



**ST GILBERT OF SEMPRINGHAM
CATHOLIC ACADEMY TRUST**

Retention of Information Policy

October 2015

'I have come that they may have life and have it to the full'

John 10:10



Retention of Information Policy

Purpose of retention guidelines

Under the Freedom of Information Act 2000, academies and schools are required to maintain a retention schedule listing the record series which academy creates in the course of its business. The retention schedule lays down the length of time which the record needs to be retained and the action which should be taken when it is of no further administrative use. The retention schedule lays down the basis for normal processing under both GDPR and the Freedom of Information Act 2000.

Members of staff are expected to manage their current record keeping system using the retention schedule and to take account of different kinds of retention periods when they are creating new record keeping systems.

The retention schedule refers to record series regardless of the media in which they are stored.

Benefits of a retention schedule

There are a number of benefits which arise from the use of a retention schedule:

Managing records against the retention schedule is deemed to be “normal processing” under GDPR and the Freedom of Information Act 2000. Provided members of staff are managing record series using the retention schedule they cannot be found guilty of unauthorised tampering with files once a freedom of information request or a data subject access requests have been made.

Members of staff can be confident about shredding information at the appropriate time.

Information which is subject to Freedom of Information and Data Protection legislation will be available when required.

The academy is not maintaining and storing information unnecessarily.

Maintaining and amending the retention schedule

Where appropriate the retention schedule should be reviewed and amended to include any new record series created and remove any obsolete record series.

The following appendices show retention schedules contain recommended retention periods for the different record series created and maintained by schools in the course of their business.

Appendices

1. Child Protection
2. Governors
3. Management
4. Students
5. Curriculum
6. Personnel Records
7. Health & Safety
8. Administrative
9. Finance
10. Property
11. Local Authority
12. Department for Children, Schools and Families
13. Connexions
14. School Meals
15. Family Liaison Officers and Home School Liaison Assistants

1. Child Protection

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
1.1	Child Protection files	Yes	Education Act 2002, s175 related guidance "Safeguarding Children in Education", Sept 2004	DOB + 25 years	SECURE DISPOSAL
1.2	Allegation of a child protection nature against a member of staff, including where the allegation is unfounded	Yes	Employment Practices Code:	Until the person's normal retirement age, or 10 years from the date of the allegation whichever is the longer	SECURE DISPOSAL

2. Governors

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
2.1	Minutes				
	<ul style="list-style-type: none"> Principal Set (signed) 	No		Permanent	Retain in academy for 6 years from date of meeting
	<ul style="list-style-type: none"> Inspection copies 	No		Date of meeting + 3 years	SECURE DISPOSAL (If these minutes contain any sensitive personal information they should be shredded)
2.2	Agendas	No		Date of meeting	SECURE DISPOSAL
2.3	Reports	NO		Date of report + 6	Retain in academy for 6 years from

				years	date of meeting
2.4	Annual Parents' meeting papers	NO		Date of report + 6 years	Retain in academy for 6 years from date of meeting
2.5	Instruments of Government	NO		Permanent	Retain in academy whilst academy is open
2.6	Trusts and Endowments	NO		Permanent	Retain in academy whilst operationally required
2.7	Action Plans	NO		Date of action plan + 3 years	SECURE DISPOSAL
2.8	Policy documents	NO		Expiry of policy	Retain in academy whilst policy is operational (this includes if the expired policy is part of a past decision making process)
2.9	Complaint files	YES		Date of resolution of complaint +6 years	Retain in academy for first 6 years Review for further retention in case of contentious disputes SECURE DISPOSAL routine complaints
2.10	Annual Reports required by the Department for Education	NO	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171	Date of report + 10 years	
2.11	Proposals for academies to become, or be established as Specialist Status Academies	NO			Current year + 3 years

3. Management

File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
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3.1	Log Books	YES		Date of last entry in the book + 6 years	Retain in the academy for 6 years from the date of the last entry
3.2	Minutes of the Senior Management Team and other internal administrative bodies	YES		Date of meeting + 5 years	Retain in the academy for 5 years from meeting
3.3	Reports made by the headteacher or the management team	YES		Date of report + 3 years	Retain in the academy for 3 years from meeting
3.4	Records created by headteachers, assistant headteachers, house leaders and other members of staff with administrative responsibilities	YES		Closure of file + 6 years	SECURE DISPOSAL
3.5	Correspondence created by headteachers, assistant headteachers, house leaders and other members of staff with administrative responsibilities	NO		Date of correspondence + 3 years	SECURE DISPOSAL
3.6	Professional development plans	YES		Closure + 6 years	SECURE DISPOSAL
3.7	School development plans	YES		Closure + 6 years	Review
3.8	Admissions – if the admission is successful	YES		Admission + 1 year	SECURE DISPOSAL
3.9	Admissions – if the appeal is unsuccessful	YES		Resolution of case + 1 year	SECURE DISPOSAL
3.10	Admissions – Secondary Academies	YES		Current year + 1 year	SECURE DISPOSAL
3.11	Proofs of address supplied by parents as part of the admissions process	YES		Current year + 1 year	SECURE DISPOSAL
3.12	Supplementary Information form including additional information such as religion, medical conditions etc.	YES		Current year + 1 year	SECURE DISPOSAL

4. Students

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
4.1	Admission Registers	YES		Date of last entry in the book (or file) + 6years. Reconsider Retention Period. Feedback from Teaching Relative was thought to be 7 Year Retention. These records are no longer generated in paper but electronically held using SIMS software	Retain in the school for 6 years from the date of the last entry then consider transfer to the Archives.
4.2	Attendance Registers	YES		Date of register + 3 years	SECURE DISPOSAL (If these records are retained electronically any backup copies should be destroyed at the same time).
4.3	Student files retained in Academies	YES			
4.3a	Primary			Retained for the time which the student remains at the primary school/academy	Transfer to secondary academy (or other primary) when the child leaves the academy. In the case of exclusion it may be appropriate to transfer the record to the Student Referral Unit.
4.3b	Secondary		Limitation Act 1980	DOB of student + 25 years *	SECURE DISPOSAL
4.4	Student files	Yes			
4.4a	Primary			Retain for the time which the student remains at the primary	Transfer to secondary academy (or other primary) when the child leaves the academy. In the case of exclusion

				academy	it may be appropriate to transfer the record to the Student Referral Unit.
4.4b	Secondary		Limitation Act 1980	DOB of student + 25 years *	SECURE DISPOSAL
4.5	Special Educational Needs files, reviews and Individual Education Plans	YES		DOB of the student + 25 years the review NOTE: This retention period is the minimum period that any student file should be kept. Some authorities choose to keep SEN files for a longer period of time to defend themselves in a “failure to provide a sufficient education” case. There is an element of business risk analysis involved in any decision to keep the records longer than the minimum retention period.	SECURE DISPOSAL
4.6	Correspondence Relating to Authorised Absence and Issues	NO		Date of absence + 2 years	SECURE DISPOSAL
4.7	Examination results	YES			
4.7a	Public	NO		Year of examinations + 6 years	SECURE DISPOSAL
4.7b	Internal examination results	YES		Current year + 5 years*	SECURE DISPOSAL
4.8	Any other records created in the course of contact with students	YES/NO		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or SECURE DISPOSAL
4.9	Statement maintained under The Education Act 1996 – section 324	YES	Special Educational Needs and Disability Act	DOB + 30 years	SECURE DISPOSAL unless legal action is pending

			2001 Section 1		
4.10	Proposed statement or amended statement	YES	Special Educational Needs and Disability Act 2001 Section 2		SECURE DISPOSAL unless legal action is pending
			Special Educational Needs and Disability Act 2001 Section 14		SECURE DISPOSAL unless legal action is pending
4.11	Advice and information to parents regarding educational needs	YES	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
4.12	Accessibility Strategy	YES	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
4.13	Parental permission slips for academy trips – where there has been no major incident	YES		Conclusion of the trip	SECURE DISPOSAL
4.14	Parental permission slips for academy trips – where there has been a major incident	YES	Limitation Act 1980	DOB of the student involved in the incident + 25 years The permission slips for all students on the trip need to be retained to show that the rules had been followed for all students	SECURE DISPOSAL
4.15	Records created by academies to obtain approval to run an Educational Visit outside the Classroom – Primary Academies	NO	3 part supplement to the Health & Safety of Students on Educational Visits (HASPEV 1998)	Date of Visit + 14 years**	N
4.16	Records created by academies to obtain approval to run an Educational Visit outside the Classroom – Secondary Academies	NO	3 part supplement to the Health & Safety of Students on Educational Visits (HASPEV 1998)	Date of Visit + 10 years	N
4.17	Walking Bus registers	YES		Date of register + 3 years. This takes into	SECURE DISPOSAL (If these records are retained electronically any

				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 reports	backup copies should be destroyed at the same time).
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*If these records are retained on the student file or in their National Record of Achievement they need only be kept for as long as operationally necessary.

** This retention period has been set in agreement with the Safeguarding Children's Officer.

5. Curriculum

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
5.1	School Development Plan	NO		Current year + 6 years	SECURE DISPOSAL
5.2	Curriculum returns	NO		Current year + 3 years	SECURE DISPOSAL
5.3	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 new retention period or SECURE DISPOSAL
5.4	Timetable	NO		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
5.5	Class record books	NO		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
5.6	Mark Books	NO		Current year + 1 year	It may be appropriate to review these

					records at the end of each year and allocate a new retention period or SECURE DISPOSAL
5.7	Record of homework set	NO		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
5.8	Student's work	NO		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
5.9	Examination results	YES		Current year + 6 years	SECURE DISPOSAL
5.10	SATS records – Examination Papers and Results	YES		Current year + 6 years	SECURE DISPOSAL
5.11	PAN reports	YES		Current year + 6 years	SECURE DISPOSAL
5.12	Value Added & Contextual Data	YES		Current year + 6 years	SECURE DISPOSAL
5.13	Self Evaluation forms	YES		Current year + 6 years	SECURE DISPOSAL

6. Personnel Records held in the Academy

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
6.1	Timesheets, sick pay	YES	Financial Regulations	Current year + 6 years	SECURE DISPOSAL
6.2	Staff Personal files	YES		Termination + 7 years	SECURE DISPOSAL
6.3	Interview notes and recruitment records	YES		Date of interview + 6 months	SECURE DISPOSAL
6.4	Pre-employment vetting information (including CRB/DRS checks)	NO	CRB/DRS guidelines	Date of check + 6 months	SECURE DISPOSAL
6.5	Disciplinary proceedings:	YES	Where the warning relates to child protection issues see 1.2. If the disciplinary proceedings relate to a child protection		

			matter please contact your safeguarding children officer for further advice.		
6.5a	Oral warning			Date of warning + 6 months	SECURE DISPOSAL
6.5b	Written warning – level one			Date of warning + 6 months	SECURE DISPOSAL
6.5c	Written warning – level two			Date of warning + 12 months	SECURE DISPOSAL
6.5d	Final warning			Date of warning + 18 months	SECURE DISPOSAL
6.5e	Case not found			If child protection related please see 1.2 otherwise SECURE DISPOSAL immediately at the conclusion of the case	SECURE DISPOSAL
6.6	Records relating to accident/injury at work	YES		Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied	SECURE DISPOSAL
6.7	Annual appraisal/assessment records	NO		Current year + 5 years	SECURE DISPOSAL
6.8	Salary cards	YES		Last date of employment + 85 years	SECURE DISPOSAL
6.9	Maternity pay records	YES	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year + 3 years	SECURE DISPOSAL
6.10	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	YES		Current year + 6 years	SECURE DISPOSAL
6.11	Proofs of identity collected as part	YES		Where possible these	SECURE DISPOSAL

	of the process of checking “portable” enhanced CRB/DRS disclosure			should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this would be placed on the member of staff’s personal file.	
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7. Health and Safety

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
7.1	Accessibility Plans		Disability Discrimination Act	Current year + 6 years	SECURE DISPOSAL
7.2	Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980		
7.2a	Adults	YES			
7.2b	Children	YES		DOB of child + 25 years	
				Current year + 10 years [where appropriate an additional retention period may be allocated]	
7.4	Incident reports	YES		Current year + 20 years	SECURE DISPOSAL
7.5	Policy Statements	YES		Date of expiry + 1 year	SECURE DISPOSAL
7.6	Risk Assessments	YES		Current year + 3 years	SECURE DISPOSAL

7.7	Process of monitoring of areas SECURE DISPOSAL where employees and persons are likely to have become in contact with asbestos			Last action + 40 years	SECURE DISPOSAL
7.8	Process of monitoring of areas SECURE DISPOSAL where employees and persons are likely to have come in contact with radiation			Last action + 50 years	SECURE DISPOSAL
7.9	Fire Precautions log books			Current year + 6 years	SECURE DISPOSAL

8. Administrative

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
8.1	Employer's Liability certificate			Closure of the school + 40 years	SECURE DISPOSAL
8.2	Inventories of equipment & furniture			Current year + 6 years	
8.3	General file series			Current year + 5 years	Review to see whether a further retention period is required
8.4	Academy brochure or prospectus			Current year + 3 years	SECURE DISPOSAL
8.5	Circulars (staff/parents/students)			Current year + 1 year	SECURE DISPOSAL
8.6	Newsletters, ephemera			Current year + 1 year	Review to see whether a further retention period is required
8.7	Visitors book			Current year + 2 year	Review to see whether a further retention period is required
8.8	PTA/Old Students Associations			Current year + 6 year	Review to see whether a further retention period is required

9. Finance

	File Description	Data	Statutory Provisions	Retention Period	Action at end of the administrative
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		Protection Issues			life of record
9.1	Annual Accounts		Financial Regulations	Current year + 6 years	
9.2	Loans and grants		Financial Regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required
9.3	Contracts				
9.3a	• under seal			Contract completion date + 12 years	SECURE DISPOSAL
9.3b	• under signature			Contract completion date + 6 years	SECURE DISPOSAL
9.3c	• monitoring records			Current year + 2 years	SECURE DISPOSAL
9.4	Copy orders			Current year + 2 years	SECURE DISPOSAL
9.5	Budget reports, budget monitoring etc.			Current year + 3 years	SECURE DISPOSAL
9.6	Invoice, receipts and other records covered by the Financial regulations		Financial Regulations	Current year + 6 years	SECURE DISPOSAL
9.7	Annual Budget and background papers			Current year + 6 years	SECURE DISPOSAL
9.8	Order books and requisitions			Current year + 6 years	SECURE DISPOSAL
9.9	Delivery Documentation			Current year + 6 years	SECURE DISPOSAL
9.10	Debtors' Records		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL
9.11	School Fund - Cheque books			Current year + 3 years	SECURE DISPOSAL
9.12	School Fund - Paying in books			Current year + 6 years then review	SECURE DISPOSAL
9.13	School Fund - Ledger			Current year + 6 years then review	SECURE DISPOSAL
9.14	School Fund - Invoices			Current year + 6 years then review	SECURE DISPOSAL
9.15	School Fund - Receipts			Current year + 6 years	SECURE DISPOSAL
9.16	School Fund - Bank statements			Current year + 6 years then review	SECURE DISPOSAL
9.17	School Fund - School Journey books			Current year + 6 years then review	SECURE DISPOSAL
9.18	Student grant applications			Current year + 3 years	SECURE DISPOSAL

9.19	Free school meals registers	YES		Current year + 6 years	SECURE DISPOSAL
9.20	Petty cash books			Current year + 6 years	SECURE DISPOSAL

10. Property

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
10.1	Title Deeds			Permanent	Permanent, these should follow the property unless the property has been registered at the Land Registry
10.2	Plans			Permanent	Retain in school whilst operational
10.3	Maintenance and contractors		Financial Regulations	Current year + 6 years	SECURE DISPOSAL
10.4	Leases			Expiry of lease + 6 years	SECURE DISPOSAL
10.5	Lettings			Current year + 3 years	SECURE DISPOSAL
10.6	Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL
10.7	Maintenance log books			Current year + 6 years	SECURE DISPOSAL
10.8	Contractors' Reports			Current year + 6 years	SECURE DISPOSAL

11. Local Authority

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
11.1	Secondary transfer sheets (Primary)	YES		Current year + 2 years	SECURE DISPOSAL
11.2	Attendance returns	YES		Current year + 1 year	SECURE DISPOSAL
11.3	Circulars from LEA			Whilst required operationally	Review to see whether a further retention period is required

12. Department for Children, Schools and Families

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
12.1	HMI reports			These do not need to be kept any longer	
12.2	OFSTED reports and papers			Replace former report with any new inspection report	Review to see whether a further retention period is required
12.3	Returns			Current year + 6 years	SECURE DISPOSAL
12.4	Circulars from Department for Children, Schools and Families			Whilst operationally required	Review to see whether a further retention period is required

13. Connexions

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
13.1	Service level agreements			Until superseded	SECURE DISPOSAL
13.2	Work Experience agreement			DOB of child + 18 years	SECURE DISPOSAL

14. Academy Meals

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
14.1	Dinner Register			Current year + 3 years	SECURE DISPOSAL
14.2	School Meals Summary Sheets			Current year + 3 years	SECURE DISPOSAL

15. Family Liaison Officers and Home School Liaison Assistants

	File Description	Data Protection Issues	Statutory Provisions	Retention Period	Action at end of the administrative life of record
15.1	Day Books	YES			SECURE DISPOSAL
15.2	Reports for outside agencies - SECURE DISPOSAL where the report has been included on the case le created by the outside agency	YES		Whilst the child is attending the school then destroy	SECURE DISPOSAL
15.3	Referral forms	YES		While the referral is current	SECURE DISPOSAL
15.4	Contact data sheets	YES		Current year then review, if contact is no longer active then destroy	SECURE DISPOSAL
15.5	Contact database entries	YES		Current year then review, if contact is no longer active then destroy	Delete
15.6	Group Registers	YES		Current year + 2 years	SECURE DISPOSAL