



Busbridge CofE Junior School

Records Management and Retention Policy

Introduction

Busbridge Junior School recognises that the efficient management of its records is necessary to comply with its legal and regulatory obligations and to contribute to the overall successful management of our school.

Scope of the Policy

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

- Records are defined as all those documents which facilitate the business carried out by the school 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.
- Some of the school's records may be selected for permanent preservation as part of the institution's archives and for historical research.

Responsibilities

The school 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 Headteacher.
- The Bursar will give guidance on good records management practice and will promote compliance with this policy so that information can be retrieved easily, appropriately and in a timely manner.
- 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 school's records management guidelines.

Recording Systems

Information created by the school must be managed against the same standards regardless of the media in which it is stored.

Maintenance of Record Keeping Systems

- It is important that filing information is properly resourced and is carried out on a regular basis. It is equally important that the files are weeded of extraneous information where appropriate on a regular basis. Removing information from a file once a freedom of information request has been made will be a criminal offence (unless it is part of normal processing).
- Applying retention periods is straightforward provided files are closed on a regular basis.
- Once a file has been closed, it should be moved out of the current filing system and stored either in a record room in the school or in another appropriate place until it has reached the end of the retention period.
- Information security is very important especially when dealing with personal information or sensitive policy information. There are a number of basic rules:
 - All personal information should be kept in lockable filing cabinets which are kept locked when the room is unattended.
 - Personal information held on computer systems should be adequately password protected. Information should never be left up on a screen if the computer is unattended.
 - Files containing personal or sensitive information should not be left out on desks over night.
 - Where possible sensitive personal information should not be sent by e-mail.
 - If files need to be taken off the premises they should be secured in the boot of a car or in lockable containers.

- Teachers may carry data on removable data carriers in order to access their files both at home and at school. Any data carried in this way **must be encrypted** using appropriate encryption software.
- All computer information should be backed up regularly and the back-up should be stored off the site.
- Information contained in email, fax should be filed into the appropriate electronic or manual filing system once it has been dealt with.

The Safe Disposal of Information using the Retention Schedule

Files should be disposed of in line with the attached retention schedule (see Appendix 1). This is a process which should be undertaken on an annual basis during the month of August. All personal information should be disposed securely. Electronic data should be archived on electronic media and 'deleted' appropriately at the end of the retention period.

Please note: the retention schedule has been taken directly from the latest Information Management Toolkit for Schools, dated Feb 2016. Some of the terminology has been changed to reflect current usage.

1 Governors					
Basic file description	Data Protection 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) 	There may be DP issues if the meeting is dealing with confidential issues relating to staff.		Permanent	Retain in school for 6 years from date of meeting	Transfer to Archives
<ul style="list-style-type: none"> Inspection copies 	There may be DP issues if the meeting is dealing with confidential issues relating to staff.		Date of meeting + 3 years	SECURE DISPOSAL	
Agendas	There may be DP issues if the meeting is dealing with confidential issues relating to staff.		One copy should be retained with the master set of minutes. All other copies can be disposed of.	SECURE DISPOSAL	
Reports	There may be DP issues if the meeting is dealing with confidential issues relating to		Reports should be kept for a minimum of 6 years. If the minutes refer directly to individual reports then the reports should be kept	SECURE DISPOSAL or retain with the signed set of the minutes	Transfer to Archives [take a sample for permanent preservation]

1 Governors					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
	staff.		permanently		
Annual Parents' meeting papers	No	Educato n Act 2002, Section 33	Date of meeting + 6 years minimum	Retain in school for 6 years from date of meeting	SECURE DISPOSAL
Instruments of Government, incl Articles of Association	No		Permanent	Retain in school whilst school is open	Transfer to Archives when the school has closed
Trusts and Endowments	No		Permanent	Retain in school while operationally required	Transfer to Archives
Action Plans	No		Life of action plan + 3 years	SECURE DISPOSAL	
Policy documents	No		Life of policy + 3 years	SECURE DISPOSAL	
Records relating to Complaints	Yes		Date of resolution of complaint + min 6 years	SECURE DISPOSAL	
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	Transfer to Archives [take a sample for permanent preservation]
Proposals for schools to become, or be established as Specialist Status schools	No			Current year + 3 years	Transfer to Archives [take a sample for permanent preservation]

2 Management					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Log Books</i>	Yes		Date of last entry in the book + 6 years	Retain in the school for 6 years from the date of the last entry.	Transfer to the Archives
<i>Minutes of the Senior Management Team and other internal administrative bodies</i>	Yes		Date of meeting + 5 years	Retain in the school for 5 years from meeting	Transfer to Archives [take a sample for permanent preservation]
<i>Reports made by the head teacher or the management team</i>	Yes		Date of report + 3 years	Retain in the school for 3 years from meeting	Transfer to Archives
<i>Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities</i>	Yes		Closure of file + 6 years	SECURE DISPOSAL	
<i>Correspondence created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities</i>	No		Date of correspondence + 3 years	SECURE DISPOSAL	
<i>Professional development plans</i>	Yes		Closure + 6 years	SECURE DISPOSAL	
<i>School development plans</i>	No		Closure + 6 years	Review	Offer to the Archives
<i>Admissions – if the admission is successful</i>	Yes		Admission + 1 year	SECURE DISPOSAL	
<i>Admissions – if the appeal is unsuccessful</i>	Yes		Resolution of case + 1 year	SECURE DISPOSAL	
<i>Admissions – Secondary Schools – Casual</i>	Yes		Current year + 1 year	SECURE DISPOSAL	
<i>Proofs of address supplied by parents as part of the admissions process</i>	Yes		Current year + 1 year	SECURE DISPOSAL	

3 Personnel Records held in Schools				
Basic file description	Data Prot Issues	Statutory Provision	Retention Period [operational]	Action at the end of the administrative life of the record
<i>Timesheets, sick pay</i>	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL
<i>Staff Personal files</i>	Yes		Termination + 7 years	SECURE DISPOSAL
<i>Interview notes and recruitment records</i>	Yes		Date of interview + 6 months	SECURE DISPOSAL
<i>Pre-employment vetting information (including CRB checks)</i>	No	CRB guidelines	Date of check + 6 months	SECURE DISPOSAL [by the designated member of staff]
<i>Disciplinary proceedings:</i>	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.		
<ul style="list-style-type: none"> <i>oral warning</i> 			Date of warning + 6 months	SECURE DISPOSAL
<ul style="list-style-type: none"> <i>written warning – level one</i> 			Date of warning + 6 months	SECURE DISPOSAL
<ul style="list-style-type: none"> <i>written warning – level two</i> 			Date of warning + 12 months	SECURE DISPOSAL
<ul style="list-style-type: none"> <i>final warning</i> 			Date of warning + 18 months	SECURE DISPOSAL
<ul style="list-style-type: none"> <i>case not found</i> 			If child protection related please see 1.2 otherwise SECURE DISPOSAL immediately at the conclusion of the case	SECURE DISPOSAL

3 Personnel Records held in Schools				
Basic file description	Data Prot Issues	Statutory Provision	Retention Period [operational]	Action at the end of the administrative life of the record
<i>Records relating to accident/injury at work</i>	Yes		Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied	SECURE DISPOSAL
<i>Annual appraisal/assessment records</i>	No		Current year + 5 years	SECURE DISPOSAL
<i>Salary cards</i>	Yes		Last date of employment + 85 years	SECURE DISPOSAL
<i>Maternity pay records</i>	Yes	See latest Statutory Maternity Pay (General) Regulations	Current year, +3yrs	SECURE DISPOSAL
<i>Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995</i>	Yes		Current year + 6 years	SECURE DISPOSAL
<i>Proofs of identity collected as part of the process of DBS checks</i>	Yes		A note should be 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.	SECURE DISPOSAL

3 Personnel Records held in Schools				
Basic file description	Data Prot Issues	Statutory Provision	Retention Period [operational]	Action at the end of the administrative life of the record
<i>Personal Files - records relating to an individual's employment history</i>	Yes		Termination + 6 years then review	SECURE DISPOSAL
<i>Pre-employment vetting information (including DBS checks)</i>	No	DBS guidelines	Date of check + 6 months	SECURE DISPOSAL
<i>Staff training records – general</i>	Yes		Current year + 2 years	SECURE DISPOSAL
<i>Training (proof of completion such as certificates, awards, exam results)</i>	Yes		Last action + 7 years	SECURE DISPOSAL

4 Administrative					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Employer's Liability certificate</i>			Closure of the school + 40 years	SECURE DISPOSAL	
<i>Insurance policies – Employers Liability</i>	No	Employers Liability Financial Regulations	The policies are kept for a minimum of 6 years and a maximum of 40 years depending on the type of policy		
<i>Claims made against insurance policies – damage to property</i>	Yes		Case concluded + 3 years		
<i>Claims made against insurance policies – personal injury</i>	Yes		Case concluded + 6 years		
<i>Inventories of equipment and furniture</i>			Current year + 6 years	SECURE DISPOSAL	
<i>General file series</i>			Current year + 5 years	Review to see whether a further retention period is required	Transfer to Archives [take a sample for permanent preservation]
<i>School Prospectus</i>			Current year + 3 years		Transfer to Archives [take a sample for permanent preservation]
<i>Circulars (staff/parents/pupils)</i>			Current year + 1 year	SECURE DISPOSAL	
<i>Newsletters, ephemera</i>			Current year + 1 year	Review to see whether a further retention period is required	Transfer to Archives [take a sample for permanent preservation]
<i>Visitors book</i>			Current year + 2 years	Review to see whether a further retention period is required	Transfer to Archives [take a sample for permanent preservation]
<i>PTA/Old Pupils Associations</i>			Current year + 6 years	Review to see whether a further retention period is required	Transfer to Archives [take a sample for permanent preservation]

5 Finance					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Annual Accounts</i>		Financial Regulations	Current year + 6 years		Offer to the Archives
<i>Loans and grants</i>		Financial Regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required	Transfer to Archives [take a sample for permanent preservation]
<i>Contracts</i>					
<ul style="list-style-type: none"> • under seal 			Contract completion date + 12 years	SECURE DISPOSAL	
<ul style="list-style-type: none"> • under signature 			Contract completion date + 6 years	SECURE DISPOSAL	
<ul style="list-style-type: none"> • monitoring records 			Current year + 2 years	SECURE DISPOSAL	
<i>Copy orders</i>			Current year + 2 years	SECURE DISPOSAL	
<i>Budget reports, budget monitoring etc</i>			Current year + 3 years	SECURE DISPOSAL	
<i>Invoice, receipts and other records covered by the Financial Regulations</i>		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
<i>Annual Budget and background papers</i>			Current year + 6 years	SECURE DISPOSAL	
<i>Order books and requisitions</i>			Current year + 6 years	SECURE DISPOSAL	
<i>Delivery Documentation</i>			Current year + 6 years	SECURE DISPOSAL	
<i>Debtors' Records</i>		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL	

5 Finance					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>School Fund – Cheque books</i>			Current year + 3 years	SECURE DISPOSAL	
<i>School Fund – Paying in books</i>			Current year + 6 years then review	SECURE DISPOSAL	
<i>School Fund – Ledger</i>			Current year + 6 years then review	SECURE DISPOSAL	
<i>School Fund – Invoices</i>			Current year + 6 years then review	SECURE DISPOSAL	
<i>School Fund – Receipts</i>			Current year + 6 years	SECURE DISPOSAL	
<i>School Fund – Bank statements</i>			Current year + 6 years then review	SECURE DISPOSAL	
<i>School Fund – School Journey books</i>			Current year + 6 years then review	SECURE DISPOSAL	
<i>Applications for free school meals, travel, uniforms etc</i>			Whilst child at school	SECURE DISPOSAL	
<i>Student grant applications</i>			Current year + 3 years	SECURE DISPOSAL	
<i>Free school meals registers</i>	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
<i>Petty cash books</i>		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	

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>Accessibility Plans</i>		Disability Discrimination Act	Current year + 6 years	SECURE DISPOSAL
<i>Accident Reporting</i>		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"> • <i>Adults</i> 	Yes		Date of incident + 7 years	SECURE DISPOSAL
<ul style="list-style-type: none"> • <i>Children</i> 	Yes		DOB of child + 25 years	SECURE DISPOSAL
<i>COSHH</i>			Current year + 10 years [where appropriate an additional retention period may be allocated]	SECURE DISPOSAL
<i>Incident reports</i>	Yes		Current year + 20 years	SECURE DISPOSAL
<i>Policy Statements</i>			Date of expiry + 1 year	SECURE DISPOSAL
<i>Risk Assessments</i>			Current year + 3 years	SECURE DISPOSAL
<i>Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos</i>			Last action + 40 years	SECURE DISPOSAL
<i>Process of monitoring of areas where employees and persons are likely to have come in contact with radiation</i>			Last action + 50 years	SECURE DISPOSAL
<i>Fire Precautions log books</i>			Current year + 6 years	SECURE DISPOSAL

7 Property					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Title Deeds</i>			Permanent	Permanent these should follow the property unless the property has been registered at the Land Registry	Offer to Archives if the deeds are no longer needed
<i>Plans</i>			Permanent	Retain in school whilst operational	Offer to Archives
<i>Maintenance and contractors</i>		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
<i>Leases</i>			Expiry of lease + 6 years	SECURE DISPOSAL	
<i>Lettings</i>			Current year + 3 years	SECURE DISPOSAL	
<i>Burglary, theft and vandalism report forms</i>			Current year + 6 years	SECURE DISPOSAL	
<i>Maintenance log books</i>			Last entry + 10 years	SECURE DISPOSAL	
<i>Contractors' Reports</i>			Current year + 6 years	SECURE DISPOSAL	
<i>Premises files (relating to maintenance)</i>	No		Cessation of use of building + 7 years then review		

8 Local Authority					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Secondary transfer sheets (Primary)</i>	Yes		Current year + 2 years	SECURE DISPOSAL	
<i>Attendance returns</i>	Yes		Current year + 1 year	SECURE DISPOSAL	
<i>Circulars from LEA</i>			Whilst required operationally	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]

9 Department for Education					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>HMI reports</i>			These do not need to be kept any longer		Transfer to Archives [take a sample for permanent preservation]
<i>OFSTED reports and papers</i>			Replace former report with any new inspection report	Review to see whether a further retention period is required	Transfer to Archives [take a sample for permanent preservation]
<i>Returns</i>			Current year + 6 years	SECURE DISPOSAL	
<i>Circulars from Department for Education</i>			Whilst operationally required	Review to see whether a further retention period is required	Transfer to Archives [take a sample for permanent preservation]

10 Pupils					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Admission Registers</i>	Yes		Date of last entry in the book (or file) + 6 years	Retain in the school for 6 years from the date of the last entry.	Transfer to the Archives
<i>Attendance registers</i>	Yes		Date of register + 3 years	SECURE DISPOSAL [If these records are retained electronically any back up copies should be destroyed at the same time]	
<i>Pupil record cards</i>	Yes				
<ul style="list-style-type: none"> <i>Primary</i> 			Retain for the time which the pupil remains at the primary school	Transfer to the secondary school (or other primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service	
<i>Pupil files</i>	Yes				
<ul style="list-style-type: none"> <i>Primary</i> 			Retain for the time which the pupil remains at the primary school	Transfer to the secondary school (or other primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service	
<i>Special Educational Needs & Disabilities files, reviews and Individual Education Plans or Education, Health and Care Plans</i>	Yes		DOB of the pupil + 25 years the review NOTE: This retention period is the minimum period that any pupil file should be kept.	SECURE DISPOSAL	

10 Pupils					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Letters authorising absence</i>	No		Date of absence + 2 years	SECURE DISPOSAL	
<i>Absence books</i>			Current year + 6 years	SECURE DISPOSAL	
<i>Examination results</i>	Yes				
<ul style="list-style-type: none"> <i>Public</i> 	No		Year of examinations + 6 years	SECURE DISPOSAL	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	SECURE DISPOSAL	
<i>Any other records created in the course of contact with pupils</i>	Yes/No		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or SECURE DISPOSAL	
<i>Statement maintained under The Education Act 1996 - Section 324</i>	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SECURE DISPOSAL unless legal action is pending	
<i>Proposed statement or amended statement</i>	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SECURE DISPOSAL unless legal action is pending	
<i>Advice and information to parents regarding educational needs</i>	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	SECURE DISPOSAL unless legal action is pending	
<i>Accessibility Strategy</i>	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SECURE DISPOSAL unless legal action is pending	

10 Pupils					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Children's SEN Files</i>	Yes		DOB of pupil + 25 years then review – it may be appropriate to add an additional retention period in certain cases	SECURE DISPOSAL unless legal action is pending	
<i>Parental permission slips for school trips – where there has been no major incident</i>	Yes		Conclusion of the trip	SECURE DISPOSAL	
<i>Parental permission slips for school trips – where there has been a major incident</i>	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	SECURE DISPOSAL	
<i>Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Primary Schools</i>	No	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 14 years	N	SECURE DISPOSAL or delete securely
<i>Walking Bus registers</i>	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]	

11 Home School Link Workers and Parent Support Assistants				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Method of Disposal
<i>Day Books</i>	Yes		Current year + 2 years then review	SECURE DISPOSAL
<i>Reports for outside agencies – where the report has been included on the case file created by the outside agency</i>	Yes		Whilst the child is attending the school then destroy	SECURE DISPOSAL
<i>Referral forms</i>	Yes		While the referral is current then	SECURE DISPOSAL
<i>Contact data sheets</i>	Yes		Current year then review, if contact is no longer active then destroy	SECURE DISPOSAL
<i>Contact database entries</i>	Yes		Current year then review, if contact is no longer active then destroy	DELETE
<i>Group Registers</i>	Yes		Current year + 2 years	SECURE DISPOSAL

12 Schools Meals				
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Method of disposal
<i>Dinner Register</i>			Current year + 3 years	SECURE DISPOSAL
<i>School Meals Summary Sheets</i>			Current year + 3 years	SECURE DISPOSAL

13 Curriculum				
Basic file description	Data Prot Issue	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
<i>Curriculum development</i>	No		Current year + 6 years	SECURE DISPOSAL
<i>Curriculum returns</i>	No		Current year + 3 years	SECURE DISPOSAL
<i>School syllabus</i>	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
<i>Schemes of work</i>	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
<i>Timetable</i>	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
<i>Class record books</i>	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
<i>Mark Books</i>	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
<i>Record of homework set</i>	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
<i>Pupils' work</i>	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
<i>Examination results</i>	Yes		Current year + 6 years	SECURE DISPOSAL
<i>SATS records</i>	Yes		Current year + 6 years	SECURE DISPOSAL
<i>PAN reports</i>	Yes		Current year + 6 years	SECURE DISPOSAL
<i>Value added records</i>	Yes		Current year + 6 years	SECURE DISPOSAL