------------|------------------|----------------------|--------------------------------|--|
| 3.6.1 | Free School Meals Registers | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 3.6.2 | School Meals Registers | Yes | | Current year + 3 years | SECURE DISPOSAL |
| 3.6.3 | School Meals Summary Sheets | No | | Current year + 3 years | SECURE DISPOSAL |

4. Property Management

This section covers the management of buildings and property.

| 4.1 Property Management | | | | | |
|-------------------------|---|------------------|----------------------|---|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 4.1.1 | Title deeds of properties belonging to the Academy | No | | PERMANENT These should follow the property unless the property has been registered with the Land Registry | |
| 4.1.2 | Plans of property belong to the Academy | No | | These should be retained whilst the building belongs to the Academy and should be passed onto any new owners if the building is leased or sold. | |
| 4.1.3 | Leases of property leased by or to the Academy | No | | Expiry of lease + 6 years | SECURE DISPOSAL |
| 4.1.4 | Records relating to the letting of Academy premises | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 4.2 Maintenance | | | | | |
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 4.2.1 | All records relating to the maintenance of the Academy carried out by contractors | No | | Current year + 6 years | SECURE DISPOSAL |
| 4.2.2 | All records relating to the maintenance of the Academy carried out by Academy employees including maintenance log books | No | | Current year + 6 years | SECURE DISPOSAL |

5. Pupil Management

This section includes all records which are created during the time a pupil spends at the Academy. For information about accident reporting see under Health and Safety above.

| 5.1 Pupil's Educational Record | | | | | |
|--------------------------------|---|------------------|---|---|---|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 5.1.1 | Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005 | Yes | The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437 | | |
| | Primary | | | Retain whilst the child remains at the primary school | <p>The file should follow the pupil when he/she leaves the primary Academy. This will include:</p> <ul style="list-style-type: none"> • to another primary school • to a secondary school • to a pupil referral unit <p>If the pupil dies whilst at primary school, the file should be returned to the Local Authority to be retained for the statutory retention period.</p> <p>If the pupil transfers to an independent school, transfers to home schooling or leaves the country the file should be returned to the Local Authority to be retained for the statutory retention period. Primary Schools do not ordinarily have sufficient storage space to store records for pupils who have not transferred in the normal way. It makes more sense to transfer the record to the Local Authority as it is more likely that the pupil will request the record from the Local Authority</p> |
| | Secondary | | Limitation Act 1980 (Section 2) | Date of Birth of the pupil + 25 years | SECURE DISPOSAL |
| 5.1.2 | Examination Results – Pupil Copies | Yes | | | |
| | Public | | | This information should be added to the pupil file | All uncollected certificates should be returned to the examination board. |
| | Internal | | | This information should be added to the pupil file | |

5.1 Pupil's Educational Record

| Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|---|------------------|---|--|--|
| <p>This review took place as the Independent Inquiry on Child Sexual Abuse was beginning. In light of this, it is recommended that all records relating to child abuse are retained until the Inquiry is completed. This section will then be reviewed again to take into account any recommendations the Inquiry might make concerning record retention</p> | | | | |
| 5.1.3 Child Protection information held on pupil file | Yes | <p>“Keeping children safe in education Statutory guidance for schools and colleges September 2018”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children”</p> | <p>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.</p> | SECURE DISPOSAL – these records MUST be shredded |
| 5.1.4 Child protection information held in separate files | Yes | <p>“Keeping children safe in education Statutory guidance for schools and colleges September 2018”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children”</p> | <p>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</p> | SECURE DISPOSAL – these records MUST be shredded |

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

5.2 Attendance

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|---|------------------|---|--|--|
| 5.2.1 | Attendance Registers | Yes | Academy attendance: Departmental advice for maintained schools, academies, independent schools and local authorities October 2014 | Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made. | SECURE DISPOSAL |
| 5.2.2 | Correspondence relating to authorized absence | | Education Act 1996 Section 7 | Current academic year + 2 years | SECURE DISPOSAL |

5.3 Special Educational Needs

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|---|------------------|---|---|--|
| 5.3.1 | Special Educational Needs files, reviews and Individual Education Plans | Yes | Limitation Act 1980 (Section 2) | Date of Birth of the pupil + 25 years | REVIEW NOTE: This retention period is the minimum retention period that any pupil file should be kept. Some authorities choose to keep SEN files for a longer period of time to defend themselves in a "failure to provide a sufficient education" case. There is an element of business risk analysis involved in any decision to keep the records longer than the minimum retention period and this should be documented. |
| 5.3.2 | Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement | Yes | Education Act 1996 Special Educational Needs and Disability Act 2001 Section 1 | Date of birth of the pupil + 25 years [This would normally be retained on the pupil file] | SECURE DISPOSAL unless the document is subject to a legal hold |
| 5.3.3 | Advice and information provided to parents regarding educational needs | Yes | Special Educational Needs and Disability Act 2001 Section 2 | Date of birth of the pupil + 25 years [This would normally be retained on the pupil file] | SECURE DISPOSAL unless the document is subject to a legal hold |
| 5.3.4 | Accessibility Strategy | Yes | Special Educational Needs and Disability Act 2001 Section 14 | Date of birth of the pupil + 25 years [This would normally be retained on the pupil file] | SECURE DISPOSAL unless the document is subject to a legal hold |

6. Curriculum Management

| 6.1 Statistics and Management Information | | | | | |
|---|--|-----------|----------------------|--|--|
| Issues | Basic file description | Data Prot | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 6.1.1 | Curriculum returns | No | | Current year + 3 years | SECURE DISPOSAL |
| 6.1.2 | Examination Results (Academy's Copy) | Yes | | Current year + 6 years | SECURE DISPOSAL |
| | SATS records | Yes | | | |
| | Results | | | The SATS results should be recorded on the pupil's educational file and will therefore be retained until the pupil reaches the age of 25 years. The Academy may wish to keep a composite record of all the whole year SATs results. These could be kept for current year + 6 years to allow suitable comparison | SECURE DISPOSAL |
| | Examination Papers | | | The examination papers should be kept until any appeals/validation process is complete | SECURE DISPOSAL |
| 6.1.3 | Published Admission Number (PAN) Reports | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.1.4 | Value Added and Contextual Data | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.1.5 | Self Evaluation Forms | Yes | | Current year + 6 years | SECURE DISPOSAL |

6.2 Implementation of Curriculum

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|------------------------|------------------|----------------------|---|--|
| 6.2.1 | Schemes of Work | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a further retention period or SECURE DISPOSAL |
| 6.2.2 | Timetable | No | | Current year + 1 year | |
| 6.2.3 | Class Record Books | No | | Current year + 1 year | |
| 6.2.4 | Mark Books | No | | Current year + 1 year | |
| 6.2.5 | Record of homework set | No | | Current year + 1 year | |
| 6.2.6 | Pupils' Work | No | | Where possible, pupils' work should be returned to the pupil at the end of the academic year if this is not the Academy's policy then current year + 1 year | SECURE DISPOSAL |

7. Extra-Curricular Activities

| 7.1 Educational Visits outside the Classroom | | | | | |
|--|---|------------------|--|---|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 7.1.1 | Records created by Academies to obtain approval to run an Educational Visit outside the Classroom—Primary Schools | No | Outdoor Education Advisers' Panel National Guidance website http://oeapng.info specifically Section 3 - "Legal Framework and Employer Systems" and Section 4 - "Good Practice". | Date of visit + 14 years | SECURE DISPOSAL |
| 7.1.2 | Records created by Academies to obtain approval to run an Educational Visit outside the Classroom – Secondary Schools | No | Outdoor Education Advisers' Panel National Guidance website http://oeapng.info specifically Section 3 - "Legal Framework and Employer Systems" and Section 4 - "Good Practice". | Date of visit + 10 years | SECURE DISPOSAL |
| 7.1.3 | Parental consent forms for Academy trips where there has been no major incident | Yes | | Conclusion of the trip | Although the consent forms could be retained for DOB + 22 years, the requirement for them being needed is low and most schools do not have the storage capacity to retain every single consent form issued by the Academy for this period of time. |
| 7.1.4 | Parental permission slips for Academy trips – where there has been a major incident | Yes | Limitation Act 1980 (Section 2) | DOB of the pupil involved in the incident + 25 years The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all pupils | |

7.2 Walking Bus

| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
|-------|------------------------|------------------|----------------------|--|---|
| 7.2.1 | Walking Bus Registers | Yes | | Date of register + 3 years This takes into account the fact that if there is an incident requiring an accident report the register will be submitted with the accident report and kept for the period of time required for accident reporting | SECURE DISPOSAL [If these records are retained electronically any back-up copies should be destroyed at the same time] |

8. Central Government and Local Authority

This section covers records created in the course of interaction between the Academy and the local authority.

| 8.1 Local Authority | | | | | |
|------------------------|---|------------------|----------------------|--------------------------------|--|
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 8.1.1 | Secondary Transfer Sheets (Primary) | Yes | | Current year + 2 years | SECURE DISPOSAL |
| 8.1.2 | Attendance Returns | Yes | | Current year + 1 year | SECURE DISPOSAL |
| 8.1.3 | School Census Returns | No | | Current year + 5 years | SECURE DISPOSAL |
| 8.1.4 | Circulars and other information sent from the Local Authority | No | | Operational use | SECURE DISPOSAL |
| 8.2 Central Government | | | | | |
| | Basic file description | Data Prot Issues | Statutory Provisions | Retention Period [Operational] | Action at the end of the administrative life of the record |
| 8.2.1 | OFSTED reports and papers | No | | Life of the report then REVIEW | SECURE DISPOSAL |
| 8.2.2 | Returns made to central government | No | | Current year + 6 years | SECURE DISPOSAL |
| 8.2.3 | Circulars and other information sent from central government | No | | Operational use | SECURE DISPOSAL |