Breakthrough Transformation Trust

**Record Retention Schedule**

**Version 2.0**

Approved by Debbie Dugdall, CEO

Date July 2020

This document has been created in line with the guidance set out in the DfE Data Protection: Toolkit

1. **Management of the Trust**

|  |
| --- |
| *This section contains retention periods connected to the general management of the school. This covers the work of the Trustees, the CEO and the senior management team, the admissions process and operational administration.* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Trustees** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Agendas for Trustees 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[[1]](#footnote-1) |
|  | Minutes of Trustees meetings | There may be data protection issues if the meeting is dealing with confidential issues relating to staff |  |  |
|  | * Principal Set (signed) |  | PERMANENT |  |
|  | * Inspection Copies[[2]](#footnote-2) |  | Date of meeting + 3 years | If these minutes contain any sensitive, personal information they must be shredded. |
|  | Reports presented to the 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 |
|  | Meeting papers relating to the annual parents’ meeting held under section 33 of the Education Act 2002 | No | Date of the meeting + a minimum of 6 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Trustees (continued…)** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Action plans created and administered by the Trust | No | Life of the action plan + 3 years | SECURE DISPOSAL |
|  | Policy documents created and administered by the Trust | No | Life of the policy + 3 years | SECURE DISPOSAL |
|  | Records relating to complaints dealt with by the Trust | Yes | Date of the resolution of the complaint + a minimum of 6 years then review for further retention in case of contentious disputes | SECURE DISPOSAL |
|  | Annual Reports | No | Date of report + 10 years | SECURE DISPOSAL |
|  | Proposals concerning the change of status of a Trust College | No | Date proposal accepted or declined  + 3 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **1.2 CEO and Senior Management Team** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | 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 |
|  | Reports created by the CEO 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 |
|  | Records created by the CEO, Directors, SMT 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 |
|  | Correspondence created by the CEO, Directors, SMT 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 |
|  | Professional Development Plans | Yes | Life of the plan + 6 years | SECURE DISPOSAL |
|  | Trust Development Plans | No | Life of the plan + 3 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Admissions Process** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | All records relating to the creation and implementation of the Trusts Admissions’ Policy | No | Life of the policy + 3 years then review | SECURE DISPOSAL |
|  | Admissions – if the admission is successful | Yes | Date of admission + 1 year | SECURE DISPOSAL |
|  | Admissions – if the appeal is unsuccessful | Yes | Resolution of case + 1 year | SECURE DISPOSAL |
|  | Register of Admissions | Yes | Every entry in the admission register must be preserved for a period of three years after the date on which the entry was made. | REVIEW  The Trust may wish to consider keeping the admission register permanently as we could receive enquiries from past pupils to confirm the dates they attended the Trust. |
|  | Proofs of address supplied by parents as part of the admissions process | Yes | Current year + 1 year | SECURE DISPOSAL |
|  | 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 |
|  | * For unsuccessful admissions |  | Until appeals process completed | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Operational Administration** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | General file series | No | Current year + 5 years then REVIEW | SECURE DISPOSAL |
|  | Records relating to the creation and publication of the Trusts brochure or prospectus | No | Current year + 3 years | STANDARD DISPOSAL |
|  | Records relating to the creation and distribution of circulars to staff, parents or pupils | No | Current year + 1 year | STANDARD DISPOSAL |
|  | Newsletters and other items with a short operational use | No | Current year + 1 year | STANDARD DISPOSAL |
|  | Visitors’ Books and Signing in Sheets | Yes | Current year + 6 years then REVIEW | SECURE DISPOSAL |

# Human Resources

|  |
| --- |
| *This section deals with all matters of Human Resources management within the school.* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **2.1 Recruitment** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | All records leading up to the appointment of a new Head of Centre | Yes | Date of appointment + 6 years | SECURE DISPOSAL |
|  | All records leading up to the appointment of a new member of staff – unsuccessful candidates | Yes | Date of appointment of successful candidate + 6 months | SECURE DISPOSAL |
|  | 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 |
|  | Pre-employment vetting information – DBS Checks | No | The Trust does not have to keep copies of DBS certificates. If the Trust does so the copy must NOT be retained for more than 6 months | SECURE DISPOSAL (if retained) |
|  | Proofs of identity collected as part of the process of checking  “portable” enhanced DBS 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 (if retained) |
|  | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom | Yes | Where possible these documents should be added to the Staff Personal File [see below], but if they are kept separately then the Home Office requires that the documents are kept for termination of Employment plus not less than two years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **2.2 Operational Staff Management** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Staff Personal File | Yes | Termination of Employment + 6 years | SECURE DISPOSAL |
|  | Timesheets | Yes | Current year + 6 years | SECURE DISPOSAL |
|  | Annual appraisal/ assessment records | Yes | Current year + 5 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **2.3 Management of Disciplinary and Grievance Processes** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **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 | Until the person’s normal retirement age or 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 |  |  |
|  | * verbal warning |  | Date of warning + 3 months | SECURE DISPOSAL  [If warnings are placed on personal files then they must be weeded from the file] |
|  | * written warning |  | Date of warning + 6 months | SECURE DISPOSAL |
|  | * final written warning |  | Date of warning + 12 months | SECURE DISPOSAL |
|  | * case not found |  | If the incident is child protection related then see above otherwise dispose of at the conclusion of the case | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **2.4 Health and Safety** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Health and Safety Policy Statements | No | Life of policy + 3 years | SECURE DISPOSAL |
|  | Health and Safety Risk Assessments | No | Life of risk assessment + 3 years | SECURE DISPOSAL |
|  | 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 |  | SECURE DISPOSAL |
|  | * Adults |  | Date of the incident + 6 years | SECURE DISPOSAL |
|  | * Children |  | DOB of the child + 25 years | SECURE DISPOSAL |
|  | Control of Substances Hazardous to Health (COSHH) | No | Current year + 40 years | SECURE DISPOSAL |
|  | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | No | Last action + 40 years | SECURE DISPOSAL |
|  | Process of monitoring of areas where employees and persons are likely to have become in contact with radiation | No | Last action + 50 years | SECURE DISPOSAL |
|  | Fire Precautions log books | No | Current year + 6 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **2.5 Payroll and Pensions** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Maternity pay records | Yes | Current year + 3 years | SECURE DISPOSAL |
|  | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes | Current year + 6 years | SECURE DISPOSAL |

1. **Financial Management of the School**

|  |
| --- |
| *This section deals with all aspects of the financial management of the school including the administration of school meals* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **3.1 Risk Management and Insurance** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Employer’s Liability Insurance Certificate | No | Closure of the Trust + 40 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **3.2 Asset Management** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Inventories of furniture and equipment | No | Current year + 6 years | SECURE DISPOSAL |
|  | Burglary, theft and vandalism report forms | No | Current year + 6 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Accounts and Statements including Budget Management** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Annual Accounts | No | Current year + 6 years | Standard disposal |
|  | Loans and grants managed by the Trust | No | Date of last payment on the loan + 12 years then REVIEW | SECURE DISPOSAL |
|  | Student Grant applications | Yes | Current year + 3 years | SECURE DISPOSAL |
|  | All records relating to the creation and management of budgets including the Annual Budget statement and background papers | No | Life of the budget + 3 years | SECURE DISPOSAL |
|  | Invoices, receipts, order books and requisitions, delivery notices | No | Current financial year + 6 years | SECURE DISPOSAL |
|  | Records relating to the collection and banking of monies | No | Current financial year + 6 years | SECURE DISPOSAL |
|  | Records relating to the identification and collection of debt | No | Current financial year + 6 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Contract Management** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | All records relating to the management of contracts under seal | No | Last payment on the contract + 12 years | SECURE DISPOSAL |
|  | All records relating to the management of contracts under signature | No | Last payment on the contract + 6 years | SECURE DISPOSAL |
|  | Records relating to the monitoring of contracts | No | Current year + 2 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Petty Cash** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Petty cash - Paying in and out books | No | Current year + 6 years | SECURE DISPOSAL |
|  | Petty cash – Ledger | No | Current year + 6 years | SECURE DISPOSAL |
|  | Petty cash – Invoices | No | Current year + 6 years | SECURE DISPOSAL |
|  | Petty cash – Receipts | No | Current year + 6 years | SECURE DISPOSAL |
|  | Petty cash - Bank statements | No | Current year + 6 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Student Dinners** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Free School Meals Registers | Yes | Current year + 6 years | SECURE DISPOSAL |
|  | Student Dinner Registers | Yes | Current year + 3 years | SECURE DISPOSAL |
|  | Student Meals Summary Sheets | No | Current year + 3 years | SECURE DISPOSAL |

1. **Property Management**

|  |
| --- |
| *This section covers the management of buildings and property.* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **4.1 Property Management** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Title deeds of properties belonging to the Trust | No | PERMANENT  These should follow the property unless the property has been registered with the Land Registry |  |
|  | Plans of property belong to the Trust | No | These should be retained whilst the building belongs to the Trust and should be passed onto any new owners if the building is leased or sold. |  |
|  | Leases of property leased by or to the Trust | No | Expiry of lease + 6 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **4.2 Maintenance** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | All records relating to the maintenance of the Trust carried out by contractors | No | Current year + 6 years | SECURE DISPOSAL |
|  | All records relating to the maintenance of the Trust carried out by Trust employees including maintenance log books | No | Current year + 6 years | SECURE DISPOSAL |

# Pupil Management

|  |
| --- |
| *This section includes all records which are created during the time a pupil spends at the school. For information about accident reporting see under Health and Safety above* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **5.1 Pupil’s Educational Record** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **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 |  |  |
|  | * Primary |  | Retain whilst the child remains at the Trust | The file should follow the pupil when he/she leaves the Trust |
|  | * Secondary |  | Date of Birth of the pupil  + 25 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 |  |
|  | Child Protection information held on pupil file |  | If any records relating to child protection issues are placed on the pupil file, it should be in a sealed envelope and then 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 |  | DOB of the child + 25 years then review. This retention period has been determined 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 |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **5.2 Attendance** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Attendance Registers | Yes | 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 |
|  | Correspondence relating to authorized absence |  | Current academic year + 2 years | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **5.3 Special Educational Needs** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Special Educational Needs files, reviews and Individual Education Plans | Yes | Date of Birth of the pupil + 25 years | SECURE DISPOSAL  NOTE: 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. |
|  | Statement / EHCP maintained under section 234 of the Education Act 1990 and any amendments made to the statement | Yes | Date of birth of the pupil  + 25 years [This would normally be retained on the pupil file] | SECURE DISPOSAL unless the document is subject to a legal hold |

# 

# Curriculum Management

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **6.1 Implementation of Curriculum** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Schemes of Work | No | Current year + 1 year | Review these records at the end of each year and allocate a further retention period or SECURE DISPOSAL |
|  | Timetable | No | Current year + 1 year | Standard disposal |
|  | Mark Books | No | Current year + 1 year | Standard disposal |
|  | Record homework set | No | Current year + 1 year | Standard disposal |
|  | Pupils’ Work | No | Where possible pupils’ work should be returned to the pupil at the end of the academic year if this is not the Trust’s policy then current year + 1 year | SECURE DISPOSAL |

**7. Extra Curriculum Management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **7.1 Educational Visits outside the Classroom** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Records created by the Trust to obtain approval to run an Educational Visit outside the Classroom – Primary Children | No | Date of visit + 14 years | SECURE DISPOSAL |
|  | Records created by the Trust to obtain approval to run an Educational Visit outside the  Classroom – Secondary Children | No | Date of visit + 10 years | SECURE DISPOSAL |
|  | Parental consent forms for trips where there has been no major incident | Yes | Conclusion of the trip.  Although the consent forms could be retained for DOB + 22 years | SECURE DISPOSAL |
|  | Parental permission slips for trips – where there has been a major incident | Yes | DOB of the pupil involved in the incident + 25 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 pupils | SECURE DISPOSAL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **7.2 Taxi Details** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Taxi / Transport details | Yes | 3 years  This takes into account the fact that if there is an incident requiring an accident report the details 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 back up copies should be destroyed at the same time] |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **7.3 Student and Family Services** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Home School Books | Yes | Current year + 2 years then review | SECURE DISPOSAL |
|  | Reports for outside agencies - where the report has been included on the case file created by the outside agency | Yes | Whilst child is attending and then destroy | SECURE DISPOSAL |
|  | Referral forms | Yes | While the referral is current | SECURE DISPOSAL |
|  | Contact data sheets | Yes | Current year then review, if contact is no longer active then destroy | SECURE DISPOSAL |

# 8. Central Government and Local Authority

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **8.1 Central Government** | | | | |
| **Ref** | **Basic file description** | **Data Protection Issues** | **Retention Period [Operational]** | **Action at the end of the administrative life of the record** |
|  | Audit reports and papers | No | Life of the report then REVIEW | SECURE DISPOSAL |
|  | Returns made to central government | No | Current year + 6 years | SECURE DISPOSAL |
|  | Circulars and other information sent from central government | No | Operational use | SECURE DISPOSAL |

Comments or queries regarding the retention of school records should be addressed to the school at:

Charlie Warne Data Protection Lead Officer

Email: charlie.warne@tborg.org

1. In this context SECURE DISPOSAL should be taken to mean disposal using confidential waste bins, or if the school has the facility, shredding using a cross cut shredder. [↑](#footnote-ref-1)
2. These are the copies which the clerk to the Governor may wish to retain so that requestors can view all the appropriate information without the clerk needing to print off and collate redacted copies of the minutes each time a request is made. [↑](#footnote-ref-2)