

HORIZONS EDUCATION TRUST
RECORDS RETENTION SCHEDULE

BOARD OF TRUSTEES				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Agendas and minutes of Trustee meetings	There may be data protection issues if the meeting is dealing with confidential issues relating to staff.		One copy should be retained with the master set of minutes. All other copies can be disposed of	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Reports presented to the Board of Trustees	There may be data protection issues if the report deals with confidential issues relating to staff.		Reports should be kept for a minimum of 6 years. However if the minutes refer directly to individual reports then the reports should be kept permanently	Secure Disposal or retain with the signed set of the minutes.
Records relating to complaints dealt with by the Board of Trustees			Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes.	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.

HEAD TEACHER AND SENIOR MANAGEMENT TEAM				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Log books of activity in the school maintained by the Head Teacher	There may be data protection issues if the log book refers to individual pupils or members of staff		Date of last entry in the book + a minimum of 6 years then review.	These could be of permanent historical value and should be offered to the County Archives Service if appropriate.
Minutes of Senior Management Team meetings and the meetings of other internal administrative bodies	There may be data protection issues if the minutes refers to individual pupils or members of staff		Date of the meeting + 3 years then review	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Reports created by the Head Teacher or the Management Team	There may be data protection issues if the report refers to individual pupils or members of staff		Date of the report + a minimum of 3 years then review.	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Records created by Head Teachers, Deputy Head Teachers, Heads of Year and other members of staff with administrative responsibilities	There may be data protection issues if the records refer to individual pupils or members of staff		Current academic year + 6 years then review	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.

HEAD TEACHER AND SENIOR MANAGEMENT TEAM				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Correspondence created by Head Teachers, Deputy Head Teachers, Heads of Year and other members of staff with administrative responsibilities.	There may be data protection issues if the correspondence refers to individual pupils or members of staff		Date of correspondence + 3 years then review	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Professional Development Plans	Yes		Life of the plan + 6years	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.

ADMISSIONS PROCESS				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Admissions – if the admission is successful	Yes	School Admissions Code Statutory guidance for admission authorities, Trusts, local authorities, schools adjudicators and admission appeals panels December 2014	Date of admission + 1 year	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Admissions – if the appeal is unsuccessful	Yes	School Admissions Code Statutory guidance for admission authorities, Trusts, local authorities, schools adjudicators and admission appeals panels December 2014	Resolution of case + 1 year	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Register of Admissions	Yes	School attendance: Departmental advice for maintained schools, academies, independent schools and local authorities October 2014	Every entry in the admission register must be preserved for a period of 3 years after the date on which the entry was made.	Review Schools may wish to consider keeping the admission register permanently as often schools receive enquiries from past pupils to confirm the dates they attended the school.

ADMISSIONS PROCESS				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Proof of address supplied by parents as part of the admissions process	Yes	School Admissions Code Statutory guidance for admission authorities, Trusts, local authorities, schools adjudicators and admission appeals panels December 2014	Current year + 1 year	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Supplementary information form including additional information such as religion, medical conditions etc.	Yes			
For successful admissions			This information should be added to the pupil file	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
For unsuccessful admissions			Until appeals process completed.	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.

OPERATIONAL ADMINISTRATION				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Visitors Books and signing in Sheets	Yes		Current year + 6 years then review	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.

RECRUITMENT				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
All records leading up to the new appointment of a new Head Teacher	Yes		Date of appointment + 6 years	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
All records leading up to the new appointment of a new member of staff – unsuccessful candidates	Yes		Date of appointment of successful candidate + 6 months	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
All records leading up to the appointment of a new member of staff – successful candidate.	Yes		All the relevant information should be added to the staff personal file (see below) and all other information retained for 6 months	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Proofs of identity collected as part of the process of checking 'portable' enhanced DBS certificates	Yes		Where possible these should be checked and a note kept of what was seen and checked. If necessary copies made and placed in staff members personal file.	

RECRUITMENT				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Pre-employment vetting information – Evidence proving the right to work in the United Kingdom.	Yes	An employers guide to right to work checks (Home Office May 2015)	Where possible these documents should be added to the staff members personal file but if they are kept separately, the Home Office requires that the documents are kept for termination of Employment plus not less than 2 years.	
Staff personal file	Yes	Limitation Act 1980 (Section 2)	Termination of employment + 6 years	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Timesheets	Yes		Current year + 6 years	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.
Annual appraisals/assessment records	Yes		Current year + 5 years	Secure Disposal using confidential waste bins or shredding using a cross cut shredder.

MANAGEMENT OF DISCIPLINARY AND GRIEVANCE PROCESSES				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Allegation of a child protection nature against a member of staff including where the allegation is unfounded	Yes	'Keeping Children Safe in Education Statutory Guidance for schools and colleges', 'Working together to safe guard children. A guide to inter-agency working to safeguard and promote the welfare of Children'.	Until the person's normal retirement age of 10 years from the date of the allegation whichever is the longer then REVIEW. Note allegations that are found to be malicious should be removed from personnel files. If found they are to be kept on the file and a copy provided to the person concerned.	Secure Disposal. These records must be shredded.
Disciplinary Proceedings	Yes			
Oral Warning			Date of warning + 6 months	Secure Disposal (if warnings are placed on personal file then they must be weeded from the file)
Written Warning – level 1			Date of warning + 6 months	
Written Warning – level 2			Date of warning + 12 months	
Final Warning			Date of warning + 18 months	

MANAGEMENT OF DISCIPLINARY AND GRIEVANCE PROCESSES				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Case not found			If the incident is child protection related then see above, otherwise dispose of at the conclusion of the case	Secure Disposal

HEALTH AND SAFETY				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
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
Accident Reporting	Yes	Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980		
Adults			Date of the incident + 6 years	Secure Disposal
Children			DOB of the child + 30 years	Secure Disposal
Maternity Pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (S11986/1960), revised 1999 (S11999/567)	Current year + 3 years	Secure Disposal

HEALTH AND SAFETY				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current Year + 6 years	Secure Disposal

ACCOUNTS AND STATEMENTS INCLUDING BUDGET MANAGEMENT				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Student Grant applications	Yes		Current Year + 3 years	Secure Disposal

SCHOOL MEALS MANAGEMENT				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Free School Meals Registers	Yes		Current year + 6 years	Secure Disposal
School Meals Registers	Yes		Current year + 3 years	Secure Disposal

PUPIL'S EDUCATIONAL RECORD				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005	Yes	The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437		
Primary			<p>Retain whilst the child remains at the primary school. The file should follow the pupil when he/she leaves the primary school. This will include:</p> <ul style="list-style-type: none"> • To another Primary School • To a Secondary School • To a Pupil Referral Unit • If the pupil dies whilst at Primary School the file should be returned to the local authority to be retained for the statutory retention period. 	If the pupil transfers to an independent school, transfers to home schooling or leaves the country the file should be returned to the local authority to be retained for the statutory retention period.

PUPIL'S EDUCATIONAL RECORD				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Secondary		Limitation Act 1980 (Section 2)	Date of birth of the pupil + 30 years	Secure disposal
Examination Results – pupil copies	Yes			
Public			This information should be added to the pupil file	All uncollected certificates should be returned to the examination board
Internal			This information should be added to the pupil file	

This review took place as the Independent Inquiry on Child Sexual Abuse was beginning. In light of this, it is recommended that all records relating to child abuse are retained until the Inquiry is completed. This section below will then be reviewed again to take into account any recommendations the Inquiry might make concerning record retention.

PUPIL'S EDUCATIONAL RECORD				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Child Protection Information held on pupil file	Yes	'Keeping Children Safe in Education Statutory Guidance for schools and colleges', 'Working together to safe guard children. A guide to inter-agency working to safeguard and promote the welfare of Children'.	If any records relating to child protection issues are placed on the pupil file, it should be in a sealed envelope and retained for the same period of time as the pupil file.	Secure Disposal – these records must be shredded.
Child protection information held in separate files	Yes	'Keeping Children Safe in Education Statutory Guidance for schools and colleges', 'Working together to safe guard children. A guide to inter-agency working to safeguard and promote the welfare of Children'.	DOB of the child +30 years then review. This retention period was agreed in consultation with the Safeguarding Children group on the understanding that the principal copy of this information will be found on the local authority Social Services record.	Secure Disposal – these records must be shredded.

PUPIL'S EDUCATIONAL RECORD				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Attendance Registers	Yes	School attendance. Departmental advice for maintained schools, academies, independent schools and local authorities. October 2014	Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made	Secure Disposal

SPECIAL EDUCATIONAL NEEDS				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Special Educational Needs files, reviews and Individual Education Plans	Yes	Limitation Act 1980 (Section 2)	Date of Birth of the pupil + 30 years	<p>REVIEW</p> <p>This retention period is the minimum retention 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 and this should be documented.</p>

PUPIL'S EDUCATIONAL RECORD				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement	Yes	Education Act 1996 Special Educational Needs and Disability Act 2001 Section 1	DOB of the pupil + 30 years. (this would normally be retained on the pupil file).	Secure Disposal unless the document is subject to a legal hold.
Advice and information provided to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	DOB of the pupil + 30 years. (this would normally be retained on the pupil file).	Secure Disposal unless the document is subject to a legal hold.
Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	DOB of the pupil + 30 years. (this would normally be retained on the pupil file).	Secure Disposal unless the document is subject to a legal hold.

STATISTICS AND MANAGEMENT INFORMATION				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Examination Results – schools copy	Yes		Current Year + 6 years	Secure Disposal
SATS records	Yes			
Results			The SATS results should be recorded on the pupil's educational file and will therefore be retained until the pupil reaches the age of 25 years. The school may wish to keep a composite record of the whole year SATs results. These could be kept for current year + 6 years to allow suitable comparison	Secure Disposal
Examination papers			Exam papers should be kept until any appeals/validation process is complete	Secure Disposal
Published Admission Number	Yes		Current year + 6 years	Secure Disposal
Value Added and Contextual Data	Yes		Current year + 6 years	Secure Disposal
Self Evaluation Forms	Yes		Current year + 6 years	Secure Disposal

EDUCATIONAL VISITS OUTSIDE THE CURRICULUM				
Basic File Description	Data Protection Issues	Statutory Provisions	Retention period	Action at the end of the administrative life of the record.
Parent consent forms for school trips where there has been no major incident	Yes		Conclusion of the trip	Although consent forms could be retained for DOB + 22 years, the requirement of them being needed is low and most schools do not have storage capacity to retain every single consent form for this period of time.
Parental permission slips for school trips – where there has been a major incident	Yes	Limitation Act 1980 (Section 2)	DOB of the pupil involved in the incident + 30 years. The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all the pupils	
Walking Bus Registers	Yes		Date of Register + 3 years	Secure disposal

FAMILY LIAISON OFFIERS AND HOME SCHOOL LIAISON 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	
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 school and then destroy	
Referral Forms	Yes		While the referral is current.	
Contact Data Sheets	Yes		Current year then review. If contact us no longer active then destroy	
Contact Database entries	Yes		Current year then review. If contact us no longer active then destroy	
Group Registers	Yes		Current year + 2 years	

LOCAL 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