

DATA

RETENTION

POLICY FOR

LIVERPOOL

SCHOOLS

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INTRODUCTION

All schools have a statutory requirement to operate a record retention schedule. If a school does not have such a schedule, they should adopt this Data Retention Policy for Liverpool Schools, which covers the requirements of the Freedom of Information Act 2000.

Records can be stored in different ways, in a paper format, in electronic media or in microform format. The storage media makes no difference to the way in which the information is managed.

Information created by the school must be managed against the same standards regardless of the media in which it is stored. There is a common misconception that because the storage of electronic records is more cost effective than the storage of manual records, it is not necessary to manage this information against the same rigorous standards relating to manual systems. It is not acceptable to retain electronic information for longer periods of time.

Information management systems fall into three main categories:

- manual (i.e. paper or microform)
- electronic (digital information)
- hybrid (a mixed system of manual and electronic systems).

RETENTION SCHEDULE

Purpose

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. The retention schedule lays down the basis for normal processing under both the Data Protection Act 1998 and the Freedom of Information Act 2000.

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 record series regardless of the media in which they are stored.

Benefits

There are a number of benefits which arise from the use of a complete retention schedule:

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 requests have been made.

Members of staff can be confident about shredding information at the appropriate time.

Information which is subject to Freedom of Information and Data Protection legislation will be available when required.

The school is not maintaining and storing information unnecessarily.

Maintenance

Where appropriate the retention schedule should be reviewed and amended to include any new record series created and remove any obsolete record series.

MANAGING PUPIL RECORDS

The pupil record should be seen as the core record charting an individual pupil's progress through the Education System. The pupil record should accompany the pupil wherever they find themselves in the Education system and should contain information that is accurate, objective and easy to access. These guidelines are based on the assumption that the pupil record is a principal record and that all information relating to the pupil will be found in the file (although it may spread across more than one file cover).

It has become clear over a series of information audits that there is no real consistency of practice in the way in which pupil records are managed. These are intended to be guidelines to assist schools about how pupil records should be managed and what kind of information should be included in the file. It is hoped that the guidelines will develop further following suggestions and comments from those members of staff in schools who have to deal with these records.

These are only guidelines and have no legal status, if you are in doubt about whether a piece of information should be included on the file please contact Andy Rigby, Strategic Intelligence Team on 233 3289 or via e-mail at andy.rigby@liverpool.gov.uk

1. File covers for pupil records

It is strongly recommended that schools use a consistent file cover for the pupil record. This assists the secondary school to ensure consistency of practice when receiving records from a number of different primary schools.

By using pre-printed file covers all the necessary information is collated and the record looks tidy and reflects the fact that it is the principal record containing all the information about an individual child. The use of standard document wallets should be avoided as it is very difficult to ensure that all the information required by the school is recorded consistently.

2. Recording information

A pupil or their nominated representative can ask to see their file at any point during their education (and indeed until they reach the age of 25 years when the record is destroyed). It is important to remember that all information should be accurate and objective and expressed in the appropriate language.

3. PRIMARY SCHOOL RECORDS

3a. Opening a file

The pupil record starts its life when a file is opened for each new pupil as they begin school. This is the file which will follow the pupil for the rest of his/her school career. If the pre-printed file covers are not being used then the following information should appear on the front of the file:

- Surname
- Forename
- DOB
- Gender
- Position in family
- Ethnic origin [although this is “sensitive” data under the Data Protection Act 1998, the DCSF require statistics about ethnicity]
- Language of home (if other than English)
- Religion [although this is “sensitive” data under the Data Protection Act 1998, the school has good reasons for collecting the information]
- Names of parents and/or guardians with home address and telephone number
- Name of the school, admission number and the date of admission and the date of leaving.

Inside the front cover the following information should be easily accessible:

- The name of the pupil’s doctor
- Emergency contact details

The file cover should also contain a note of the date when the file was opened and the date when the file is closed if it is felt to be appropriate.

There has been some discussion about whether or not the pupil’s UPN should be recorded on the front of the file with the other information. It is perfectly acceptable to include the UPN on the front of the file as the computer system is password protected.

It is essential that as these files contain all this personal information that they will be managed against the information security guidelines also contained in the toolkit.

3b. Items which should be included on the pupil record

- If the pupil has attended an early years setting, then the record of transfer should be included on the pupil file
- Admission form (application form)
- Fair processing notice [if these are issued annually only the most recent need be on the file]
- Parental permission for photographs to be taken (or not)
- Years Record
- Annual Written Report to Parents
- National Curriculum and R.E. Agreed Syllabus Record Sheets
- Any information relating to a major incident involving the child (either an accident or other incident)
- Any reports written about the child
- Any information about a statement and support offered in relation to the statement
- Any relevant medical information (should be stored in the file in an envelope)

- Child protection reports/disclosures (should be stored in the file in an envelope clearly marked as such)
- Any information relating to exclusions (fixed or permanent)
- Any correspondence with parents or outside agencies relating to major issues
- Details of any complaints made by the parents or the pupil

The following records should be stored separately to the pupil record as they are subject to shorter retention periods and if they are placed on the file then it will involve a lot of unnecessary weeding of the files before they are transferred on to another school.

- Absence notes
- Parental consent forms for trips/outings [in the event of a major incident all the parental consent forms should be retained with the incident report not in the pupil record]
- Correspondence with parents about minor issues
- Accident forms (these should be stored separately and retained on the school premises until their statutory retention period is reached. A copy could be placed on the pupil file in the event of a major incident)

3c. Transferring the pupil record to the secondary school

The pupil record should not be weeded before transfer to the secondary school unless any of the items mentioned above have been placed on the file. It is important to remember that the information which may seem unnecessary to the person weeding the file may be a vital piece of information required at a later stage.

Primary schools do not need to keep copies of any records in the pupil record except if there is an ongoing legal action when the pupil leaves the school. Custody of, and therefore responsibility for, the records passes to the school the pupil transfers to.

If files are sent by post, they should be sent by registered post with an accompanying list of the files. Where possible, the secondary school should sign a copy of the list to say that they have received the files and return that to the primary school. Where appropriate, records can be delivered by hand.

4. SECONDARY SCHOOL RECORDS

4a. Items which should be included on the pupil record

- Admission form (application form)
- Fair processing notice [if these are issued annually only the most recent need be on the file]
- Parental permission for photographs to be taken (or not)
- Years Record
- Annual Written Report to Parents
- National Curriculum and R.E. Agreed Syllabus Record Sheets
- Any information relating to a major incident involving the child (either an accident or other incident)
- Any reports written about the child
- Any information about a statement and support offered in relation to the statement
- Any relevant medical information (should be stored in the file in an envelope)
- Child protection reports/disclosures (should be stored in the file in an envelope clearly marked as such)
- Any information relating to exclusions (fixed or permanent)
- Any correspondence with parents or outside agencies relating to major issues
- Details of any complaints made by the parents or the pupil

The following records should be stored separately to the pupil record as they are subject to shorter retention periods and if they are placed on the file then it will involve a lot of unnecessary weeding of the files once the pupil leaves the school.

- Absence notes
- Parental consent forms for trips/outings [in the event of a major incident all the parental consent forms should be retained with the incident report not in the pupil record]
- Correspondence with parents about minor issues
- Accident forms (these should be stored separately and retained on the school premises until their statutory retention period is reached. A copy could be placed on the pupil file in the event of a major incident)

5. Responsibility for the pupil record once the pupil leaves the school

The school which the pupil attended until statutory school leaving age (or the school where the pupil completed sixth form studies) is responsible for retaining the pupil record until the pupil reaches the age of 25 years. This retention is set in line with the Limitation Act 1980 which allows that a claim can be made against an organisation by a minor for up to 7 years from their 18th birthday.

6. Safe destruction of the pupil record

The pupil record should be disposed of in accordance with the safe disposal of records guidelines. Please contact the Premises Management Unit on 225 2313, or via e-mail at PMU@liverpool.gov.uk

7. Transfer of a pupil record outside the EU area

If you are requested to transfer a pupil file outside the EU area because a pupil has moved into that area, please contact the Local Education Authority for further advice.

RECORDS MANAGEMENT POLICY

Under section 6 of the Lord Chancellor's Code of Practice on the Management of Records under Section 46 of the Freedom of Information Act 2000:

A school should have in place an overall policy statement, endorsed by top management and made readily available to staff at all levels of the organisation, on how it manages its records, including electronic records.

The policy statement should provide a mandate for the performance of all records and information management functions. In particular, it should set out a school's commitment to create, keep and manage records which document its principal activities. The policy should also outline the role of records management and its relationship to the school's overall strategy; define roles and responsibilities including the responsibility of individuals to document their actions and decisions in the school's records, and to dispose of records; provide a framework for supporting standards, procedures and guidelines; and indicate the way in which compliance with the policy and its supporting standards, procedures and guidelines will be monitored.

The policy statement should be reviewed at regular intervals (at least once every three years) and, if appropriate, amended to maintain its relevance.

[For a full copy of the Lord Chancellor's Code of Practice see www.dca.gov.uk/foi/codesprac.htm]

The model policy statement can be adopted in its entirety or can be amended to reflect the needs of individual schools. Once it has been amended it should be approved by the governing body or other appropriate authority. Once the records management policy has been approved at the appropriate level it should be published, perhaps as part of the publication scheme.

The following is a model policy statement which could be adopted by individual schools. It has been extracted from *Model action plan for developing records management compliant with the Lord Chancellor's Code of Practice under Section 46 of the Freedom of Information Act 2000 Model Action Plan for Schools*.

Records Management Policy

The School recognises that the efficient management of its records is necessary to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing policies

1 Scope of the policy

This policy applies to all records created, received or maintained by staff of the school in the course of carrying out its functions.

- 1.2 Records are defined as all those documents which facilitate the business carried out by the school and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.
- 1.3 A small percentage of the school's records will be selected for permanent preservation as part of the institution's archives and for historical research.

2 Responsibilities

- 2.1 The school has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Head of the School.
- 2.2 The person responsible for records management in the school will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and timely.
- 2.3 Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the school's records management guidelines.

3 Relationship with existing policies

This policy has been drawn up within the context of:

- Freedom of Information policy
- Data Protection policy
- and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the school.

SAFE DISPOSAL OF RECORDS WHICH HAVE REACHED THE END OF THEIR ADMINISTRATIVE LIFE

1 Safe 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 before disposal using a cross cut shredder. Any other records should be bundled up and disposed of to a waste paper merchant or disposed of in other appropriate ways. Do not put records in the dustbin or a skip unless there is no other alternative. There are companies who can provide confidential waste bins and other services which can be purchased to ensure that records are disposed of in an appropriate way.

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
- Date action taken

This could be kept in an Excel spreadsheet or other database format.

2 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 Ada Rimmer, Business Manager at Brougham Terrace on 225 6281 ada.rimmer@liverpool.gov.uk

If you would like to retain archive records in a special archive room on the school premises please contact Ada Rimmer Business Manager, at Brougham Terrace on 225 6281 ada.rimmer@liverpool.gov.uk

3 Transfer of information to other media

Where lengthy retention periods have been allocated to records, members of staff may wish to consider converting paper records to other media such as microform or digital media. The lifespan of the media and the ability to migrate data where necessary should always be considered.

SCHOOL CLOSURES AND RECORD KEEPING

When a school closes there will be records which will need to be stored until they work out their statutory retention periods.

It is the responsibility of the Local Education Authority to manage these records until they have reached the end of their administrative life and to arrange for their disposal when appropriate.

There may be a number of different reasons why a school has closed and this may affect where the records need to be stored.

- If the school has been closed and the site is being sold or reallocated to other use then the LEA should take responsibility for the records from the date the school closes.
- If two schools have merged onto one site and then function as one school, it is sensible to retain all the records relating to the two schools on the one site.
- If a secondary school closes and subsequently becomes an Academy, the records relating to the current pupil intake will be transferred to the Academy, but all other records become the responsibility of the LEA.

Sorting out records, when a building has to be vacated, is time consuming especially if records management has not been a priority in the past. Sufficient time to ensure that the records have been properly sorted, listed and boxed before transfer to the LEA must be allowed as part of the project timescales for the school closure. Proper resources must be allocated to this to ensure that the job can be completed before the school closes. It is much more difficult to sort records which have been boxed haphazardly in a hurry in the few days before the school closes.

It is important to bear in mind that when a school closes the staff teams may well feel a real sense of bereavement and this will affect the way in which they view the work which has to be done before the school closes. Sorting out records is usually low on the priority list, but nonetheless needs to be tackled. Managers will need to consider this when allocating the different elements of the task.

It is suggested that a project to sort out records could be managed in the following steps:

1. As soon as notification is received that the school is to be closed, a thorough review of all the records on the premises needs to take place. Agreement needs to be reached with the LEA about where the records which need to be stored until they can be disposed of will be sent and who in the LEA will be taking responsibility for them.
2. The next step is to identify all the records which can be safely disposed of using the retention guidelines.
3. This should leave only the records which need to be transferred to the LEA.

THE FOLLOWING RETENTION GUIDELINES HAVE BEEN ISSUED BY THE
RECORDS MANAGEMENT SOCIETY OF GREAT BRITAIN



RECORDS MANAGEMENT SOCIETY OF GREAT BRITAIN

LOCAL GOVERNMENT GROUP

RETENTION GUIDELINES FOR SCHOOLS

Version 3.1

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 should be reviewed on a regular basis.

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DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

1 Child Protection

These retention periods should be used in conjunction with the document “Safeguarding Children and Safer Recruitment in Education” which can be downloaded from www.everychildmatters.gov.uk.

	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
1.1	Child Protection files	Yes	Education Act 2002, s175, related guidance “Safeguarding Children in Education”, September 2004	DOB + 25 years ¹	SHRED Child Protection information must be copied and sent under separate cover to new school/college whilst the child is still under 18 (i.e. the information does not need to be sent to a university for example) Where a child is removed from roll to be educated at home, the file should be copied to the Local Education Authority.
1.2	Allegation of a child protection nature against a member of staff, including where the allegation is unfounded	Yes	Employment Practices Code: Supplementary Guidance 2.13.1 (Records of Disciplinary and Grievance) Education Act 2002 guidance “Dealing with Allegations of Abuse against Teachers and Other Staff” November 2005	Until the person’s normal retirement age, or 10 years from the date of the allegation whichever is the longer	SHRED The following is an extract from “Safeguarding Children and Safer Recruitment in Education” p60 “Record Keeping 5.10 It is important that a clear and comprehensive summary of any allegations made, details of how the allegation was followed up and resolved, and a note of any action taken and decisions reached, is kept on a person’s confidential personnel file, and a copy provided to the person concerned. The purpose of the record is to enable accurate information to be given in response to any future request for a reference if the person has moved on. It will provide clarification in cases where a

¹ This amendment has been made in consultation with the Safeguarding Children Group.

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1 Child Protection

These retention periods should be used in conjunction with the document “Safeguarding Children and Safer Recruitment in Education” which can be downloaded from www.everychildmatters.gov.uk.

	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
					<p>future CRB Disclosure reveals information from the police about an allegation that did not result in a criminal conviction. And it will help to prevent unnecessary reinvestigation if, as sometimes happens, an allegation re-surfaces after a period of time. The record should be retained at least until the person has reached normal retirement age or for a period of 10 years from the date of the allegation if that is longer.”</p>

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

2 Governors						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
2.1	Minutes					
	<ul style="list-style-type: none"> <i>Principal set (signed)</i> 	No		Permanent	Retain in school for 6 years from date of meeting	Transfer to Archives
	<ul style="list-style-type: none"> <i>Inspection copies</i> 	No		Date of meeting + 3 years	SHRED [If these minutes contain any sensitive personal information they should be shredded]	
2.2	Agendas	No		Date of meeting	SHRED	
2.3	Reports	No		Date of report + 6 years	Retain in school for 6 years from date of meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
2.4	Annual Parents' meeting papers	No		Date of meeting + 6 years	Retain in school for 6 years from date of meeting	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
2.5	Instruments of Government	No		Permanent	Retain in school whilst school is open	Transfer to Archives when the school has closed
2.6	Trusts and Endowments	No		Permanent	Retain in school whilst operationally required	Transfer to Archives
2.7	Action Plans	No		Date of action plan + 3 years	SHRED	It may be appropriate to offer to the Archives for a sample to be taken if the school has been through a difficult period
2.8	Policy documents	No		Expiry of policy	Retain in school whilst policy is operational	Transfer to Archives [The appropriate archivist

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2 Governors						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
					(this includes if the expired policy is part of a past decision making process)	will then take a sample for permanent preservation]
2.9	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 SHRED routine complaints	
2.10	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	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
2.11	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]

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

3 Management						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
3.1	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
3.2	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 [The appropriate archivist will then take a sample for permanent preservation]
3.3	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 [The appropriate archivist will then take a sample for permanent preservation]
3.4	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	SHRED	
3.5	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	SHRED	
3.6	Professional development plans	Yes		Closure + 6 years	SHRED	
3.7	School development plans	No		Closure + 6 years	Review	Offer to the Archives
3.8	Admissions – if the admission is successful	Yes		Admission + 1 year	SHRED	

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.

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

3 Management						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
3.9	Admissions – if the appeal is unsuccessful	Yes		Resolution of case + 1 year	SHRED	
3.10	Admissions – Secondary Schools – Casual	Yes		Current year + 1 year	SHRED	
3.11	Proofs of address supplied by parents as part of the admissions process	Yes		Current year + 1 year	SHRED	

4 Pupils						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
4.1	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
4.2	Attendance registers	Yes		Date of register + 3 years	SHRED [If these records are retained electronically any back up copies should be destroyed at the same time]	
4.3	Pupil record cards	Yes				

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

4 Pupils						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
4.3a	<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	
4.3b	<ul style="list-style-type: none"> Secondary 		Limitation Act 1980	DOB of the pupil + 25 years ³	SHRED	
4.4	Pupil files	Yes				
4.4a	<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	
4.4b	<ul style="list-style-type: none"> Secondary 		Limitation Act 1980	DOB of the pupil + 25 years ⁴	SHRED	

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

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4 Pupils						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
4.5	Special Educational Needs files, reviews and Individual Education Plans	Yes		DOB of the pupil + 25 years the review NOTE: This retention period is the minimum 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.	SHRED	
4.6	Letters authorising absence	No		Date of absence + 2 years	SHRED	
4.7	Absence books			Current year + 6 years	SHRED	
4.8	Examination results	Yes				
4.8a	<ul style="list-style-type: none"> Public 	No		Year of examinations + 6 years	SHRED	Any certificates left unclaimed should be returned to the appropriate Examination Board

⁴ As above

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

4 Pupils						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
4.8b	<ul style="list-style-type: none"> Internal examination results 	Yes		Current year + 5 years ⁵	SHRED	
4.9	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 SHRED	
4.10	Statement maintained under The Education Act 1996 - Section 324	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SHRED unless legal action is pending	
4.11	Proposed statement or amended statement	Yes	Special Educational Needs and Disability Act 2001 Section 1	DOB + 30 years	SHRED unless legal action is pending	
4.12	Advice and information to parents regarding educational needs	Yes	Special Educational Needs and Disability Act 2001 Section 2	Closure + 12 years	SHRED unless legal action is pending	

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.

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

4 Pupils						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
4.13	Accessibility Strategy	Yes	Special Educational Needs and Disability Act 2001 Section 14	Closure + 12 years	SHRED unless legal action is pending	
4.14	Children's SEN Files	Yes		DOB of pupil + 25 years then review – it may be appropriate to add an additional retention period in certain cases	SHRED unless legal action is pending	
4.15	Parental permission slips for school trips – where there has been no major incident	Yes		Conclusion of the trip	SHRED	

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

4 Pupils						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
4.16	Parental permission slips for school trips – where there has been a major incident	Yes	Limitation Act 1980	DOB of the pupil involved in the incident + 25 years The permission slips for all pupils on the trip need to be retained to show that the rules had been followed for all pupils	SHRED	
4.17	Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Primary Schools	N	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 14 years ⁶	N	SHRED or delete securely
4.18	Records created by schools to obtain approval to run an Educational Visit outside the Classroom - Secondary Schools	N	3 part supplement to the Health & Safety of Pupils on Educational Visits (HASPEV) (1998).	Date of visit + 10 years ⁷	N	SHRED or delete securely

⁶ This retention period has been set in agreement with the Safeguarding Children's Officer

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

4 Pupils						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
4.19	Walking Bus registers	Yes		Date of register + 3 years This takes into account the fact that if there is an incident requiring an accident report the register will be submitted with the accident report and kept for the period of time required for accident reporting	SHRED [If these records are retained electronically any back up copies should be destroyed at the same time]	

5 Curriculum						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
5.1	Curriculum development	No		Current year + 6 years	SHRED	
5.2	Curriculum returns	No		Current year + 3 years	SHRED	
5.3	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 SHRED	
5.4	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 SHRED	
5.5	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 SHRED	
5.6	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 SHRED	
5.7	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 SHRED	
5.8	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 SHRED	

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

5 Curriculum					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
5.9	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 SHRED
5.10	Examination results	Yes		Current year + 6 years	SHRED
5.11	SATS records	Yes		Current year + 6 years	SHRED
5.12	PAN reports	Yes		Current year + 6 years	SHRED
5.13	Value added records	Yes		Current year + 6 years	SHRED

6 Personnel Records held in Schools					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
6.1	Timesheets, sick pay	Yes	Financial Regulations	Current year + 6 years	SHRED
6.2	Staff Personal files	Yes		Termination + 7 years	SHRED
6.3	Interview notes and recruitment records	Yes		Date of interview + 6 months	SHRED
6.4	Pre-employment vetting information (including CRB checks)	No	CRB guidelines	Date of check + 6 months	SHRED [by the designated member of staff]
6.5	Disciplinary proceedings:	Yes	Where the warning relates to child protection issues see 1.2. If the disciplinary proceedings relate to a child protection matter please contact your safeguarding children officer for further advice.		
6.5a	<ul style="list-style-type: none"> • <i>oral warning</i> 			Date of warning + 6 months	SHRED ⁷

⁷ If this is placed on a personal file it must be weeded from the file.

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

6 Personnel Records held in Schools					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
6.5b	<ul style="list-style-type: none"> written warning – level one 			Date of warning + 6 months	SHRED
6.5c	<ul style="list-style-type: none"> written warning – level two 			Date of warning + 12 months	SHRED
6.5d	<ul style="list-style-type: none"> final warning 			Date of warning + 18 months	SHRED
6.5e	<ul style="list-style-type: none"> case not found 			If child protection related please see 1.2 otherwise shred immediately at the conclusion of the case	SHRED
6.6	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	SHRED
6.7	Annual appraisal/assessment records	No		Current year + 5 years	SHRED
6.8	Salary cards	Yes		Last date of employment + 85 years	SHRED
6.9	Maternity pay records	Yes	Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567)	Current year, +3yrs	SHRED
6.10	Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Yes		Current year + 6 years	SHRED
6.11	Proofs of identity collected as part of the process of checking “portable” enhanced CRB 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.	

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

7 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
7.1	Accessibility Plans		Disability Discrimination Act	Current year + 6 years	SHRED
7.2	Accident Reporting		Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980		
7.2a	<ul style="list-style-type: none"> • <i>Adults</i> 	Yes		Date of incident + 7 years	SHRED
7.2b	<ul style="list-style-type: none"> • <i>Children</i> 	Yes		DOB of child + 25 years ⁸	SHRED
7.3	COSHH			Current year + 10 years [where appropriate an additional retention period may be allocated]	SHRED
7.4	Incident reports	Yes		Current year + 20 years	SHRED
7.5	Policy Statements			Date of expiry + 1 year	SHRED
7.6	Risk Assessments			Current year + 3 years	SHRED
7.7	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos			Last action + 40 years	SHRED
7.8	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation			Last action + 50 years	SHRED
7.9	Fire Precautions log books			Current year + 6 years	SHRED

⁸ 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.

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

8 Administrative						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
8.1	Employer's Liability certificate			Closure of the school + 40 years	SHRED	
8.2	Inventories of equipment and furniture			Current year + 6 years	SHRED	
8.3	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]
8.4	School brochure or prospectus			Current year + 3 years		Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
8.5	Circulars (staff/parents/pupils)			Current year + 1 year	SHRED	
8.6	Newsletters, ephemera			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]
8.7	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]
8.8	PTA/Old Pupils Associations			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]

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

9 Finance						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
9.1	Annual Accounts		Financial Regulations	Current year + 6 years		Offer to the Archives
9.2	Loans and grants		Financial Regulations	Date of last payment on loan + 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]
9.3	Contracts					
9.3a	<ul style="list-style-type: none"> • under seal 			Contract completion date + 12 years	SHRED	
9.3b	<ul style="list-style-type: none"> • under signature 			Contract completion date + 6 years	SHRED	
9.3c	<ul style="list-style-type: none"> • monitoring records 			Current year + 2 years	SHRED	
9.4	Copy orders			Current year + 2 years	SHRED	
9.5	Budget reports, budget monitoring etc			Current year + 3 years	SHRED	
9.6	Invoice, receipts and other records covered by the Financial Regulations		Financial Regulations	Current year + 6 years	SHRED	
9.7	Annual Budget and background papers			Current year + 6 years	SHRED	
9.8	Order books and requisitions			Current year + 6 years	SHRED	
9.9	Delivery Documentation			Current year + 6 years	SHRED	
9.10	Debtors' Records		Limitation Act 1980	Current year + 6 years	SHRED	

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

9 Finance						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
9.11	School Fund – Cheque books			Current year + 3 years	SHRED	
9.12	School Fund – Paying in books			Current year + 6 years then review	SHRED	
9.13	School Fund – Ledger			Current year + 6 years then review	SHRED	
9.14	School Fund – Invoices			Current year + 6 years then review	SHRED	
9.15	School Fund – Receipts			Current year + 6 years	SHRED	
9.16	School Fund – Bank statements			Current year + 6 years then review	SHRED	
9.17	School Fund – School Journey books			Current year + 6 years then review	SHRED	
9.18	Applications for free school meals, travel, uniforms etc			Whilst child at school	SHRED	
9.19	Student grant applications			Current year + 3 years	SHRED	
9.20	Free school meals registers	Yes	Financial Regulations	Current year + 6 years	SHRED	
9.21	Petty cash books		Financial Regulations	Current year + 6 years	SHRED	

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

10 Property						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
10.1	Title Deeds			Permanent	Permanent these should follow the property unless the property has been registered at the Land Registry	Offer to Archives if the deeds are no longer needed
10.2	Plans			Permanent	Retain in school whilst operational	Offer to Archives ⁹
10.3	Maintenance and contractors		Financial Regulations	Current year + 6 years	SHRED	
10.4	Leases			Expiry of lease + 6 years	SHRED	
10.5	Lettings			Current year + 3 years	SHRED	
10.6	Burglary, theft and vandalism report forms			Current year + 6 years	SHRED	
10.7	Maintenance log books			Last entry + 10 years	SHRED	
10.8	Contractors' Reports			Current year + 6 years	SHRED	

11 Local Education Authority						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
11.1	Secondary transfer sheets (Primary)	Yes		Current year + 2 years	SHRED	

⁹ If the property has been sold for private housing then the archives service will embargo these records for an appropriate period of time to prevent them being used to plan or carry out a crime.

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11 Local Education Authority						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
11.2	Attendance returns	Yes		Current year + 1 year	SHRED	
11.3	Circulars from LEA			Whilst required operationally	Review to see whether a further retention period is required	Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]

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12 Department for Children, Schools and Families						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
12.1	HMI reports			These do not need to be kept any longer		Transfer to Archives [The appropriate archivist will then take a sample for permanent preservation]
12.2	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]
12.3	Returns			Current year + 6 years	SHRED	
12.4	Circulars from Department for Children, Schools and Families			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]

13 Connexions						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
13.1	Service level agreements			Until superseded	SHRED	
13.2	Work Experience agreement			DOB of child + 18 years	SHRED	

14 Schools Meals						
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record	
14.1	Dinner Register			C + 3 years	SHRED	

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14 Schools Meals					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Action at the end of the administrative life of the record
14.2	School Meals Summary Sheets			C + 3 years	SHRED

15 Family Liaison Officers and Parent Support Assistants					
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]	Method of Disposal
15.1	Day Books	Y		Current year + 2 years then review	SHRED
15.2	Reports for outside agencies – where the report has been included on the case file created by the outside agency	Y		Whilst the child is attending the school then destroy	SHRED
15.3	Referral forms	Y		While the referral is current then	SHRED
15.4	Contact data sheets	Y		Current year then review, if contact is no longer active then destroy	SHRED
15.5	Contact database entries	Y		Current year then review, if contact is no longer active then destroy	DELETE
15.6	Group Registers	Y		Current year + 2 years	SHRED

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

16 Early Years Provision				
16.1 Records to be kept by Registered Persons - All Cases				
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
16.1.1	The name, home address and date of birth of each child who is looked after on the premises	Y		Closure of setting + 50 years [These could be required to show whether or not an individual child attended the setting in a child protection investigation]
16.1.2	The name, home address and telephone number of a parent of each child who is looked after on the premises	Y		If this information is kept in the same book or on the same form as in 16.1.1 then the same retention period should be used as in 16.1.1 If the information is stored separately, then destroy once the child has left the setting (unless the information is collected for anything other than emergency contact)
16.1.3	The name, address and telephone number of any person who will be looking after children on the premises	Y		See 16.4.5 below
16.1.4	A daily record of the names of children looked after on the premises, their hours of attendance and the names of the persons who looked after them	Y	The Day Care and Child Minding (National Standards) (England) Regulations 2003	The regulations say that these records should be kept for 2 years (SI20031996 7(1b)). If these records are likely to be needed in a child protection setting (see 16.1.1 above) then the records should be retained for closure of setting + 50 years
16.1.5	A record of accidents occurring on the premises and incident books relating to other incidents	Y	The Day Care and Child Minding (National Standards) (England) Regulations 2003 ¹⁰	DOB of the child involved in the accident or the incident + 25 years If an adult is injured then the accident book must be kept for 7 years from the date of the incident

¹⁰ The regulations say that these records should be kept for 2 years (SI20031996 7(1b)). The Statute of Limitations states that a minor may make a claim for 7 years from their eighteenth birthday; therefore the retention should be for the longer period.

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

16 Early Years Provision

16.1 Records to be kept by Registered Persons - All Cases

	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
16.1.6	A record of any medicinal product administered to any child on the premises, including the date and circumstances of its administration, by whom it was administered, including medicinal products which the child is permitted to administer to himself, together with a record of parent's consent	Y	The Day Care and Child Minding (National Standards) (England) Regulations 2003 ¹¹	DOB of the child being given/taking the medicine + 25 years
16.1.7	Records of transfer	Y		One copy is to be given to the parents, one copy transferred to the Primary School where the child is going
16.1.8	Portfolio of work, observations and so on	Y		To be sent home with the child
16.1.9	Birth certificates	Y		Once the setting has had sight of the birth certificate and recorded the necessary information the original can be returned to the parents. There is no requirement to keep a copy of the birth certificate.

16.2 Records to be kept by Registered Persons - Day Care

	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
16.2.1	The name and address and telephone number of the registered person and every other person living or employed on the premises	Y		See 16.4 below
16.2.2	A statement of the procedure to be followed in the event of a fire or accident	N		Procedure superseded + 7 years

¹¹ The regulations say that these records should be kept for 2 years (SI20031996 7(1b)). The NHS records retention schedule states that any records relating to a child under the age of 18 should be retained until that child reaches the age of 25 years. Therefore, the retention should be DOB of the child being given/taking the medicine + 25 years

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

16.2 Records to be kept by Registered Persons - Day Care				
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
16.2.3	A statement of the procedure to be followed in the event of a child being lost or not collected	N		Procedure superseded + 7 years
16.2.4	A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person	N		Until superseded
16.2.4	A statement of the arrangements in place for the protection of children, including arrangements to safeguard the children from abuse or neglect and procedures to be followed in the event of allegations of abuse or neglect	N		Closure of setting + 50 years [These could be required to show whether or not an individual child attended the setting in a child protection investigation]

16.3 Records to be kept by Registered Persons - Overnight provision – under 2's				
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
16.3.1	Emergency contact details for appropriate adult to collect the child if necessary	Y		Destroy once the child has left the setting (unless the information is collected for anything other than emergency contact)
16.3.2	Contract, signed by the parent, stating all the relevant details regarding the child and their care, including the name of the emergency contact and confirmation of their agreement to collect the child during the night	Y		Date of birth of the child who is the subject of the contract + 25 years

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

16.4 Other Records - Administration				
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
	Financial Records			
16.4.1	Financial records – accounts, statements, invoices, petty cash etc	N		Current year + 6 years
	Insurance			
16.4.2	Insurance policies – Employers Liability	N	Employers Liability Financial Regulations	The policies are kept for a minimum of 6 years and a maximum of 40 years depending on the type of policy
16.4.3	Claims made against insurance policies – damage to property	Y		Case concluded + 3 years
16.4.4	Claims made against insurance policies – personal injury	Y		Case concluded + 6 years
	Human Resources			
16.4.5	Personal Files - records relating to an individual's employment history	Y ¹²		Termination + 6 years then review
16.4.6	Pre-employment vetting information (including CRB checks)	N	CRB guidelines	Date of check + 6 months

¹² For Data Protection purposes the following information should be kept on the file for the following periods :	
• all documentation on the personal file	Duration of employment
• pre-employment and vetting information	Start date + 6 months
• records relating to accident or injury at work	Minimum of 12 years
• annual appraisal/assessment records	Minimum of 5 years
• records relating to disciplinary matters (kept on personal files)	
o oral warning	6 months
o first level warning	6 months
o second level warning	12 months
o final warning	18 months

DATA RETENTION POLICY FOR LIVERPOOL SCHOOLS

16.4 Other Records - Administration				
	Basic file description	Data Prot Issues	Statutory Provisions	Retention Period [operational]
16.4.7	Staff training records – general	Y		Current year + 2 years
16.4.8	Training (proof of completion such as certificates, awards, exam results)	Y		Last action + 7 years
	Premises and Health and Safety			
16.4.9	Premises files (relating to maintenance)	N		Cessation of use of building + 7 years then review
16.4.10	Risk Assessments	N		Current year + 3 years