



Sir Thomas Rich's School

Records Retention Schedule

This retention schedule contains recommended retention periods for the various records created and maintained by Sir Thomas Rich's School in the course of its 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, the Freedom of Information Act 2000 and the General Data Protection Regulation (GDPR) legislation of 2018.

This schedule should be reviewed on a regular basis.

Reviewed January 2023

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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.

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, the Freedom of Information Act 2000 and the GDPR legislation of 2018. 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. A regular review should be undertaken and approved by the Finance, Audit, Risk and Health & Safety Committee.

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

4a Destruction of records

STRS operates a certificated system whereby confidential waste is regularly collected and is shredded. Where the phrase 'Secure Disposal' is used in the schedule below, this shredding method must be adhered to.

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);

Number 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, arrangements should be made to transfer the records to the Archives.

The Data Protection Lead must be consulted and will advise on this.

5. Useful Contacts

If a member of staff is in any doubt of procedures, the following staff will gladly assist.

Dave Dempsey – Assistant Head/Data Protection Lead

Nicky Binning – Finance Director/Company Secretary

Jane Morton – Headmasters PA

Sue Bain – Admissions Registrar

Sarah Ball – Pupil Data Officer

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					
<i>Principal set (signed)</i>	No	Limitation Act 1980, Section 2	Permanent	Master copy should be held indefinitely. Another copy held for 6 years then shredded	Master copy transfer to Archives
<i>Inspection copies – held by clerk and other staff members</i>	No		Date of meeting + 3 years	SECURE DISPOSAL	
Agendas	No		Permanent	One copy to be retained indefinitely with master set of minutes, all others shredded.	Transfer to Archives
Reports <i>All reports given out at meetings</i>	No	Limitation Act 1980, Section 2	Permanent	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 with the master set of minutes.	Transfer to Archives
Instruments of Government Including Articles of Association	No		Permanent	Retain in school	Transfer to Archives
Action Plans administered by the Governing Body	No		Date of action plan + 6 years	SECURE DISPOSAL	It may be appropriate to offer to the Archives for a sample to be taken if the school has been through a difficult period

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	
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 [The appropriate archivist will then take a sample for permanent preservation]
Complaints files	Yes		Date of resolution of complaint + 6 years	Retain in school for the first six years Review for further retention in the case of contentious disputes	
Annual Reports required by the DfE and ESFA	No	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002.SI 2002 No 1171	Date of report + 10 years		Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Proposals for schools to become, or be established as Specialist Status schools	No		Current year + 3 years		Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]

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	
OFSTED reports and papers	No		Review on replacement by new Inspection		Transfer to Archives
Minutes of the Senior Management Team and other internal administrative bodies	Yes		Date of meeting + 5 years	Retain in the school for 5 years from meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Reports made by the Headmaster or the Senior Management Team	Yes		Date of report + 3 years	Retain in the school for 3 years from meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Records created by Headmaster Deputies Heads Assistant Heads Heads of Year Heads of Department	Yes		Closure of file + 6 years	SECURE DISPOSAL	
Correspondence created by Headmaster Deputy Heads Heads of Year Heads of Department	No		Date of correspondence + 3 years	SECURE DISPOSAL	
Professional development plans	Yes		Closure + 6 years	SECURE DISPOSAL	
School Development Plans School Improvement Plans	No		Closure + 6 years	Review	Offer to Archives

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	
Policies	No		Until superseded by new policy	SECURE DISPOSAL	

6.3 Pupil Educational Records

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 + 6 years	SECURE DISPOSAL [If these records are retained electronically any back up copies should be destroyed at the same time]	
Pupil Files	Yes	Limitation Act 1980, Section 2	DOB of the pupil + 25 years	DISPOSAL of all files with the exception of Application/Admission Form and Exam Summary which should be transferred to archives for purposes of historic interest.	
Privacy Notices Consent Forms	Yes		Current Year + 6 years	SECURE DISPOSAL	
Biometrics Registration Information	Yes		Retain only whilst pupil is current	SECURE DISPOSAL Once pupil has left STRS	
Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 25 year	SECURE DISPOSAL	
Letters authorising absence	No		Date of absence + 2 years	SECURE DISPOSAL	
Absence books			Current year + 6 years	SECURE DISPOSAL	
Examination results	Yes				

6.3 Pupil Educational Records

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
<i>Public examination results</i>	Yes		Year of examinations + 6 years	SECURE DISPOSAL	Any certificates left unclaimed should be destroyed confidentially after 6 years and a record should be retained for 4 years from the date of destruction
<i>Internal examination results</i>	Yes		Current year + 5 years	SECURE DISPOSAL	
<i>Examination certificates</i>	Yes		Year of examinations + 6 years	Any certificates left unclaimed should be destroyed confidentially after 6 years and a record should be retained for 4 years from the date of destruction	
Any other records created in the course of contact with pupils	Yes/No		Current year + 3 years	Review at the end of 3 years and either allocate a further retention period or SECURE DISPOSAL	
Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	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	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	SECURE DISPOSAL unless legal action is pending	

6.3 Pupil Educational Records

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SECURE DISPOSAL unless legal action is pending	
Children SEN/Disability Files	Yes	Children and Families Act 2014 Limitation Act 1980, Section 2	Closure + 35 years	SECURE DISPOSAL unless legal action is pending	
Free School Meals Records	Yes	Limitation Act 1980, Section 2	6 Years	SECURE DISPOSAL	
Admission Appeal Submissions	Yes	Section 84 of the School Standards and Framework Act 1998	3 years	SECURE DISPOSAL	

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	SECURE DISPOSAL
Curriculum returns	No		Current year + 3 years	SECURE DISPOSAL
School syllabus	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
Schemes of work	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
Timetable	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
Class record books	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
Mark Books	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL
Record of homework set	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL

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	
Pupils' work	No		Current year + 1 year	It may be appropriate to review these records at the end of each year and allocate a new retention period or SECURE DISPOSAL	
Value added records	Yes		Current year + 6 years	SECURE DISPOSAL	

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	SECURE DISPOSAL	
Staff Personal files	Yes		Termination + 7 years	SECURE DISPOSAL	
Interview notes and recruitment records <i>Unsuccessful recruits</i>	Yes		Date of interview + 6 months	SECURE DISPOSAL	
Interview notes and recruitment records Successful recruits	Yes		All the relevant information should be added to the staff personal file and all other information to be retained for 6 months	SECURE DISPOSAL	
Pre-employment vetting information (including DBS checks)	No	DBS Update Service Employer Guide June 2014: Keeping Children Safe in Education July 2015: An employer's guide to right to work check (Home Office May 2015)	Date of check + 6 months	SECURE DISPOSAL [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.		

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	
<i>Oral warning</i>			Date of warning + 6 months	SECURE DISPOSAL 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	SECURE DISPOSAL 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	SECURE DISPOSAL If this is placed on a personal file, it must be weeded from the file.	
<i>final warning</i>			Date of warning + 18 months	SECURE DISPOSAL If this is placed on a personal file, it must be weeded from the file.	
<i>case not found</i>			SECURE DISPOSAL 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	SECURE DISPOSAL	
Salary records	Yes		Last date of employment + 85 years	SECURE DISPOSAL	

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	
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	

6.6 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	SECURE DISPOSAL	
Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980	See below		
<i>Adults</i>	Yes	Limitation Act 1980, Section 11	Current year + 6 years	SECURE DISPOSAL	
<i>Children</i>	Yes	Limitation Act 1980, Section 2	DOB + 25 years	SECURE DISPOSAL	
COSHH			Current year + 10 years	Review [where appropriate an additional retention period may be allocated]	
Incident reports	Yes		Current year + 20 years	SECURE DISPOSAL	
Policy Statements			Date of expiry + 1 year	SECURE DISPOSAL	
Risk Assessments			Current year + 3 years	SECURE DISPOSAL	
Process of monitoring of areas where employees and persons are likely to have come in contact with asbestos			Last action + 40 years	SECURE DISPOSAL	

6.6 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	
Process of monitoring of areas where employees and persons are likely to have come in contact with radiation			Last action + 50 years	SECURE DISPOSAL	
Fire Precautions log books			Current year + 6 years	SECURE DISPOSAL	
Health & Safety Audit reports			Current year + 6 years	SECURE DISPOSAL	
Premises maintenance logs/inspections		Limitation Act 1980, Section 2	Current year + 10 years	SECURE DISPOSAL	

6.7 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		Archive
Inventories of equipment and furniture			Current year + 6 years	SECURE DISPOSAL	
General file series			Current year + 5 years	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
School brochure/prospectus			Current year + 3 years		Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Circulars (staff/parents/pupils)			Current year + 1 year	SECURE DISPOSAL	
Newsletters			Current year + 1 year	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Visitors' book			Current year + 2 years	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Parents Association documents			Current year + 6 years	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation] NB. Members of the PA should be asked to bring old documents in to school for shredding

6.8 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 + 12 years		Transfer to the Archives
Grants		Financial Regulations	Date of last payment + 12 years	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
Government Returns <i>AAR</i> <i>BFR</i> <i>BFRO etc</i>			Current Year + 6 years	Review to see whether a further retention period is required	Offer to archives
Contracts		Limitation Act 1980, Section 8	Contract Completion + 12 years	SECURE DISPOSAL	
Copy orders			Current year + 6 years	SECURE DISPOSAL	
Budget reports, budget monitoring etc			Current year + 6 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	
Debtors' Records		Limitation Act 1980	Current year + 6 years	SECURE DISPOSAL	

6.8 Finance

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
All Bank Statements			Current Year + 6 years	SECURE DISPOSAL	
School Fund – Ledger			Current year + 6 years	SECURE DISPOSAL	
School Fund – Invoices			Current year + 6 years	SECURE DISPOSAL	
School Fund – Receipts			Current year + 6 years	SECURE DISPOSAL	
School Fund – School Trip Records			Current year + 6 years	SECURE DISPOSAL	
Applications for free school meals, travel, uniforms etc			Whilst child at school	SECURE DISPOSAL	
Student financial assistance applications			Current year + 6 years	SECURE DISPOSAL	
Free school meals registers	Yes	Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
Petty cash books		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
VAT records	Yes	HMRC Regulations	Current Year + 6 years	SECURE DISPOSAL	
Gift Aid records	Yes	HMRC Regulations	Current Year + 6 years	SECURE DISPOSAL	

6.9 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	Offer to Archives
Plans			Permanent	Retain in school whilst operational then	Offer to Archives
Maintenance and contractors		Financial Regulations	Current year + 6 years	SECURE DISPOSAL	
Leases			Expiry of lease + 6 years	SECURE DISPOSAL	
Lettings			Current year + 6 years	SECURE DISPOSAL	
Burglary, theft and vandalism report forms			Current year + 6 years	SECURE DISPOSAL	
Maintenance log books			Last entry + 10 years	SECURE DISPOSAL	

6.9 Property

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Contractors' Reports			Current year + 6 years	SECURE DISPOSAL	
Details if insurance policies			Current year + 6 years	SECURE DISPOSAL	
Details if Insurance Claims			Current year + 6 years	Review details of claim to consider if claim needs to be kept permanently For instance, if it is a personal injury claim, retain permanently If it is a claim for lost or damaged good, this can be disposed of.	Offer to archives

6.10 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	SECURE DISPOSAL	

6.10 LEA

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
Circulars from LEA			Whilst operationally required	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]

6.11 DfE

Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
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 [The appropriate archivist will then take a sample for permanent preservation]
Returns			Current year + 6 years	SECURE DISPOSAL	
Circulars from DfE			Whilst operationally required	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]

6.12 Work Experience

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	