

# Information Management Policy & Records Retention Schedule



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1.1	18 Jul 2018	N McDermott	Review date updated.
2.0	30 April 2020	N McDermott	Revised Version. Reflects updated IRMS Guidance (issued Feb 2020) Addition of Sections 2, 3, 5, 8, 10, 11. Expanded S. 4, 6 and 12. Retention schedule bespoke to DMAT.

This policy has been written with consideration given to working practices. By adopting this policy, a reduction in workload has been facilitated by reducing the need for individual academies to interpret the policy locally.

## 1. Introduction

- 1.1. Dartmoor Multi Academy Trust is committed to maintaining the confidentiality of information we hold about pupils, parents, staff and volunteers. In line with the requirements of the General Data Protection Regulation (GDPR), the Trust has a responsibility to ensure that all records are only kept for as long as is necessary to fulfil the purpose(s) for which they were originally intended.
- 1.2. This policy outlines how information will be processed, stored, accessed, monitored, retained and disposed of, to meet the Trust's statutory requirements to comply with the General Data Protection Regulation and other relevant statutory legislation.
- 1.3. Information assets (or 'records') are defined as all documents and materials, regardless of format, which facilitate the activities carried out by the Trust. These records may be created, received and maintained in hard copy or electronically (including emails).
- 1.4. The Trust will manage records in line with the Records Retention Schedule, to ensure that it can meet Freedom of Information requests and respond to data subject access requests under the GDPR and other financial or legal requirements.
- 1.5. The retention periods are based on the latest guidance from the Information Records Management Society (IRMS) and are not an exhaustive list of records that may be kept by academies. Where the IRMS has not provided guidance for disposal methods or retention periods, good practice recommendations have been provided. Schools should consult the Trust's Data Protection Officer for further guidance.

## 2. Definitions

- 2.1. 'Headteacher' refers to the role of Principal, Headteacher and Executive Headteacher.
- 2.2. 'Academy' refers to all schools and colleges in our Trust
- 2.3. 'Pupil' refers to all pupils and students on roll at any academy in our Trust



### 3. Legal Framework and related Policies

- 3.1. This policy has due regard to the following legislation and guidance including, but not limited to, the following:
- General Data Protection Regulation (2016)
  - Freedom of Information Act 2000
  - Limitation Act 1980 (as amended by the Limitation Amendment Act 1980)
  - Data Protection Act 2018
  - The Education (Independent School Standards) Regulations 2014 (with reference to educational record)
  - Information Records Management Society 'Information Management Toolkit for Academies' 2020
- 3.2. The following Trust policies also apply
- E Safety Policy
  - Data Protection Policy
  - Privacy Notices
  - Data Breach Policy
  - Acceptable Use Policy (Staff)
  - Code of Conduct for Staff
  - Safeguarding and Child Protection Policy
  - HR Policies including Grievance, Disciplinary and Capability
  - Social Media Policy

### 4. Responsibilities

- 4.1. The Trust has a corporate responsibility to maintain its records and records management systems in accordance with legislation.
- 4.2. The Trust Data Protection Officer is responsible for providing guidance and advice on good records management practice and promoting compliance with this policy. Such guidance is formulated within the context of existing Trust policies and guidelines regarding data protection, national legislation and sector-wide standards.
- 4.3. The Headteacher at each academy is responsible for ensuring this policy is implemented and that all records are stored securely, in accordance with the retention periods outlined, recorded, and are disposed of correctly.
- 4.4. The Headteacher may delegate to the Data Protection Lead in their school the responsibility for maintaining the information asset register (IAR) and the record of processing activity (RoPA) in accordance with per Article 30 of GDPR and steps 2–5 of the Department for Education (DfE) Data Protection Toolkit for Schools.
- 4.5. It is essential that all records have an identified Information Asset Owner (IAO) whose responsibility it is to ensure records are managed in accordance with Trust Data Protection Policies and the GDPR.
- 4.6. The Trust has adopted GDPRis as the Trust's tool for holding the Information Asset Register. The Data Protection Officer will provide support and guidance to individual schools to ensure this is kept up to date. Maintaining the RoPA should not be a one-off activity and the document needs to be regularly reviewed.
- 4.7. Records containing Personally Identifiable Information (PII) must be logged in the schools GDPRis system to ensure the school meets its obligations under GDPR to have a current data map. For example, 'HR records' would be entered in the GDPRis system as a 'My Product', outlining the data fields, the purpose for processing/ retention, the IAO, location,



and retention. This information must be reviewable by the school's Data Protection Lead to ensure that data sources are managed in line with policy and can be identified in the event of a Data Subject Access Request.

- 4.8. All Trust staff are responsible for ensuring that any records for which they are responsible or which they process are accurate, maintained securely and disposed of correctly, in line with the provisions of this policy.
- 4.9. Each school within the Trust is individually responsible for the management of their records generated by its activities.
- 4.10. The Trust HR Onboarding and Offboarding procedures will ensure managed access to systems and records. This should include limits on how users access the resources, which user actions can be performed, and what resources users can access. Where individuals are given access to personal or sensitive data, training will be provided to ensure that they are aware of the increased risks, responsibilities (including confidentiality responsibilities), and the consequences of unauthorised access.

## 5. Storage and security

- 5.1. As a general principle, the Trust favours electronic storage of information, in order to:
  - a) assist data sharing where appropriate
  - b) ensure access to information by authorized users
  - c) ensure availability of information in the event of disaster recovery or business continuity
  - d) minimize duplication of data e.g. information stored in a school's management information system will not also be printed and stored in a paper file.
- 5.2. The Trust's Acceptable Use Policy for Staff details measures to ensure safe and secure storage and access to electronic records and should be read in conjunction with this policy.
- 5.3. Schools must ensure that key information is securely stored and can still be accessed in the event of a data breach including loss of access due to fire or flood or malware, to limit any loss or theft of data.
- 5.4. It is strongly recommended that schools should store key information in DfE approved enterprise-level cloud storage such as Microsoft Office or G Suite, to ensure access in the event of school closures.
- 5.5. Confidential paper records must be kept in a locked filing cabinet, drawer or safe, with restricted access. They must not be left unattended or in clear view when held in a location with general access.
- 5.6. Memory sticks are not permitted to be used. Schools must liaise with their IT Hub Manager if exceptional circumstances require them to be used, such as large image files for Photography students.
- 5.7. Staff must not use computer/ laptop hard drives (c:/drive) or the desktop to store personal store information as this drive is not backed up. Use your personal drive only for information that is confidential or personal or does not need to be shared within the Trust. Use cloud storage such as Google Drive or Microsoft One Drive where available to do so.
- 5.8. All electronic devices must be password-protected to protect the information on the device in case of theft.
- 5.9. All members of staff are provided with their own secure login and password which must not be divulged to anyone else.
- 5.10. All staff members should implement a clear desk policy to avoid unauthorised access to physical records containing sensitive or personal information. All confidential information will be stored in a securely locked filing cabinet, drawer or safe with restricted access.



- 5.11. Under no circumstances are visitors allowed access to confidential or personal information. Visitors to areas of school containing sensitive information should be supervised at all times.
- 5.12. The physical security of the Trust's buildings and storage systems, and access to them, is reviewed by the Director of Estates, the Director of Safeguarding and the DPO to evaluate the risks of vandalism, burglary or theft, safeguarding risk or data security and provide guidance on measures to reduce risk accordingly.

## 6. Email

- 6.1. Staff and governors must not use their own personal email addresses for school purposes.
- 6.2. Emails containing sensitive or confidential information must be encrypted to ensure that only the recipient is able to access the information. Microsoft Office and Gmail have system encryption that can be used.
- 6.3. The consequences of an e-mail containing sensitive information being sent to an unauthorised person can result in a fine of up to 20 million euros (or equivalent in sterling) or restrictions on processing from the Information Commissioner, along with adverse publicity for your Trust. Confidential or sensitive information should be sent by a secure encrypted e-mail or data transfer system. Personal information (such as a pupil's name) should never be used in the subject line of an e-mail.
- 6.4. Circular emails to parents should be preference be sent using third-party communication systems to ensure security of recipients. The Trust has adopted SchoolComms in all schools which can be used for this purpose. Where emails must be sent, they must be sent blind carbon copy (bcc), so email addresses are not disclosed to other recipients.
- 6.5. E-mail systems are commonly used to store information which should be stored somewhere else. E-mail and attachments that needs to be kept should be identified by content, for example: *Does it form part of a pupil record? Is it part of a contract? Does it relate to an employee?* They should then be saved into an appropriate electronic filing system. Where the text of the e-mail adds to the context or value of the attached documents, it may be necessary to keep the whole e-mail. Information contained within e-mails may need to be transferred or logged in the appropriate place (e.g., the management information system (MIS) or behaviour management system). Once this is done, the original can be deleted.
- 6.6. The retention period for keeping information held as email files should correspond with the types of records found in the Trust Retention below.
- 6.7. All staff should adopt best practice guidance and routinely delete email over 12 months old. This will assist greatly in reducing the amount of information potentially disclosable in the event that a subject access request is received.

## 7. Confidentiality

- 7.1. It may be appropriate to label records or archives as 'Confidential'. This does not exempt the record from being admissible under the Freedom of Information Act 2000. Further information can be obtained from the Trust's Freedom of Information Policy.
- 7.2. The Trust takes its duties under the GDPR seriously and any unauthorised disclosure may result in disciplinary action.
- 7.3. E-mails may be disclosed in response to a Freedom of Information or Subject Access Request and in legal cases. Electronic messages can be legally binding
- 7.4. Before sharing data, staff must always ensure that:



- They have consent from data subjects to share it.
- Adequate security is in place to protect it.
- The data recipient has been outlined in a privacy notice.

## 8. Information Audit

8.1. The Data Protection Officer will conduct an information audit on an annual basis with the school's Data Protection Lead against all information held by the Trust and each academy to evaluate the information each is holding, receiving and using, and to ensure that this is correctly managed in accordance with the GDPR. audit may involve interviews or questionnaires with key operational staff to identify information and information flows which may include the following:

- Paper documents and records
- Electronic documents and records
- Databases
- Sound recordings
- Video and photographic records
- Hybrid files, containing both paper and electronic information
- Archives and archive logs

## 9. Retention Schedule

- 9.1. The retention schedule refers to records, regardless of the media in which they are stored.
- 9.2. Managing records against the retention schedule is deemed to be "normal processing" under the General Data Protection Regulation, Data Protection Act 2018 and the Freedom of Information Act 2000. Members of staff should be aware that once a Freedom of Information request is received or a legal hold imposed, then records disposal must be stopped.
- 9.3. Some of the retention periods are governed by statute; others are guidelines following best practice. Every effort has been made to ensure that these retention periods are compliant with the requirements of the General Data Protection Regulation, Data Protection Act 2018 and the Freedom of Information Act 2000.
- 9.4. Managing records using these retention guidelines will be deemed to be "normal processing" under the legislation mentioned above. If record series are to be kept for longer or shorter periods than those laid out in this document, the reasons for this need to be documented in each school's Archive Log.

## 10. Transferring Pupil Records

- 10.1. Where a pupil transfers to a new school, it is vital to ensure swift transfers of information to the new school to ensure appropriate decisions can be made regarding a pupil, using relevant and accurate information.
- 10.2. The pupil record should not be weeded before transfer, unless any duplicates or records with a short retention period have been included; these can be removed and securely destroyed.
- 10.3. The following should be transferred to the next school within 15 school days of receipt of confirmation that a pupil is registered at another school:
- 10.4. Common Transfer File (CTF) from the School Information Management System via the school2school system, when used





- 10.5. Any elements of the pupil record, held in any format, not transferred as part of the CTF
- 10.6. SEN or other support service information, including behaviour, as only limited information may be included in the CTF
- 10.7. Child protection information; this must be sent as soon as possible by the Designated Safeguarding Lead (DSL) or a member of their team to their equivalent at the new Trust.
- 10.8. Academies must ensure the information is kept secure and traceable during transfer. Pupil records should not be sent by post, even Special Delivery. They may be delivered or collected in person, with signed confirmation
- 10.9. If held electronically, records may be sent to a named contact via secure encrypted email, or other secure transfer method
- 10.10. If the pupil is transferring to an independent school or a post-16 establishment, the existing school/college should transfer copies of relevant information only and retain the original full record as the last known school.
- 10.11. If a request is received to transfer the pupil record or other information about a pupil to a school outside of the European Union (EU), the school seek written consent from the parent prior to forwarding any information to the new school and should retain a copy of the original full record as the last known school.

## 11. Organisation and Storage

- 11.1. Administrators / Managers are strongly recommended to create electronic filing systems (folders) which reflect the categories below in order to ensure efficient management of records on an ongoing basis and timely disposal as required.
- 11.2. Where information is held in third party systems e.g. SIMS, there is no requirement to also hold a paper copy and the duplication of records is not considered good practice.
- 11.3. All records must be securely stored. Schools must risk assess those records held only in paper format, assessing the risks of loss of access, for example through fire or theft, in particular those records of a confidential nature, such as personnel records and consider appropriate back up.
- 11.4. Electronic records must be backed up whether through DfE approved enterprise-level cloud storage such as Microsoft Office 365 or GSuite.

## 12. Disposal of Data

- 12.1. A trust-wide contract for the secure destruction of paper records has been facilitate for all schools in the Trust. All records produced through the day to day operations of the Trust containing personal identifying information must be disposed of through this route.
- 12.2. Where the Retention Schedule mentions SECURE DISPOSAL, this must be via the Trust's confidential waste disposal service which provides confidential waste consoles in all schools, or via cross cut shredder.
- 12.3. All schools and the central team must keep an electronic log of archived records, held and managed by the school Data Protection Lead. The log must record the date and method of secure destruction of records due for destruction at the end of the requisite retention period.
- 12.4. Data Protection Leads are responsible for risk assessing whether records normally due for destruction, e.g. complaints records, should be retained for longer and recording this on the archives log.

- 12.5. IT Hub managers will provide support and guidance to schools and central teams regarding secure disposal of computer and electronic records through approved recycling services.

### **13. Monitoring and Review**

- 13.1. This policy will be reviewed every three years by the Trust Data Protection Officer or when best practice guidance is updated.

# RECORDS RETENTION SCHEDULE

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# RECORDS RETENTION SCHEDULE

## Guidance

This document should be used with reference to the Trust's Information Management Policy.

'Records' can include electronic information; there is no requirement to retain duplicate records in electronic and paper format and doing so would not meet the 'data minimisation' requirements of the GDPR.

Records shaded 'orange' are relevant to the overall Trust only and not to the individual academy schools. Schools should therefore ensure they are aware of those areas that are relevant for them.

### Organisation and Storage

Administrators / Managers are strongly recommended to create electronic filing systems (folders) which reflect the categories below in order to ensure efficient management of records on an ongoing basis and timely disposal as required.

Where information is held in third party systems e.g. SIMS, there is no requirement to also hold a paper copy and the duplication of records is not considered good practice.

All records must be securely stored. Schools must risk assess those records held only in paper format, assessing the risks of loss of access, for example through fire or theft, in particular those records of a confidential nature, such as personnel records and consider appropriate back up.

The Trust's dedicated confidential waste disposal cabinets or cross cut shredders must be used for the secure disposal of records where required.

# RECORDS RETENTION SCHEDULE

## Governance, Funding and Financial Management of the Academy Trust

Academies are governed by the Academy Trust, which will usually be a company limited by guarantee<sup>1</sup>. The Academy Trust may also be a charitable trust.

1.1 Governance of the Academy Trust					
	Basic file description	Data Protection Issues	Statutory Provisions/ Notes	Retention Period [Operational]	Action at end of administrative life of the record
1.1.1	Governance Statement	No		Life of governance statement + 6 years	SECURE DISPOSAL
1.1.2	Articles of Association	No		Life of the Academy	
1.1.3	Memorandum of Association	No		This can be disposed of once the Academy has been incorporated	SECURE DISPOSAL
1.1.4	Memorandum of Understanding of Shared Governance among Schools	No	<i>Companies Act 2006 section 355</i>	Life of Memorandum of Understanding + 6 years	SECURE DISPOSAL
1.1.5	Constitution	No		Life of the Academy	
1.1.6	Special Resolutions to amend the Constitution	No		Life of the Academy	
1.1.7	Written Scheme of Delegation	No	<i>Companies Act 2006 section 355</i>	Life of Written Scheme of Delegation + 10 years	SECURE DISPOSAL

<sup>1</sup> A **company limited by guarantee** does not usually have a share capital or shareholders, but instead has members who act as guarantors. The guarantors give an undertaking to contribute a nominal amount (typically very small) in the event of winding up of the **company**. In the case of an Academy, the guarantors will guarantee the sum of £10 each.

# RECORDS RETENTION SCHEDULE

<b>1.1 Governance of the Academy Trust</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions/ Notes</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.1.8	Directors – Appointment	No		Life of appointment + 6 years	SECURE DISPOSAL
1.1.9	Directors – Disqualification	No	Company Directors Disqualification Act 1986	Date of disqualification + 15 years	SECURE DISPOSAL
1.1.10	Directors – Termination of Office	No		Date of termination + 6 years	SECURE DISPOSAL
1.1.11	Annual Report – Trustees Report	No	<i>Companies Act 2006 section 355</i>	Date of report + 10 years	SECURE DISPOSAL
1.1.12	Annual Report and Accounts	No	<i>Companies Act 2006 section 355</i>	Date of report + 10 years	SECURE DISPOSAL
1.1.13	Annual Return	No	<i>Companies Act 2006 section 355</i>	Date of report + 10 years	SECURE DISPOSAL
1.1.14	Appointment of Trustees and Governors and Directors	Yes	<b>Relevant for Local Academy Committees</b>	Life of appointment + 6 years	SECURE DISPOSAL
1.1.15	Statement of Trustees Responsibilities	No		Life of appointment + 6 years	SECURE DISPOSAL
1.1.16	Appointment and removal of Members	No		Life of appointment + 6 years	SECURE DISPOSAL
1.1.17	Strategic Review	No		Date of the review + 6 years	SECURE DISPOSAL
1.1.18	<b>Strategic Plan [also known as School Development Plan]</b>	<b>No</b>	<b>Also relevant at school level</b>	<b>Life of plan + 6 years</b>	<b>SECURE DISPOSAL</b>

# RECORDS RETENTION SCHEDULE

1.1 Governance of the Academy Trust					
	Basic file description	Data Protection Issues	Statutory Provisions/ Notes	Retention Period [Operational]	Action at end of administrative life of the record
1.1.19	<b>Accessibility Plan</b> <b>Relevant at school level</b>	There may be if the plan refers to specific pupils	Limitation Act 1980 (Section 2)	Life of plan + 6 years	SECURE DISPOSAL

1.2 Board of Directors, Members Meetings and Governing Body					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
<b>Board of Directors</b>					
1.2.1	Board Meeting Minutes	Could be if the minutes refer to living individuals	Companies Act 2006 section 248	Minutes must be kept for at least 10 years from the date of the meeting	OFFER TO ARCHIVES
1.2.2	Board Decisions	Could be if the decisions refer to living individuals		Date of the meeting + a minimum of 10 years	OFFER TO ARCHIVES
1.2.3	Board Meeting: Annual Schedule of Business	No		Current year	SECURE DISPOSAL
1.2.4	Board Meeting: Procedures for conduct of meeting	No	Limitation Act 1980 (Section 2)	Date procedures superseded + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.2 Board of Directors, Members Meetings and Governing Body</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
<b>Committees<sup>2</sup></b>					
1.2.5	Minutes relating to any committees set up by the Board of Directors	Could be if the minutes refer to living individuals		Date of the meeting + a minimum of 10 years	SECURE DISPOSAL
<b>General Members' Meeting</b>					
1.2.6	Records relating to the management of General Members' Meetings	Could be if the minutes refer to living individuals	Companies Act 2006 section 248	Minutes must be kept for at least 10 years from the date of the meeting <sup>3</sup>	SECURE DISPOSAL
1.2.7	Records relating to the management of the Annual General Meeting <sup>4</sup>	Could be if the minutes refer to living individuals	Companies Act 2006 section 248	Minutes must be kept for at least 10 years from the date of the meeting <sup>5</sup>	SECURE DISPOSAL
<b>Governors including Local Academy Committee governors. For all records, retention can include a master electronic copy</b>					

<sup>2</sup> The board can establish any committee and determine the constitution, membership and proceedings that will apply.

<sup>3</sup> The signed minutes must be kept securely together with the notice and agenda for the meeting and supporting documentation provided for consideration at the meeting. **This can include scanned copies held electronically.**

<sup>4</sup> Not all Academies are required to hold an Annual General Meeting for the Members – the requirement will be stated in the Constitution.

<sup>5</sup> The signed minutes must be kept securely together with the notice and agenda for the meeting and any supporting documentation provided for consideration at the meeting. **This can include scanned copies held electronically.**



# RECORDS RETENTION SCHEDULE

1.2 Board of Directors, Members Meetings and Governing Body					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
1.2.8	Agendas for Governing Body meetings	May be data protection issues, if the meeting is dealing with confidential issues relating to staff		One copy should be retained with the master set of minutes. All other copies can be disposed of. <b>This can include a master electronic copy</b>	SECURE DISPOSAL
1.2.9	Minutes of, and papers considered at, meetings of the Governing Body and its committees	May be data protection issues, if the meeting is dealing with confidential issues relating to staff		<b>This can include a master electronic copy</b>	
	Principal Set (signed)			Life of Academy <b>This can include a master electronic copy</b>	
	Inspection Copies <sup>6</sup>			Date of meeting + 3 years	SECURE DISPOSAL
1.2.10	Reports presented to the Governing Body	May be data protection issues, if the report deals with confidential issues relating to staff		Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports, then the reports should be kept for the life of the Academy <b>This can include a master electronic copy</b>	SECURE DISPOSAL or retain with the signed set of minutes

<sup>6</sup> Copies of minutes (redacted if necessary) must be published on each school's website (or link to cluster page as appropriate) in the interests of transparency.

# RECORDS RETENTION SCHEDULE

<b>1.2 Board of Directors, Members Meetings and Governing Body</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.2.11	Meeting papers relating to the annual parents' meeting held under Section 33 of the Education Act 2002	No	Education Act 2002, Section 33	Date of the meeting + a minimum of 6 years <b>This can include a master electronic copy</b>	SECURE DISPOSAL
1.2.12	Trusts and Endowments managed by the Governing Body	No		PERMANENT	
1.2.13	Records relating to complaints dealt with by the Governing Body	Yes		<b>Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes. See also Section 3.3.1</b>	SECURE DISPOSAL
1.2.14	Annual Reports created under the requirements of the Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002	No	Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171	Date of report + 10 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.2 Board of Directors, Members Meetings and Governing Body</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
<b>Statutory Registers<sup>7</sup></b>					
1.2.15	Register of Directors		Companies Act 2006	Life of the Academy + 6 years	SECURE DISPOSAL
1.2.16	Register of Directors' interests [this is not a statutory register]			Life of the Academy + 6 years	SECURE DISPOSAL
1.2.17	Register of Directors' residential addresses		Companies Act 2006	Life of the Academy + 6 years	SECURE DISPOSAL
1.2.18	Register of gifts, hospitality and entertainments		Companies Act 2006	Life of the Academy + 6 years	SECURE DISPOSAL
1.2.19	Register of members		Companies Act 2006	Life of the Academy + 6 years	SECURE DISPOSAL
1.2.20	Register of secretaries		Companies Act 2006	Life of the Academy + 6 years	SECURE DISPOSAL
1.2.21	Register of Trustees interests			Life of the Academy + 6 years	SECURE DISPOSAL

<sup>7</sup> Academies are required by law to keep specific records, collectively known as statutory registers or the statutory books. The registers record information relating to the Academy's operations and structure, such as the current directors. Records should be kept up-to-date to reflect any changes that take place.

# RECORDS RETENTION SCHEDULE

<b>1.2 Board of Directors, Members Meetings and Governing Body</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.2.22	Declaration of Interests Statements [Governors] [this is not a statutory register]	Yes – contains PII		Life of the Academy + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.3 Funding and Finance</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
<b>Strategic Finance</b>					
1.3.1	Statement of financial activities for the year	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.2	Financial planning	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.3	Value for money statement	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.4	Records relating to the management of VAT	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.5	Whole of government accounts returns	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.6	Borrowing powers	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.7	Budget plan	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.8	Charging and remissions policy <b>Trust wide policy in force</b>	No		Date policy superseded + 3 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.3 Funding and Finance</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
<b>Audit Arrangements</b>					
1.3.9	Audit Committee and appointment of responsible officers	No		Life of the Academy	SECURE DISPOSAL
1.3.10	Independent Auditor's report on regularity	No		Financial year report relates to + 6 years	SECURE DISPOSAL
1.3.11	Independent Auditor's report on financial statements	No		Financial year report relates to + 6 years	SECURE DISPOSAL
<b>Funding Agreements</b>					
1.3.12	Funding Agreement with Secretary of State and supplemental funding agreements <sup>8</sup>	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.13	Funding Agreement – Termination of the funding agreement <sup>9</sup>			Date of last payment of funding + 6 years	SECURE DISPOSAL

<sup>8</sup> Where there is multi-Academy governance.

<sup>9</sup> Either party may give not less than 7 financial years' written notice to terminate the Agreement, such notice to expire on 31 August. Or, where the Academy has significant financial issues or is insolvent, the Agreement can be terminated by the Secretary of State to take effect on the date of the notice.



# RECORDS RETENTION SCHEDULE

1.3 Funding and Finance					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
1.3.14	Funding Records – Capital Grant	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.15	Funding Records – Earmarked Annual Grant (EAG)	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.16	Funding Records – General Annual Grant (GAG)	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.17	Per pupil funding records	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.18	Exclusions agreement <sup>10</sup>	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.19	Funding records <sup>11</sup>	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.20	Gift Aid and Tax Relief	No		Date of last payment of funding + 6 years	SECURE DISPOSAL
1.3.21	Records relating to loans	No		Date of last payment on loan + 6 years if the loan is under £10,000 or date of last payment on loan + 12 years if the loan is over £10,000	SECURE DISPOSAL

<sup>10</sup> The Academy can enter into an arrangement with a Local Authority (LA), so that payment will flow between the Academy and the LA, in the same way as it would do were the Academy a maintained school.

<sup>11</sup> Funding agreement which says that the Academy can receive donations and can only charge where the law allows maintained schools to charge [see Charging and Remission Policy].

# RECORDS RETENTION SCHEDULE

<b>1.3 Funding and Finance</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
<b>Payroll and Pensions</b>					
1.3.22	Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567)	Current year + 3 years	SECURE DISPOSAL
1.3.23	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes	Regulation 15 Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103)	From the end of the year in which the accounts were signed for a minimum of 6 years	SECURE DISPOSAL
1.3.24	Management of the Teachers' Pension Scheme	Yes		Date of last payment on the pension + 6 years	SECURE DISPOSAL
1.3.25	Records relating to pension registrations	Yes		Date of last payment on the pension + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.3 Funding and Finance</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.3.26	Payroll records	Yes		Date payroll run + 6 years <b>Payroll claims submitted to DMAT Payroll should not also be retained by individual schools beyond an operational period (maximum one year) to enable verification/ local queries. DMAT Payroll is the Information Asset Owner</b>	SECURE DISPOSAL
<b>Risk Management and Insurance</b>					
1.3.27	Insurance policies	No		Date the policy expires + 6 years	SECURE DISPOSAL
1.3.28	Records relating to the settlement of insurance claims	No		Date claim settled + 6 years	SECURE DISPOSAL
1.3.29	Employer's Liability Insurance Certificate	No		Closure of the school + 40 years	SECURE DISPOSAL
<b>Endowment Funds and Investments</b>					
1.3.30	Investment policies	No		Life of the investment + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.3 Funding and Finance</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.3.31	Management of Endowment Funds	No		Life of the fund + 6 years	
<b>Accounts and Statements</b>					
Records held electronically in the Trust's finance system do not also require duplicate paper records to be held.					
1.3.32	Annual accounts	No		Current year + 6 years	STANDARD DISPOSAL
1.3.33	Loans and grants managed by the school	No		Date of last payment on the loan + 12 years then REVIEW	SECURE DISPOSAL
1.3.34	Student Grant applications	Yes		Current year + 3 years	SECURE DISPOSAL
1.3.35	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
1.3.36	Invoices, receipts, orders and requisitions, delivery notices	No		Current financial year + 6 years	SECURE DISPOSAL
1.3.37	Records relating to the collection and banking of monies	No		Current financial year + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.3 Funding and Finance</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.3.38	Records relating to the identification and collection of debt	No		Current financial year + 6 years	SECURE DISPOSAL
<b>Contract Management</b>					
1.3.39	All records relating to the management of contracts under seal	No	Limitation Act 1980	Last payment on the contract + 12 years	SECURE DISPOSAL
1.3.40	All records relating to the management of contracts under signature	No	Limitation Act 1980	Last payment on the contract + 6 years	SECURE DISPOSAL
1.3.41	Records relating to the monitoring of contracts	No		Current year + 2 years	SECURE DISPOSAL
<b>Asset Management</b>					
1.3.42	Inventories of furniture and equipment	No		Current year + 6 years	SECURE DISPOSAL
1.3.43	Burglary, theft and vandalism report forms	No		Current year + 6 years	SECURE DISPOSAL
1.3.44	Records relating to the leasing of shared facilities, such as sports centres	No		Current year + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>1.3 Funding and Finance</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.3.45	Land and building valuations	No		Date valuation superseded + 6 years	SECURE DISPOSAL
1.3.46	Disposal of assets	No		Date asset disposed of + 6 years	SECURE DISPOSAL
1.3.47	Community School leases for land	No		Date lease expires + 6 years	SECURE DISPOSAL
1.3.48	Commercial transfer arrangements	No		Date of transfer + 6 years	SECURE DISPOSAL
1.3.49	Transfer of land to the Academy Trust	No		Life of land ownership then transfer to new owner	SECURE DISPOSAL
1.3.50	Transfers of freehold land	No		Life of land ownership then transfer to new owner	SECURE DISPOSAL
<b>1.3.51 to 1.3.57 has been removed</b>					



# RECORDS RETENTION SCHEDULE

## School Meals<sup>12</sup>

Registers are held in third party software (SIMS, SchoolComms or CRB Cunninghams) and do not need to be held in paper format also. The DfE Key 2 Success portal also holds information about FSM eligible pupils.

1.3.58	Free school meals registers	Yes		Current year + 6 years	SECURE DISPOSAL
1.3.59	School meals registers	Yes		Current year + 3 years	SECURE DISPOSAL
1.3.60	School meals summary sheets	No		Current year + 3 years	SECURE DISPOSAL

As a charity, an Academy is not permitted to trade and make a profit. It is, however, possible to set up a subsidiary trading company, which can sell products or services and Gift Aid profits back to the Academy. If the Academy operates a subsidiary company, it is expected that these records will be managed in line with standard business practice.

<sup>12</sup> Unless it would be unreasonable to do so, school lunches should be provided when they are requested by, or on behalf of, any pupil. A school lunch must be provided free of charge to any pupil entitled to free school lunches. From September 2014, free school lunches must be provided to all KS1 pupils.

# RECORDS RETENTION SCHEDULE

<b>1.4 Policies, Frameworks and Overarching Requirements</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
1.4.1	<b>Data Protection Policy, including data protection notification TRUST POLICY</b>	No		<b>Date policy superseded + 6 years</b>	<b>SECURE DISPOSAL</b>
1.4.2	<b>Freedom of Information Policy TRUST POLICY</b>	No		<b>Date policy superseded + 6 years</b>	<b>SECURE DISPOSAL</b>
1.4.3	<b>Data Breach Policy TRUST POLICY</b>	No		<b>Date policy superseded + 6 years</b>	<b>SECURE DISPOSAL</b>
1.4.4	<b>Special Educational Needs Policy</b>	No		<b>Date policy superseded + 6 years</b>	<b>SECURE DISPOSAL</b>
1.4.5	<b>Complaints Policy TRUST POLICY</b>	No		<b>Date policy superseded + 6 years</b>	<b>SECURE DISPOSAL</b>
1.4.6	<b>Risk and Control Framework TRUST POLICY</b>	No		<b>Life of framework + 6 years</b>	<b>SECURE DISPOSAL</b>
1.4.7	Rules and Bylaws	No		Date rules or bylaws superseded + 6 years	SECURE DISPOSAL
1.4.9	Home School Agreements	No		NON-STATUTORY	SECURE DISPOSAL
1.4.10	Equality Information and Objectives (public sector equality duty) Statement for publication	No		Date of statement + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

## Human Resources

### 2.1 Recruitment<sup>13</sup>

The Trust uses third party software (Eteach) to manage recruitment and associated document management including audit. Individual schools should not make additional copies of recruitment paperwork without verifying first with the HR Portfolio lead as the data will be held centrally in the Trust's portal.

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of 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 – <b>unsuccessful candidates</b>	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 – <b>successful candidate</b>	Yes		All 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 <sup>14</sup>	No	DBS Update Service Employer Guide June 2014	<b>The school should add the DBS Clearance number to the school Single Central Record. Copies of DBS certificates should NOT be made or added to the Staff Personal File</b>	SECURE DISPOSAL

<sup>13</sup> Academies do not necessarily have to employ people with qualified teacher status; only the SEN and designated LAC teacher must be qualified.

<sup>14</sup> Academies are bound by the legislation that applies to independent schools NOT maintained schools.

# RECORDS RETENTION SCHEDULE

## 2.1 Recruitment<sup>13</sup>

The Trust uses third party software (Eteach) to manage recruitment and associated document management including audit. Individual schools should not make additional copies of recruitment paperwork without verifying first with the HR Portfolio lead as the data will be held centrally in the Trust's portal.

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
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. <b>Copies must not be retained in the Staff Personal File for the purposes of the DBS.</b>	SECURE DISPOSAL
2.1.6	Pre-employment vetting information – Evidence proving the right to work in the United Kingdom <sup>15</sup>	Yes	An employer's guide to right to work checks [Home Office May 2015]	Where possible, these documents should be added to the Staff Personal File, but if they are kept separately, then the Home Office requires that the documents are kept for termination of employment plus not less than 2 years	SECURE DISPOSAL
2.1.7	Records relating to the employment of overseas teachers	Yes		Where possible, these documents should be added to the Staff Personal File, but if they are kept separately, then the Home Office requires that the documents are kept for termination of employment plus not less than 2 years	SECURE DISPOSAL
2.1.8	Records relating to the TUPE process	Yes		Date last member of staff transfers or leaves the organisation + 6 years	SECURE DISPOSAL

<sup>15</sup> Employers are required to take a "clear copy" of the documents which they are shown as part of this process.

# RECORDS RETENTION SCHEDULE

2.2 Operational Staff Management					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
2.2.1	Staff Personal File, including employment contract and staff training records	Yes	Limitation Act 1980 (Section 2)	Termination of employment + 6 years  <b>Where possible, electronic files should be maintained in preference to paper based records to ensure adequate back up and security</b>	SECURE DISPOSAL
2.2.2	Timesheets	Yes		Current year + 6 years  <b>Payroll claims submitted to DMAT Payroll should not also be retained by individual schools beyond an operational period (maximum one year) to enable verification/ local queries. DMAT Payroll is the Information Asset Owner</b>	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

2.2 Operational Staff Management					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
2.2.3	Annual appraisal/assessment records	Yes		Current year + 5 years  Where possible, electronic files should be maintained in preference to paper based records to ensure adequate back up and security	SECURE DISPOSAL
2.2.4	Records relating to the agreement of pay and conditions	No		Date pay and conditions superseded + 6 years	SECURE DISPOSAL
2.2.5	Training needs analysis	No		Current year + 1 year	SECURE DISPOSAL



# RECORDS RETENTION SCHEDULE

<b>2.3 Management of Disciplinary and Grievance Processes</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
2.3.1	Allegation which is child protection in nature against a member of staff, including where the allegation is unfounded <sup>16</sup>	Yes	“Keeping children safe in education Statutory guidance for schools and colleges March 2015”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015”	Until the person’s normal retirement age or 10 years from the date of the allegation, whichever is longer, then REVIEW	SECURE DISPOSAL These records must be shredded
<b>2.3.2</b>	<b>Disciplinary Proceedings</b>	<b>Yes</b>			
	<ul style="list-style-type: none"> <li>Oral warning</li> </ul>			Date of warning <sup>17</sup> + 6 months	SECURE DISPOSAL <sup>18</sup>
	<ul style="list-style-type: none"> <li>Written warning – level 1</li> </ul>			Date of warning + 6 months	SECURE DISPOSAL <sup>19</sup>

<sup>16</sup> This review took place when 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.

<sup>17</sup> 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.

<sup>18</sup> If warnings are placed on personal files, then they must be weeded from the file.

<sup>19</sup> If warnings are placed on personal files, then they must be weeded from the file.

# RECORDS RETENTION SCHEDULE

## 2.3 Management of Disciplinary and Grievance Processes

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
	<ul style="list-style-type: none"> <li>Written warning – level 2</li> </ul>			Date of warning + 12 months	SECURE DISPOSAL <sup>20</sup>
	<ul style="list-style-type: none"> <li>Final warning</li> </ul>			Date of warning + 18 months	SECURE DISPOSAL <sup>21</sup>
	<ul style="list-style-type: none"> <li>Case not found</li> </ul>			If the incident is child protection related, then see above; otherwise, dispose of at the conclusion of the case	SECURE DISPOSAL

<sup>20</sup> If warnings are placed on personal files, then they must be weeded from the file.

<sup>21</sup> If warnings are placed on personal files, then they must be weeded from the file.

# RECORDS RETENTION SCHEDULE

2.4 Health and Safety					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of 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 <b>All accidents/ injury at work must be logged in OSHENS and all documents scanned and uploaded.</b>	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	The official Accident Book must be retained for 3 years after the last entry in the book. The book may be in paper or electronic format  The incident reporting form may be retained as below. <b>Schools should refer to the most current Health and Safety Policy for additional guidance.</b>	
	<ul style="list-style-type: none"> <li>Adults</li> </ul>			Date of incident + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

2.4 Health and Safety					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
	<ul style="list-style-type: none"> <li>Children</li> </ul>			<p>For minor accidents such as bumps and scrapes this must be kept until the pupil leaves the school.</p> <p>For more serious accidents, the reports remain the school reports and do not 'follow the child' to secondary school. Records must be kept until Date of birth of the child + 25 years</p>	SECURE DISPOSAL
2.4.5	Control of Substances Hazardous to Health (COSHH)	No		Current year + 10 years then REVIEW	SECURE DISPOSAL
2.4.6	Process of monitoring of areas where employees and persons are likely to have come into contact with asbestos	No		Last action + 40 years	SECURE DISPOSAL
2.4.7	Process of monitoring of areas where employees and persons are likely to have come into contact with radiation	No		Last action + 50 years	SECURE DISPOSAL
2.4.8	Fire precautions log books	No		Current year + 6 years	SECURE DISPOSAL
2.4.9	Fire risk assessments	No	Fire Service Order 2005	Life of the risk assessment + 6 years	SECURE DISPOSAL
2.4.10	Incident reports	Yes		Current year + 20 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

## Management of the Academy

### 3.1 Admissions

Admissions are recorded in SIMS which remains the source record. Additional paper records or log books must not be kept.

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
3.1.1	All records relating to the creation and implementation of the School 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
3.1.2	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

# RECORDS RETENTION SCHEDULE

## 3.1 Admissions

Admissions are recorded in SIMS which remains the source record. Additional paper records or log books must not be kept.

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
3.1.3	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
3.1.4	Register of admissions	Yes	School attendance: Departmental advice for maintained schools, Academies, independent schools and local authorities October 2014	Admissions are recorded in SIMS which remains the source record. Additional paper records or log books must not be kept. <sup>22</sup>	Until pupil record deleted in SIMS
3.1.5	Admissions – Secondary Schools – Casual	Yes		Current year + 1 year	SECURE DISPOSAL

<sup>22</sup> School attendance: Departmental advice for maintained schools, Academies, independent schools and local authorities October 2014 p6.

# RECORDS RETENTION SCHEDULE

## 3.1 Admissions

Admissions are recorded in SIMS which remains the source record. Additional paper records or log books must not be kept.

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
3.1.6	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 <b>Admissions are made to the local authority and not the school. The duty of proof of address lies with the Devon County Council as the admissions authority and not the school. The exception is for Early Years pupils where proof of address must be verified on admission.</b>	SECURE DISPOSAL
3.1.7	Supplementary information form, including additional information such as religion and medical conditions	Yes			

# RECORDS RETENTION SCHEDULE

## 3.1 Admissions

Admissions are recorded in SIMS which remains the source record. Additional paper records or log books must not be kept.

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
	<ul style="list-style-type: none"> <li>For successful admissions</li> </ul>			<p>This information should be added to the pupil file in SIMS.</p> <p><b>Paper records should only be retained until the data is inputted and no longer than one year. Schools must promote SIMS Parent to parents as a secure alternative to periodic data collection verification.</b></p>	SECURE DISPOSAL
	<ul style="list-style-type: none"> <li>For unsuccessful admissions</li> </ul>			Until appeals process completed	SECURE DISPOSAL



# RECORDS RETENTION SCHEDULE

<b>3.2 Head Teacher and Senior Management Team</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
3.2.1	Log books of activity in the school maintained by the Head Teacher	There may be data protection issues if the log book refers to individual pupils or members of staff		Date of last entry in the book + a minimum of 6 years then REVIEW <b>Log books are not a statutory requirement of Headteachers.</b>	These could be of permanent historical value and should be offered to the County Archives Service, if appropriate
3.2.2	Minutes of Senior Management Team meetings and meetings of other internal administrative bodies	There may be data protection issues if the minutes refers to individual pupils or members of staff		Date of the meeting + 3 years then REVIEW	SECURE DISPOSAL
3.2.3	Reports created by the Head Teacher or the Management Team	There may be data protection issues if the report refers to individual pupils or members of staff		Date of the report + a minimum of 3 years then REVIEW	SECURE DISPOSAL
3.2.4	Records created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities	There may be data protection issues if the records refer to individual pupils or members of staff		Current academic year + 6 years then REVIEW	SECURE DISPOSAL
3.2.5	Correspondence created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities	There may be data protection issues if the correspondence refers to individual pupils or members of staff		Date of correspondence + 3 years then REVIEW	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>3.2 Head Teacher and Senior Management Team</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
3.2.6	Professional Development Plans	Yes		Life of the plan + 6 years	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>3.3 Operational Administration</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
3.3.1	Management of complaints <b>See also Section 1.2.13</b>	Yes		Date complaint resolved + 3 years <b>Schools must refer to the Trust Complaints Policy. A risk assessment must be carried out prior to disposal of all complaints.</b>	SECURE DISPOSAL
3.3.2	Records relating to the management of contracts with external providers	No		Date of last payment on contract + 6 years.	SECURE DISPOSAL
3.3.3	Records relating to the management of software licences	No		Date licence expires + 6 years <b>IT Hub managers are the Information Asset Owner in this regard.</b>	SECURE DISPOSAL
3.3.4	This section has been deleted				
3.3.5	Records relating to the creation and publication of the school brochure or prospectus	No		Current year + 3 years <b>School prospectuses must be published online and updated regularly</b>	STANDARD DISPOSAL
3.3.6	Records relating to the creation and distribution of circulars to staff, parents or pupils	No		Current year + 1 year <b>School bulletins and newsletters are generally published online and must be available for one year. Additional hard copies are not required to be retained.</b>	STANDARD DISPOSAL
3.3.7	Newsletters and other items with a short operational use	No		Current year + 1 year	STANDARD DISPOSAL
3.3.8	Visitors' books and signing in sheets	Yes		Current year + 6 years then REVIEW	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

3.3 Operational Administration					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
3.3.9	Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations	No		Current year + 6 years then REVIEW <b>It is advisable that PTAs operate as distinct charitable organisations from the Trust.</b>	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

## Property Management

This section covers the management of buildings and property.

4.1 Property Management					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
4.1.1	Title deeds of properties belonging to the school	No		These should follow the property, unless the property has been registered with the Land Registry	
4.1.2	Plans of property belonging to the school	No		These should be retained whilst the building belongs to the school and should be passed onto any new owners if the building is leased or sold	
4.1.3	Leases of property leased by or to the school	No		Expiry of lease + 6 years	SECURE DISPOSAL
4.1.4	Records relating to the letting of school premises	No		Current financial year + 6 years <b>Schools must refer to the Trust Lettings Policy for additional details</b>	SECURE DISPOSAL
4.1.5	Business continuity and disaster recovery plans	No		Date the plan superseded + 3 years <b>Schools must refer to the Trust Business Continuity and Disaster Recovery Policy templates and guidance</b>	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE



## 4.2 Maintenance

The Trust uses the Every premises management software to manage and record statutory maintenance activities eg. Fire checks etc. Additional guidance on retention should be sought from the Director of Estates.

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
4.2.1	All records relating to the maintenance of the school carried out by contractors	No		Current year + 6 years	SECURE DISPOSAL
4.2.2	All records relating to the maintenance of the school carried out by school employees, including maintenance log books	No		Current year + 6 years	SECURE DISPOSAL

## 4.3 Fleet Management

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
4.3.1	The process of acquisition and disposal of vehicles through lease or purchase, e.g., contracts/leases, quotes, approvals	N	Limitation Act 1980 (Section 2)	Disposal of the vehicle + 6 years	SECURE DISPOSAL
4.3.2	The process of managing allocation and maintenance of vehicles, e.g., lists of who was driving the vehicles and when, maintenance	N	Limitation Act 1980 (Section 2)	Disposal of the vehicle + 6 years	SECURE DISPOSAL
4.3.3	Service logs and vehicle logs	N	Limitation Act 1980 (Section 2)	Life of the vehicle, then either to be retained for 6 years by school or to be returned to lease company	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

<b>4.3 Fleet Management</b>					
	<b>Basic file description</b>	<b>Data Protection Issues</b>	<b>Statutory Provisions</b>	<b>Retention Period [Operational]</b>	<b>Action at end of administrative life of the record</b>
4.3.4	GPS tracking data relating to the vehicles	N	Limitation Act 1980 (Section 2)	Date of journey + 6 years	SECURE DISPOSAL



# RECORDS RETENTION SCHEDULE

## Pupil Records

### General Principles

Schools hold a variety of information about pupils on roll.

This section provides guidance on retention of all records which are created during the time a pupil spends at the school. Additional information about accident reporting is found under Health and Safety above.

The vast majority of information is held in SIMS or other third-party software. Information should not be duplicated in paper format also.

- Table 1 below details the information fields within SIMS where common information will be found.
- Section 5 details the retention schedule as per the IRMS Guidance.

For information which is not held in third party systems Administrators are strongly recommended to create electronic filing systems (folders) (in Microsoft Office or GSuite) which reflect the categories below in order to ensure efficient management of records on an ongoing basis. Best practice guidance includes creating electronic folders per cohort (intake year) so that it can be efficiently managed with reference to the retention schedule.

In most cases, pupil information is held until the pupil is 25 years old. Primary schools do not need to keep this information but must forward it to the secondary school. In year transfers of pupils to other schools should transfer the information onwards on confirmation that the pupil has officially been entered on roll.

All information must be easy to find, accurately and objectively recorded, and expressed in a professional manner, as pupils and parents have a right of access to their educational record via the Data Protection Act 2018 and the GDPR. Requests for information by pupils, or their parents, are to be treated as subject access requests under Data Protection legislation.



# RECORDS RETENTION SCHEDULE

## PUPIL INFORMATION HELD IN SIMS

Basic Details	Location of information
<ul style="list-style-type: none"> <li>• Forename, surname and any preferred names</li> <li>• Gender</li> <li>• Date of birth</li> </ul>	<p>SIMS Section 1</p> <p>Birth certificates/ Proof of identify must not be retained</p>
Registration Details	
<ul style="list-style-type: none"> <li>• Unique pupil number</li> <li>• Admission number</li> <li>• Admission Date</li> <li>• House</li> <li>• Year Group</li> <li>• Tutor/ Reg Group</li> </ul>	<p>SIMS Section 2</p>
Address	
<ul style="list-style-type: none"> <li>• Home address, and alternative address if relevant</li> </ul>	<p>SIMS Section 3</p>
Telephone and email	
<ul style="list-style-type: none"> <li>• This is for the pupil and not the parent/carer</li> </ul>	<p>SIMS Section 4</p>
Family	

# RECORDS RETENTION SCHEDULE



<ul style="list-style-type: none"> <li>Names, Salutation, Home and contact details of parents/ carers including information about Parental Responsibility and priority for contacting</li> <li>Details of siblings on roll or ever on roll</li> </ul>	SIMS Section 5
<b>Free School Meal Eligibility</b>	
Start/ end dates of FSM	SIMS Section 6
<b>Medical</b>	
<ul style="list-style-type: none"> <li>Emergency Consent</li> <li>Dietary requirements e.g. allergies, preferences</li> <li>Medical Conditions which must include an uploaded copy of the current IHCP</li> <li>Medical Practice details</li> <li>Any correspondence with parents or external agencies relating to major issues, e.g. mental health</li> </ul>	SIMS Section 7 Oshens (major accidents)
Medicine consent and administering records (this is the school's record)	Must be stored such that records can be readily retrieved for a SAR
Accident forms (a copy must be uploaded to the pupil record if it is a major incident)	SIMS Section 7 Oshens <b>See Health and Safety Section above.</b>
<b>Ethnic / cultural</b>	

# RECORDS RETENTION SCHEDULE

<ul style="list-style-type: none"> <li>• Ethnicity</li> <li>• First Language</li> <li>• EAL</li> <li>• Religion</li> </ul>	<p>SIMS Section 8 <i>This is special category data and must be used only where there are explicit grounds to do so</i></p>
<p><b>Additional Information</b></p>	
<ul style="list-style-type: none"> <li>• Transport routes</li> <li>• Eligibility for free school transport</li> <li>• Service Children in Education status</li> <li>• Youth Support Services Agreement</li> <li>• Uniform allowances</li> <li>• PP Indicator</li> <li>• Learner Support</li> <li>• Details of any other agency involvement, e.g. speech and language therapist</li> </ul>	<p>SIMs Section 9</p> <p>May also be included in SEN under EHCP or Additional Information</p>
<p><b>Welfare</b></p>	
<ul style="list-style-type: none"> <li>• In Care Status</li> <li>• CPP Status</li> </ul>	<p>SIMS Section 10</p>

# RECORDS RETENTION SCHEDULE

<b>SEND</b>	
SEND information, documents, review dates, correspondence	SIMS SEN
EHCP (Education and healthcare plan) details	SIMS SEN
Exclusion information	SIMS Exclusions
Behaviour Management records, including achievements	SIMS Behaviour Management
Child protection /safeguarding concerns, disclosures and reports	CPOMS (all hard copies of information must be uploaded)
<b>Attendance</b>	
Attendance	<b>Letter regarding attendance concerns must be logged in SIMS</b> (using templates where possible) and not in separate email systems/files.
Absence marks for late arrival or early departure	<b>Comment must be added to session mark in SIMS</b>
S2 Absence Request forms	Held in separate Absence Request folder, alphabetical, per year. Retention is current year plus 2 years only.
Correspondence with parents about minor issues, e.g. behaviour	Schools should make use of communication tools via SchoolComms where possible to ensure communication is logged against the pupil, but especially for any more significant issues.
<b>Data collection forms</b>	
Data collection is an annual requirement on schools. The Trust strongly advises all schools to use Sims Parent to fulfill this obligation efficiently and effectively. <b>Old paper forms must not be retained.</b>	SIMS (via SIMS Parent)
<b>School History</b>	SIMS Section 11
Information regarding previous	
<b>Pupil Reports</b>	
The annual written report of each registered pupil's progress and attainment in the main subject areas taught must be retained as	Schools have discretion over how reports are produced and where they are retained but they must evidence suitable

# RECORDS RETENTION SCHEDULE

part of the pupil record, and also be provided to the parents of that registered pupil	structured retention of such records, ideally electronically per cohort, and searchable in the event of a SAR
<b>Parental Consents</b>	
Record of consents for e.g. photos, use of images in websites and social media, biometrics, etc.	SIMS Section 12
Consent for educational visits <b>See Section 7.1.3</b>	Must be obtained through SchoolComms. Should not be retained in hard copy. In the event of an incident occurring this must be logged in OSHENS and a Pdf extract of consents must be uploaded to OSHENS.
Photography (image) consents	Consents must be obtained when the Pupil joins the school. At present this is done via Admissions paperwork at school level. Schools are strongly advised to promote SIMS Parent in order to enable parents to check and amend consents for photographs and all other consents via the online portal provided. The alternative is that schools must send BLANK Data Collection Forms on an annual basis to verify details are accurate and up to date. This may include any change to consents.

# RECORDS RETENTION SCHEDULE

5.1 Pupil's Educational Record					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of 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		
	<ul style="list-style-type: none"> <li>Primary</li> </ul>			Retain whilst the child remains at the primary school	<p>The file should follow the pupil when they leave the primary school. This will include:</p> <ul style="list-style-type: none"> <li>To another primary school</li> <li>To a secondary school</li> <li>To a pupil referral unit</li> </ul> <p>If the pupil dies whilst at primary school, the file should be returned to the LA to be retained for the statutory retention period. If the pupil transfers to an independent school, transfers to home schooling or leaves the country, the file should be returned to the LA to be retained for the statutory retention period. Primary schools do not ordinarily have sufficient storage space to store</p>

# RECORDS RETENTION SCHEDULE

5.1 Pupil's Educational Record					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
					records for pupils who have not transferred in the normal way. It makes more sense to transfer the record to the LA, as it is more likely that the pupil will request the record from the LA
	<ul style="list-style-type: none"> <li>Secondary</li> </ul>		Limitation Act 1980 (Section 2)	Date of birth of the pupil + 25 years	SECURE DISPOSAL
5.1.2	Records relating to the management of exclusions	Yes		Date of birth of the pupil involved + 25 years	SECURE DISPOSAL
5.1.3	Management of examination registrations	Yes		The examination board will usually mandate how long these records need to be retained	
5.1.4	Examination results – pupil copies	Yes			
	<ul style="list-style-type: none"> <li>Public</li> </ul>			This information should be added to the pupil file	All uncollected certificates should be returned to the examination board. School may retain certificates for a maximum period of 3 years after the pupils have left.
	<ul style="list-style-type: none"> <li>Internal</li> </ul>			This information should be added to the pupil file	

# RECORDS RETENTION SCHEDULE

5.1 Pupil's Educational Record					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
	This review took place when the Independent Inquiry on Historical Child Sexual Abuse was beginning. In light of this, it is recommended that all records relating to child abuse are retained until the Inquiry is completed. This section will then be reviewed again to take into account any recommendations the Inquiry might make concerning record retention				
5.1.5	Child protection information held on pupil file	Yes	“Keeping children safe in education Statutory guidance for schools and colleges March 2015”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015”	<b>Current pupils: All records must be stored in CPOMS and hard copies scanned and uploaded then destroyed.</b> <b>Previous pupils where paper records exist: records must be stored in a sealed envelope and then retained for the same period of time as the pupil file</b>	SECURE DISPOSAL – these records MUST be shredded
5.1.6	Child protection information held in separate files	Yes	“Keeping children safe in education Statutory guidance for schools and colleges March 2015”; “Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015”	Date of birth of the child + 25 years then REVIEW This retention period was agreed in consultation with the Safeguarding Children Group on the understanding that the principal copy of this information will be found on the LA Social Services record	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.



# RECORDS RETENTION SCHEDULE

5.2 Attendance					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
5.2.1	Attendance registers	Yes	School attendance: Departmental advice for maintained schools, Academies, independent schools and local authorities October 2014	<p>Every entry in the attendance register must be preserved for a period of 3 years after the date on which the entry was made</p> <p><b>Paper records must not be retained and all attendance information must be transferred to SIMS. Session comment marks should be added as appropriate.</b></p> <p><b>Official registers must be stored in SIMS.</b></p> <p><b>Attendance marks should be periodically ARCHIVED in SIMS to ensure pseudonymisation of data. Refer to operational guidance.</b></p>	SECURE DISPOSAL
5.2.2	Correspondence relating to authorised absence		Education Act 1996 Section 7	<p>Current academic year + 2 years</p> <p><b>Schools should file alphabetically per year.</b></p>	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

## 5.3 Special Educational Needs

As far as practicable, records, documents etc should be stored in SIMS or other thirdparty software e.g. Provision Map

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of 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  <b>As far as practicable, records, documents etc should be stored in SIMS.</b>	The schools Data Protection Lead should carry out a risk assessment to determine if the records should be retained for a further period.
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 in SIMS]	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

# RECORDS RETENTION SCHEDULE

## Curriculum Management

### 6.1 Exam Results, Statutory Returns, and Management Information

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
6.1.1	Curriculum returns	No		Current year + 3 years	SECURE DISPOSAL
6.1.2	Examination results (schools copy)	Yes		Current year + 6 years <b>This information is stored in SIMS.</b>	SECURE DISPOSAL
	SATs records –	Yes			
	<ul style="list-style-type: none"> <li>Results</li> </ul>			<p>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</p> <p>The school may wish to keep a composite record of all the whole year SATs results. These could be kept for current year + 6 years to allow suitable comparison</p>	SECURE DISPOSAL
	<ul style="list-style-type: none"> <li>Examination papers</li> </ul>			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

# RECORDS RETENTION SCHEDULE



## 6.2 Teaching and Learning Records

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of 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	<b>Record of homework set</b>	No		Current year + 1 year	
6.2.6	<b>Pupils' work</b>	No		<b>Where possible, work should be returned to the pupil at the end of the academic year. Records retained as Ofsted evidence must not be kept longer than one year.</b>	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

## Extracurricular Activities

7.1 Educational Visits outside the Classroom					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
7.1.1	Records created by schools in order to obtain approval to run an educational visit outside the classroom – <b>Primary schools</b>	No	Outdoor Education Advisers' Panel National Guidance website <a href="http://oeapng.info">http://oeapng.info</a> specifically Section 3 – "Legal Framework and Employer Systems" and Section 4 – "Good Practice".	Date of visit + 14 years  <b>All schools must log all trips in Evolve</b>	SECURE DISPOSAL
7.1.2	Records created by schools in order to obtain approval to run an educational visit outside the classroom – Secondary schools	No	Outdoor Education Advisers' Panel National Guidance website <a href="http://oeapng.info">http://oeapng.info</a> specifically Section 3 – "Legal Framework and Employer Systems" and Section 4 – "Good Practice".	Date of visit + 10 years  <b>All schools must log all trips in Evolve</b>	

# RECORDS RETENTION SCHEDULE

## 7.1 Educational Visits outside the Classroom

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
7.1.3	Parental consent forms for school trips where there has been no major incident	Yes		Consents must be sought through SchoolComms. Records of trip consents and payments will be archived once the trip is complete and will be pseudonymised when the pupil leaves.	
7.1.4	Parental consent for school trips – where there has been a major incident	Yes	Limitation Act 1980 (Section 2)	Date of birth of the pupil involved in the incident + 25 years A pdf of the trip consent file in SchoolComms should be extracted and uploaded to OSHENS to show that the rules had been followed for all pupils. All major incidents occurring during trips must be recorded in OSHENS.	
7.1.5	Records relating to residential trips	Yes		Date of birth of youngest pupil involved + 25 years.  All residential trips must be managed through EVOLVE and for residential trips, show the groups/ accommodation arrangements of pupils and staff	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

7.2 Walking Bus					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of 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]

# RECORDS RETENTION SCHEDULE

## Links with Central Government and Local Authority (LA)

This section covers records created in the course of interaction between the school and the LA.

8.1 Local Authority					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
8.1.1	Secondary transfer (Primary)	Yes		Current year + 2 years <b>This information will appear in Section 11 of SIMS where a CTF is completed and the information will be available in SIMS.</b> <b>All other correspondence must be kept electronically.</b>	SECURE DISPOSAL
8.1.2	Attendance returns	Yes		Current year + 1 year <b>Electronically – a hard copy is not required.</b>	SECURE DISPOSAL
8.1.3	School census returns	No		Current year + 5 years <b>Held in SIMS – a hard copy is not required.</b>	SECURE DISPOSAL



# RECORDS RETENTION SCHEDULE

8.2 Central Government					
	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [Operational]	Action at end of administrative life of the record
8.2.1	OFSTED reports and papers	No		Life of the report then REVIEW <b>Should be loaded on the School website and link directly to Ofsted, therefore no requirement to hold paper copy</b>	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 <b>Do not retain beyond operational use.</b>	SECURE DISPOSAL

# RECORDS RETENTION SCHEDULE

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## Glossary

### Admissions Policy

Academies are their own admission authority (although the LA or another organisation can be contracted to carry out the tasks associated with the role). The Admissions Policy must comply with the requirements of the admission code and must be reviewed and adopted annually, irrespective of any changes. A formal consultation for a period of at least eight weeks between 1 November and 1 March must be carried out where any changes are required. Admissions-related information should be uploaded to the academy website.

### Accessibility Plan

A plan or strategy must be put into place, setting out how disabled pupils can participate in the curriculum and associated services, thereby maximising access to both the physical environment and written information provided to pupils.<sup>23</sup>

### Annual Report and Accounts

It is a condition of the funding agreement that Academy accounts must be produced for the 12-month accounting period ending on 31 August. The Annual Report and Accounts must be filed with Companies House by 31 May and should include the following elements:

Reports:

- A trustees' report;
  - A governance statement;
  - A statement on regularity, propriety and compliance;
  - A statement of trustees' responsibilities;
  - An independent auditor's report on the financial statements; and
  - An independent auditor's report on regularity.
- 
- Financial statements;
  - A statement of financial activities;
  - A balance sheet;
  - A cash-flow statement; and

- Notes which expand on the statements, including a note on the Academy trust's accounting policies.<sup>24</sup>

### Annual Return

Every Academy must file a completed annual return at Companies House each year.<sup>25</sup>

### Articles of Association

The Articles of Association prescribe the internal management, decision-making and running of the Academy trust as well as its liability. The DfE has model documentation which schools are expected to adopt.<sup>26</sup>

### Annual Report – Trustees'/Directors' Report

The Directors of the Academy are responsible for the preparation of a Trustees'/Directors' report which supports the financial statements. The report fulfils the requirements for a Directors' report, as set out in ss. 415–419 CA 2006, as well as a Trustees' report under charity law, as set out in the Charities' SORP. The main objective is to supplement financial information with such further information as necessary for a full appreciation of the company's activities. The report describes what the Academy is trying to do and how it is going about it, demonstrates whether and how the Academy has achieved its objectives during the year, and explains its plans for the future.<sup>27</sup>

### Charging and Remissions Policy

An Academy is treated in the same way as a maintained school in respect of charging, particularly in relation to, charges, regulations about information about charges and school hours, voluntary contributions, recovery of sums as civil debt, interpretation regarding charges, and the obligation to enter pupils for public examinations. The terms also place an obligation on an Academy to have a Charging and

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<sup>23</sup> Paxton-Doggett, Katie "How to Run An Academy School" (ICSA 2014) p229.

<sup>24</sup> *Ibid* p174.

<sup>25</sup> *Ibid* pp68-69.

<sup>26</sup> *Ibid* pp49ff.

<sup>27</sup> *Ibid* p175

# RECORDS RETENTION SCHEDULE

Remissions policy.

The Education Act 1996 provides that parents and pupils cannot be charged for any activity, unless there is a policy in place. Charges per pupil cannot exceed the actual costs incurred, so that no extra cost can be charged to cover pupils who cannot afford the activity or in order to make a profit. Charges for activities taking place during the normal school day can only be on the basis of voluntary contributions and pupils will be treated no differently whether they pay the contribution or not.

## Directors – Appointment

The method of appointment will depend on the category of Director and the terms of the Articles. However, there must be at least two parent governors and no more than a third of Directors – including the Head Teacher – can be Academy staff. Directors are generally appointed for a term of 4 years.

## Directors – Disqualification

The Company Directors' Disqualification Act 1986 grants the court power to make an order disqualifying a person from promoting, forming or taking part in the management of a company without the leave of the court. There are numerous grounds for disqualification and the model articles set out specific instances which will be regarded as disqualification.

## Directors – Termination of Office

Generally, Directors are appointed for a fixed term of office, which in the model articles is set at 4 years. A Director may resign by giving written notice to the clerk at any time, although the articles provide that this will only be valid if there are at least three Directors remaining in office when the notice of resignation is to take effect. The Companies Act 2006 provides that a "company may by ordinary resolution at a meeting remove a director before the expiration of his period of office, notwithstanding anything in any agreement between it and him". This very wide provision is slightly tempered by the model articles, which state that Directors can generally be removed from office by the person or persons who appointed them. This means that where Directors are appointed by the members they can be removed from office, following a member resolution, by written notice to the clerk. Elected Directors cannot be removed in this way.

## Funding Agreement with the Secretary of State

The Funding Agreement is effectively the contract by which the Academy agrees to provide educational services in exchange for funding provided by the DfE. There are model versions of the Funding Agreement, but these have been updated over time to reflect changes in policy and legislation. The DfE does not expect schools to deviate from the model documents.

## Funding Records – Capital Grant

Specific prior written agreement by the Secretary of State must be obtained prior to incurring any capital expenditure on which capital grant payments are sought. Capital expenditure may include costs for building new premises or for substantially refurbishing existing premises.

## Funding Records – Earmarked Annual Grant (EAG)

The EAG may be paid for either recurrent expenditure or capital expenditure for such specific purposes as have been agreed between the Secretary of State and the Academy. EAG may only be spent in accordance with the terms, conditions and scope of the grant, which are set out in the relevant funding letter.

## Funding Records – General Annual Grant (GAG)

The GAG will be paid to cover the normal running costs of the Academy, such as salary and administration costs. The funding is equivalent to that which would be received by a maintained school with similar characteristics, together with an additional element for functions which would be carried out by the LA if the Academy were a maintained school.

## General Members' Meetings

Meetings of the members are known as General Meetings. Apart from any specific requirement to call an Annual General Meeting, the Articles contain no specific obligations with regard to holding General Meetings. This means that it is feasible for long periods of time to pass without any meetings being held, since all resolutions are passed using the written resolution

# RECORDS RETENTION SCHEDULE

method! Members' meetings are closely regulated and the Companies Act 2006 has a whole chapter (Part 13, Chapter 3) dedicated to the requirements. This can be contrasted with Board Meetings, which have very little in the way of formal requirements.

## Governance Statement

Academies are recipients of public funding and so must prepare a Governance Statement – this is a requirement by HM Treasury for all public bodies. It must be signed by the Chair and Accounting Officer on behalf of the board.

## Memorandum of Association

Document confirming the three 'subscribers' who wish to form the Academy and become its members. The memorandum has no ongoing significance once an Academy has been incorporated.

## Rules and Bylaws

The Directors are entitled to make "such rules or bylaws as they may deem necessary or expedient or convenient for the proper conduct and management of the Academy" in connection with matters that are "commonly the subject matter of company rules", such as in connection with meetings or members.

## Special Educational Needs

The Academies Act 2010 provides that academies must have regard to the SEN Code of Practice. Published by the DfE, the Code of Practice includes adoption of a policy on SEN which sets out the approach to meeting pupils' special educational needs whether with or without a statement.

## Strategic Review

Academies are now required to produce a strategic report, which must contain a fair review of the Academy's business as well as a description of the principal risks and uncertainties it faces. It will specifically include the following: achievements and performance; financial review; plans for future periods; and funds held as a custodian trustee on behalf of others. The Directors/Trustees must include a clear statement that they are approving the strategic report in their capacity as Company Directors.

## Written Scheme of Delegation

The board can delegate any power or function to an individual Director, a committee, the principal or any other holder of an executive office. That person must report to the board when that authority has been exercised and any action taken, or decision made.