

Tenterden Schools Trust



RECORDS MANAGEMENT & RETENTION GUIDELINES POLICY

Date to Trust Board
26 March 2018

TENTERDEN SCHOOLS TRUST

RECORDS MANAGEMENT AND RETENTION GUIDELINES

This policy will be reviewed every three years

DATE OF POLICY: March 2018

DATE OF REVIEW: March 2021

Member of staff responsible for Policy:

Head of Administration

Signed.....Chief Executive Officer

Signed..... Chair of Directors

Tenterden Schools Trust

Records Management Policy and Retention Guidelines

The Tenterden School Trust recognises that the efficient management of its records is necessary to comply with its legal and regulatory obligations and to continue to the effective overall management of the institution. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies
- Retention guidelines

1 Scope of the policy

- 1.1 This policy applies to all records created, received or maintained by staff of the Trust in the course of carrying out its functions.
- 1.2 Records are defined as all those documents which facilitate the business carried out by the Trust and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.
- 1.3 A small percentage of the Trust's records will be selected for permanent preservation as part of the institution's archives and for historical research.

2 Responsibilities

- 2.1 The Trust has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Chief Executive Officer.
- 2.2 The person responsible for records management in the school will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and timely.
- 2.3 Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the Trust's records management guidelines.

3 Relationship with existing policies

This policy has been drawn up within the context of:

- GDPR
- Freedom of Information & Publication Scheme Policy
- Data Protection Policy 7 Privacy Notice

and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the Trust.

4 Retention Guidelines

1. Governors					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Minutes					
<ul style="list-style-type: none"> Principal set (signed) 	No		Permanent	Retain in school for 6 years from date of meeting	Archive
<ul style="list-style-type: none"> Inspection copies 	No		Date of meeting + 3 years	SHRED [If these minutes contain any sensitive personal information they should be shredded]	
Agendas – Principal copy	No		Permanent	Retain in school for 6 years from date of meeting	Archive
Agendas – Additional Copies	No		Date of meeting	SHRED	
Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting	Archive
Instruments of Government	No		Permanent	Retain in school whilst school is open	Archive when the school has closed
Trusts and Endowments	No		Permanent	Retain in school whilst operationally required	Archive
Action Plans	No		Date of action plan + 3 years	SHRED	
Policy documents	No		Expiry of policy	Retain in school whilst policy is operational (this includes if the expired policy is part of a past decision making process)	Archive
Complaints files	Yes		Date of resolution of complaint + 6 years	Retain in school for the first six years Review for further retention in the case of contentious disputes SHRED routine complaints	

1. Governors						
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record		
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	Archive	
Proposals for schools to become, or be established as Specialist Status schools	No			Current year + 3 years	Archive	

2. Management						
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record		
Log Books	Yes		Date of last entry in the book + 6 years	Retain in the school for 6 years from the date of the last entry.	Archive	
Minutes of the Strategy/Executive Team and other internal administrative bodies	Yes		Date of meeting + 5 years	Retain in the school for 5 years from meeting	Archive	
Reports made by the Principal or the management team	Yes		Date of report + 3 years	Retain in the school for 3 years from meeting	Archive	
Records created by Principal, Vice Principals, and other members of staff with administrative responsibilities	Yes		Closure of file + 6 years	SHRED		
Correspondence created by Principal, Vice Principals and other members of staff with administrative responsibilities	No		Date of correspondence + 3 years	SHRED		

2. Management						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
	Professional development plans	Yes		Closure + 6 years	SHRED	
	School improvement plans	No		Closure + 6 years	Review	Archive
	Admissions – if the admission is successful	Yes		Admission + 1 year	SHRED	
	Admissions – if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SHRED	
	Admissions – Secondary Schools – Casual	Yes		Current year + 1 year	SHRED	
	Proofs of address supplied by parents as part of the admissions process	Yes		Current year + 1 year	SHRED	

3. Students						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
	Admission Registers	Yes		Permanent	Permanent	Archive
	Attendance registers	Yes		Date of register + 3 years	SHRED [If these records are retained electronically any back up copies should be destroyed at the same time]	
	Student Record Cards	Yes				
	<ul style="list-style-type: none"> Secondary 		Limitation Act 1980	DOB of the pupil + 25 years	SHRED	

3. Students						
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record		
Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 25 year In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service.	SHRED		
Letters authorising absence	No		Date of absence + 2 years	SHRED		
Absence books			Current year + 6 years	SHRED		
<i>Examination results</i>	Yes					
<ul style="list-style-type: none"> <i>Public</i> 	No		Year of examinations + 6 years	SHRED		Any certificates left unclaimed should be returned to the appropriate Examination Board
<ul style="list-style-type: none"> <i>Internal examination results</i> 	Yes		Current year + 5 years	SHRED		
Any other records created in the course of contact with pupils	Yes/No		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or SHRED		
Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SHRED unless legal action is pending		

3. Students						
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record		
Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SHRED unless legal action is pending		
Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	SHRED unless legal action is pending		
Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SHRED unless legal action is pending		
Children's SEN Files	Yes		DOB of pupil + 25 years then review – it may be appropriate to add an additional retention period in certain cases	SHRED unless legal action is pending		
Parental permission slips for school trips – where there has been no major incident	Yes		Conclusion of the trip	SHRED		

3. Students						
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record		
Parental permission slips for school trips – where there has been a major incident	Yes	Limitation Act 1980	DOB of the pupil involved in the incident + 25 years The permission slips for all pupils on the trip need to be retained to show that the rules had been followed for all pupils	SHRED		
Secondary Schools Records created by schools to obtain approval to run an Educational Visit outside the Classroom [including GOF1 and GOF2 and data entered on the e-go system]	N	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 10 years	N		SHRED or delete securely
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	SHRED [If these records are retained electronically any back up copies should be destroyed at the same time]		

4. Curriculum				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
Curriculum development	No		Current year + 6 years	SHRED
Curriculum returns	No		Current year + 3 years	SHRED
School syllabus	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 SHRED
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 SHRED
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 SHRED
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 SHRED
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 SHRED
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 SHRED
Pupils' 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 SHRED
Examination results	Yes		Current year + 6 years	SHRED
SATS records	Yes		Current year + 6 years	SHRED
PAN reports	Yes		Current year + 6 years	SHRED
Value added records	Yes		Current year + 6 years	SHRED

5. Personnel Records				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
Staff Personal files	Yes		Termination + 6 years	SHRED
Interview notes and recruitment records	Yes		Date of interview + 1 year	SHRED
Pre-employment vetting information (including DBS checks)	No	DBS guidelines Safeguarding children in education.	Termination + 6 years	SHRED [by the designated member of staff]
Disciplinary proceedings:	Yes	These records should not normally be retained after the following retention periods have expired. There are some exceptions to this where for its own protection the employer has to keep a limited record that an allegation was received and investigated, for example where the allegation relates to abuse and the worker is employed to work with children or other vulnerable adults.		
• <i>oral warning</i>			Termination + 6 years	SHRED
• <i>written warning – level one</i>			Termination + 6 years	SHRED
• <i>written warning – level two</i>			Termination + 6 years	SHRED
• <i>final warning</i>			Termination + 6 years	SHRED
• <i>case not found</i>			Termination + 6 years	SHRED
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	SHRED
Annual appraisal/assessment records	No		Current year + 5 years	SHRED
Salary records	Yes		Current Year + 6 years	SHRED

5. Personnel Records				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year, +3yrs	SHRED
Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	SHRED
Proofs of identity collected as part of the process of checking "portable" enhanced CRB disclosure	Yes		Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff's personal file.	
Records of allegations about workers who have been investigated and found to be without substance	Y	Information Commissioner Code of Practice: Employment Records 2002	These records should not normally be retained once an investigation has been completed. There are some exceptions to this where for its own protection the employer has to keep a limited record that an allegation was received and investigated, for example where the allegation relates to abuse and the worker is employed to work with children or other vulnerable adults	SHRED

5. Personnel Records				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
Outcome of an allegation made against a staff member	Y	Keeping Children Safe in Education Statutory Guidance for Schools and Colleges March 2015 Part Four Record Keeping Para 133 Working together to Safeguard Children 2015	Until the person has reached normal retirement age or for a period of 10 years from the date of the allegation if that is longer	SHRED

6. Health and Safety				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
Accessibility Plans		Disability Discrimination Act	Current year + 6 years	SHRED
Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980		
<ul style="list-style-type: none"> Children 	Yes		Date of birth + 22 years where the injured person is a minor at the time of the accident	SHRED

6. Health and Safety					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
• <i>Adults</i>	Yes		Date of the accident + 4 years where the injured person is an adult at the time of the accident;	SHRED	
COSHH Risk Assessments			Date of creation + 40 years	SHRED	
Incident reports	Yes		Current year + 20 years	SHRED	
Policy Statements			Date of expiry + 1 year	SHRED	
Risk Assessments			Current year + 3 years	SHRED	
Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos			Last action + 40 years	SHRED	
Process of monitoring of areas where employees and persons are likely to have come in contact with radiation			Last action + 50 years	SHRED	
Fire Precautions log books			Current year + 6 years	SHRED	

7. Administrative					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Employer's Liability certificate			Closure of the school + 40 years	SHRED	
Inventories of equipment and furniture			Current year + 6 years	SHRED	
General file series			Current year + 5 years	Review to see whether a further retention period is required	Archive

7. Administrative						
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record		
School brochure or prospectus			Current year + 3 years			Archive
Circulars (staff/parents/pupils)			Current year + 1 year	SHRED		
Newsletters, ephemera			Current year + 1 year	Review to see whether a further retention period is required		SHRED
Visitors book			Current year + 2 years	Review to see whether a further retention period is required		Archive
PTA/Old Pupils Associations			Current year + 6 years	Review to see whether a further retention period is required		Archive

8. Finance						
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record		
Annual Accounts		Financial Regulations	Current year + 6 years			Archive
Loans and grants		Financial Regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required		Archive
Contracts						
<ul style="list-style-type: none"> under seal 			Contract completion date + 12 years	SHRED		
<ul style="list-style-type: none"> under signature 			Contract completion date + 6 years	SHRED		
<ul style="list-style-type: none"> monitoring records 			Current year + 2 years	SHRED		
Copy orders			Current year + 2 years	SHRED		
Budget reports, budget monitoring etc			Current year + 3 years	SHRED		
Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SHRED		
Annual Budget and background papers			Current year + 6 years	SHRED		
Order books and requisitions			Current year + 6 years	SHRED		
Delivery Documentation			Current year + 6 years	SHRED		
Debtors' Records		Limitation Act 1980	Current year + 6 years	SHRED		
School Fund – Cheque books			Current year + 6 years	SHRED		
School Fund – Paying in books			Current year + 6 years then review	SHRED		
School Fund – BACS payment authorisation sheets			Current year + 6 years	SHRED		
School Fund – Ledger			Current year + 6 years then review	SHRED		
School Fund – Invoices			Current year + 6 years then review	SHRED		
School Fund – Receipts			Current year + 6 years	SHRED		

8. Finance					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
School Fund – Bank statements			Current year + 6 years then review	SHRED	
School Fund – School Journey books			Current year + 6 years then review	SHRED	
Applications for free school meals, travel, uniforms etc			Whilst child at school	SHRED	
Student grant applications			Current year + 3 years	SHRED	
Free school meals registers	Yes	Financial Regulations	Current year + 6 years	SHRED	
Petty cash books		Financial Regulations	Current year + 6 years	SHRED	
Payroll information			Current year + 6 years	SHRED	
Sixth Form Bursary Application			Current year + 6 years	SHRED	
Timesheets, sick pay	Yes	Financial Regulations	Current year + 6 years	SHRED	

9. Property					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Title Deeds			Permanent	Permanent these should follow the property unless the property has been registered at the Land Registry	Archive if the deeds are no longer needed
Plans			Permanent	Retain in school whilst operational	Archive
Maintenance and contractors		Financial Regulations	Current year + 6 years	SHRED	
Leases			Expiry of lease + 6 years	SHRED	
Lettings			Current year + 6 years	SHRED	

9. Property					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Burglary, theft and vandalism report forms			Current year + 6 years	SHRED	
Maintenance log books			Last entry + 10 years	SHRED	
Contractors' Reports			Current year + 6 years	SHRED	

10. Local Education Authority					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Secondary transfer sheets (Primary)	Yes		Current year + 2 years	SHRED	
Attendance returns	Yes		Current year + 1 year	SHRED	
Circulars from LEA			Whilst required operationally	Review to see whether a further retention period is required	Archive

11. DfE					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
HMI reports			These do not need to be kept any longer		Archive
OFSTED reports and papers			Replace former report with any new inspection report	Review to see whether a further retention period is required	Archive
Returns			Current year + 6 years	SHRED	
Circulars from DfES			Whilst operationally required	Review to see whether a further retention period is required	Archive

12. CXK Ltd				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
Service level agreements			Until superseded	SHRED
Work Experience agreement			DOB of child + 18 years	SHRED

13. Schools Meals				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
Dinner Register			C + 3 years	SHRED
School Meals Summary Sheets			C + 3 years C + 3 years	SHRED