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# Greater Manchester Academies Trust

Data Retention Policy and Schedule

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# Records Management Policy

## 1. Introduction

Greater Manchester Academies Trust (GMAT) recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the Trust. Records provide evidence for protecting the legal rights and interests of GMAT, and provide evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

Section 46 of the Freedom of Information Act 2000 requires Academies and Academies to follow a Code of Practice on managing their educational records.

Furthermore, Academies must ensure that educational records are maintained and disclosed to parents on request, as noted in the Education (Pupil Information) (England) Regulations 2005 (SI 2005/1437) (<http://www.legislation.gov.uk/uksi/2005/1437/made>).

Educational records include information on pupils and former pupils:

- processed by, or on behalf of, the governing body or a teacher
- originating from or supplied by local authority employees (for certain Academies)
- originating from or supplied by teachers or other employees of GMAT.

## 2. Scope of the policy

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

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

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

Records processed by a teacher solely for the teacher's own use will be excluded from pupils' educational records.

GMAT must also keep curricular records on every pupil. Curricular records form a 'subset' of a pupil's educational record. They are a formal record of a pupil's academic achievement, skills, abilities and the progress they make. They must be updated at least once a year.

### 3. Responsibilities

Under the GDPR (2018), GMAT is responsible for ensuring that the collation, retention, storage and security of all personal information they produce and hold meets the provisions of the GDPR:

- personal information appearing in a pupil's educational record
- any other information they hold which identifies individuals, including pupils, staff and parents

GMAT is registered as a data controller with the Information Commissioner's Office (ICO).

GMAT 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 Principle of each Academy within the Trust. GMAT's Data Protection Officer will give guidance for good records management practice and will promote compliance with this policy so that information can be retrieved easily, appropriately and in a timely manner.

Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with GMAT's records management guidelines.

### 4. Managing Pupil Records

The pupil record is the core record charting an individual pupil's progress through the Education System. The pupil record should accompany the pupil to every Academy they attend and should contain information that is accurate, objective and easy to access.

All pupil records must be kept securely at all times. Paper records should be kept in lockable storage areas with restricted access, and the contents should be secure within the file. Equally, electronic records should have appropriate security.

Access arrangements for pupil records should ensure that confidentiality is maintained whilst equally enabling information to be shared lawfully and appropriately, and to be accessible for those authorised to see it.

### 5. Recording information

A pupil or their nominated representative have the legal right to see their file at any point during their education and even until the record is destroyed (when the pupil is 25 years of age or 35 years from date of closure for pupils with special educational needs). This is their right of subject access under the General Data Protection Regulation 2018. All information should be accurately recorded, objective in nature and expressed in a professional manner.

The pupil record starts its life when a file is opened for each new pupil as they join GMAT. This is the file which will follow the pupil for the rest of his/her career. The following information should appear on the front of the paper file:

- Admission form (application form)
- Parental permission for photographs to be taken (or not). Paper record in pupil file.
- Years Record
- Any information relating to a major incident involving the child (either an accident or other incident)

- Any reports written about the child
- Any information about a statement and support offered in relation to the statement
- Any relevant medical information (should be stored in the file in an envelope)
- Child protection reports/disclosures are stored with the CP Team
- Any information relating to exclusions (fixed or permanent)
- Any correspondence with parents or outside agencies relating to major issues
- Details of any complaints made by the parents or the pupil

The following are subject to shorter retention periods and if they are placed on the file then it will involve reviewing once the pupil leaves GMAT.

- Absence notes
- Parental consent forms for trips/outings [in the event of a major incident all the parental consent forms should be retained with the incident report not in the pupil record]
- Correspondence with parents about minor issues
- Accident forms (these should be stored separately and retained on GMAT premises until their statutory retention period is reached. A copy could be placed on the pupil file in the event of a major incident).

## 6. Transferring records to a pupil's new Academy

GMAT must ensure the statutory requirements for the transfer of records between Academies are fulfilled, including the completion of the common transfer file (CTF). This is noted in the Education (Pupil Information) (England) Regulations 2005, SI 2005/1437.

If a pupil moves to another Academy in England, Wales, Scotland or Northern Ireland, the pupil's CTF and educational record must be passed to the new Academy. Academies are not subject to these regulations, however they are expected to adhere to the following protocols, as a matter of good practice.

The means of transfer to an Academy outside England must be in line with the arrangements for transfer between Academies in England. Information must be transferred within 15 Academy days of any request from the pupil's new Academy. The pupil's CTF should be sent to the new Academy either:

- through the Academy to Academy (s2s) secure file transfer system
- over a secure network that can only be accessed by the LA, the governing body or a teacher at any Academy within that LA.

If the new Academy is unknown, the Department for Education recommends that the Academy should still complete the CTF and load it onto s2s. Where a CTF has not been received for a new pupil a request can be made to the LA to search for the files on s2s.

Requests to transfer a pupil file outside the EU area because a pupil has moved into that area, must be referred to the Local Authority for further advice.

## 7. Electronic Records

The legal obligation to properly manage records, including compliance with Data Protection legislation, applies equally to electronic records. The main considerations for the management of electronic records are therefore the same as those for manual records. They include:

- Staff must be able to use and access electronic information effectively.
- Adequate measures must be in place to ensure all information is stored securely and only available to authorized persons.
- An Academy must be able to demonstrate a record's authenticity by ensuring information cannot be altered when declared a record.
- A system must be in place for disposing of electronic records in line with policy once they are no longer needed.

In addition to the above, sufficient backup/recovery processes must be in place. There must also be a process through which links are created from electronic records to any associated manual records. This is to ensure a full record can be considered when necessary, ie when decision making, providing access or considering a record for disposal.

Greater Manchester Academies Trust co-operates with Manchester City Council by ensuring that sensitive information about staff and pupils is disseminated to the authority by using the county Secure Email System and the DFE s2s system.

On the Data Collection form the following information is accessible:

- Ethnic origin [although this is "sensitive" data under the GDPR 2018, the Department for Education require statistics about ethnicity]
- Language of home (if other than English)
- Names of parents and/or guardians with home address and telephone number (and any additional relevant carers and their relationship to the child)
- Name of GMAT, and the date of admission and the date of leaving.
- Any other medical involvement e.g. speech and language therapist, pediatrician

## 8. Responsibility for the pupil record once the pupil leaves GMAT

The Academy which the pupil attended until statutory Academy leaving age is responsible for retaining the pupil record until the pupil reaches the age of 25 years. This retention is set in line with the Limitation Act 1980 which allows that a claim can be made against an organisation by a minor for up to 7 years from their 18th birthday.

## 9. Safe destruction of the pupil record

Files should be disposed of in line with the attached retention schedule (see Appendix C). All personal information should be shredded before disposal for pulping. Other files can be bundled up and put in a skip or disposed of to the waste paper merchant. Loose papers should not be put in skips unless the skip has a lid. Electronic data should be archived on electronic media and 'deleted' appropriately at the end of the retention period.

## 10. Transfer of a pupil record outside the EU area

If you are requested to transfer a pupil file outside the EU area because a pupil has moved into that area, please contact the Local Education Authority for further advice.

## 11. Appendix A – Retention Schedule

	Basic file description	Data Protection Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of record	Notes
<b>1. Child Protection</b>						
1.1	Child Protection files	Yes	Education Act 2002, s175, related guidance "Safeguarding Children in Education", September 2004	DOB + 25 years	SECURE DISPOSAL	
1.2	Allegation of a child protection nature against a member of staff, including where the allegation is unfounded	Yes	Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) Education Act 2002 guidance "Dealing with Allegations of Abuse against Teachers and Other Staff" November 2005	Until the person's normal retirement age, or 10 years from the date of the allegation whichever is the longer	SECURE DISPOSAL	

2. Governors						
2.1	Minutes					
	Principal set(signed)	No		Permanent	Retain in Academy for 6 years from date of meeting	
	Inspection copies	No		Date of meeting + 3 years	SECURE DISPOSAL [If these minutes contain any sensitive personal information they should be shredded]	
2.2	Agendas	No		Date of meeting	SECURE DISPOSAL	
2.3	Reports	No		Dateofreport+6years	Retain in Academy for 6 years from date of meeting	
2.4	Annual Parent's meeting papers	No		Dateofreport+6years	Retain in Academy for 6 years from date of meeting	
2.5	Instruments of Government	No		Permanent	Retain in Academy whilst Academy is open	
2.6	Trusts and Endowments	No		Permanent	Retain in Academy whilst operationally required	
2.7	Action Plans	No		Date of action plan + 3 years	SECURE DISPOSAL	
2.8	Policy documents	No		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	Complaints files	Yes		Date of resolution of complaint + 6 years	Retaining Academy for the first six years Review for further retention in the case of contentious disputes	

					SECURE DISPOSAL routine complaints	
2.10	Annual Reports required by the No Department for Education	No	Education (Governors' Annual Reports) (England)(Amend- ment)Regulations 2002.SI 2002 No 1171	Date of report+10years		
2.11	Proposals for Academies to be- come, No or be established as Specialist Status Academies	No			Current year +3years	

3. Management						
3.1	Log Books	Yes		Date of last entry in the book + 6 years	Retain in the Academy for 6 years from the date of the last entry	
3.2	Minutes of the Senior Management Team and other internal administrative bodies	Yes		Date of meeting + 5 years	Retain in the Academy for 5 years from meeting	
3.3	Reports made by the head teacher or the management team	Yes		Date of report + 3 years	Retain in the Academy for 3 years from meeting	
3.4	Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	Yes		Closure of file + 6 years	SECURE DISPOSAL	
3.5	Records 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	

3.6	Professional development plans	Yes		Closure + 6 years	SECURE DISPOSAL	
3.7	Academy development plans	Yes		Closure + 6 years	Review	
3.8	Admissions - if the admission is successful	Yes		Admission + 1 year	SECURE DISPOSAL	
3.9	Admissions - if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SECURE DISPOSAL	
3.10	Admissions - Secondary Academies -Casual	Yes		Current year+1year	SECURE DISPOSAL	
3.11	Proofs of address supplied by parents as part of the admissions process	Yes		Current year+1year	SECURE DISPOSAL	
3.12	Supplementary Information form including additional information such as religion, medical conditions etc.					

4. Pupils						
4.1	Admission Registers	Yes		Date of last entry in the book (or file) + 6 years Reconsider Retention Period. Feedback from Teaching Relative was thought to be 7Year-Retention. These records are no longer generated in paper but electronically held using SIMS BROCON 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	Yes		Date of register+3 years	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	Yes				
4.3a	Primary			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	
4.3b	Secondary		Limitation Act 1980	DOB of the pupil +25 years <sup>3</sup>	SECURE DISPOSAL	If these records are retained on the pupil file or in their National Record of Achievement they

						need only be kept for as long as operationally necessary.
4.4	Pupil files	Yes				
4.4a	Primary			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	
4.4b	Secondary	Yes		DOB of the pupil + 25 years 4	SECURE DISPOSAL	If these records are retained on the pupil file or in their National Record of Achievement they need only be kept for as long as operationally necessary.

4.5	Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 25 years the review reviews and Individual Education 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.		
4.6	Correspondence Relating to Authorised Absence and Issues	No		Date of absence + 2 years	SECURE DISPOSAL	
4.7	Examination results	Yes				
4.7b	Public	No		Year of examinations +6years	SECURE DISPOSAL	
4.7b	Internal examination results	Yes		Currentyear+5years 5	SECURE DISPOSAL	If these records are retained on the pupil file or in their National Record of Achievement they need only be kept for as long as operationally necessary.
4.8	Any other records created in the	Yes/No		Current year +3years	Review at the end of 3 years and either course of contact with pupils	

4.9	Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SECUREDISPOSAL unless legal action is pending	
4.10	Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SECUREDISPOSAL unless legal action is pending	
4.11	Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	SECUREDISPOSAL unless legal action is pending	
4.12	Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SECUREDISPOSAL unless legal action is pending	
4.13	Parental permission slips for Academy trips - where there has been no major incident	Yes		Conclusion of the trip	SECURE DISPOSAL	
4.14	Parental permission slips for Academy trips - where there has been a major incident	Yes	Limitation Act 1980	DOB of the pupil involved in the incident +25 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 Academies to obtain approval to run an Educational Visit outside the Classroom - Primary Academies	No	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 14 years	N	This retention period has been set in agreement with the Safeguarding Children's Officer.
4.16	Records created by Academies to obtain approval to run an Educational Visit outside the Classroom - Secondary Academies	No	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 10 years	N	

4.17	Walking Bus registers	Yes		Date of register+3 years 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	SECURE DISPOSAL [If these records are retained electronically any backup copies should be destroyed at the same time]	
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5. Curriculum						
5.1	Academy Development Plan	No		Current year +6years	SECURE DISPOSAL	
5.2	Curriculum returns	No		Currentyear+3years	SECURE DISPOSAL	
5.3	Schemes of work	No		Current year+1year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL	
5.4	Timetable	No		Current year +1year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL	
5.5	Class record books	No		Current year +1year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL	
5.6	Mark Books	No		Current year +1year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL	

5.7	Record of homework set	No		Current year +1year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL	
5.8	Pupils' work			Current year +1year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL	
5.9	Examination results	Yes		Current year +6years	SECURE DISPOSAL	
5.10	SATS records - Examination Papers and Results	Yes		Current year +6years	SECURE DISPOSAL	
5.11	PAN reports	Yes		Current year +6years	SECURE DISPOSAL	
5.12	Value Added & Contextual Data	Yes		Current year +6years	SECURE DISPOSAL	
5.13	Self Evaluation forms	Yes		Current year +6years	SECURE DISPOSAL	

6. Personnel Records held in Academies						
6.1	Timesheets, sick pay	Yes	Financial Regulations	Current year +6years	SECURE DISPOSAL	
6.2	Staff Personal files	Yes		Termination + 7 years	SECURE DISPOSAL	
6.3	Interview notes and recruitment records	Yes		Termination + 7 years	SECURE DISPOSAL	
6.4	Pre-employment vetting information (including NBS checks)	No	NBS guidelines	Date of check + 6 months	SECURE DISPOSAL [by the designated member of staff]	
6.5	Disciplinary proceedings:	Yes	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.			
6.5a	oral warning			Date of warning + 6 months	SECURE DISPOSAL	If this is placed on a personal file, it must be weeded from the file.
6.5b	written warning- level one			Date of warning + 6 months	SECURE DISPOSAL	
6.5c	written warning - level two			Date of warning + 12 months	SECURE DISPOSAL	
6.5d	final warning			Date of warning + 18 months	SECURE DISPOSAL	
6.5e	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	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	
6.7	Annual appraisal/assessment records	No		Current year +5years	SECURE DISPOSAL	

6.8	Salary cards	Yes		Last date of employment + 85 years	SECURE DISPOSAL	
6.9	Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year +3yrs	SECURE DISPOSAL	
6.10	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year +6years	SECURE DISPOSAL	
6.11	Proofs of identity collected as part of the process of checking "portable" enhanced CRB 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.	SECURE DISPOSAL	

7. Health and Safety						
7.1	Accessibility Plans		Disability Discrimination Act	Current year +6years	SECURE DISPOSAL	
7.2	Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8 Limitation Act 1980			
7.2a	Adults	Yes		Date of incident + 7 years	SECURE DISPOSAL	
7.2b	Children	Yes		DOB of child +25 years 8	SECURE DISPOSAL	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.
7.3	COSHH			Current year+10 years [where appropriate an additional retention period may be allocated]		
7.4	Incident reports	Yes		Current year+20 years	SECURE DISPOSAL	
7.5	Policy Statements			Date of expiry + 1 year	SECURE DISPOSAL	
7.6	Risk Assessments	Yes		Current year +3years	SECURE DISPOSAL	
7.7	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos			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			Last action +50 years	SECURE DISPOSAL	
7.9	Fire Precautions log books			Current year +6 years	SECURE DISPOSAL	



8. Administrative						
8.1	Employer's Liability certificate			Closure of the Academy +40 years	SECURE DISPOSAL	
8.2	Inventories of equipment & furniture			Current year +6 years	SECURE DISPOSAL	
8.3	General file series			Current year +5years	Review to see whether a further retention period is required	
8.4	Academy brochure or prospectus			Current year +3years		
8.5	Circulars (staff/parents/pupils)			Current year +1year	SECURE DISPOSAL	
8.6	Newsletters, ephemera			Current year +1year	Review to see whether a further retention period is required	
8.7	Visitors book			Current year +2years	Review to see whether a further retention period is required	
8.8	PTA/Old Pupils Associations			Current year + 6 years	Review to see whether a further retention period is required	

9. Finance						
9.1	Annual Accounts		Financial Regulations	Current year + 6 years		
9.2	Loans and grants		Financial Regulations	Date of last payment on loan + 12 years	Review to see whether a further retention period is required	
9.3	Contracts					
9.3a	under seal			Contract completion date + 12 years	SECURE DISPOSAL	
9.3b	under signature			Contract completion date + 6 years	SECURE DISPOSAL	
9.3c	monitoring records			Current year + 2 years	SECURE DISPOSAL	
9.4	Copy orders			Current year + 2 years	SECURE DISPOSAL	
9.5	Budget reports, budget monitoring etc.			Current year + 3 years	SECURE DISPOSAL	
9.6	Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
9.7	Annual Budget and background papers			Current year + 6 years	SECURE DISPOSAL	
9.8	Order books and requisitions			Current year + 6 years	SECURE DISPOSAL	
9.9	Delivery Documentation			Current year + 6 years	SECURE DISPOSAL	
9.10	Debtors' Records		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL	
9.11	Academy Fund - Chequebooks			Current year + 3 years	SECURE DISPOSAL	
9.12	Academy Fund - Paying in books			Current year + 6 years then review	SECURE DISPOSAL	
9.13	Academy Fund - Ledger			Current year + 6 years then review	SECURE DISPOSAL	
9.14	Academy Fund - Invoices			Current year + 6 years then review	SECURE DISPOSAL	
9.15	Academy Fund - Receipts			Current year + 6 years	SECURE DISPOSAL	
9.16	Academy Fund - Bank statements			Current year + 6 years then review	SECURE DISPOSAL	

9.17	Academy Fund - Academy Journey books			Current year+6 years then re-view	SECURE DISPOSAL	
9.18	Student grant applications			Current year +3 years	SECURE DISPOSAL	
9.19	Free Academy meals registers			Current year +6years	SECURE DISPOSAL	
9.20	Petty cash books			Current year +6years	SECURE DISPOSAL	

10. Property						
10.1	Title Deeds			Permanent	Permanent, these should follow the property unless the property has been registered at the Land Registry	
10.2	Plans			Permanent	Retain in Academy whilst operational	
10.3	Maintenance and contractors		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
10.4	Leases			Expiry of lease + 6 years	SECURE DISPOSAL	
10.5	Lettings			Current year + 3 years	SECURE DISPOSAL	
10.6	Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL	
10.7	Maintenance log books			Current year + 6 years	SECURE DISPOSAL	
10.8	Contractors' Reports			Current year + 6 years	SECURE DISPOSAL	

11. Local Authority						
11.1	Secondary transfer sheets (Primary)	Yes		Current year +2years	SECURE DISPOSAL	
11.2	Attendance returns	Yes		Current year+1year	SECURE DISPOSAL	
11.3	Circulars from LEA			Whilst required operationally	Review to see whether a further retention period is required	

12. Department for Children, Academies and Families						
12.1	HMI reports			These do not need to be kept any longer		
12.2	OFSTED reports and papers			Replace former report with any new inspection report	Review to see whether a further retention period is required	
12.3	Returns			Current year + 6 years	SECURE DISPOSAL	
12.4	Circulars from Department for Children, Academies and Families			Whilst operationally required	Review to see whether a further retention period is required	

**13. Connexions**

13.1	Service level agreements			Until superseded	SECURE DISPOSAL	
13.2	Work Experience agreement			DOB of child +18years	SECURE DISPOSAL	

14. Academies Meals						
14.1	Dinner Register			Current year +3years	SECURE DISPOSAL	
14.2	Academy Meals Summary Sheets			Current year +3years	SECURE DISPOSAL	

15. Family Liaison Officers and Home Academy Liaison Assistants						
15.1	Day Books	Yes		Current year + 2 years then review	SECURE DISPOSAL	
15.2	Reports for outside agencies - where the report has been included on the case file created by the outside agency	Yes		Whilst the child is attending the Academy then destroy	SECURE DISPOSAL	
15.3	Referral forms	Yes		While the referral is current	SECURE DISPOSAL	
15.4	Contact data sheets	Yes		Current year then review, if contact is no longer active then destroy	SECURE DISPOSAL	
15.5	Contact database entries	Yes		Current year then review, if contact is no longer active then destroy	DELETE	
15.6	Group Registers	Yes		Current year + 2 years	SECURE DISPOSAL	

16. Early Years Provision						
16.1.1	The name, home address and date of birth of each child who is looked after on the premises	Yes			Closure of setting+50years [These could be required to show whether or not an individual child attended the setting in a child protection investigation]	
16.1.2	The name, home address and telephone number of a parent of each child who is looked after on the premises	Yes			If this information is kept in the same book or on the same format in 16.1.1 then the same retention period should be used as in16.1.1. 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)	
16.1.3	The name, address and telephone number of any person who will be looking after children on the premises	Yes			See 16.4.5 below	
16.1.4	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	Yes	The Day Care and Child Minding(National Standards) (England) Regulations 2003		The regulations say that these records should be kept for 2years(SI200319967 (1b)). If these records are likely to be needed in a child protection setting (see16.1.1above) then the records should be retained for closure of setting + 50 years	

16.1.5	A record of accidents occurring on the premises and incident books relating to other incidents	Yes	The Day Care and Child Minding(National Standards) (England) Regulations 2003	DOB of the child involved in the accident for the incident+25years. If an adult is injured then the accident book must be kept for 7 years from the date of the incident		The regulations say that these records should be kept for 2 years (SI20031996 7(1b)).The Statute of Limitations states that a minor may make a claim for 7 years from their eighteenth birthday; therefore the retention should be for the longer period.
16.1.6	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	Yes	The Day Care and Child Minding (National Standards) (England) Regulations 2003	DOB of the child being given/taking the medicine + 25 years		The regulations say that these records should be kept for 2 years (SI20031996 7(1b)) The NHS records retention schedule states that any records relating to a child under the age of 18 should be retained until that child reaches the age of 25 years. Therefore, the retention should be DOB of the child being given/taking the medicine + 25 years
16.1.7	Records of transfer	Yes		One copy is to be given to the parents, one copy transferred to the Primary Academy where the child is going		

16.1.8	Portfolio of work, observations and so on	Yes		To be sent home with the child		
16.1.9	Birth certificates	Yes		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.		
<b>16. Early Years Provision</b>						
16.2.1	The name and address and telephone number of the registered person and every other person living or employed on the premises	Yes		See 16.4 below		
16.2.2	A statement of the procedure to be followed in the event of a No fire or accident	No		Proceduresuperseded+7years		
16.2.3	A statement of the procedure to be followed in the event of a child being lost or not collected	No		Proceduresuperseded+7years		
16.2.4	A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person	No		Until superseded		

16.2.5	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	No		Closure of setting+50years [These could be required to show whether or not an individual child attended the setting in a child protection investigation]		
<b>16. Early Years Provision</b>						
16.3.1	Emergency contact details for appropriate adult to collect the child if necessary	Yes		Destroy once the child has left the setting(unless the information is collected for anything other than emergency contact)		
16.3.2	Contract, signed by the parent, stating all the relevant details regarding the child and their care, including the name of the emergency contact and confirmation of their agreement to collect the child during the night	Yes				
<b>16. Early Years Provision</b>						
	<b>Insurance</b>					
16.4.2	Insurance policies -Employers Liability	No	Employers Liability Financial Regulations	The policies are kept for a minimum of 6 years and a maximum of 40 years depending on the type of policy		
16.4.3	Financial records - accounts, statements, invoices, petty cash etc	Yes		Current year +3years		

16.4.4	Claims made against insurance policies - personal injury	Yes		Current year +6years		
	<b>Human Resources</b>					
16.4.5	Personal Files - records relating to an individual's employment history	Yes		Termination + 6 years then re-view		<ul style="list-style-type: none"> <li>• all documentation on the personal file</li> <li>Duration of employment</li> <li>• pre-employment and vetting information</li> <li>Start date + 6 months</li> <li>• records relating to accident or injury at work</li> <li>Minimum of 12 years</li> <li>• annual appraisal/assessment records</li> <li>Minimum of 5 years</li> <li><b>records relating to disciplinary matters (kept on personal files)</b> <ul style="list-style-type: none"> <li>° oral warning 6 months</li> <li>° first level warning 6 months</li> <li>° second level warning 12 months</li> <li>° final warning 18 months</li> </ul> </li> </ul>
16.4.6	Pre-employment vetting information (including CRB checks)	Yes	NBS guidelines	Date of check + 6 months		

16.4.7	Staff training records - general	Yes		Current year +2years		
16.4.8	Training (proof of completion such as certificates, awards, exam results)	Yes		Last action +7years		
	<b>Premises and Health and Safety</b>					
16.4.9	Premises files (relating to maintenance)	No		Cessation of use of building + 7 years then review		
16.4.10	Risk Assessments	No		Current year +3years		