



Zest Academy Trust

Records Management and Retention Policy

Approved & Adopted by Trust Board: 21st June 2016

Review Period: Biennial

Policy Date Last Reviewed: 23/04/2019

Person Responsible: COO

Version Number: 4

Zest Academy Trust, Waterloo Road, Blackpool, FY4 3AG
T 01253 315370 E admin@zestacademytrust.co.uk W www.zestacademytrust.co.uk

CEO Mark Hamblett

Registered in England No. 8087508 Company Limited by Guarantee

Table of Contents

<i>Child Protection</i>	<i>3</i>
<i>Governance</i>	<i>4</i>
<i>Management</i>	<i>6</i>
<i>Pupils</i>	<i>8</i>
<i>Curriculum.....</i>	<i>15</i>
<i>Human Resource Records</i>	<i>18</i>
<i>Health and Safety</i>	<i>21</i>
<i>Administrative</i>	<i>23</i>
<i>Finance</i>	<i>25</i>
<i>Property</i>	<i>27</i>
<i>Local Authority</i>	<i>28</i>
<i>Department for Education</i>	<i>29</i>
<i>School Meals.....</i>	<i>30</i>
<i>Safeguarding and Pastoral.....</i>	<i>30</i>

Child Protection					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
1.1	Child Protection Files	Y	Education Act 2002, s175, related guidance "Keeping children safe in education 2015"	DOB +25years	Secure Disposal
1.2	Allegation of a child protection nature against a member of staff, including where the allegation is unfounded	Y	Employment Practices Code, Allegations of abuse against teachers and no-teaching staff 2012	Until the person's normal retirement age, or 10 years from the date of the allegation whichever is the longer	Secure Disposal

Governance					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
2.1	Minutes	N			
	Principal set (signed)	N		Date of meeting + 6 years	Retain in academy for 6 years from date of meeting
	Inspection copies	N		Date of meeting + 3 years	Secure Disposal
2.2	Agendas	N		Date of meeting	Secure Disposal
2.3	Reports	N		Date of meeting + 6 years	Retain in academy for 6 years from date of meeting
2.4	Annual Parents Meeting Papers	N		Date of meeting + 6 years	Retain in academy for 6 years from date of meeting
2.5	Instruments of Government	N		Permanent	Retain in academy whilst academy is open
2.6	Trusts and Endowments	N		Permanent	Retain in academy whilst operational

2.7	Action Plans	N		Date of action plan + 3 years	Secure Disposal
2.8	Policy Documents	N		Expiry of policy	Retain in academy whilst policy is operational (this includes if the expired policy is part of a past decision making process)
2.9	Complaint Files	Y		Date of resolution of complaint + 6 years	Retain in academy for the first six years Review for further retention in the case of contentious disputes Secure Disposal
2.10	Annual Reports required by the DfE	N	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171	Date of report + 6 years	Secure Disposal

Management					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
3.1	Minutes of the Senior Leadership Team and other internal administrative bodies	Y		Date of meeting + 5 years	Retain in the academy for 5 years from meeting
3.2	Reports made by the Principal or the management team	Y		Date of report + 3 years	Retain in the academy for 3 years from meeting
3.3	Records created by Principals, deputy Principals, heads of year and other members of staff with administrative responsibilities	Y		Closure of file + 6 years	Secure Disposal
3.4	Correspondence created by Principals, deputy Principals, heads of year and other members of staff with	N		Date of correspondence + 3 years	Secure Disposal

	administrative responsibilities				
3.5	Professional development plans	Y		Closure + 6 years	Secure Disposal
3.6	Academy development plans	Y		Current plan + 6 years	Review
3.7	Admissions - if the admission is successful	Y		Admission + 1 year	Secure Disposal
3.8	Admissions - if the appeal is unsuccessful	Y		Resolution of case + 1 year	Secure Disposal
3.9	Proofs of address supplied by parents as part of the admissions process	Y		Current year +1 year	Secure Disposal
3.10	Supplementary Information form including additional information such as religion, medical conditions etc.	Y		Current year +1 year	Secure Disposal

Pupils					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
4.1	Admission Registers	Y		Date of last entry in the or file+ 6 years. All registers held electronically using SIMS software.	Retain in the academy for 6 years from the date of the last entry then consider transfer to the Archives
4.2	Attendance Registers	Y		Duration of the pupils' attendance at the Academy	Secure Disposal [If these records are retained electronically any back up copies should be destroyed at the same time]

4.3	Pupil Files Retained in Academies	Y		Retain for the time which the pupil remains at the primary academy	Transfer to the secondary academy (or other primary academy) when the child leaves the academy. In the case of exclusion it may be appropriate to transfer the record to the Pupil Referral Unit
4.4	Pupil Files	Y		Retain for the time which the pupil remains at the primary academy	Transfer to the secondary academy (or other primary academy) when the child leaves the academy. In the case of exclusion it may be appropriate to transfer the record to the Pupil Referral Unit

4.5	Special Educational Needs files, reviews and Individual Education Plans	Y		DOB of the pupil + 25 years the review NOTE: This retention period is the minimum period that any pupil file should be kept. Some authorities choose to keep SEN files for a longer period of time to defend themselves in a “failure to provide a sufficient education” case. There is an element of business risk analysis involved in any decision to keep the records longer than the minimum retention period.	Secure Disposal NB – SEN records should move with the student. Therefore, if at a Primary academy then all notes should transfer with the child upon transfer to their secondary academy (or to another primary academy), unless legal action is pending.
4.6	Correspondence Relating to Authorised Absence and Issues	N			Date of absence + 2 years
4.7	Examination results	Y			

	Public	N		Year of examinations + 6 years	Secure Disposal
	Internal examination results	Y		Current year + 5 years	Secure Disposal
4.8	Any other records created in the course of contact with pupils	Y / N		Current year + 3 years	Secure Disposal or Review at the end of 3 years and either allocate a further retention period
4.9	Statement maintained under The Education Act 1996 - Section 324	Y	The Special Educational Needs and Disability Regulations 2014 – Part 1	DOB + 30 years	Secure Disposal unless legal action pending
4.10	Proposed statement or amended statement	Y	The Special Educational Needs and Disability Regulations 2014 - Part 2	DOB + 30 years	Secure Disposal unless legal action pending

4.11	Advice and information to parents regarding educational needs	Y	The Special Educational Needs and Disability Regulations 2014 - Part 2	Closure + 12 years	Secure Disposal NB – SEN records should move with the student. Therefore, if at a Primary academy then all notes should transfer with the child upon transfer to their secondary academy (or to another primary academy) unless legal action is pending.
4.12	Accessibility Strategy	Y	The Special Educational Needs and Disability Regulations 2014 - Part 2	Closure + 12 years	Secure Disposal
4.13	Parental permission slips for academy trips - where there has been no major incident	Y		Conclusion of the trip	Secure Disposal

4.14	Parental permission slips for academy trips - where there has been a major incident	Y	Limitation Act 1980	DOB of the pupil involved in the incident + 25 years The permission slips for all pupils on the trip need to be retained to show that the rules had been followed for all pupils	Secure Disposal
4.15	Records created by academy's to obtain approval to run an Educational Visit outside the Classroom - Primary Academy's	N	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 14 years	Secure Disposal

4.16	Walking Bus Register	Y		<p>Date of register + 3 years^[1]_{SEP} 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</p>	Secure Disposal
------	----------------------	---	--	--	-----------------

Curriculum					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
5.1	School Development Plan	N		Current year + 6 years	Secure Disposal
5.2	Curriculum returns	N		Current year + 3 year	Secure Disposal
5.3	Schemes of Work	N		Current year + 1 year	Secure Disposal or It may be appropriate to review these records at the end of each year and allocate a new retention period
5.4	Timetable	N		Current year + 1 year	Secure Disposal or It may be appropriate to review these records at the end of each year and allocate a new retention period

5.5	Class Record Books	N		Current year + 1 year	Secure Disposal or It may be appropriate to review these records at the end of each year and allocate a new retention period
5.6	Mark Books	N		Current year + 1 year	Secure Disposal or It may be appropriate to review these records at the end of each year and allocate a new retention period
5.7	Record of Homework Set	N		Current year + 1 year	Secure Disposal or It may be appropriate to review these records at the end of each year and allocate a new retention period

5.8	Pupils' Work	N		Current year + 1 year	Secure Disposal or It may be appropriate to review these records at the end of each year and allocate a new retention period
5.9	Examination Results	Y		Current year + 6 years	Secure Disposal
5.10	SATs Records – Examination Papers and Results	Y		Current year + 6 years	Secure Disposal
5.11	PAN reports	Y		Current year + 6 years	Secure Disposal
5.12	Value Added & Contextual Data	Y		Current year + 6 years	Secure Disposal
5.13	Self-Evaluation Forms	Y		Current year + 6 years	Secure Disposal

Human Resource Records					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
6.1	Timesheets, Sick Pay	Y	Financial Regulations	Current year + 6 years	Secure Disposal
6.2	Staff Personal Files	Y		Termination + 7 years	Secure Disposal
6.3	Interview Notes and Recruitment	Y		Date of Interview + 6 months	Secure Disposal
6.4	Pre-employment vetting information (including DBS checks)	N		Date of check + 6 months	Secure Disposal
6.5	Disciplinary proceedings:	Y	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.		

	Oral warning			Date of warning + 6 months	Secure Disposal
	Written warning – Level one			Date of warning + 6 months	Secure Disposal
	Written warning – Level two			Date of warning + 12 months	Secure Disposal
	Final warning			Date of warning + 18 months	Secure Disposal
	Case not found			If child protection related please see 1.2 otherwise Secure Disposal immediately at the conclusion of the case	Secure Disposal
6.6	Annual appraisal / assessment records	N		Current year + 6 years	Secure Disposal
6.7	Pay Slips	Y		Last date of employment + 85 years	Secure Disposal
6.8	Maternity pay records	Y	Statutory Maternity Pay (General) Regulations 1986 (SI	Current year + 3 years	Secure Disposal

			1986/1960), revised 1999 (SI 1999/567)		
6.9	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Y		Current year + 6 years	Secure Disposal
6.10	Proofs of identity collected as part of the process of checking "portable" enhanced DBS disclosure	Y		Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff's personal file	

Health and Safety					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
7.1	Accessibility Plans	N	Equality Act 2010 Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980	Current year + 6 years	Secure Disposal
7.2	Accident Reporting				
	Adults	Y		Date of incident + 7 years	Secure Disposal
	Pupils	Y		DOB of child + 25 years	Secure Disposal
7.3	COSHH	N		Current year + 10 years [where appropriate an additional retention period may be allocated]	Secure Disposal

7.4	Incident Reports	Y		Current year + 20 years	Secure Disposal
7.5	Policy Statement	N		Date of expiry + 1 year	Secure Disposal
7.6	Risk Assessments	Y		Current year + 3 years	Secure Disposal
	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	N		Last action + 40 years	Secure Disposal
7.8	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	N		Last action + 50 years	Secure Disposal
7.9	Fire Precautions log books	Y		Current year + 6 years	Secure Disposal

Administrative					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
8.1	Employer's Liability Certificate	N		Closure of the school + 40 years	Secure Disposal
8.2	Inventories of equipment & furniture	N		Current year + 6 years unless the Trusts depreciation policy states	Secure Disposal
8.3	General file series	N		Current year + 5 years	Secure Disposal. Review to see whether a further retention period is required
8.4	School brochure or prospectus	N		Current year + 3 years	Disposal
8.5	Circulars (staff/parents/pupils)	Y		Current year + 1 year	Secure Disposal
8.6	Newsletter, ephemera	Y		Current year + 1 year	Secure Disposal. Review to see whether a further retention period is required

8.7	Visitors Book	Y		Current year + 2 years	Secure Disposal. Review to see whether a further retention period is required
8.8	PTA/Old Pupils Associations	Y		Current year + 6 years	Secure Disposal. Review to see whether a further retention period is required

Finance					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
9.1	Annual Accounts	N	Financial Regulations	Current year + 6 years	
9.2	Loans and Grants	N	Financial Regulations	Date of last payment on loan + 12 years	Secure Disposal. Review to see whether a further retention period is required
9.3	Service Contracts				
	Under Seal	N		Contract completion date + 12 years	Secure Disposal
	Under Signature	N		Contract completion date + 6 years	Secure Disposal
	Monitoring Records	N		Current year + 2 years	Secure Disposal
9.4	Copy Orders			Current year + 2 years	Secure Disposal
9.5	Budget Reports, Budget Monitoring etc.	N		Current year + 3 years	Secure Disposal
9.6	Invoice, Receipts and Other records covered by the Financial Regulations	N		Current year + 6 years	Secure Disposal

9.7	Annual Budget and background papers	Y	Financial Regulations	Current year + 6 years	Secure Disposal
9.8	Order books and requisitions	N		Current year + 6 years	Secure Disposal
9.9	Delivery Documentation	N		Current year + 6 years	Secure Disposal
9.10	Debtors' Records	N	Limitation Act 1980	Current year + 6 years	Secure Disposal
9.11	Cheque books	N		Current year + 6 years	Secure Disposal
9.12	Paying in books	N		Current year + 6 years	Secure Disposal
9.13	Ledger	N		Current year + 6 years	Secure Disposal
9.14	Invoices	N		Current year + 6 years	Secure Disposal
9.15	Receipts	N		Current year + 6 years	Secure Disposal
9.16	Bank statements	N		Current year + 6 years	Secure Disposal
9.17	Free school meals registers	Y		Current year + 6 years	Secure Disposal

Property					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
10.1	Lease Agreement	N		Life time of the lease	Permanent, these should follow the property unless the property has been registered at the Land Registry
10.2	Plans	N		Permanent	Retain in school whilst operational

10.3	Maintenance and contractors	N	Financial Regulations	Current year + 6 years	Secure Disposal
10.4	Leases	N		Expiry of lease + 6 years	Secure Disposal
10.5	Lettings	N		Current year + 3 years	Secure Disposal
10.6	Burglary, theft and vandalism report forms	N		Current year + 6 years	Secure Disposal
10.7	Maintenance log books	N		Current year + 6 years	Secure Disposal
10.8	Contractors' Reports	N		Current year + 6 years	Secure Disposal

Local Authority					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
11.1	Secondary transfer sheets (Primary)	Y		Current year + 2 years	Secure Disposal
11.2	Attendance returns	Y		Current year + 21 years	Secure Disposal

Department for Education					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
12.1	HMI Reports	N		These do not need to be kept any longer	
12.2	OFSTED reports and papers	N		Replace former report with any new inspection report	Disposal - Review to see whether a further retention period is required
12.3	Returns	Y		Current year + 6 years	Secure Disposal
12.4	Circulars from Department for Children, Schools and Families	N		Whilst operationally required	Disposal - Review to see whether a further retention period is required

School Meals					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
13.1	Dinner Register	N		Current year + 3 years	Secure Disposal
13.2	School Meal Summary Sheets	N		Current year + 3 years	Secure Disposal

Safeguarding and Pastoral					
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life
14.1	Day Books	Y		Current year + 2 years then review	Secure Disposal
14.2	Reports for outside agencies - where the report has been included on the case file created by the outside agency	Y		Whilst the child is attending the school then destroy	Secure Disposal

14.3	Referral forms	Y		While the referral is current	Secure Disposal
14.4	Contact data sheets	Y		Current year then review, if contact is no longer active then destroy	Secure Disposal
14.5	Contact database entries	Y		Current year then review, if contact is no longer active then destroy	Secure Disposal
14.6	Group Registers	Y		Current year + 2 years	Secure Disposal

Early Years Provision				
	Basic File Description	GDPR Issues	Statutory Provisions	Retention Period

16.1	The name, home address and date of birth of each child who is looked after on the premises	Y		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]
16.2	The name, home address and telephone number of a parent of each child who is looked after on the premises	Y		If this information is kept in the same book or on the same form as in 16.1.1 then the same retention period should be used as in 16.1.1. 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)
16.3	The name, address and telephone number of any person who will be looking after children on the premises	Y		See 16.4.5 below
16.4	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	Y	The Day Care and Child Minding (National Standards) (England) Regulations 2003	The regulations say that these records should be kept for 2 years (SI20031996 7(1b)). If these records are likely to be needed in a child protection setting (see 16.1.1 above) then the records should be retained for closure of setting + 50 years

16.5	A record of accidents occurring on the premises and incident books relating to other incidents	Y	The Day Care and Child Minding (National Standards) (England) Regulations 2003	DOB 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
16.6	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	Y	The Day Care and Child Minding (National Standards) (England) Regulations 2003	DOB of the child being given/taking the medicine + 25 years
16.7	Records of transfers	Y		One copy is to be given to the parents, one copy transferred to the Primary Academy where the child is going
16.8	Portfolio of work, observations and so on	Y		To be sent home with the child

16.9	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.
16.10	The name and address and telephone number of the registered person and every other person living or employed on the premises	Y		Current year + 6 years
16.11	A statement of the procedure to be followed in the event of a fire or accident	N		Procedure superseded + 7 years
16.12	A statement of the procedure to be followed in the event of a child being lost or not collected	N		Procedure superseded + 7 years

16.13	A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person	N		Until superseded
16.14	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	N		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]