



DORSET HISTORY CENTRE

RETENTION GUIDELINES FOR SCHOOLS

This retention schedule contains recommended retention periods for the different record series created and maintained by schools in the course of their business. The schedule refers to all information regardless of the media in which it is stored.

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 record series 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.

This schedule has been devised in association with the Records Management Society of Great Britain (Local Government Group).

This schedule will be reviewed on a regular basis.

Contents

- 1. The purpose of the retention schedule**
- 2. Benefits of a retention schedule**
- 3. Maintaining and amending the retention schedule**
- 4. What to do with records once they have reached the end of their administrative life**
 - 4a Destruction of records**
 - 4b Transfer of records to the Archives**
- 5. Useful Contacts**
- 6. Retention Schedule**
 - 6.1 Governors**
 - 6.2 Management**
 - 6.3 Pupils**
 - 6.4 Curriculum**
 - 6.5 Personnel**
 - 6.6 Health and Safety**
 - 6.7 Administrative**
 - 6.8 Finance**
 - 6.9 Property**
 - 6.10 LEA**
 - 6.11 DfES**
 - 6.12 Connexions**
 - 6.13 School Meals**

1. The purpose of the retention schedule

Under the Freedom of Information Act 2000, schools are required to maintain a retention schedule listing the record series which the school 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.

If there is an administrative need to keep a certain record for longer than that shown in the retention schedule then the school may do so (documenting the reason for such further retention).

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 Data Protection Act 1998 and the Freedom of Information Act 2000. Provided members of staff are managing record series using the retention schedule they can not 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 Data Protection legislation will be available when required.
- d. The school 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 records containing personal information, or sensitive policy information, should be shredded or placed in the confidential waste system.

The Freedom of Information Act 2000 requires the school 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 could be kept in an Excel spreadsheet or other database format.

4b Transfer of records to the Archives

Where records have been identified as being worthy of permanent preservation, the Dorset History Centre should be contacted to discuss transfer of the records.

Dorset History Centre – telephone 01305 250550 or e-mail:
archives@dorsetcc.gov.uk

5. Useful Contacts

Richard Kirby – Records Manager/Data Protection and Freedom of Information Officer
(Dorset County Council) – telephone 01305 225191 or e-mail:
r.a.j.kirby@dorsetcc.gov.uk

Local Education Authority – please contact that part of the LEA with responsibility for the area in question.

6.1 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	Retain in school for 6 years from date of meeting	Transfer to Archives
<ul style="list-style-type: none"> Inspection copies 	No		Date of meeting + 3 years	DESTROY [If these minutes contain any sensitive personal information they should be shredded]	
Agendas	No		Date of meeting	DESTROY	
Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting	Transfer to Archives for assessment for preservation or destruction
Annual Parents' meeting papers	No		Date of meeting + 6 years	Retain in school for 6 years from date of meeting	Transfer to Archives for assessment for preservation or destruction
Instruments of Government	No		Permanent	Retain in school whilst school is open	Transfer to Archives when 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	DESTROY	It may be appropriate to offer a selection to the Archives if the school has been through a difficult period
Policy documents	No		Expiry of policy	Retain in school whilst policy is operational (this includes if the expired policy is part of a past decision making process)	Transfer to Archives for assessment for preservation or destruction
Complaints files	Yes		Date of resolution of complaint + 6 years	DESTROY	

6.1 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 and Skills	No	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171	Date of report + 10 years	Retain in school for 10 years from date of report	Transfer to Archives
Proposals for schools to become, or be established as Specialist Status schools	No		Current year + 3 years		Transfer to Archives for assessment for preservation or destruction

6.2 Management					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Log Books	Yes ²		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 ¹		Date of meeting + 5 years	Retain in the school for 5 years from meeting	Transfer to Archives for assessment for preservation or destruction
Reports made by the head teacher or the management team	Yes ¹		Date of report + 3 years	Retain in the school for 3 years from meeting	Transfer to Archives for assessment for preservation or destruction
Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	Yes ¹		Closure of file + 6 years	DESTROY	
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	DESTROY	
Professional development plans	Yes		Completion of plan + 6 years	DESTROY	
School development plans	No		Completion of plan + 6 years	Retain in the school for 6 years from the date of completion of the plan	Transfer to Archives for assessment for preservation or destruction

² From January 1st 2005 subject access is permitted into unstructured filing systems and log books and other records created within the school containing details about the activities of individual pupils and members of staff will become subject to the Data Protection Act 1998.

6.3 Pupils					
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 school for 6 years from the date of the last entry.	Transfer to the Archives
Attendance registers	Yes		Date of register + 3 years	DESTROY [If these records are retained electronically any back up copies should be destroyed at the same time]	
Pupil record cards	Yes				
<ul style="list-style-type: none"> Primary 			Retain for the time which the pupil remains at the primary school	Transfer to the secondary school (or other primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service	
<ul style="list-style-type: none"> Secondary 			DOB of the pupil + 25 years ³	DESTROY	
Pupil files	Yes				
<ul style="list-style-type: none"> Primary 			Retain for the time which the pupil remains at the primary school	Transfer to the secondary school (or other primary school) when the child leaves the school. In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service	
<ul style="list-style-type: none"> Secondary 			DOB of the pupil + 25 years ⁴	DESTROY	

³ In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service

6.3 Pupils					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Children SEN Files (to include original Individual Education Plans, Reviews, All Statements (proposed, amended or maintained under The Education Act 1996 – Section 324)	Yes		Closure + 35 years	DESTROY 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	DESTROY unless legal action is pending	
Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	DESTROY unless legal action is pending	
Letters authorising absence	No		Date of absence + 2 years	DESTROY	
Absence books			Current year + 6 years	DESTROY	
Examination results	Yes				
<ul style="list-style-type: none"> • <i>Public</i> 	No		Year of examinations + 6 years	DESTROY	Any certificates left unclaimed should be returned to the appropriate Examination Board
<ul style="list-style-type: none"> • <i>Internal examination results</i> 	Yes		Current year + 5 years ⁵	DESTROY	

⁴ As above

⁵ 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.

6.3 Pupils					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
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 DESTROY	

6.4 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	DESTROY	
Curriculum returns	No		Current year + 3 years	DESTROY	
School syllabus	No		Current year + 1 year	DESTROY	
Schemes of work	No		Current year + 1 year	DESTROY	
Timetable	No		Current year + 1 year	DESTROY	
Class record books	No		Current year + 1 year	DESTROY	
Mark Books	No		Current year + 1 year	DESTROY	
Record of homework set	No		Current year + 1 year	DESTROY	
Pupils' work	No		Current year + 1 year	DESTROY	
Examination results	Yes		Current year + 6 years	DESTROY	
SATS records	Yes		Current year + 6 years	DESTROY	
PANDA reports	Yes		Current year + 6 years	DESTROY	
Value added records	Yes		Current year + 6 years	DESTROY	

6.5 Personnel					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Timesheets, sick pay	Yes	Financial Regulations	Current year + 6 years	DESTROY	
Staff Personal files	Yes ⁶		Termination + 7 years	DESTROY	
Interview notes and recruitment records	Yes		Date of interview + 6 months	DESTROY	
Pre-employment vetting information (including CRB checks)	No	CRB guidelines	Date of check + 6 months	DESTROY [by the designated 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.		
• <i>Oral warning</i>			Date of warning + 6 months	DESTROY If this is placed on a personal file, it must be weeded from the file.	
• <i>written warning – level one</i>			Date of warning + 6 months	DESTROY If this is placed on a personal file, it must be weeded from the file.	
• <i>written warning – level two</i>			Date of warning + 12 months	DESTROY If this is placed on a personal file, it must be weeded from the file.	
• <i>final warning</i>			Date of warning + 18 months	DESTROY If this is placed on a personal file, it must be weeded from the file.	

⁶ 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.

6.5 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"> case not found 			DESTROY immediately at the conclusion of the case		
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 appraisal/assessment records	No		Current year + 5 years	DESTROY	
Salary cards	Yes		Last date of employment + 85 years	DESTROY	
Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year, +3yrs	DESTROY	
Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	DESTROY	

6.5 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	DESTROY	
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	DESTROY	
• <i>Children</i>	Yes		DOB + 25 years ⁷	DESTROY	
COSHH			Current year + 10 years	Review [where appropriate an additional retention period may be allocated]	
Incident reports	Yes		Current year + 20 years	DESTROY	
Policy Statements			Date of expiry + 1 year	DESTROY	
Risk Assessments			Current year + 3 years	DESTROY	

⁷ 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.

6.5 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	
Process of monitoring of areas where employees and persons are likely to have come in contact with asbestos		Control of Asbestos at Work Regulations 1987	Last action + 40 years	DESTROY	
Process of monitoring of areas where employees and persons are likely to have come in contact with radiation			Last action + 50 years	DESTROY	
Fire Precautions log books			Current year + 6 years	DESTROY	

6.6 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 school is open	DESTROY once the school has closed	
Inventories of equipment and furniture			Current year + 6 years	DESTROY	
General file series			Current year + 5 years	Retain in school for 5 years	Transfer to Archives for assessment for preservation or destruction
School brochure/prospectus			Current year + 3 years		Transfer to Archives for assessment for preservation or destruction
Circulars (staff/parents/pupils)			Current year + 1 year	DESTROY	
Newsletters, ephemera			Current year + 1 year	Retain in school for 1 year	Transfer to Archives for assessment for preservation or destruction
Visitors' book			Current year + 2 years	DESTROY	
PTA/Old Pupils' Associations			Current year + 6 years	Retain in school for 6 years	Transfer to Archives for assessment for preservation or destruction

6.7 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 for assessment for preservation or destruction
Loans and grants		Financial Regulations	Date of last payment on loan + 12 years	DESTROY	
Contracts					
• under seal			Contract completion date + 12 years	DESTROY	
• under signature			Contract completion date + 6 years	DESTROY	
• monitoring records			Current year + 2 years	DESTROY	
Copy orders			Current year + 2 years	DESTROY	
Budget reports, budget monitoring etc			Current year + 3 years	DESTROY	
Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	DESTROY	
Annual Budget and background papers			Current year + 6 years	DESTROY	
Order books and requisitions			Current year + 6 years	DESTROY	
Delivery Documentation			Current year + 6 years	DESTROY	
Debtors' Records		Limitation Act 1980	Current year + 6 years	DESTROY	
School Fund – Cheque books			Current year + 3 years	DESTROY	
School Fund – Paying in books			Current year + 6 years	DESTROY	
School Fund – Ledger			Current year + 6 years	DESTROY	
School Fund – Invoices			Current year + 6 years	DESTROY	
School Fund – Receipts			Current year + 6 years	DESTROY	
School Fund – Bank statements			Current year + 6 years	DESTROY	

6.7 Finance					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
School Fund – School Journey books			Current year + 6 years	DESTROY	
Applications for free school meals, travel, uniforms etc			Whilst child at school	DESTROY	
Student grant applications			Current year + 3 years	DESTROY	
Free school meals registers	Yes	Financial Regulations	Current year + 6 years	DESTROY	
Petty cash books		Financial Regulations	Current year + 6 years	DESTROY	

6.8 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 (i) Non-voluntary aided schools – held at Archives (ii) Voluntary aided schools – held by trustees	These should follow the property	
As-built plans			Permanent	Retain in school whilst operational then	Transfer to Archives
Draft plans			3 years	DESTROY	
Maintenance and contractors		Financial Regulations	Current year + 6 years	DESTROY	
Leases			Expiry of lease + 6 years	DESTROY	

6.8 Property					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Lettings			Current year + 3 years	DESTROY	
Burglary, theft and vandalism report forms			Current year + 6 years	DESTROY	
Maintenance log books			Last entry + 10 years	DESTROY	
Contractors' Reports			Current year + 6 years	DESTROY	

6.9 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	DESTROY	
Attendance returns	Yes		Current year + 1 year	DESTROY	
Circulars from LEA			Whilst operationally required	1) pre-2001 2) post 2001 - DESTROY	1) Transfer to Archives for assessment for preservation or destruction

6.10 DfES					
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	Retain in school while operationally required	Transfer to Archives
Returns			Current year + 6 years	DESTROY	

6.10 DfES					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Circulars from DfES			Whilst operationally required	Retain in school while operationally required	Transfer to Archives for assessment for preservation or destruction

6.11 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	DESTROY	
Work Experience agreement			DOB of child + 18 years	DESTROY	

6.12 School Meals					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Dinner Register			Current year + 3 years	DESTROY	
School Meals Summary Sheets			Current year + 3 years	DESTROY	

6.13 All Records					
Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
All pre-1920 records					Transfer to Archives