

Policy on Document Retention

MUGGINTON CofE PRIMARY SCHOOL

Mugginton CofE Primary School has adopted the Derbyshire County Council recommendations on Retention of Records without alteration.

Reviewed	<i>25th May 2018</i>
HT	J Green
CoG	D Walton
Future Review	<i>Autumn 2020</i>



DERBYSHIRE COUNTY COUNCIL

Summary guidelines of records retention periods for schools

Please Note:

Due to the ongoing Independent Inquiry into Child Sexual Abuse (IICSA) no pupil and staff record should be destroyed until further notice. The guidance below gives a retention period (in the 'Retention Action' column), but where records should **not be** destroyed, this has been noted in the 'Disposal Action' column. For further information/clarification please contact the council's Corporate Records Manager by emailing records.management@derbyshire.gov.uk or telephoning 01629 539203.



Version History				
Version	Date	Detail	Author	Responsible Officer
1.00	2012	First version	David Jenkins	David Jenkins
2.00	2014	Second version – revised to reflect changes to national guidance produced by IRMS and with updated contact details	David Jenkins	David Jenkins
3.00	2016	Update re. non disposal of pupil and staff files	David Jenkins	David Jenkins
4.00	2017	Updated to include: information on child protection records to be transferred to DCC; records of administration of medicines	David Jenkins	David Jenkins
5.00	2018	Updated to include temporary restrictions on destruction as ordered by IICSA	Mark Smith / Gareth Mainprize	Martin Stone / Chris Newton

Introduction

These guidelines have been produced by Derbyshire County Council to assist schools in the management of their records. The guidelines outline the recommended retention periods for schools based on legislation and common practice.

It is the responsibility of schools to retain their records for the appropriate retention period, or to transfer their historical records (those specifically highlighted in this document) to Derbyshire Record Office as the archive service for Derbyshire County Council. The retention guidelines produced in this document are some of the key retention periods which need to be considered. For a comprehensive list of retention periods schools should consult the Schools Toolkit produced by the Information and Records Management Society (available at <https://irms.site-ym.com/general/custom.asp?page=SchoolsToolkit>).

Explanatory Notes

The retention guidelines will outline a description of records, followed by the action to be taken in (e.g. retain for 3 years). This will be based on an event/action which will trigger that retention action (e.g. date record created). The disposal action will either be the destruction of the records, or their transfer to another organisation (either another school, or as archives to Derbyshire Record Office).

These guidelines may include references to records which are no longer routinely created as part of school business (e.g. log books). These have been included to assist schools who have a large backlog of historical records which require reviewing. Under the Freedom of Information Act 2000 LEA schools (including schools which are granted academy status) are regarded as public bodies and are subject to the Act. This requires that schools manage their records appropriately against agreed retention periods.

Sources of further information

For specific queries regarding records retention periods please contact Derbyshire County Council's Corporate Records Manager by emailing records.management@derbyshire.gov.uk or telephone 01629 539203.

For queries about transferring records to the Children's Services Department please contact the Data Protection and Freedom of Information Officer on CAYAFOI@derbyshire.gov.uk or telephone on 01629 536470.

When considering transferring records to Derbyshire Record Office schools should contact an archivist at the record office to seek advice on how to go about transferring records. Email: record.office@derbyshire.gov.uk or telephone 01629 538347.

Glossary of Terms:

Business decision: if there is no law or regulation to say how long a record should be kept, we may base this decision on the administrative needs of the organisation

Closure: when a record ceases to be 'current' – this can be the when a set of minutes are formally agreed, or when a Help Desk incident is formally closed. Many retention periods are triggered after the 'closure' of a record

Common practice: if there is no law or regulation to say how long a record should be kept, we may base this decision on what similar organisations do

Disposal: the processes associated with the end of a records lifecycle, they will typically include destruction of the records or transfer of the records to Derbyshire Record Office for permanent preservation

Functional Description: the description of the function that the record serves (i.e. the functional description of a set of minutes is 'the process of preparing business...')

Permanent: Retain the record permanently and offer to Derbyshire Record Office

Record: the recorded evidence about an activity

Retention Action: the action regarding the retention of a record, triggered by a particular event (e.g. closure of a record)

Additional Information:

Records Disposal Policy and Procedures:

http://www.derbyshire.gov.uk/working_for_us/data/how_to_dispose_of_confidential_information_safely/default.asp

Additional Retention Schedules (including Finance, Human Resources, Management and Administration, Property, Procurement):

<http://www.derbyshire.gov.uk/retentionschedules>

For further information about the contents of this retention schedule, or for records management generally contact Records Management on records.management@derbyshire.gov.uk or on ext. 39203

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
CHILD PROTECTION						
SCH 1.1	Child protection files (primary school)	Retain for the duration of the pupil's attendance at the school	Date pupil changes school	Transfer to Secondary School	Keeping Children Safe in Education (Department for Education)	Where a child is removed from the roll to be educated at home/missing from education see below
SCH 1.2	Child protection files (secondary school)	Retain for 25 years	Pupil's date of birth	Do not destroy (refer to note on front page) Consider transfer to off-site storage on child reaching school leaving age	"Safeguarding Children in Education" 2004 Keeping Children Safe in Education (Department for Education)	Where a child is removed from the roll to be educated at home/missing from education see below
SCH 1.3	Child protection files (Child missing from education, Traveller, Roma, or Gypsy and therefore removed from roll)	Retain for 25 years (as above)	Date removed from roll	Transfer to DCC	"Safeguarding Children in Education" 2004 Keeping Children Safe in Education (Department for Education)	Scan all your documents into one folder, use the naming convention as per guidance sent out (CME) and send via the Perspective Lite Secure Portal which can also be accessed via

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						Derbyshire SchoolsNet.
SCH 1.4	Child protection files (child is removed from the roll and is Elective Home Educated)	Retain for 25 years (as above)	Date removed from roll	Transfer to DCC	“Safeguarding Children in Education” 2004 Keeping Children Safe in Education (Department for Education)	Scan all your documents into one folder, use the naming convention as per guidance sent out(EHE) and send via the Perspective Lite Secure Portal which can also be accessed via Derbyshire SchoolsNet.
SCH 1.5	Allegations of a child protection nature made against a member of staff (including unfounded allegations)	Retain until the normal retirement age for the member of staff or for 10 years (whichever is the longer)	Employee's retirement age	Do not destroy (refer to note on front page)	Employment Practices Code: Supplementary Guidance (Information Commissioner's Office)	
GOVERNORS						
SCH 2.1	Principal set of signed minutes	Retain at school for 6 years	Date of meeting	Transfer to Derbyshire Record Office	Common practice	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
SCH 2.2	Inspection copies of minutes	Retain for 3 years	Date of Meeting	Destroy	Common practice	
SCH 2.3	Agendas	No retention required	Conclusion of meeting	Destroy	Common practice	
SCH 2.4	Reports	Retain at school for 6 years	Date of report	Transfer to Derbyshire Record Office	Common practice	
SCH 2.5	Annual parents meeting papers	Retain at school for 6 years	Date of meeting	Transfer to Derbyshire Record Office	Common practice	
SCH 2.6	Instrument of Government	Retain at school for the duration of its operation	Closure of school	Transfer to Derbyshire Record Office	Common practice	
SCH 2.7	Trusts and Endowments	Retain at school whilst operationally required	End of operational use	Transfer to Derbyshire Record Office	Common practice	
SCH 2.8	Action Plans	Retain for 3 years	Expiration of action plan	Destroy	Common practice	May be appropriate to offer to Derbyshire Record Office
SCH 2.9	Policy documents	Retain while policy is used operationally	Expiration of policy	Transfer to archives when policy is no longer operational	Common practice	
SCH 2.10	Complaints files	Retain for 6 years	Resolution of complaint	Review and destroy if	Common practice	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
				complaints are non-contentious		
SCH 2.11	Annual reports required by central government	Retain at school for 10 years	End of the calendar year that the record was created in	Transfer to Derbyshire Record Office	Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002	
SCHOOL MANAGEMENT						
SCH 3.1	Log books	Retain at school for 6 years	Date of last entry in log book	Transfer to Derbyshire Record Office	Common practice	Legislation no longer requires the completion of a school log book
SCH 3.2	Minutes of management team	Retain at school for 5 years	Date of meeting	Transfer to Derbyshire Record Office	Common practice	
SCH 3.3	Reports made by management team	Retain at school for 3 years	Date of report	Transfer to Derbyshire Record Office	Common practice	
SCH 3.4	Development plans	Retain for 6 years	Expiry of plan	Review with a view to destroy	Common practice	May be appropriate offer to Derbyshire Record Office
SCH 3.5	Successful school admissions applications	Retain for 1 year	Date of admission	Destroy	Common practice	
SCH 3.6	Unsuccessful school admission applications	Retain for 1 year	Start of school term	Destroy	School Admissions Appeals Code 2012	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
	(where no appeal is made)					
SCH 3.7	Unsuccessful school admission applications (where an appeal is made)	Retain for 1 year	Resolution of case	Destroy	School Admissions Appeals Code 2012	
SCH 3.8	Proofs of address supplied by parents as part of the admissions process	Retain for 1 year	Date of admission	Destroy	Common practice	
PUPIL RECORDS						
SCH 4.1	Admission registers	Retain for 6 years	Last entry in register	Transfer to Derbyshire Record Office	Common practice	These are no longer created in paper format
SCH 4.2	Attendance registers	Retain for 3 years	Last entry in register	Destroy	Common practice	
SCH 4.3	Pupil files (primary school)	Retain for duration of the pupil's attendance at school	Date pupil changes school	Transfer to Secondary School	Common practice	In the case of school exclusions it may be appropriate to transfer to Behaviour Service
SCH 4.4	Pupil files (secondary school school)	Retain for 25 years	Pupil's date of birth	Do not destroy (refer to note on front page)	The Limitations Act 1980	
SCH 4.5	Special educational needs records relating to individual support	Retain for duration of attendance at school	Date pupil changes school	Transfer to Secondary School	Common practice	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
	provided by the schools (primary)					
SCH 4.6	Special educational needs records relating to individual support provided by the schools (secondary)	Retain for 35 years	Pupil's date of birth	Do not destroy (refer to note on front page)	Special Educational Needs and Disability Act 2001	This period is recommended by Derbyshire County Council.
SCH 4.7	Letters authorising absence	Retain for 2 years	Date of absence	Destroy	Common practice	
SCH 4.8	Public examination results	Retain for 6 years	Date of examination	Destroy	Common practice	
SCH 4.9	Internal school examination result	Retain for 5 years	Date of examination	Destroy	Common practice	
SCH 4.10	Advice and information issued by the school to parents regarding educational needs for individual pupils	Retain for 12 years	Date advice issued	Destroy	Special Educational Needs and Disability Act 2001	
SCH 4.11	Accessibility Strategy	Retain for 12 years	Expiry of strategy	Destroy	Special Educational Needs and Disability Act 2001	May be appropriate to offer to Derbyshire Record Office
SCH 4.12	Parental permission slips for school trips where there has not been a major incident	No retention required	Conclusion of trip	Destroy	Common practice	
SCH 4.13	Parental permission slips for school trips where	Retain for 25 years from the date of birth of the pupil/s	Pupil's date of birth	Destroy	The Limitations Act 1980	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
	there has been a major incident	involved in the incident				
SCH 4.14	Records created by schools to obtain approval to run an Educational Visit outside the classroom where there has not been a major incident	Retain for 14 years	Date of visit	Destroy	The Health and Safety at Work Act 1974	Records created might include risk assessments
SCH 4.15	Records created by schools to obtain approval to run an Educational Visit outside the classroom where there has been a major incident	Retain for 21 years from the date of birth of the pupil/s involved in the incident	Pupil's date of birth	Destroy	The Limitations Act 1980	Records created might include risk assessments
SCH 4.16	Walking bus register	Retain for 3 years	Last entry in register	Destroy	Common practice	If there has been an incident it is assumed that an accident report will have been made and should be retained for the appropriate retention period (see Health and Safety section below)

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
CURRICULUM						
SCH 5.1	Curriculum development	Retain for 6 years	End of the calendar year that the record was created in	Destroy	Common practice	
SCH 5.2	Curriculum returns	Retain for 3 years	End of the calendar year that the record was created in	Destroy	Common practice	
SCH 5.3	School syllabus	Retain for 1 year	Expiration of syllabus	Destroy	Common practice	May be appropriate to offer to Derbyshire Record Office
SCH 5.4	Schemes of work	Retain for 1 year	End of the calendar year that the record was created in	Review with a view to destroy	Common practice	
SCH 5.5	Timetable development	Retain for 1 year	End of the calendar	Review with a view to destroy	Common practice	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
			year that the record was created in			
SCH 5.6	Records of marks awarded	Retain for 1 year	End of the calendar year that the record was created in	Destroy	Common practice	
SCH 5.7	Records of homework set	Retain for 1 year	End of the calendar year that the record was created in	Destroy	Common practice	
PERSONNEL						
SCH 6.1	Staff personnel files	Retain for 7 years	End of employment	Do not destroy (refer to note on front page)	Common practice	
SCH 6.2	Interview notes for successful candidates	Retain and add to personnel file.			Common practice	
SCH 6.3	Interview notes for unsuccessful candidates	Retain for 6 months	Date successful candidate is in post	Destroy	Common practice	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
SCH 6.4	Pre-employment vetting information (including DBS checks)	Retain for 6 months	Date information checked	Destroy	DBS guidelines	
SCH 6.5	Written warnings (level 1)	Retain for 6 months	Date of warning	Do not destroy (refer to note on front page)	Common practice	
SCH 6.6	Written warning (level 2)	Retain for 12 months	Date of warning	Do not destroy (refer to note on front page)	Common practice	
SCH 6.7	Final warning	Retain for 18 months	Date of warning	Do not destroy (refer to note on front page)	Common practice	
SCH 6.8	Warnings subsequently found to be based on an unfounded case (excluding child protection related warning)	No retention required	Date case found to be unfounded	Do not destroy (refer to note on front page)	Common practice	For child protection related warnings see Child Protection section above.
SCH 6.9	Staff appraisal records	Retain for 5 years	End of the calendar year that the record was created in	Do not destroy (refer to note on front page)	Common practice	
HEALTH AND SAFETY						
SCH 7.1	Accessibility Plans	Retain for 6 years	End of the calendar	Destroy	Disability and Equality Act 2010	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
			year that the record was created in			
SCH 7.2	Accident/incident reporting (adults)	Retain for 7 years	Date of incident	Destroy	Common practice	
SCH 7.3	Accident/incident reporting (children)	Retain for 25 years	Child's date of birth	Destroy	The Limitations Act 1980	
SCH 7.4	Records of monitoring areas where employees/pupils are likely to come into contact with asbestos	Retain for 40 years	Last action on file	Destroy	The Control of Substances Hazardous to Health Regulations 2002	
SCH 7.5	Records of monitoring areas where employees/pupils are likely to come into contact with radiation	Retain for 50 years	Last action on file	Destroy	The Ionising Radiations Regulations 1985	
SCH 7.6	Fire log books	Retain for 7 years	End of calendar year	Destroy	Common practice	
SCH 7.7	Records of the administration of medicines for all routine medication (e.g. Calpol, antibiotics, treatments for asthma and diabetes)	Retain for 1 year	End of calendar year	Destroy	Business decision	Events significantly outside individual treatment plan should be treated as non-routine (see below)

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
SCH 7.8	Records of administration of medicines for all non-routine medication (e.g. peg feeding, epi-pen, invasive drugs, anti-depressants) and any records governing a reported incident, difficulty or issues with administering medication.	Retain for 21 years and 6 months from pupil's date of birth	Pupil's date of birth	Destroy	Business decision	
ADMINISTRATION						
SCH 8.1	Employer's Liability Certificate	Retain for 40 years	Closure of school		Common practice	Transfer to DCC on closure of school
SCH 8.2	Inventories of equipment/furniture	Retain for 6 years	End of calendar year	Destroy	Common practice	
SCH 8.3	Circulars to parents/staff/pupils	Retain for 1 year	End of calendar year	Destroy	Common practice	
SCH 8.4	Newsletters produced by the school	Retain for 1 year	End of calendar year	Transfer to Derbyshire Record Office	Common practice	
SCH 8.5	Visitor books	Retain for 2 years	End of calendar year	Destroy	Common practice	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
FINANCE						
SCH 9.1	Annual accounts	Retain at school for 6 years	End of calendar year	Transfer to Derbyshire Record Office	Common practice	
SCH 9.2	Invoices, receipts, and other financial records covered by financial regulations	Retain for 6 years	End of calendar year	Destroy	Standard financial regulations	
SCH 9.3	Annual budget and supporting papers	Retain for 6 years	End of calendar year	Destroy	Common practice	
SCH 9.4	Ordinary contracts	Retain for 6 years	End of contract	Destroy	The Limitations Act 1980	
SCH 9.5	Contracts under seal	Retain for 12 years	End of contract	Destroy	The Limitations Act 1980	
PROPERTY						
SCH 10.1	Building plans	Retain whilst operational	End of operational use	Transfer to Derbyshire Record Office	Common practice	
SCH 10.2	Burglary, theft and vandalism report forms	Retain for 6 years	End of the calendar year that the record was created in	Destroy	Common practice	

Ref. No.	Functional Description	Retention Period	Trigger	Disposal action	Basis for retention	Comments
SCH 10.3	Contractors' reports	Retain for 6 years	End of the calendar year that the record was created in	Destroy	Common practice	
LOCAL AUTHORITY						
SCH 11.1	Secondary transfer sheets	Retain for 2 years	Year of transfer	Destroy	Common practice	
SCH 11.2	Attendance returns	Retain for 1 year	End of the calendar year that the record was created in	Destroy	Common practice	
CENTRAL GOVERNMENT						
SCH 12.1	Ofsted reports and papers	Retain whilst current	Date new report issued	Transfer Derbyshire Record Office	Common practice	Replace old report with new report
SCH 12.2	Returns to central government	Retain for 6 years	End of the calendar year that the record was created in	Destroy	Common practice	

