

Records Management Policy

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| Policy Code: | HR33 |
| Policy Start Date: | March 2022 |
| Policy Review Date: | March 2023 |

Please read this policy in conjunction with the policies listed below:

- HR6 Data Protection Policy
- HR6A Data Breach Policy
- HR12 Staff Disciplinary Policy
- HR36 Complaints Policy
- ICT2 Online Safety Policy
- SW5 Safeguarding and Child Protection (Promoting Students Welfare) Policy
- SW9 Parental Communications and Complaints Policy

1 Policy Statement

- 1.1 As a public body, the Trust is required by law to manage records appropriately. Legislation such as the Data Protection Act 2018, UK GDPR, Freedom of Information Act 2000 and Environmental Information Regulations 2004 set out specific requirements in relation to the creation and management of records.
- 1.2 Maintaining appropriate and effective records management practices will help the Trust to deliver and meet our statutory duties. By adopting this policy the Trust aims to ensure that the record, in whatever form it takes, is accurate, reliable, ordered, complete, useful, up to date and accessible whenever it is needed.
- 1.3 References to the Trust or Academy within this policy specifically include all primary, secondary and special academies within the Trust, as well as the Early Years setting at the Priory Witham Academy, Priory Apprenticeships and Lincolnshire SCITT.
- 1.4 This policy does not form part of any member of staff's contract of employment and it may be amended at any time.

2 Roles, Responsibility and Implementation

- 2.1 The Pay, Performance and HR Committee has overall responsibility for the effective operation of this policy and for ensuring compliance with the relevant statutory framework. This committee delegates day-to-day responsibility for operating the policy and ensuring its maintenance and review to the Director of Human Resources.
- 2.2 Leaders and Managers have a specific responsibility to ensure the fair application of this policy and all staff are responsible for supporting colleagues and ensuring its success.

3 Aims

- 3.1 To ensure that the Trust appropriately manages a record through its life cycle from creation or receipt, through maintenance and use to final disposal (for destruction, transfer or permanent retention).
- 3.2 To ensure that all Trust staff, governors, Trustees, elected members, partners, suppliers and stakeholders are aware of what they must do to manage records in an effective and efficient way.
- 3.2 To ensure that records are:
 - easily and efficiently located, accessed and retrieved;
 - better protected and securely stored; and

- disposed of safely and at the right time;

3.4 To reduce corporate risk through compliance with relevant legislation.

4 Scope

4.1 This policy shall apply to the management of records in all technical or physical formats or media, created or received by the Trust in the conduct of its business activities.

4.2 This policy applies to all Trust staff (both permanent and temporary), contractors, consultants, volunteers, secondees, elected members, governors, Trustees, partners, suppliers and stakeholders who have access to records, wherever these records may be located.

5 Definitions

5.1 **Record:** A record is recorded information, in any form, including data in systems, produced or received and then kept in order to support and/or give evidence of an activity. Since a record is recorded information, no record may be modified.

5.2 **Format:** A record can be in any format including (but not limited to): paper, email, audio/visual, electronic documents, systems data, databases, digital images and photographs.

5.3 **Records Management:** The control of records during their lifetime, from creation to storage and retention until the eventual archival preservation or destruction.

5.4 **Records Creator:** The person that produces and receives and then keeps them in its record-keeping system.

5.5 **Record-Keeping System:** System or procedures by which the records are created, captured, secured, maintained and disposed.

5.6 **Records Declaration:** The process through which records are identified as such and distinguished by other information that is not to be regarded as recorded information.

5.7 **Official Copy:** The official copy of a record is the copy intended to give evidence of the activity supported by the record and therefore, if need be, is the one to be submitted to public authorities and other stakeholders and partners.

5.8 **Convenience Copy:** A convenience copy of a record is a copy of a record created for the convenience of the records creator or of

someone working for the records creator e.g. to give him/her quicker access to the information contained in the record.

- 5.9 **Primary Responsibility:** The primary responsibility over a record identifies which organisational unit/person is in charge of keeping the official copy of a record and deciding about specific issues concerning its management.
- 5.10 **Vital Records:** Records without which an organisation would be unable to function, or to prove that a key activity has taken place.
- 5.11 **EDRMS:** The Trust's Electronic Documents and Record Management System. The EDRMS may be made up of one or more IT platforms.

6 Official Copies of Records

- 6.1 There shall be only one official copy of each corporate record.
- 6.2 If there are two records identical to each other to be kept by the Trust in order to give evidence of two different corporate processes, they shall be considered as two separate records, each one associated with its specific features i.e. retention and disposal schedule, file plan code etc. For example, a member of staff performance report kept both in the personal staff member file of the member of staff, and in a litigation file involving the same member of staff.

7 Modifying Records

- 7.1 Records shall not be modified.
- 7.2 A new record shall be produced if the information contained in a record is to be corrected, amended or added.
- 7.3 This former record is to be kept in compliance with the relevant retention and disposal schedule.

8 Access to Records

- 8.1 Records shall only be accessed by relevant staff for a business purpose.
- 8.2 Records shall only be disseminated to members of the public in line with the relevant legislation framework and with any other relevant Trust policy and procedure.

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- 8.3 Access to the Trust records which contain personal data shall be granted (exemptions apply) in accordance with The Trust's Subject Access Request procedure (see section 15).

9 Storing Records

- 9.1 Records shall be kept in a condition so as to ensure continuing authenticity, accessibility, retrievability, intelligibility and usability throughout their whole life-cycle (including, for those selected for long-term or permanent retention, the period when they are kept in the archives).

10 Retention and Disposal

- 10.1 The Trust's retention and disposal schedules can be found in Appendix A. The Trust adheres to the Information Management Toolkit for Academies.
- 10.2 The Trust's retention and disposal schedules shall comply with all relevant UK statutory (including all HMRC) provisions currently in force.
- 10.3 A Head of Service, who has primary responsibility over the record, shall be required to authorise a change to the retention or disposal schedule following the expiration of a record. If it is in contrast with the original schedule, the reason for the change needs to be documented.
- 10.4 Legal provisions shall take precedent over proposed modifications.
- 10.5 The Trust shall ensure that retention and disposal schedules are available to all staff and those managing access to the Trust records.

11 Destruction of Records

- 11.1 If provided by the relevant retention and disposal schedules, corporate records are to be destroyed when their retention periods expire.
- 11.2 Before destroying any record, it is necessary to verify that there are no specific circumstances that may prevent the destruction, such as legal holds (issued by a Court) or new business needs e.g. the record might be useful to support either legal defence or another corporate activity.
- 11.3 Destruction of corporate records shall be authorised in writing by the relevant manager, or authorised deputy, of the service area which has primary responsibility over them.

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- 11.4 The service area which has primary responsibility over the records shall ensure all existing copies of the records are destroyed, regardless of format and location.
- 11.5 Destruction of records shall be recorded on a Disposal Register (a template is available from HR). The register is to be kept in digital format by the service and a copy sent to the Human Resources Department.
- 11.6 Paper records are to be destroyed by using the corporately provided lockable confidential disposal bins or confidential waste bags or by shredding the record using a cross cut shredder.
- 11.7 Confidential waste bags and lockable bins must be kept in a location not accessible to the public. Confidential waste bags are to be held and secured at all times to prevent unauthorised access.
- 11.8 Microforms, microfiches, microfilms and non-digital photos must be kept separate from paper records and placed in confidential waste bags reserved just for them.
- 11.9 Electronic records kept in a corporate application shall be deleted using the functionality within the application.
- 11.10 Sanitisation procedures for ICT storage media holding electronic records which includes optical, magnetic and solid state storage media vary with the media type, but typical methods include overwriting, degaussing and physical destruction. Advice shall be sought from the Information Governance Team when considering the destruction of such media.
- 11.11 In all instances where ICT storage media is destroyed, a certificate of destruction shall be provided and held as a permanent record by the relevant service area.

12 Convenience Copies of Records

- 12.1 Corporate retention and disposal schedules do not apply to convenience copies, which are to be destroyed as soon as they are no longer needed to facilitate the work of the person who has produced them.

13 Data Protection

- 13.1 The Trust shall ensure all records which contain personal data are processed in accordance with the Data Protection Act 2018 and UK GDPR. Please refer to HR6 Data Protection Policy.

14 Subject Access Requests (SARs)

- 14.1 The Trust shall ensure that it complies with its obligations under the Data Protection Act 2018 in regards to any SARs.
- 14.2 For further information or to submit an SAR, please email SAR@prioryacademies.co.uk. For further details of the process please refer to HR6 Data Protection Policy.

15 Information Security

- 15.1 The Trust shall ensure appropriate security controls are applied to all records.
- 15.2 The Trust shall ensure that HR5 ICT Acceptable Use Policy is available to all staff.

16 Policy Changes

- 16.1 This policy may only be amended or withdrawn by The Priory Federation of Academies Trust.

The Priory Federation of Academies Trust Records Management Policy

This Policy has been approved by the Priory Federation of Academies Trust's
Pay, Performance and HR Committee:

Signed..... Name..... Date:

Trustee

Signed..... Name..... Date:

Chief Executive Officer

Signed..... Name..... Date:

Designated Member of Staff

Please note that a signed copy of this agreement is available via Human
Resource

Appendix A – Retention and Disposal Schedule

Please note, all files relate to any documents/records saved electronically and in paper format. **At present, child protection records must not be destroyed. The retention of such records will be subject to any future instruction given by the national Independent Inquiry into Child Sexual Abuse (IICSA).**

1.1 Governance of the Academy Trust

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|--------|--|------------------------|---|--|--|
| 1.1.1 | Governance statement | Yes | | Life of the governance statement + 6 years | Secure disposal |
| 1.1.2 | Articles of Association | No | | Life of the Academy and/or Trust | |
| 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 | |
| 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 |
| 1.1.8 | Directors - Appointment | No | | Life of Appointment + 6 years | Secure disposal |
| 1.1.9 | Directors - Disqualification | No | <i>Company Directors Disqualification Act</i> | Date of disqualification + 15 years | Secure disposal |
| 1.1.10 | Directs – 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 |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|--------|---|--|--|--------------------------------|--|
| 1.1.12 | Annual Reports 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 | | 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 | Strategic Plan (School Development Plans) | No | | Life of plan + 6 years | Secure disposal |
| 1.1.19 | Accessibility Plan | There may be if the plan refers to specific pupils | <i>Limitation Act 1980 (Section 2)</i> | 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 the end of the administrative life of the record |
|-------|------------------------|---|---------------------------------------|---|--|
| 1.2.1 | Board Meeting Minutes | Could be if the minutes refer to living individuals | <i>Companies Act 2006 section 248</i> | 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 minutes refer to living individuals | | Date of the meeting + a minimum of 10 years | Offer to archives |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|---------------------------------|---|---|--|---|---|
| 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 | <i>Limitation Act 1980</i> <i>*Section 2)</i> | Date procedures superseded + 6 years | Secure disposal |
| Committees | | | | | |
| 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 | Offer to archives |
| General Members' Meeting | | | | | |
| 1.2.6 | Records relating to the management of General Members' Meetings | Could be if the minutes refer to living individuals | <i>Companies Act 2006</i> <i>section 248</i> | Minutes must be kept for at least 10 years from the date of the meeting | Offer to archives |
| 1.2.7 | Records relating to the management of the Annual General Meetings | Could be if the minutes refer to living individuals | <i>Companies Act 2006</i> <i>section 248</i> | Minutes must be kept for at least 10 years from the date of the meeting | Offer to archives |
| Governors | | | | | |
| 1.2.8 | Agendas for Governing Body meetings | Could be if the meeting is dealing with confidential issues relating to staff | | One copy should be retained with the master set of minutes All other copies can be disposed of | Secure disposal |
| 1.2.9 | Minutes of, and papers considered at, meetings of the Governing Body and its committees | Could be if the meeting is dealing with confidential issues relating to staff | | Principal set (signed) – Life of the Academy Inspection copies - Date of the meeting + 3 years | Secure disposal |
| 1.2.10 | Reports presented to the Governing Body | Could be if the meeting is | | Reports should be kept for a minimum of 6 years. | Secure disposal or retain with the signed set of minutes |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|----------------------------|--|--|-----------------------------|---|---|
| | | dealing with confidential issues relating to staff | | However, if the minutes refer directly to individual reports, then the reports should be kept for the life of the Academy | |
| Statutory Registers | | | | | |
| 1.2.15 | Register of Directors | | <i>Companies Act 2006</i> | Life of the Trust + 6 years | Secure disposal |
| 1.2.16 | Register of Directors' interests (not a statutory register) | | | Life of the Trust + 6 years | Secure disposal |
| 1.2.17 | Register of Directors' residential addresses | | <i>Companies Act 2006</i> | Life of the Trust + 6 years | Secure disposal |
| 1.2.18 | Register of gifts, hospitality and entertainments | | <i>Companies Act 2006</i> | Life of the Trust + 6 years | Secure disposal |
| 1.2.19 | Register of members | | <i>Companies Act 2006</i> | Life of the Trust + 6 years | Secure disposal |
| 1.2.20 | Register of secretaries | | <i>Companies Act 2006</i> | Life of the Trust + 6 years | Secure disposal |
| 1.2.21 | Register of Trustees interests | | | Life of the Trust + 6 years | Secure disposal |
| 1.2.22 | Declaration of Interests Statements (governors) (not a statutory register) | | | Life of the Trust + 6 years | Secure disposal |

1.3 Funding and Finance

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|--------|---|------------------------|----------------------|--|--|
| | Strategic Finance | | | | |
| 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 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 | No | | Date policy superseded + 3 years | Secure disposal |
| | Audit Arrangements | | | | |
| 1.3.9 | Audit Committee and appointment of responsible officers | No | | Life of the Academy | |
| 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 |
| | Funding Agreements | | | | |
| 1.3.12 | Funding Agreement with Secretary of State and supplemental funding agreements | No | | Date of last payment of funding + 6 years | Secure disposal |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|--------|--|------------------------|--|--|--|
| 1.3.13 | Funding Agreement – Termination of the funding agreement | No | | Date of last payment of funding + 6 years | Secure disposal |
| 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 | No | | Date of last payment of funding + 6 years | Secure disposal |
| 1.3.19 | Funding records | 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 |
| | Payroll and pensions | | | | |
| 1.3.22 | Maternity pay records | Yes | <i>Statutory Maternity Pay (General) Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567)</i> | Current year + 3 years | Secure disposal |
| 1.3.23 | Records held under Retirement Benefits Schemes (information Powers) Regulations 1995 | Yes | <i>Regulation 15 Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI1995/3103)</i> | From the end of the year in which the accounts were signed for a minimum of 6 years | Secure disposal |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|--|---|-------------------------------|-----------------------------|---|---|
| 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 |
| 1.3.26 | Payroll records | Yes | | Date payroll run + 6 years | Secure disposal |
| Risk Management and Insurance | | | | | |
| 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 Academy + 40 years | Secure disposal |
| Endowment Funds and Investments | | | | | |
| 1.3.30 | Investment policies | No | | Life of the investment + 6 years | Secure disposal |
| 1.3.31 | Management of Endowment Funds | No | | Life of the fund + 6 years | Secure disposal |
| Accounts and Statements | | | | | |
| 1.3.32 | Annual accounts | No | | Current year + 6 years | Standard disposal |
| 1.3.33 | Loans and grants managed by the Academy | 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 |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|----------------------------|--|-------------------------------|-----------------------------|---|---|
| 1.3.36 | Invoices, receipts, order books 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 |
| 1.3.38 | Records relating to the identification and collection of debt | No | | Current financial year + 6 years | Secure disposal |
| Contract Management | | | | | |
| 1.3.39 | All records relating to the management of contracts under seal | No | <i>Limitation Act 1980</i> | Last payment on the contract + 12 years | Secure disposal |
| 1.3.40 | All records relating to the management of contracts under signature | No | <i>Limitation Act 1980</i> | Last payment on the contract + 6 years | Secure disposal |
| 1.3.41 | All records relating to the monitoring of contracts | No | | Current year + 2 years | Secure disposal |
| Asset Management | | | | | |
| 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 |
| 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 |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|---------------------|--|-------------------------------|-----------------------------|---|---|
| 1.3.49 | Transfers 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 |
| School Fund | | | | | |
| 1.3.51 | School Fund – Cheque books | No | | Current year + 6 years | Secure disposal |
| 1.3.52 | School fund – Paying in books | No | | Current year + 6 years | Secure disposal |
| 1.3.53 | School Fund – Ledger | No | | Current year + 6 years | Secure disposal |
| 1.3.54 | School Fund – Invoices | No | | Current year + 6 years | Secure disposal |
| 1.3.55 | School Fund – Receipts | No | | Current year + 6 years | Secure disposal |
| 1.3.56 | School Fund – Bank statements | No | | Current year + 6 years | Secure disposal |
| 1.3.57 | School Fund – Journey books | No | | Current year + 6 years | Secure disposal |
| School Meals | | | | | |
| 1.3.58 | Free school meals registers | Yes | | Current year + 6 years | Secure disposal |
| 1.3.59 | Schools meals registers | Yes | | Current year + 3 years | Secure disposal |
| 1.3.60 | School meals summary sheets | No | | Current year + 3 years | Secure disposal |

1.4 Policies, Frameworks and Overarching Requirements

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|-------------------------------|-----------------------------|---|---|
| 1.4.1 | Data Protection Policy, including data protection notification | No | | Date policy superseded + 6 years | Secure disposal |
| 1.4.2 | Freedom of Information Policy | No | | Date policy superseded + 6 years | Secure disposal |
| 1.4.3 | Information Security Breach Policy | No | | Date policy superseded + 6 years | Secure disposal |
| 1.4.4 | Special Educational Needs Policy | No | | Date policy superseded + 6 years | Secure disposal |
| 1.4.5 | Complaints Policy | No | | Date policy superseded + 6 years | Secure disposal |
| 1.4.6 | Risk and Control Framework | No | | Life of framework + 6 years | Secure disposal |
| 1.4.7 | Rules and Bylaws | No | | Date rules or bylaws superseded + 6 years | Secure disposal |
| 1.4.8 | Home School Agreements | No | | Date agreement revised + 6 years | Secure disposal |
| 1.4.9 | Equality Information and Objectives (public sector equality duty) Statement for publication | No | | Date of statement + 6 years | Secure disposal |

2. Human Resources

2.1 Recruitment

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|--|--|--|
| 2.1.1 | All records leading up to the appointment of a new Headteacher | Yes | | Date of appointment + 6 years | Secure disposal |
| 2.1.2 | All records leading up to the appointment of a new member of staff – unsuccessful candidates | Yes | | Date of appointment of successful candidate + 6 months | Secure disposal |
| 2.1.3 | All records leading up to the appointment of a new member of staff – successful candidate | Yes | | All relevant information should be added to the Staff Personnel File (see below) and all other information retained for 6 months | Secure disposal |
| 2.1.4 | Pre-employment vetting information – DBS Checks | No | <i>DBS Update Service Employer Guide</i> | Information relating to the DBS certificate should be added to the Staff Personnel File | Secure disposal |
| 2.1.5 | Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure | Yes | | Date of appointment + 6 years | Secure disposal |
| 2.1.6 | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom | Yes | <i>An employer’s guide to right to work checks (Home Office)</i> | Where possible, these documents should be added to the Staff Personnel file, but if they are kept separately, then the Home Office requires that the documents are kept for termination of the 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 | Secure disposal |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|--|--------------------------------------|-------------------------------|-----------------------------|---|---|
| | | | | Personnel file, but if they are kept separately, then the Home Office requires that the documents are kept for termination of the employment plus not less than 2 years | |
| | Records relating to the TUPE process | Yes | | Date last member of staff transfers or leaves the organisations + 6 years | Secure disposal |

2.2 Operational Staff Management

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|-------------------------------|--|--|---|
| 2.2.1 | Staff Personnel File, including employment contract and staff training records | Yes | <i>Limitation Act 1980 (Section 2)</i> | Termination of employment + 6 years | Secure disposal |
| 2.2.2 | Timesheets | Yes | | Current year + 6 years | Secure disposal |
| 2.2.3 | Annual appraisal/assessment records | Yes | | Current year + 5 years | Secure disposal |
| 2.2.4 | 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 |

2.3 Management of Disciplinary and Grievance Processes

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|---|---|--|
| 2.3.1 | Allegation which is child protection in nature against a member of staff, including where the allegation is unfounded | Yes | <i>Keeping children safe in education 2020</i> <i>Working together to safeguard children. A guide to inter-agency working to safeguarding and promote the welfare of children 2018</i> | 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 |
| 2.3.2 | Disciplinary Proceedings | Yes | | | |
| | Oral warning | | | Date of warning + 6 months* | Secure disposal** |
| | Written warning – level 1 | | | Date of warning + 6 months* | Secure disposal** |
| | Written warning – level 2 | | | Date of warning + 12 months* | Secure disposal** |
| | Final warning | | | Date of warning + 18 months* | Secure disposal** |
| | Case not found | | | If the incident is child protection related, then see 2.3.1. Otherwise, dispose of at the conclusion of the case. | Secure disposal** |

* Where the warning relates to child protection issues, see section 2.3.1

** If warnings are placed on personnel files, then they must be weeded from the file.

2.4 Health and Safety

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|---|--|--|
| 2.4.1 | Health and Safety policy statements | No | | Life of the policy + 3 years | Secure disposal |
| 2.4.2 | Health and Safety risk assessments | No | | Life of the risk assessment + 3 years | Secure disposal |
| 2.4.3 | Records relating to accident/injury at work | Yes | | Date of the incident + 12 years In the case of serious accidents, a further retention period will need to be applied | Secure disposal |
| 2.4.4 | Accident reporting | Yes | <i>Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980</i> | 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: | |
| | Adults | | | Date of incident + 6 years | Secure disposal |
| | Children | | | Date of birth of the child + 25 years | 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 |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|--------|-------------------------------|-------------------------------|--------------------------------|---------------------------------------|---|
| 2.4.8 | Fire precautions log books | No | | Current year + 6 years | Secure disposal |
| 2.4.9 | Fire risk assessments | No | <i>Fire Service Order 2005</i> | Life of the risk assessment + 6 years | Secure disposal |
| 2.4.10 | Incident reports | Yes | | Current year + 20 years | Secure disposal |

3. Management of the Academy

3.1 Admissions

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|---|--|--|
| 3.1.1 | All records relating to the creation and implementation of the School Admissions' Policy | No | <i>School Admissions Code Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014</i> | Life of the policy + 3 years then REVIEW | Secure disposal |
| 3.1.2 | Admissions – if the admission is successful | Yes | <i>School Admissions Code Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014</i> | Date of admission + 1 year | Secure disposal |
| 3.1.3 | Admissions – if the appeal is unsuccessful | Yes | <i>School Admissions Code Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014</i> | Resolution of the case + 1 year | Secure disposal |
| 3.1.4 | Register of admissions | Yes | <i>School attendance: Departmental advice for maintained schools, Academies, independent schools and local authorities</i> | Every entry in the admission register must be preserved for a period of 3 years after the date on which the entry was made | REVIEW |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|---|--|--|
| 3.1.5 | Admissions – Secondary Schools - Casual | Yes | | Current year + 1 year | Secure disposal |
| 3.1.6 | Proofs of address supplied by parents as part of the admissions process | Yes | <i>School Admissions Code Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014</i> | Current year + 1 year | Secure disposal |
| 3.1.7 | Supplementary information form, including additional information such as religion and medical conditions | Yes | | | |
| | For successful admissions | | | This information should be added to the pupil file | Secure disposal |
| | For unsuccessful admissions | | | Until appeals process is complete | Secure disposal |

3.2 Headteacher and Senior Leadership Team

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|--|----------------------|---|--|
| 3.2.1 | Log books of activity in the school maintained by the Headteacher | There may be 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 | Secure disposal |
| 3.2.2 | Minutes of Senior Leadership Team meetings and meetings of other internal administrative bodies | There may be if the minutes refer to individual pupils or members of | | Date of the meeting + 3 years then REVIEW | Secure disposal |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|--|-----------------------------|--|---|
| | | staff | | | |
| 3.2.3 | Reports created by the Headteacher or the Leadership Team | There may be if the reports refer to individual pupils or members of staff | | Date of the report + 3 years then REVIEW | Secure disposal |
| 3.2.4 | Records created by Headteacher, Deputy Headteacher, Assistant Headteachers, Heads of Year and other members of staff with administrative responsibilities | There may be 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 Headteacher, Deputy Headteacher, Assistant Headteachers, Heads of Year and other members of staff with administrative responsibilities | There may be if the correspondence refers to individual pupils or members of staff | | Date of correspondence + 3 years then REVIEW | Secure disposal |
| 3.2.6 | Professional Development Plans | Yes | | Life of the plan + 6 years | Secure disposal |

3.3 Operational Administration

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|-------------------------------|-----------------------------|--|---|
| 3.3.1 | Management of complaints | Yes | | Date of complaint resolved + 3 years | 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 |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|-------------------------------|-----------------------------|---------------------------------------|---|
| 3.3.3 | Records relating to the management of software licences | No | | Date of licence expires + 6 years | Secure disposal |
| 3.3.4 | General file series | No | | Current year + 5 years then REVIEW | Secure disposal |
| 3.3.5 | Records relating to the creation and publication of the academy brochure or prospectus | No | | Current year + 3 years | Secure disposal |
| 3.3.6 | Records relating to the creation and distribution of circulars to staff, parents or pupils | No | | Current year + 1 year | 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 |
| 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 | Secure disposal |

4. Property Management

4.1 Property Management

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|----------------------|---|--|
| 4.1.1 | Title deeds of properties belonging to the 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 | Secure disposal |
| 4.1.5 | Disaster continuity and disaster recovery plans | No | | Date the plan superseded + 3 years | Secure disposal |

4.2 Maintenance

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|----------------------|--------------------------------|--|
| 4.2.1 | All records relating to the maintenance of the 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 the end of the 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 | No | <i>Limitation Act 1980 (Section 2)</i> | 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 | No | <i>Limitation Act 1980 (Section 2)</i> | Disposal of the vehicle + 6 years | Secure disposal |
| 4.3.3 | Service logs and vehicle logs | No | <i>Limitation Act 1980 (Section 2)</i> | Life of the vehicle, then either to be retained for 6 years by the school or to be returned to the lease company | Secure disposal |
| 4.3.4 | GPS tracking data relating to the vehicles | No | <i>Limitation Act 1980 (Section 2)</i> | Date of the journey + 6 years | Secure disposal |

5 Pupil Management

5.1 Pupil's Educational Record

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|--|---|--|
| 5.1.1 | Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005 | Yes | <i>The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437</i> | | |
| | Primary | | | Retain whilst the child remains at the primary school | The file should follow the pupil when they leave the primary setting. Electronic data held on the MIS will be retained until the child reaches the end of KS3. If the pupil dies whilst at the 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. |
| | Secondary | | <i>Limitation Act 1980 (Section 2)</i> | 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 + 25 years | Secure disposal |
| 5.1.3 | Management of examination registrations | Yes | | The examination board will mandate how long these records need to be retained | |
| 5.1.4 | Examination results – pupil copies | Yes | | | |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|---|--|--|
| | Public | | | This information should be added to the pupil file | All uncollected certificates should be returned to the examination board |
| | Internal | | | This information should be added to the pupil file | Secure disposal |
| 5.1.5 | Child protection information held in separate child protection file | Yes | <i>Keeping children safe in education 2020</i> <i>Working together to safeguard children. A guide to inter-agency working to safeguarding and promote the welfare of children 2018</i> | Date of birth of the child + 25 years then REVIEW | Secure disposal These records must be shredded |

5.2 Attendance

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|--|---|--|
| 5.2.1 | Attendance registers | Yes | <i>School attendance: Departmental advice for maintained schools, Academies, independent schools and local authorities</i> | Every entry in the attendance register must be preserved for a period of 3 years after the date on which the entry was made | Secure disposal |
| 5.2.2 | Correspondence relating to authorised absence | | <i>Education act 1996 Section 7</i> | Current academic year + 2 years | Secure disposal |

5.3 Special Educational Needs

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|---|---------------------------------------|--|
| 5.3.1 | Special Educational Needs files, reviews and Individual Education Plans | Yes | <i>Limitation Act 1980</i> | Date of birth of the pupil + 25 years | REVIEW This is the minimum retention period that any pupil file should be kept. |
| 5.3.2 | EHCP maintained under section 234 of the Education Act 1990 and any amendments made to the statement | Yes | <i>Education Act 1996 Special Educational Needs and Disability Act 2001 Section 1</i> | Date of birth of the pupil + 25 years | Secure disposal unless the document is subject to a legal hold |
| 5.3.3 | Advice and information provided to parents regarding educational needs | Yes | <i>Special Educational Needs and Disability Act 2001 Section 2</i> | Date of birth of the pupil + 25 years | Secure disposal unless the document is subject to a legal hold |
| 5.3.4 | Accessibility strategy | Yes | <i>Special Educational Needs and Disability Act 2001 Section 14</i> | Date of birth of the pupil + 25 years | Secure disposal unless the document is subject to a legal hold |

6 Curriculum Management

6.1 Statistics and Management Information

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|----------------------|---|--|
| 6.1.1 | Curriculum returns | No | | Current year + 3 years | Secure disposal |
| 6.1.2 | Examination results (Academy copy) | Yes | | Current year + 6 years | Secure disposal |
| | SATs records: | Yes | | | Secure disposal |
| | Results | | | The SATs results should be recorded on the pupil's educational file. The school may wish to keep a composite record of all the whole year SATs results. This could be kept for the current year + 6 years to allow suitable comparison | Secure disposal |
| | Examination papers | | | The examination papers should be kept until any appeals/validation process is complete | Secure disposal |
| 6.1.3 | Publish Admission Number (PAN) reports | Yes | | Current year + 6 years | Secure disposal |
| 6.1.4 | Value added and contextual data | Yes | | Current year + 6 years | Secure disposal |
| 6.1.5 | Self-evaluation forms | Yes | | Current year + 6 years | Secure disposal |

6.2 Implementation of Curriculum

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|------------------------|------------------------|----------------------|---|--|
| 6.2.1 | Schemes of work | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a further retention period, or, Secure disposal |
| 6.2.2 | Timetable | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a further retention period, or, Secure disposal |
| 6.2.3 | 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 further retention period, or, Secure disposal |
| 6.2.4 | Mark books | 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 |
| 6.2.5 | 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 further retention period, or, Secure disposal |
| 6.2.6 | Pupils' work | No | | Where possible, should be returned to the pupil at the end of the academic year. If not, then 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 |

7 Extracurricular Activities

7.1 Educational Visits outside the Classroom

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|---|---|--|
| 7.1.1 | Records created by academies in order to obtain approval to run an educational visit outside the classroom – Primary settings | No | <i>Outdoor Education Advisors' Panel National Guidance website, specifically Section 3 – "Legal Framework and Employer Systems" and Section 2 – "Good Practice"</i> | Date of visit + 14 years | Secure disposal |
| 7.1.2 | Records created by academies in order to obtain approval to run an educational visit outside the classroom – Secondary settings | No | <i>Outdoor Education Advisors' Panel National Guidance website, specifically Section 3 – "Legal Framework and Employer Systems" and Section 2 – "Good Practice"</i> | Date of visit + 10 years | Secure disposal |
| 7.1.3 | Parental consent forms for school trips where there has been no major incident | Yes | | Conclusion of the trip | Secure disposal |
| 7.1.3 | Parental consent forms for school trips where there has been a major incident | Yes | <i>Limitation Act 1980 (Section 2)</i> | Date of birth of the pupil involved in the incident + 25 years The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all pupils | Secure disposal |
| 7.1.5 | Records relating to residential trips | Yes | | Date of birth of youngest pupil involved + 25 years | Secure disposal |

7.2 Walking Bus

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|------------------------|------------------------|----------------------|--|--|
| 7.2.1 | Walking bus registers | Yes | | Date of register + 3 years This takes into account the fact that, if there is an incident requiring an accident report, the register will be submitted with the accident report and kept for the period of time required for accident reporting | Secure disposal |

8 Central Government and Local Authority (LA)

8.1 Local Authority

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|-------------------------------------|------------------------|----------------------|--------------------------------|--|
| 8.1.1 | Secondary transfer sheets (Primary) | Yes | | Current year + 2 years | Secure disposal |
| 8.1.2 | Attendance returns | Yes | | Current year + 1 year | Secure disposal |
| 8.1.3 | School census returns | No | | Current year + 5 years | Secure disposal |

8.2 Central Government

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|----------------------|--------------------------------|--|
| 8.2.1 | OFSTED reports and papers | No | | Life of the report then REVIEW | Secure disposal |
| 8.2.2 | Returns made to central government | No | | Current year + 6 years | Secure disposal |
| 8.2.3 | Circulars and other information sent from central government | No | | Operational use | Secure disposal |

9 Early Years Provision

9.1 Records

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|------------------------|--|--|--|
| 9.1.1 | The name, home address and date of birth of each child who is looked after on the premises | Yes | | Closure of setting + 50 years (these could be required to show whether or not an individual child attended the setting in a child protection investigation) | Secure disposal |
| 9.1.2 | The name, home address and telephone number of a parent of each child who is looked after on the premises | Yes | | If this information is kept in the same book or on the same form as in 9.1.1 then the same retention period should be used as 9.1.1. If the information is stored separately, then destroy once the child has left the setting (unless the information is collected for anything other than emergency contact) | Secure disposal |
| 9.1.3 | The name, address and telephone number of any person who will be looking after children on the premises | Yes | | Termination of employment + 6 years | Secure disposal |
| 9.1.4 | A daily record of the names of children looked after on the premises, their hours of attendance and the names of the persons who looked after them | Yes | The Day Care and Child Minding (National Standards) (England) Regulations 2003 | The regulations say that these records should be kept for 2 years. If these records are likely to be needed in a child protection setting (see 9.1.1) then the records should be retained for closure of the setting + 50 | Secure disposal |

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|--|-------------------------------|--|---|---|
| | | | | years | |
| 9.1.5 | A record of accidents occurring on the premises and the incident books relating to other incidents | Yes | The Day Care and Child Minding (National Standards) (England) Regulations 2003 | Date of birth of the child involved in the accident or the incident + 25 years. If an adult is injured then the accident book must be kept for 7 years from the date of the incident | Secure disposal |
| 9.1.6 | A record of any medicinal product administered to any child on the premises, including the date and circumstances of its administration, by whom it was administered, including medicinal products which the child is permitted to administer to himself, together with a record of parent's consent | Yes | The Day Care and Child Minding (National Standards) (England) Regulations 2003 | Date of birth of the child being given/taking the medicine + 25 years | Secure disposal |
| 9.1.7 | Record of transfer | Yes | | One copy is to be given to the parents, one copy transferred to the Primary School where the child is going | Secure disposal |
| 9.1.8 | Portfolio of work, observations and so on | Yes | | To be sent home with the child | Secure disposal |
| 9.1.9 | Birth certificates | Yes | | Once the setting has had sight of the birth certificate and recorded the necessary information the original can be returned to the parents. There is no requirement to keep a copy of the birth certificate | Secure disposal |

9.2 Child Protection

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|----------------------|--|--|
| 9.2.1 | The name and address and telephone number of the registered person and every other person living or employed on the premises | Yes | | Termination of employment + 6 years | Secure Disposal |
| 9.2.2 | A statement of the procedure to be followed in the event of a fire or accident | No | | Procedure superseded + 7 years | Secure Disposal |
| 9.2.3 | A statement of the procedure to be followed in the event of a child being lost or not collected | No | | Procedure superseded + 7 years | Secure disposal |
| 9.2.4 | A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person | No | | Until superseded | Secure disposal |
| 9.2.5 | A statement of the arrangements in place for the protection of children, including arrangements to safeguard the children from abuse or neglect and procedures to be followed in the event of allegations of abuse or neglect | No | | Closure of settings + 50 years (these could be required to show whether or not an individual child attended the setting in a child protection investigation) | Secure disposal |

9.3 Admission Information

| | Basic file description | Data protection issues | Statutory provisions | Retention period (operational) | Action at the end of the administrative life of the record |
|-------|---|------------------------|----------------------|--|--|
| 3.3.1 | Emergency contact details for appropriate adult to collect the child if necessary | Yes | | Destroy once the child has left the setting (unless the information is collected for anything other than emergency contract) | Secure Disposal |

| | | | | | |
|-------|---|-----|--|--|-----------------|
| 3.3.2 | Contract, signed by the parent, stating all the relevant details regarding the child and their care, including the name of the emergency contact and confirmation of their agreement to collect the child during the night. | Yes | | Date of birth of the child who is the subject of the contract + 25 years | Secure Disposal |
|-------|---|-----|--|--|-----------------|

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