



TEESSIDE LEARNING TRUST

Aiming high... Daring to be great

Document and Data Retention Policy

Teesside Learning Trust Policy

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Nb this document has been produced considering the IRMS Information management Toolkit for Schools and The Key. This information relates February 2016. To date there are no updates available (BS 11-04-2018)

1. The purpose of the retention schedule

Under the Freedom of Information Act 2000, Multi Academy Trusts and the academies within them are required to maintain a retention schedule listing the record series which the Trust creates in the course of its business. The retention schedule lays down the length of time which the 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 they are creating new record keeping systems.

The retention schedule refers to all information, regardless of the media in which they are stored.

2. Benefits of a retention schedule

There are a number of benefits which arise from the use of a complete retention schedule:

- a. Managing records against the retention schedule is deemed to be “normal processing” under the General Data Protection Regulation and the Freedom of Information Act 2000. Provided members of staff are managing record series using the retention schedule they cannot be found guilty of unauthorised tampering with files once a freedom of information request or a data subject access request has been made.
- b. Members of staff can be confident about destroying information at the appropriate time.
- c. Information which is subject to Freedom of Information and General Data Protection Regulation will be available when required.
- d. The Trust is not maintaining and storing information unnecessarily.

3. Maintaining and amending the retention schedule

Where appropriate the retention schedule should be reviewed and amended to include any new record series created and remove any obsolete record series.

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

4a Destruction of records

Where records have been identified for destruction they should be disposed of in an appropriate way.

All hard copy records containing personal information, or sensitive policy information should be shredded before disposal (if possible). Any other records should be bundled up and disposed of to a waste paper merchant or disposed of in other appropriate ways.

All electronic records should be dealt with as below,

- Home Folder or Shared Drive: - records should be deleted
- Memory Stick, Card or Portable Hard Drive: - Assuming the portable device is empty and there is not other required data still stored on it a full format should be carried out in conjunction with overwriting (specialist software required) to provide further assurance that data cannot be recovered, alternatively the device can be destroyed
- CD, DVD or Tape: - should be destroyed
- Laptop, Computer or Tablet: - records should be deleted and to provide further assurance that data cannot be recovered, software used to securely overwrite the data on the drive
- Cloud Services (online storage):- user should contact the storage provider to see what service they offer, to securely delete the data

For further advice and clarification on deleting data from computers, laptops and other devices, please follow the link below to the ICO website. Or contact the Network Manager

<https://ico.org.uk/for-the-public/online/deleting-your-data.aspx>

The Freedom of Information Act 2000 requires the academy to maintain a list of records which have been destroyed and who authorised their destruction. Members of staff should record at least:

- File reference (or other unique identifier);
- File title (or brief description);
- No of files
- The name of the authorising officer

This list will be held by each academy.

4b 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.
[internal arrangements in place]

4c 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 electronic documents, for storage on digital media. The lifespan of the media and the ability to migrate data where necessary should always be considered.

5.1 Governors

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Minutes					
<ul style="list-style-type: none"> Principal set (signed) 	No		Permanent	Retained Centrally at the Trust for 6 years from date of meeting	Transfer to Archives
<ul style="list-style-type: none"> Inspection copies 	No		Date of meeting + 3 years	NON SECURE DISPOSAL [If these minutes contain any sensitive personal information they should be shredded]	
Agendas <ul style="list-style-type: none"> One copy should be retained with the master set of minutes 	No		Date of meeting	NON SECURE DISPOSAL	
Reports	No		Date of report + 6 years	Retained centrally at the Trust for 6 years from date of meeting	Transfer to Archives
Instruments of Government	No		Permanent	Retained centrally by the Trust whilst the Trust / Academy is open	Transfer to Archives when the academy has closed
Action Plans	No		Date of action plan + 3 years	NON SECURE DISPOSAL	It may be appropriate to put to the Archives for a sample to be taken if the academy has been through a difficult period
Policy documents	No		Expiry of policy	Held centrally at the Trust but retained in each academy whilst policy is operational (this includes if the expired policy is part of a past decision making process)	Transfer to Archives
Complaints files	Yes		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 Destroy routine complaints	

5.1 Governors					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Annual Reports required by the Department for Education	No	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171	Date of report + 10 years	Held centrally by the Trust	Transfer to Archives

5.2 Management					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Minutes of the Senior Management Team and other internal administrative bodies	Yes ¹		Date of meeting + 5 years	Retain in the academy for 5 years from meeting	Transfer to Archives
Reports made by the Principal or the management team	Yes ¹		Date of report + 3 years	Retain in the academy for 3 years from meeting	Transfer to Archives
Records created by Principal, deputy Principals, heads of year and other members of staff with administrative responsibilities	Yes ¹		Closure of file + 6 years	NON SECURE DISPOSAL If these records contain sensitive information they should be shredded	
Correspondence created by Principals, deputy Principals, and other members of staff with administrative responsibilities	No		Date of correspondence + 3 years	NON SECURE DISPOSAL If these records contain sensitive information they should be shredded	
Professional development plans	Yes		Closure + 6 years	SECURE DISPOSAL	
Academy development plans	No		Closure + 6 years	Review	Transfer to Archives

5.3 Students					
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 academy for 6 years from the date of the last entry.	Transfer to the Archives
Attendance registers	Yes		Date of register + 3 years	NON SECURE DISPOSAL [If these records are retained electronically any back up copies should be destroyed at the same time]	
Student record cards	Yes		DOB of the student + 25 years ¹	SECURE DISPOSAL	
Student files	Yes		DOB of the student + 25 years ²	SECURE DISPOSAL	
Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the student + 25 year ³	SECURE DISPOSAL	
Letters authorising absence	No		Date of absence + 2 years	SECURE DISPOSAL	
Absence books/registers			Current year + 6 years	SECURE DISPOSAL	
Examination results	Yes				

¹ In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service

² As above

³ As above

5.3 Students					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
• <i>Public</i>	No		Year of examinations + 6 years	NON SECURE DISPOSAL	Any certificates left unclaimed should be returned to the appropriate Examination Board
• <i>Internal examination results</i>	Yes		Current year + 5 years ⁴	NON SECURE DISPOSAL	
Any other records created in the course of contact with students	Yes/No		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or NON SECURE DISPOSAL	
Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	NON SECURE DISPOSAL unless legal action is pending	
Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	NON SECURE DISPOSAL 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	NON SECURE DISPOSAL unless legal action is pending	
Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	NON SECURE DISPOSAL unless legal action is pending	
Children SEN Files	Yes		Closure + 35 years	NON SECURE DISPOSAL unless legal action is pending	

⁴ If these records are retained on the student file or in their National Record of Achievement they need only be kept for as long as operationally necessary.

5.4 Curriculum					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	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	
Academy 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 NON 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 NON 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 NON 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 NON 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 NON 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 NON SECURE DISPOSAL	
Students' 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 NON SECURE DISPOSAL	
Examination results	Yes		Current year + 6 years	SECURE DISPOSAL	
SATS records	Yes		Current year + 6 years	SECURE DISPOSAL	

5.4 Curriculum					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
PANDA reports	Yes		Current year + 6 years	SECURE DISPOSAL	
Value added records	Yes		Current year + 6 years	SECURE DISPOSAL	

5.5 Personnel					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Timesheets, sickness absence	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
Payslips and backup information	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
Staff Personal files	Yes ⁵		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 [by the designates member of staff]	
Disciplinary proceedings:	Yes		Please note that all these retention periods where the warning relates to child protection issues may change in light of any recommendations made by the Bichard Inquiry.		
<ul style="list-style-type: none"> <i>case not found</i> 			Date of decision letter + 6 months	Review at the end of this period. In the case where a complaint has triggered the investigation, a further retention period will need to be applied if legal action is pending	
<ul style="list-style-type: none"> <i>management guidance or recommendations</i> 			Date of warning + 6 months or timescale stated on decision letter	SECURE DISPOSAL A record of the warning should be kept, but it must be disregarded for disciplinary purposes	
<ul style="list-style-type: none"> <i>written warning</i> 			Date of warning + 12 months or timescale stated on decision letter	SECURE DISPOSAL A record of the warning should be kept, but it must be disregarded for disciplinary purposes	

⁵ These files should be subject to KCC's open file policy where the employees are employed by RECORDS MANAGEMENT SOCIETY OF GREAT BRITAIN as the Local Education Authority.

5.5 Personnel					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<ul style="list-style-type: none"> <i>final warning</i> 			Date of warning + 18 months or timescale stated on decision letter	SECURE DISPOSAL A record of the warning should be kept, but it must be disregarded for disciplinary purposes	
<ul style="list-style-type: none"> <i>Dismissal</i> 			Date of dismissal + 7 years	SECURE DISPOSAL A record of the warning should be kept in line with statutory duty	
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 performance management records	No		Current year + 5 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	

5.6 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	NON SECURE DISPOSAL	
Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980			
• <i>Adults</i>	Yes		Current year + 3 years	SECURE DISPOSAL	
• <i>Children</i>	Yes		DOB + 25 years ⁶	SECURE DISPOSAL	
COSHH			Current year + 10 years	Review	
Incident reports	Yes		Current year + 20 years	SECURE DISPOSAL	
Policy Statements			Date of expiry + 1 year	NON SECURE DISPOSAL	
Risk Assessments			Current year + 3 years	NON SECURE DISPOSAL	
Process of monitoring of areas where employees and persons are likely to have come in contact with asbestos			Last action + 40 years	NON SECURE DISPOSAL	
Process of monitoring of areas where employees and persons are likely to have come in contact with radiation			Last action + 50 years	NON SECURE DISPOSAL	

⁶ A child may make a claim for negligence for 7 years from their 18th birthday. To ensure that all records are kept until the student reaches the age of 25 this retention period has been applied.

5.6 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	
Fire Precautions log books			Current year + 6 years	NON SECURE DISPOSAL	

5.7 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 academy is open	NON SECURE DISPOSAL once the academy has closed	
Inventories of equipment and furniture			Current year + 6 years	NON SECURE DISPOSAL	
Academy brochure/prospectus			Current year + 3 years		Transfer to Archives
Circulars (staff/parents/students)			Current year + 1 year	NON 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

5.8 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		Transfer to 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
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	
Trust Fund – Cheque books			Current year + 3 years	SECURE DISPOSAL	
Trust Fund – Paying in books			Current year + 6 years	SECURE DISPOSAL	
Trust Fund – Ledger			Current year + 6 years	SECURE DISPOSAL	
Trust Fund – Invoices			Current year + 6 years	SECURE DISPOSAL	
Trust Fund – Receipts			Current year + 6 years	SECURE DISPOSAL	
Trust Fund – Bank statements			Current year + 6 years	SECURE DISPOSAL	
Applications for free academy meals, travel, uniforms etc			Whilst child at academy	SECURE DISPOSAL	
Free academy meals registers	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL	

5.8 Finance					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Petty cash books		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	

5.9 Property					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Title Deeds			Permanent	These should follow the property	Transfer to Archives
Plans			Permanent	Retain in academy whilst operational then	Transfer to Archives
Maintenance and contractors		Financial Regulations	Current year + 6 years	NON SECURE DISPOSAL	
Leases			Expiry of lease + 6 years	NON SECURE DISPOSAL	
Lettings			Current year + 3 years	NON SECURE DISPOSAL	
Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL	
Maintenance log books			Last entry + 10 years	NON SECURE DISPOSAL	
Contractors' Reports			Current year + 6 years	NON SECURE DISPOSAL	

5.10 LEA					
Basic file description	Data Prot 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	SECURE DISPOSAL	
Attendance returns	Yes		Current year + 1 year	NON SECURE DISPOSAL	
Circulars from LEA			Whilst operationally required	Review to see whether a further retention period is required	Transfer to Archives

5.11 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		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	NON SECURE DISPOSAL	
Circulars from DfE			Whilst operationally required	Review to see whether a further retention period is required	Transfer to Archives

5.12 Connexions					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	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	

5.13 Academy Meals					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Lunch Register			Current year + 3 years	NON SECURE DISPOSAL	
Academy Meals Summary Sheets			Current year + 3 years	NON SECURE DISPOSAL	