Policy: Record Retention and Disposal Policy

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Mission Statement

At Abbey School our aim is to teach to inspire, motivate and nurture the next generation of creative and critical thinkers. We work in partnership with parents and the community to achieve the highest standards. Our main goal is to encourage our children to be resilient, respectful, responsible independent learners, equipped for lifelong learning. Through stimulating, safe learning environments and excellent opportunities to succeed in and out of the classroom, we encourage children's progress and achievements.

Our Core Values

RESPECT, RESPONSIBILITY, RESILIENCE

These 3 core values underpin the ethos of Abbey School. Our young pupils are encouraged to understand these values and how they develop, initially, at the micro level around themselves, their friendships, their families and our school. Later, our older pupils begin to understand how these self-same values affect our lives on the macro level, with all this means for their lives as they grow into adults and their environment of Devon, the United Kingdom, and also the planet in which we live.

Statutory Requirements

The school recognizes that by efficiently managing its records and reviewing retention, it will comply with its legal and regulatory obligations and contribute to the effective overall management of the school.

Rationale

Records provide evidence for protecting legal rights and interests of the school as well as evidence for demonstrating performance, compliance and accountability. Record keeping is an essential part of the schools administrative function and this policy provides a framework through which this effective management and retention can be achieved and audited.

This policy covers the following:

Scope of the policy

This policy applies to all records created, received or maintained by the 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 - see the retention schedule at Appendix 1 of this policy) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

A small percentage of the school's records will be selected for permanent preservation as part of the school's archives and for historical research. This will be done in liaison with the County Archives Service and will contain the minimum amount of personal data required in compliance with the GDPR and data protection laws currently in force.

The Responsibilities of the School and its Staff

The school has a responsibility to maintain its records and record keeping in systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Headmistress of the School, Miss Fleur Greinig.

The person responsible for records management in the school is the Secretary, Miss Emma Schofield, and 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. They will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately.

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 schools records management guidelines (also see the safe disposal or records/date section of this policy).

The data protection officer for the school is The Principal, Mrs Sylvia Greinig, and will provide guidance on ensuring that the school complies with the General Data Protection Regulations (GDPR) and data protection laws in respect of the records and record keeping and the retention and disposal referred to within this policy.

Relationship with existing policies

- This policy should be read in conjunction with the following:
- The Freedom of Information Policy;
- The Data Protection Policy;
- The Schools Privacy Notice

Pupil Record Management

This part of the policy relates to the type of information which should be included in pupil records and sets out information about how pupil records should be managed and should be read in conjunction with the Data Protection Policy and the Privacy Notice.

The pupil record is the core record for charting the pupil's progression through the education system and should accompany the pupil to every school they attend. The information contained in the pupil record should be accurate and up-to-date.

The central pupil record is kept in electronic form in PASS but other pupil records may be taken from this and stored in other locations (such as attendance records, registers, class lists etc…). Further details on this can be found in the Privacy Notice.

Pupils (and parents) have a right to see their educational record, please refer to the Privacy Notice for details on this.

Pupil records include information obtained from the admission form and local authority or previous school at the point the pupil enters school and includes personal, medical and any special educational needs information. The pupil record may also contain information regarding pupil attainment, annual written reports to parents and any information relating to exclusions (fixed or permanent).

Pupil records will be transferred to any new school which the pupil attends, this includes instances where the pupil moves to another primary school or where the pupil leaves primary school to join a secondary school.

Abbey Schools does not need to keep copies of any records in the pupil record once this has been transferred to a pupils new school, except if there is an ongoing legal action when the pupil leaves the school. Custody of and responsibility for the records passes to the school the pupil transfers to.

Pupil records will be transferred to the new school electronically or if paper copies in the locality, in person.

The information which should be included on the pupil record and provided to the secondary school (or new primary school) can be found in the Information Management Toolkit for Schools.

The school which the pupil attended until statutory school leaving age is responsible for retaining the pupil record until the pupil reaches the age of 25 years.

The pupil record will be disposed of in accordance with the safe disposal of records/data section later in this policy.

If the school is requested to transfer a pupil's record outside the UK because the pupil has moved into that area then we will do so in accordance with the data protection laws and will ensure that that country is compliant with GDPR prior to the transfer. If the institution outside UK is unable to show that they are compliant with the GDPR then the school will require parental consent to the transfer.

All pupil records are kept securely on an encrypted and password protected electronic system. Where paper copies of pupil records are held, these are kept securely in accordance with the Privacy Notice and Data Protection Policy.

Information Audits

An information audit is a map of all of the personal data which is held by the school both electronically and in paper form. The information audit is designed to assist schools to know what information they hold, what legal basis they have for holding this information, where the information is held and what it is used for.

The information audit is an ongoing process that assists the school with managing the personal data they hold and ensuring compliance with the General Data Protection Regulations and data protection laws in force.

The school will regularly review and update the information audit and this will be monitored by the Data Protection Officer at least once per academic year.

Email Records

Whilst emails may be used to send information, this should be done in compliance with the Data Protection Policy and any personal data should be sent securely and, where possible, via encrypted messaging to ensure compliance with the GDPR.

Emails should not be used as a means of recording and storing information; if information or attachments from the email are required to be stored or recorded then these should be saved in the appropriate place and then the email should be deleted.

Where it is necessary to keep the content of an email this should be done by saving the email in the .msg format and storing this in an appropriate place electronically. The location for storage and the appropriate retention period will depend on the class of record the content of the email comes under e.g. pupil record, part of a contract, school financial information etc… Please refer to the retention information later in this policy.

For further information on use of email, please refer to the staff usage/ICT policy.

Retention of Records and Personal Data

In compliance with the Freedom of Information Act 2000 and the GDPR and Data Protection laws, the school keeps a retention schedule listing the records it keeps, the period of retention for each record and the action to be taken when it is of no further administrative use. The retention schedule can be found at Appendix One to this policy.

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 they are creating new record keeping systems.

Where appropriate the retention schedule should be reviewed and amended to include any new record series created and remove any obsolete record series. A review of the schedule should be carried out as and when these amendments are required and at least once per academic year.

The retention schedule contains recommended retention periods for the different record series created and maintained by schools in the course of their business. The schedule refers to all information regardless of the media in which it is stored.

Some of the retention periods are governed by Statute whilst others follow the guidelines on best practice. Every effort has been made to ensure that these retention periods are compliant with the GDPR and Data Protection Laws.

If a record series is to be kept for longer or shorter periods than laid out in the retention schedule then the reasons for this need to be documented.

Safe Disposal of Records/Data

This policy relates to all types of records whether they are paper copies or electronically held.

The GDPR and data protection laws stipulate that personal data should not be held for longer than is necessary for the purpose(s) for which it was held.

The school must ensure that records that are no longer required for business use are reviewed as soon as possible so that only the appropriate records are destroyed. The school will review to determine whether records are to be selected for permanent preservation (if this is the case then the personal data contained therein should be kept to an absolute minimum), destroyed, converted into an electronic format or retained for research or litigating purposes.

All records containing personal information or sensitive policy information should be made either unreadable or unreconstructable.

Paper records will be shredded using a cross-cutting shredder or securely permanently destroyed.

All electronic records will be permanently deleted/destroyed.

The school will keep a list of records which have been destroyed and who authorized their destruction in line with the Freedom of Information Act 2000.

Where there is a need for permanent preservation of records the school should ensure that any personal data is kept to a minimum required for the preservation and that the arrangements should be made to transfer the records to the County Archives Service.

Where lengthy retention periods have been allocated to records, it may be appropriate to consider converting the paper records into electronic records for storage. If this is to be done then care should be taken to ensure that the school can prove that the electronic version is a genuine copy of the original.

ANNEX 1

4 Strategic Meetings

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Minutes					
• *Inspection copies*	No		Date of meeting + 3 years	DESTROY [If these minutes contain any sensitive personal information they should be shredded]	
Agendas	No		Date of meeting	DESTROY	
Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting	Transfer to Archives
Action Plans	No		Date of action plan + 3 years	DESTROY	It may be appropriate to offer to the Archives for a sample to be taken if the school has been through a difficult period
Policy documents	No		Expiry of policy	DESTROY	
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 Destroy routine complaints	

5 Management					
Basic file description	**Data Protec Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Log Books	Yes[1]		Date of last entry in the book + 6 years	Retain in the school for 6 years from the date of the last entry.	
Records created by head teachers and other members of staff with administrative responsibilities	Yes[1]		Closure of file + 6 years	DESTROY If these records contain sensitive information they should be shredded	
Correspondence created by head teachers and other members of staff with administrative responsibilities	No		Date of correspondence + 3 years	DESTROY If these records contain sensitive information they should be shredded	
Professional development plans	Yes		Closure + 6 years	SHRED	
School development plans	No		Closure + 6 years	Review	Offer to the Archives

[1] From January 1st 2005 subject access is permitted into unstructured filing systems and log books and other records created within the school containing details about the activities of individual pupils and members of staff will become subject to the Data Protection Act 1998.

6 Pupils					
Basic file description	**Data Prot Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Admission Registers	Yes		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.	Offer to the Archives
Attendance registers	Yes		Date of register + 3 years	DESTROY [If these records are retained electronically any back up copies should be destroyed at the same time]	
Pupil files	Yes		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	
Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 25 year[2]	SHRED	
Letters authorising absence	No		Date of absence + 2 years	SHRED	
Examination results	Yes				

[2] As above

6 Pupils					
Basic file description	**Data Prot Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
• *Public*	No		Year of examinations + 6 years	DESTROY	Any certificates left unclaimed should be returned to the appropriate Examination Board
• *Internal examination results*	Yes		Current year + 5 years[3]	DESTROY	
Any other records created in the course of contact with pupils	Yes/No		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or DESTROY	
Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	DESTROY unless legal action is pending	
Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	DESTROY unless legal action is pending	
Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	DESTROY unless legal action is pending	

[3] 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.

6 Pupils

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	DESTROY unless legal action is pending	
Children SEN Files	Yes		Closure + 35 years	DESTROY unless legal action is pending	

7 Curriculum

Basic file description	Data Protec Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Curriculum development	No		Current year + 6 years	DESTROY	
Schemes of work	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or DESTROY	
Timetable	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or DESTROY	

7 Curriculum					
Basic file description	**Data Protec Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Pupils' work	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or DESTROY	
SATS records	Yes		Current year + 6 years	DESTROY [These records should be shredded]	
Value added records	Yes		Current year + 6 years	DESTROY [These records should be shredded]	

8 Personnel					
Basic file description	**Data Protect Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Timesheets	Yes	Financial Regulations	Current year + 6 years	SHRED	
Staff Personal files	Yes[4]		Termination + 7 years	SHRED	

8 Personnel					
Basic file description	**Data Protect Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Interview notes and recruitment records	Yes		Date of interview + 6 months	SHRED	
Pre-employment vetting information (including DBS checks)	No	CRB guidelines	Date of check + 6 months	SHRED [by the designates member of staff]	
Disciplinary proceedings:	Yes				
• *Oral warning*			Date of warning + 6 months	SHRED If this is placed on a personal file, it must be weeded from the file.	
• *written warning – level one*			Date of warning + 6 months	SHRED If this is placed on a personal file, it must be weeded from the file.	
• *written warning – level two*			Date of warning + 12 months	SHRED If this is placed on a personal file, it must be weeded from the file.	
• *final warning*			Date of warning + 18 months	SHRED If this is placed on a personal file, it must be weeded from the file.	

8 Personnel					
Basic file description	**Data Protect Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
• *case not found*			DESTROY immediately at the conclusion of the case		
Records relating to accident/injury at work	Yes		Date of incident + 12 years	Review at the end of this period. In the case of serious accidents a further retention period will need to be applied	
Annual appraisal/assessment records	No		Current year + 5 years	SHRED	
Salary cards	Yes		Last date of employment + 85 years	SHRED	
Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year, +3yrs	SHRED	
Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	SHRED	

9 Health and Safety					
Basic file description	**Data Prot Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Accessibility Plans		Disability Discrimination Act	Current year + 6 years	DESTROY	
Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980			
• *Adults*	Yes		Current year + 3 years	SHRED	
• *Children*	Yes		DOB + 25 years[5]	SHRED	
COSHH			Current year + 10 years	Review [where appropriate an additional retention period may be allocated]	
Incident reports	Yes		Current year + 20 years	SHRED	
Policy Statements			Date of expiry + 1 year	DESTROY	

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

9 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**	
Risk Assessments			Current year + 3 years	DESTROY	
Process of monitoring of areas where employees and persons are likely to have come in contact with **asbestos**			Last action + 40 years	DESTROY	
Fire Precautions log books			Current year + 6 years	DESTROY	

10 Administrative					
Basic file description	**Data Prot Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Employer's Liability certificate			Permanent whilst the school is open	DESTROY once the school has closed	
Inventories of equipment and furniture			Current year + 6 years	DESTROY	

10 Administrative					
Basic file description	**Data Prot Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
General file series			Current year + 5 years	Review to see whether a further retention period is required	Offer to Archives
School brochure/prospectus			Current year + 3 years		Offer to Archives
Circulars (staff/parents/pupils)			Current year + 1 year	DESTROY	
Newsletters			Current year + 1 year	Review to see whether a further retention period is required DESTROY	
Visitors' book			Current year + 2 years	Review to see whether a further retention period is required DESTROY	

11 Finance

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Annual Accounts		Financial Regulations	Current year + 6 years		
Loans and grants		Financial Regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required	
Contracts					
• under seal			Contract completion date + 12 years	SHRED	
• under signature			Contract completion date + 6 years	SHRED	
• monitoring records			Current year + 2 years	SHRED	
Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SHRED	
Order books and requisitions			Current year + 6 years	SHRED	
School Fund – Cheque books			Current year + 3 years	SHRED	
School Fund – Paying in books			Current year + 6 years	SHRED	
School Fund – Ledger			Current year + 6 years	SHRED	
School Fund – Invoices			Current year + 6 years	SHRED	

11 Finance					
Basic file description	**Data Prot Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
School Fund – Receipts			Current year + 6 years	SHRED	
School Fund – Bank statements			Current year + 6 years	SHRED	

12 Property					
Basic file description	**Data Prot Issues**	**Statutory Provisions**	**Retention Period [operational]**	**Action at the end of the administrative life of the record**	
Plans			Permanent	Retain in school whilst operational then	Offer to Archives
Maintenance and contractors		Financial Regulations	Current year + 6 years	DESTROY	
Leases			Expiry of lease + 6 years	DESTROY	
Lettings			Current year + 3 years	DESTROY	
Burglary, theft and vandalism report forms			Current year + 6 years	SHRED	
Maintenance log books			Last entry + 10 years	DESTROY	
Contractors' Reports			Current year + 6 years	DESTROY	

13 LEA

Basic file description	Data Protect Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Secondary transfer sheets (Primary)	Yes		Current year + 2 years	SHRED	
Attendance returns	Yes		Current year + 1 year	DESTROY	

14 **DfE**

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