

# RECORDS MANAGEMENT AND DATA RETENTION POLICY



## Introduction

Uffington Church of England Primary School recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution. Records provide evidence for protecting the legal rights and interests of the school, and provide evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

## 1. Scope of the policy

1.1 This policy applies to all records created, received or maintained by staff of the school 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 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.

1.3 A small percentage of the school's records will be selected for permanent preservation as part of the institution's archives and for historical research.

## 2. Responsibilities

2.1 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 Head of the School.

2.2 The school's Data Protection Manager will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. The DPM will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately.

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 school's records management guidelines.

### 3. Relationship with existing policies

This policy has been drawn up within the context of:

- Freedom of Information policy
- Data Protection policy
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the school.

### 4. The purpose of the Retention Policy

The retention policy stipulates the length of time a record needs to be retained and the action which should be taken when it is of no further administrative use. Members of staff are expected to manage their current record keeping systems using the retention schedule, and to take account of the different kinds of retention periods when creating new recording systems. The retention schedule refers to all information, regardless of the media in which they are stored.

### 5. What to do with records once they have reached the end of their administrative life.

#### 5a Destruction of records

Where records have been identified for destruction they should be disposed of in an appropriate way. All records containing personal information, or sensitive policy information should be shredded before disposal.

#### 5b Transfer of records to the Archives

Where records have been identified as being worthy of permanent preservation, arrangements should be made to transfer the records to the Archives.

#### 5c Transfer of information to other media

Where lengthy retention periods have been allocated to records, members of staff may wish to consider converting paper records to other media such as digital media. The lifespan of the media and the ability to migrate data where necessary should always be considered.

### 6. Monitoring and Review

This policy will be reviewed on an annual basis by the school's Data Protection Officer alongside all other documents and policies relating to data protection. Any suggestions for amendments will be presented to the governors for their approval following review.

Policy ratified by the governing body	May 2018
Policy reviewed	June 2024
Next review	June 2025



## RETENTION SCHEDULE

### 1. Child Protection

	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
1.1	Child Protection files	Yes	Education Act 2002, s175, related guidance "Safeguarding Children in Education", September 2004	Until the child leaves the school – all files transferred to receiving school	SHRED	Child Protection information must be copied and sent under separate cover to new school/college whilst the child is still under 18 (i.e. the information does not need to be sent to a university for example) Where a child is removed from roll to be educated at home, the file should be copied to the Local Authority.
1.2	Allegation of a child protection nature against a member of staff, including where the allegation is unfounded	Yes	Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) Education Act 2002 guidance "Dealing with Allegations of Abuse against Teachers and Other Staff" November 2005	10 years from the date of the allegation whichever is the longer	SHRED	The following is an extract from "Safeguarding Children and Safer Recruitment in Education" p60 "Record Keeping" 5.10 It is important that a clear and comprehensive summary of any allegations made, details of how the allegation was followed up and resolved, and a note of any action taken and decisions reached, is kept on a person's confidential personnel file, and a copy provided to the person concerned. The purpose of the record is to enable accurate information to be given in response to any future request for a reference if the person has moved on. It will provide clarification in cases where a future DBS Disclosure reveals information from the police about an allegation that did not result in a criminal conviction. And it will help to prevent unnecessary reinvestigation if, as sometimes happens, an allegation re-surfaces after a period of time. The record should be retained at least 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."

<b>2 Governors</b>						
	<b>Basic File Description</b>	<b>Data protection issues</b>	<b>Statutory provisions</b>	<b>Retention period</b>	<b>Action at the end of the administrative life of the record</b>	
2.1	Minutes					
	<ul style="list-style-type: none"> <li>• <i>Principal set (signed)</i></li> </ul>	No		Permanent	Retain in school for 6 years from date of meeting	Transfer to Archives
	<ul style="list-style-type: none"> <li>• <i>Inspection copies</i></li> </ul>	No		Date of meeting + 3 years	SHRED [If these minutes contain any sensitive personal information they should be shredded]	
2.2	Agendas	No		Date of meeting	SHRED	
2.3	Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
2.4	Instruments of Government	No		Permanent	Retain in school whilst school is open	Transfer to Archives when the school has closed

2. <b>Governors</b>						
	<b>Basic File Description</b>	<b>Data protection issues</b>	<b>Statutory provisions</b>	<b>Retention period</b>	<b>Action at the end of the administrative life of the record</b>	
2.6	Trusts and Endowments	No		Permanent	Retain in school whilst operationally required	Transfer to Archives
2.7	Action Plans	No		Date of action plan + 3 years	SHRED	It may be appropriate to offer to the Archives for a sample to be taken if the school has been through a difficult period
2.8	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)	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
2.9	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	
2.10	Annual Reports required by the Department for Education and Skills	No		Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171	Date of report + 10 years	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
2.11	Proposals for schools to become, or be established as Specialist Status schools	No			Current year + 3 years	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]

### 3. Management

	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
3.1	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.	Transfer to the Archives
3.2	Minutes of the Senior Management Team and other internal administrative bodies	Yes		Date of meeting + 5 years	Retain in the school for 5 years from meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
3.3	Reports made by the head teacher or the management team	Yes		Date of report + 3 years	Retain in the school for 3 years from meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
3.4	Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	Yes		Closure of file + 6 years	SHRED	
3.5	Correspondence created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	No		Date of correspondence + 3 years	SHRED	
3.6	Professional development plans	Yes		Closure + 6 years	SHRED	
3.7	School development plans	No		Closure + 6 years	Review	Offer to the Archives
3.8	Admissions – if the admission is successful	Yes		Admission + 1 year	SHRED	
3.9	Admissions – if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SHRED	

### 3. Management

	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
3.11	Proofs of address supplied by parents as part of the admissions process	Yes		Current year + 1 year	SHRED	



#### 4. Pupils

4. Pupils						
	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
4.1	Admission Registers	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
4.2	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]	
4.3	Pupil files (electronic)	<b>Yes</b>		Until the child leaves the school – all files transferred to receiving school		
4.4	Special Educational Needs files, reviews and Individual Education Plans	Yes		Until the child leaves the school – all files transferred to receiving school	SHRED	
4.5	Examination results	Yes				
4.5a	• <i>Public</i>	No		Year of examinations + 6 years	SHRED	
4.5b	• <i>Internal examination results</i>	Yes		Current year + 5 years <sup>1</sup>	SHRED	

4.6	Any other records created in the course of contact with pupils	Yes		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or SHRED	
<b>4.Pupils</b>						
	<b>Basic File Description</b>	<b>Data protection issues</b>	<b>Statutory provisions</b>	<b>Retention period</b>	<b>Action at the end of the administrative life of the record</b>	
4.7	Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	Until the child leaves the school – all files transferred to receiving school	SHRED unless legal action is pending	
4.8	Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	Until the child leaves the school – all files transferred to receiving school	SHRED unless legal action is pending	
4.9	Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Until the child leaves the school – all files transferred to receiving school	SHRED unless legal action is pending	
4.10	Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SHRED unless legal action is pending	
4.11	Children's SEN Files	Yes		Until the child leaves the school – all files transferred to receiving school	SHRED unless legal action is pending	
4.12	Parental permission slips for school trips – where there has been no major incident	Yes		Conclusion of the trip	SHRED	

<sup>1</sup> If these records are retained on the pupil file or in their National Record of Achievement they need only be kept for as long as operationally necessary.

4.Pupils						
	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
4.13	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	
4.14	Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Primary Schools	N	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Conclusion of the trip	N	SHRED or delete securely

## 5. Curriculum

	<b>Basic File Description</b>	<b>Data protection issues</b>	<b>Statutory provisions</b>	<b>Retention period</b>	<b>Action at the end of the administrative life of the record</b>
5.10	Examination results	Yes		Current year then anonymised for archiving	SHRED

## 6. Personnel Records held in School

	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
6.1	Timesheets, sick pay	Yes	Financial Regulations	Current year + 1 year	SHRED	
6.2	Staff Personal files	Yes		Termination + 7 years	SHRED	
6.3	Interview notes and recruitment records	Yes		until appointment is confirmed	SHRED	
6.4	Disciplinary proceedings:	Yes	<b>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.</b>	Termination + 7 years		
6.4a	• <i>oral warning</i>			Termination + 7 years	SHRED <sup>2</sup>	
6.4b	• <i>written warning – level one</i>			Termination + 7 years	SHRED	
6.5c	• <i>written warning – level two</i>			Termination + 7 years	SHRED	
6.5d	• <i>final warning</i>			Termination + 7 years	SHRED	
6.5e	• <i>case not found</i>			If child protection related please see 1.2 otherwise shred immediately at	SHRED	

				the conclusion of the case		
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### 6. Personnel Records held in School

	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
6.6	Records relating to accident/injury at work	Yes		Date of incident + 12 years In the case of serious accidents a further retention period will need to be applied	SHRED	
6.7	Annual appraisal/assessment records	Yes		Current year + 5 years	SHRED	
6.8	Attendance data	Yes		Termination of employment	SHRED	
6.9	Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year, +3yrs	SHRED	
6.10	Proofs of identity collected as part of the process of checking "portable" enhanced DBS disclosure	Yes		Where possible these should be checked and a note kept of what was seen and what has been checked.		
6.11	Contact details including next of kin	Yes		Termination of employment		

7. Health and Safety						
	Basic File Description	Data protection issues	Statutory provisions	Retention period	Action at the end of the administrative life of the record	
7.1	Accident Reporting ( <i>those reported under RIDDOR or any lost-time incident resulting in an absence from school for a period of three days or more</i> )		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980			
7.2a	• Adults	Yes		Date of incident + 7 years	SHRED	
7.2b	• Children	Yes		DOB of child + 25 years <sup>3</sup>	SHRED	
7.3	Incident reports	Yes		Current year + 20 years	SHRED	

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<sup>3</sup> A child may make a claim for negligence for 7 years from their 18<sup>th</sup> birthday. To ensure that all records are kept until the pupil reaches the age of 25 this retention period has been applied.

## 5. Property

	<b>Basic File Description</b>	<b>Data protection issues</b>	<b>Statutory provisions</b>	<b>Retention period</b>	<b>Action at the end of the administrative life of the record</b>	
10.3	Maintenance and contractors		Financial Regulations	Current year + 6 years	SHRED	
10.6	Burglary, theft and vandalism report forms			Current year + 6 years	SHRED	
10.7	Maintenance log books			Last entry + 10 years	SHRED	
10.8	Contractors' Reports			Current year + 6 years	SHRED	



**14. Records to be kept by Registered Persons**

	<b>Basic File Description</b>	<b>Data protection issues</b>	<b>Statutory provisions</b>	<b>Retention period</b>
15.1	Portfolio of work, observations and so on	Y	Until the child leaves the school	To be sent home with the child
15.2	Birth certificates	Y		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.

**15. Other Records - Administration**

	<b>Basic File Description</b>	<b>Data protection issues</b>	<b>Statutory provisions</b>	<b>Retention period</b>
	<b>Insurance</b>			
16.4	Claims made against insurance policies – personal injury	Y		Case concluded + 6 years
	<b>Human Resources</b>			
16.5	Personal Files - records relating to an individual's employment history	Y12		Termination + 6 years then review

