

RETENTION OF DOCUMENTS AND RECORDS MANAGEMENT POLICY

WHY DO WE HAVE THIS POLICY?

Notre Dame Catholic College recognises that the efficient management of its records is necessary to comply with its legal and regulatory obligations and to contribute to the effective overall management of the school. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

SCOPE

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

Records are defined as all those documents which facilitate the business carried out by the school and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

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

RESPONSIBILITIES

The school has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Headteacher.

The person responsible for records management in the school will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and timely.

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.

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.

DISPOSAL OF RECORDS

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- ❖ Where it is deemed necessary to destroy records, all efforts will be made to preserve confidentiality and shredding would be carried out by the administrative staff in the college or by confidential waste disposal through an approved company.
- ❖ The Freedom of Information Act 2000 requires the school to maintain a list of records which have been destroyed and who authorised their destruction.

SCHOOL CLOSURES

When a school closes, there will be records which will need to be stored until they work out their statutory retention periods.

It is the responsibility of the Local Authority to manage these records until they have reached the end of their administrative life and to arrange for their disposal when appropriate. There might be a number of different reasons why a school has closed and this may affect where the records need to be stored.

RETENTION GUIDELINES

The following retention guidelines have been issued by the Management Society of Great Britain 'Retention Guidelines for Schools' as well as the 'Data Retention Policy for Liverpool Schools' guidelines (hard copies are available from the clerk to the governing body). Some of the retention periods are governed by statute. Others are guidelines following best practice. Every effort has been made to ensure that these retention periods are compliant with the requirements of the Data Protection Act 1998 and the Freedom of Information Act 2000. Managing records using these retention guidelines will be deemed to be 'normal processing'; under the legislation mentioned above. If record series are to be kept for longer or shorter periods than laid out in this document the reasons for this need to be documented.

MONITORING AND EVALUATION

Wherever possible, records will be kept as stated above. Any alterations to these arrangements will be made within guidelines from the Local Authority.

If you are in doubt with regard to the retention of any document, please contact the School Business Director for clarification.

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Child Protection					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
Child Protection files	Yes	Education Act 2002, related guidance "Safeguarding Children in Education" September 2004	Date of leaving + 25 years	SECURE DISPOSAL	Child Protection information must be copied and sent under separate cover to new school/college whilst the child is still under 18 (the information does not need to be sent to a university). Where a child is removed from roll to be educated at home, the file should be copied to the Local Authority.
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	Until the person's normal retirement age, or 10 years from the date of the allegation whichever is the longer	SECURE DISPOSAL	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."

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Governors					
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Principal set Minutes (signed)	No		Permanent	Retain in school for 6 years from date of meeting	Transfer to Archives
Inspection copies	No		Date of meeting + 3 years	SECURE DISPOSAL	
Agendas	No		Date of meeting	SECURE DISPOSAL	
Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting	
Instruments of Government	No		Permanent	Retain in school	Transfer to Archives if the school has closed
Trusts and Endowments	No		Permanent	Retain in school whilst operationally required	Transfer to Archives
Action Plans	No		Date of action plan + 3 years	SECURE DISPOSAL	It may be appropriate to offer to the Archives.
Policy documents	No		Expiry of policy	Retain in school whilst policy is operational	
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 SECURE DISPOSAL routine complaints	
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
Proposals for schools to become, or be established as Specialist Status schools	No			Current year + 3 years	Transfer to Archives

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Management					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
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
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
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
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	SECURE DISPOSAL	
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	SECURE DISPOSAL	
Professional development plans	Yes		Closure + 6 years	SECURE DISPOSAL	
School development plans	No		Closure + 6 years	Review	
Admissions – if the admission is successful	Yes		DOB of the pupil + 25 years	SECURE DISPOSAL	
Admissions – if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SECURE DISPOSAL	
Admissions – Secondary Schools – Casual	Yes		Current year + 1 year	SECURE DISPOSAL	
Proofs of address supplied by parents as part of the admissions process	Yes		Current year + 1 year	SECURE DISPOSAL	
Supplementary Information form including additional information such as religion, medical conditions etc					

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Pupils					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	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.	Transfer to the Archives
Attendance registers	Yes		Date of register + 3 years	SECURE DISPOSAL	
Pupil Files retained by schools secondary	Yes	Limitation Act 1980	DOB of the pupil + 25 years	SECURE DISPOSAL	
Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 35 years	SECURE DISPOSAL	
Letters authorising absence	No		Date of absence + 2 years	SECURE DISPOSAL	
Absence books			Current year + 6 years	SECURE DISPOSAL	
Examination results	Yes				
Public examination results	No		Year of examinations + 6 years	SECURE DISPOSAL	Unclaimed certificates returned to Exam Board
Internal examination results	Yes		Current year + 5 years	SECURE DISPOSAL	
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 SECURE DISPOSAL	
Statement maintained under The Education Act 1996 - Section 324	Yes	SEN and Disability Act 2001 Section 1	DOB + 30 years	SECURE DISPOSAL unless legal action is Pending	Yes
Proposed statement or amended statement	Yes	SEN and Disability Act 2001 Section 1	DOB + 30 years	SECURE DISPOSAL unless legal action is pending	

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Pupils				
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record
Advice and information to parents regarding educational needs	Yes	SEN and Disability Act 2001 Section 2	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
Accessibility Strategy	Yes	SEN and Disability Act 2001 Section 14	Closure + 12 years	SECURE DISPOSAL unless legal action is pending
Children's SEN Files	Yes		DOB of pupil + 35 years	SECURE DISPOSAL unless legal action is pending
Parental permission slips for school trips – where there has been no major incident	Yes		Conclusion of the trip	SECURE DISPOSAL
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.	SECURE DISPOSAL
Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Secondary Schools	No	3 part supplement to the H&S of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 10 years	SECURE DISPOSAL

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Curriculum				
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record
Curriculum development	No		Current year + 6 years	SECURE DISPOSAL
Curriculum returns	No		Current year + 3 years	SECURE DISPOSAL
School syllabus	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
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 SECURE DISPOSAL
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 SECURE DISPOSAL
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 new retention period or SECURE DISPOSAL
Mark Books	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
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 new retention period or SECURE DISPOSAL
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 SECURE DISPOSAL
Examination results	Yes		Current year + 6 years	SECURE DISPOSAL
SATS records – Examination papers and results	Yes		Current year + 6 years	SECURE DISPOSAL
PAN reports	Yes		Current year + 6 years	SECURE DISPOSAL

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Value added records	Yes		Current year + 6 years	SECURE DISPOSAL
Self-Evaluation Forms	Yes		Current Year + 6 years	SECURE DISPOSAL

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Personnel Records				
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record
Timesheets, sick pay	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL
Staff Personal files	Yes		Termination + 7 years	SECURE DISPOSAL
Interview notes and recruitment records	Yes		Date of interview + 6 months	SECURE DISPOSAL
Pre-employment vetting information (including DBS checks)	No	DBS guidelines	Date of check + 6 months	SECURE DISPOSAL
Disciplinary proceedings:	Yes	Where the warning relates to child protection issues then retain until the person's normal retirement age, or 10 years from the date of the allegation, whichever is the longer. 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 then retain until the person's normal retirement age, or 10 years from the date of the allegation whichever is the longer. Otherwise SECURE DISPOSAL immediately at the conclusion of the case.	SECURE DISPOSAL
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.	SECURE DISPOSAL
Annual appraisal/assessment records	No		Current year + 5 years	SECURE DISPOSAL
Salary cards	Yes		Last date of employment + 85 years	SECURE DISPOSAL
Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year + 3yrs	SECURE DISPOSAL
Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	SECURE DISPOSAL

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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. If it is felt necessary to keep copy documentation then this should be placed on the member of staff’s personal file.	
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Health and Safety				
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record
Accessibility Plans		Disability Discrimination Act	Current year + 6 years	SECURE DISPOSAL
Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980		
Adults	Yes		Date of incident + 7 years	SECURE DISPOSAL
Children	Yes		DOB of child + 25 years	SECURE DISPOSAL
COSHH			Current year + 10 years [where appropriate an additional retention period may be allocated]	SECURE DISPOSAL
Incident reports	Yes		Current year + 20 years	SECURE DISPOSAL
Policy Statements			Date of expiry + 1 year	SECURE DISPOSAL
Risk Assessments			Current year + 3 years	SECURE DISPOSAL
Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos.			Last action + 40 years	SECURE DISPOSAL
Process of monitoring of areas where employees and persons are likely to have come in contact with radiation.			Last action + 50 years	SECURE DISPOSAL
Fire Precautions log books			Current year + 6 years	SECURE DISPOSAL

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Administrative					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
Employer's Liability certificate			Closure of the school + 40 years	SECURE DISPOSAL	
Inventories of equipment and furniture			Current year + 6 years	SECURE DISPOSAL	
General file series			Current year + 5 years	Review to see whether a further retention period is required	Transfer to Archives
School brochure or prospectus			Current year + 3 years		Transfer to Archives
Circulars (staff/parents/pupils)			Current year + 1 year	SECURE DISPOSAL	
Newsletters, ephemera			Current year + 1 year	Review to see whether a further retention period is required	Transfer to Archives
Visitors' book			Current year + 2 years	Review to see whether a further retention period is required	Transfer to Archives
PTA/Old Pupils Associations			Current year + 6 years	Review to see whether a further retention period is required	Transfer to Archives

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Finance					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
Annual Accounts		Financial Regulations	Current year + 6 years		Offer to the Archives
Loans and grants		Financial Regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Contracts					
under seal			Contract completion date + 12 years	SECURE DISPOSAL	
under signature			Contract completion date + 6 years	SECURE DISPOSAL	
monitoring records			Current year + 2 years	SECURE DISPOSAL	
Copy orders			Current year + 2 years	SECURE DISPOSAL	
Budget reports, budget monitoring etc.			Current year + 3 years	SECURE DISPOSAL	
Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
Annual Budget and background papers			Current year + 6 years	SECURE DISPOSAL	
Order books and requisitions			Current year + 6 years	SECURE DISPOSAL	
Delivery Documentation			Current year + 6 years	SECURE DISPOSAL	
Debtors' Records		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL	
School Fund – Cheque books			Current year + 3 years	SECURE DISPOSAL	School Fund – Cheque books
School Fund – Paying in books			Current year + 6 years then review	SECURE DISPOSAL	School Fund – Paying in books
School Fund – Ledger			Current year + 6 years then review	SECURE DISPOSAL	School Fund – Ledger
School Fund – Invoices			Current year + 6 years then review	SECURE DISPOSAL	School Fund – Invoices

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Finance					
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School Fund – Receipts			Current year + 6 years	SECURE DISPOSAL	
School Fund – Bank statements			Current year + 6 years then review	SECURE DISPOSAL	
School Fund – School Journey books			Current year + 6 years then review	SECURE DISPOSAL	
Applications for free school meals, travel, uniforms etc.			Whilst child at school	SECURE DISPOSAL	
Pupil grant applications			Current year + 3 years	SECURE DISPOSAL	
Free school meals registers	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
Petty cash books		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	

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Property					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
Title Deeds			Permanent	Permanent these should follow the property unless the property has been registered at the Land Registry	Offer to Archives if the deeds are no longer needed
Plans			Permanent	Retain in school whilst operational	
Maintenance and contractors		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
Leases			Expiry of lease + 6 years	SECURE DISPOSAL	
Lettings			Current year + 3 years	SECURE DISPOSAL	
Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL	
Maintenance log books			Last entry + 10 years	SECURE DISPOSAL	
Contractors' Reports			Current year + 6 years	SECURE DISPOSAL	

Local Education Authority					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
Secondary transfer sheets (Primary)	Yes		Current year + 2 years	SECURE DISPOSAL	
Attendance returns	Yes		Current year + 1 year	SECURE DISPOSAL	
Circulars from LEA			Whilst required operationally	Review to see whether a further retention period is required	Transfer to Archives

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

Connexions					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
Service level agreements			Until superseded	SECURE DISPOSAL	
Work Experience agreement			DOB of child + 18 years	SECURE DISPOSAL	

School Meals					
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record	
Dinner Register			Current year + 3 years	SECURE DISPOSAL	
School Meals Summary Sheets			Current year + 3 years	SECURE DISPOSAL	

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Family Liaison Officers and Parent Support Assistants				
Basic file description	Data Protection Issues	Statutory Provisions	Retention Period	Action at the end of the administrative life of the record
Day Books	Yes		Current year + 2 years then review	SECURE DISPOSAL
Report for outside agencies – where report has been included on the case file created by the outside agency	Yes		Whilst the child is attending the school then destroy.	SECURE DISPOSAL
Referral Forms	Yes		While the referral is current	SECURE DISPOSAL
Contact data sheets	Yes		Current year then review, if contact is no longer active then destroy.	SECURE DISPOSAL
Contact database entries	Yes		Current year then review if contact is no longer active then destroy.	DELETE
Group registers	Yes		Current year + 2 years	SECURE DISPOSAL

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