



# **PIONEER ACADEMIES COMMUNITY TRUST**

## **Policies and Procedures**

### **Retention of Records**

| <b>Review/Approve</b> | <b>By Whom</b> | <b>Date</b> | <b>Review Date</b> |
|-----------------------|----------------|-------------|--------------------|
| Approved              | PACT           | 17.7.18     | Summer 2020        |
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## **1. Introduction**

- 1.1. Pioneer Academies Community Trust recognises that by efficiently managing its records, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the Trust. Records provide evidence for protecting the legal rights and interests of the Trust, and provide evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited.
- 1.2. This policy is intended to ensure compliance with the legal duties on the Trust, including (but not exclusively):
  - The Academies Financial Handbook;
  - The Education Funding Agency Funding Agreement;
  - The Data Protection Act;
  - The Freedom of Information Act.

## **2. Scope of the policy**

- 2.1. This policy applies to all records created, received or maintained by staff of the Trust and its constituent schools in the course of carrying out its functions.
- 2.2. Records are defined as all those documents which facilitate the business carried out by the Trust 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.
- 2.3. A small percentage of the Trust records will be selected for permanent preservation as part of the organisation's archives and for historical research.

## **3. Responsibilities**

- 3.1. The Trust 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 Chief Executive Officer. Management at an individual school level is delegated to the Headteacher.
- 3.2. 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.

3.3. Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with this policy.

#### **4. Storage of Records**

4.1. The storage of records should involve:

- planning the information needs of the Trust;
- identifying information for retention;
- creating, approving and enforcing policies and practices regarding records, including their organisation and disposal;
- developing a records storage plan, which includes the short and long- term housing of physical records and digital information;
- identifying, classifying and storing of records;
- co-ordinating access to records internally and outside of the organisation, balancing the requirements of confidentiality, data protection and public access;
- executing a retention policy on the disposal of records which are no longer required for operational purposes: according to organisation policies, statutory requirements and other regulations, this may involve either their destruction or permanent preservation in an archive.

4.2. Records must be stored in such a way that they are accessible and safeguarded against environmental damage. All files in current use must be stored appropriately:

- All pupil records should be kept securely at all times. Paper records should be kept in locked filing cabinets/storage areas and the contents should be secure within the file. Equally, electronic records should have appropriate security. Records will be maintained according to any model protocol for record keeping on children and young people
- Access arrangements for pupil records should ensure that confidentiality is maintained whilst equally enabling information to be shared lawfully and appropriately, and to be accessible for those authorised to see it.
- Closed records are kept securely in a locked filing cabinets and access to the files is restricted to authorised personnel.
- Staff records are stored in locked filing cabinet and accessed only by persons authorised by the Headteacher.
- Financial records are stored appropriately by relevant staff and published online in accordance with the requirements of Companies House and the Academies Financial Handbook
- Management Information Systems – SIMS and FMS use restricted to relevant staff members and password protected. Passwords should not be divulged to other persons.
- All records to be archived as per the Document Retention Schedule will be stored in appropriate boxes. Boxes will indicate contents and date of disposal. Where applicable boxes will contain a contents list.

#### **5. Safe disposal of records which have reached the end of their administrative life**

5.1. The Data Protection Act 1998 stipulates that records should be kept for no longer than

necessary. 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 will be shredded before disposal using a cross cut shredder or burned. Any other records should be bundled up and disposed of to a waste paper merchant or disposed of in other appropriate ways.

- 5.2. Records should not be placed 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.
- 5.3. CDs/DVDs/Floppy disks should be cut into pieces. Audio/Video tapes and fax rolls should be dismantled and shredded. Hard disks should be dismantled and sanded.
- 5.4. The Freedom of Information Act 2000 requires the Trust to maintain a list of records which have been destroyed and who authorised their destruction.
- 5.5. Members of staff should record at least: File reference (or other unique identifier);
  - File title (or brief description);
  - Number of files and date range;
  - The name of the authorising officer
  - Date action taken
- 5.6. This record will be kept and maintained by each individual school.

## **6. Document Retention Schedule**

- 6.1. The retention schedule adopted by Pioneer Academies Community Trust has been drawn up by:

Records Management Barnsley MBC  
PO Box 634  
Barnsley S70 9GG  
Tel: 01226 775035 internal 5035

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| School Meals  | 13, 8.41    |
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| School Meals – Free School Meals Register                               | 8.41        |
| School Meals - Summary sheets   | 13.2        |
| School prospectus   | 7.13        |
| School Syllabus   | 4.3         |
| School timetable  | 4.5         |
| School trips / visits   | 3.17 - 3.18 |
| Secondary transfer sheets   | 10.1        |
| Self Evaluation Forms   | 4.13        |
| SEN Files   | 13.14       |
| Senior Management Team  | 2.2         |
| Serious matters of theft, fraud, misappropriation                       | 7.19        |
| Service Level Agreements - Management                                   | 2.10        |
| Service level agreements - Connexions                                   | 12.1        |
| Sick Pay  | 5.1         |
| Social Security (Claims and Payments) Regulations 1979                  | 6.2         |
| Social Security Administration Act 1992                                 | 6.2         |
| Special Educational Needs and Disability Act 2001                       | 3.10 - 3.13 |
| Special Educational Needs files, reviews and individual education plans | 3.5         |
| Specialist Status schools   | 1.11        |
| SSP records   | 5.3         |
| SSP variations  | 5.4         |
| Staff - see also Personnel  | 5           |
| Staff circulars   | 7.14        |
| Staff disciplinary proceedings  | 5.11        |
| Staff personnel files   | 5.7         |
| Staff transfer records  | 5.6         |
| Starters forms  | 5.5         |
| Statement maintained under The Education Act 1996                       | 3.10        |
| Statutory Maternity Pay Regulations                                     | 5.15        |
| Stock taking records  | 7.9         |
| Student grant applications  | 8.40        |
| Summary Sheets - School Meals   | 13.2        |
|   |             |
| Telephone call records  | 8.43        |
| Tender documentation  | 8.4         |
| Tender envelopes  | 8.9         |

|  |             |
|--|-------------|
| Tender received forms                    | 8.7         |
| Terminations of employment               | 5.34        |
| Theft (minor and serious matters of)     | 7.18 - 7.19 |
| Theft report forms                       | 7.18 - 7.19 |
| Timesheets                               | 5.1         |
| Timetable                                | 4.5         |
| Title deeds                              | 9.1         |
| Training records - Health and Safety     | 5.32        |
| Training records - not Health and Safety | 5.33        |
| Travel / expense claims                  | 5.35        |
| Trusts and Endowments                    | 1.6         |
|  |             |
| Unauthorised Absence Fines               | 8.44        |
| Union documents                          | 5.31        |
| Unsuccessful Governor Applications       | 5.8         |
|  |             |
| Value added records                      | 4.11        |
| Vandalism report forms                   | 9.6         |
| VAT accounts and claims                  | 8.16        |
| Visitors book                            | 7.16        |
|  |             |
| Walking Bus Register                     | 3.19        |
| Work experience agreement – Connexions   | 12.2        |
| Works orders                             | 8.13        |

Pioneer Academies Community Trust (PACT) – Retention of Records

| Ref:     | Basic File Description   | Data Protection Issues | Statutory Provision | Retention Period          |              | Action at the end of the administrative life of the records  |              |
|----------|--|------------------------|---------------------|---------------------------|--------------|--|--------------|
|          |  |                        |                     | Operational               | Fair Funding |  |              |
| <b>1</b> | <b>Governors</b>   |                        |                     |                           |              |  |              |
| 1.1      | Minutes  |                        |                     |                           |              |  |              |
|          | <ul style="list-style-type: none"> <li>Principal set (signed)</li> </ul> | No                     |                     | Permanent                 |              | Any working papers leading up to the set of papers signed by the Chair of Governors at the AGM with the final reports and final budget can be disposed of after 6 years. | SHRED/DELETE |
|          | <ul style="list-style-type: none"> <li>Inspection Copies</li> </ul>      | No                     |                     | Date of meeting + 3 years |              |  | SHRED/DELETE |
| 1.2      | Agendas  | No                     |                     | Date of meeting           |              |  | SHRED/DELETE |
| 1.3      | Reports  | No                     |                     | Date of report + 6 years  |              | Retain in school for 6 years from date of meeting  | SHRED/DELETE |
| 1.4      | Annual Parents' meeting papers   | No                     |                     | Date of meeting + 6 years |              | Retain in school for 6 years from date of meeting  | SHRED/DELETE |
| 1.5      | Instruments of   | No                     |                     | Permanent                 |              | Retain in school   |              |

| Ref: | Basic File Description | Data Protection Issues | Statutory Provision | Retention Period                          |              | Action at the end of the administrative life of the records  |              |
|------|------------------------|------------------------|---------------------|---|--------------|--|--------------|
|      |                        |                        |                     | Operational                               | Fair Funding |  |              |
|      | Government             |                        |                     |   |              | whilst school is open  |              |
| 1.6  | Trusts and Endowments  | No                     |                     | Permanent                                 |              | Retain in school whilst operationally required   |              |
| 1.7  | Action Plans           | No                     |                     | Date of action + 3 years                  |              |  | SHRED/DELETE |
| 1.8  | Policy Documents       | No                     |                     | Expiry of Policy                          |              | Retain in school whilst policy is operational (this includes if the expired policy is part of a past decision making process)      | SHRED/DELETE |
| 1.9  | Complaints files       | Yes                    |                     | Date of Resolution of complaint + 6 years |              | Retain in school for the first 6 years. Review for further retention in the case of contentious disputes.<br><br><b>Complaints</b> | SHRED/DELETE |

| Ref: | Basic File Description  | Data Protection Issues | Statutory Provision   | Retention Period          |              | Action at the end of the administrative life of the records   |              |
|------|---|------------------------|---|---------------------------|--------------|---|--------------|
|      |   |                        |   | Operational               | Fair Funding |   |              |
|      |   |                        |   |                           |              | alleging possible harm to a young person by a member of staff are covered in the Child Protection Section |              |
| 1.10 | 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 |              |   | SHRED/DELETE |
| 1.11 | Proposals for schools to become, or be established as Specialist Status schools | No                     |   | Current year + 3 years    |              |   | SHRED/DELETE |

| Ref:     | Basic File Description   | Data Protection Issues | Statutory Provision | Retention Period                     |              | Action at the end of the administrative life of the records  |                          |
|----------|--|------------------------|---------------------|--------------------------------------|--------------|--|--------------------------|
|          |  |                        |                     | Operational                          | Fair Funding |  |                          |
| <b>2</b> | <b>Management</b>  |                        |                     |                                      |              |  |                          |
| 2.1      | Log Books<br>[Books where the Head teacher or another member of staff keeps a record of what happens in the school, this may include details of events, photographs and other information] | Yes <sup>1</sup>       |                     | Date of last entry in book + 6 years |              | Retain in school for 6 years from the date of the last entry | Transfer to the Archives |
| 2.2      | Minutes of the Senior Management Team and other internal administrative bodies   | Yes <sup>1</sup>       |                     | Date of meeting + 6 years            |              | Retain in the school for 6 years from meeting                | SHRED/DELETE             |
| 2.3      | Reports made by the head teacher or the management team  | Yes <sup>1</sup>       |                     | Date of report + 6 years             |              | Retain in the school for 6 years from meeting                | SHRED/DELETE             |
| 2.4      | Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities (except  | Yes <sup>1</sup>       |                     | Closure of file + 6 years            |              |  | SHRED/DELETE             |

<sup>1</sup> From January 1<sup>st</sup> 2005 subject access was permitted into unstructured filing systems. Therefore, log books and other records created within the school containing details about the activities of individual pupils and members of staff are subject to the Data Protection Act 1998.

|      |  |     |  |   |  |        |                  |
|------|--|-----|--|---|--|--------|------------------|
|      | child protection records which are dealt with in the Child Protection section)   |     |  |   |  |        |                  |
| 2.5  | Correspondence created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities | No  |  | Date of correspondence + 6 years            |  |        | SHRED/<br>DELETE |
| 2.6  | Professional development plans   | Yes |  | Closure + 6 years                           |  |        | SHRED/<br>DELETE |
| 2.7  | School development plans   | No  |  | Closure + 6 years                           |  | Review | SHRED/<br>DELETE |
| 2.8  | School policies and procedures   | No  |  | As policy/procedure is superseded + 6 years |  |        | SHRED/<br>DELETE |
| 2.9  | Complaints   | Yes |  | Current + 6 years                           |  |        | SHRED/<br>DELETE |
| 2.10 | Service Level Agreements   | No  |  | Expiry of agreements + 6 years              |  |        | SHRED/<br>DELETE |
| 2.11 | Admissions – if the admission is successful  | Yes |  | Admission + 1 year                          |  |        | SHRED/<br>DELETE |
| 2.12 | Admissions – if the appeal is unsuccessful   | Yes |  | Resolution of case + 1 year                 |  |        | SHRED/<br>DELETE |
| 2.13 | Admissions – Secondary Schools – Casual  | Yes |  | Current year +1                             |  |        | SHRED/<br>DELETE |
| 2.14 | Proofs of address  | Yes |  | Current year                                |  |        | SHRED/           |

Pioneer Academies Community Trust (PACT) – Retention of Records

|  |   |  |  |     |  |  |        |
|--|---|--|--|-----|--|--|--------|
|  | supplied by parents as part of the admissions process |  |  | + 1 |  |  | DELETE |
|--|---|--|--|-----|--|--|--------|

| Ref:     | Basic File Description                                    | Data Protection Issues | Statutory Provision             | Retention Period   |              | Action at the end of the administrative life of the records  |                          |
|----------|---|------------------------|---------------------------------|--|--------------|--|--------------------------|
|          |   |                        |                                 | Operational  | Fair Funding |  |                          |
| <b>3</b> | <b>Pupils</b>   |                        |                                 |  |              |  |                          |
| 3.1      | Admission Registers                                       | Yes                    |                                 | Date of last entry in book (or file) + 6 years   |              | Retain in school for 6 years from the date of the last entry   | Transfer to the Archives |
| 3.2      | Attendance registers                                      | Yes                    |                                 | Date of register + 3 years   |              | If these records are retained electronically any back up copies should be destroyed at the same time | SHRED/DELETE             |
| 3.3      | Biometric Information                                     | Yes                    | Protection of Freedoms Act 2012 | Destroy immediately the child leaves school<br>OR<br>Permission is withdrawn from the child or their parent(s) |              |  | SHRED/DELETE             |
| 3.4      | Pupil Files   | Yes                    |                                 |  |              |  |                          |
|          | <ul style="list-style-type: none"> <li>Primary</li> </ul> |                        |                                 | Retain for the time  |              | Transfer to the secondary  |                          |

|     |  |        |                      | which the pupil remains at the primary school                           |  | school (or other primary school) when the child leaves the school <sup>2</sup> |              |
|-----|--|--------|----------------------|---|--|--|--------------|
|     | <ul style="list-style-type: none"> <li>Secondary</li> </ul>                    |        | Limitations Act 1980 | DOB of the pupil + 30 years <sup>2</sup>                                |  |  | SHRED/DELETE |
| 3.5 | Special Educational Needs files, reviews and individual education plans        | Yes    |                      | Destroy information held at school once the pupil has left <sup>3</sup> |  |  | SHRED/DELETE |
| 3.6 | Letters authorising absence  | No     |                      | Date of absence + 2 years   |  |  | SHRED/DELETE |
| 3.7 | Absence books  |        |                      | Current year + 6 years  |  |  | SHRED/DELETE |
| 3.8 | Examination results  | Yes    |                      |   |  |  |              |
|     | <ul style="list-style-type: none"> <li>Public</li> </ul>                       | No     |                      | Year of examination + 6 years   |  |  | SHRED/DELETE |
|     | <ul style="list-style-type: none"> <li>Internal examination results</li> </ul> | Yes    |                      | Current year + 6 years <sup>4</sup>                                     |  |  | SHRED/DELETE |
| 3.9 | Any other records created in the course of contact                             | Yes/No |                      | Current year + 6 years  |  | Review at the end of 3 years   | SHRED/DELETE |

<sup>2</sup> In the case of exclusion it may be appropriate to transfer the record to the Behaviour Service (Pupil Referral Service)

<sup>3</sup> The Local Authority retain SEN files for the statutory period.

<sup>4</sup> 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

|      | with pupils   |     |  |  |  | and if needed<br>allocate a<br>further retention<br>period |                  |
|------|---|-----|--|--|--|--|------------------|
| 3.10 | Statement maintained under The Education Act 1996 – section 324 | Yes | Special Educational Needs and Disability Act 2001 Section 1  | Destroy information held at school once the pupil has left Senior School |  |  | SHRED/<br>DELETE |
| 3.11 | Proposed statement or amended statement                         | Yes | Special Educational Needs and Disability Act 2001 Section 1  | Destroy information held at school once the pupil has left Senior School |  |  | SHRED/<br>DELETE |
| 3.12 | Advice and information to parents regarding educational needs   | Yes | Special Educational Needs and Disability Act 2001 Section 2  | Date of Birth plus 30 years  |  |  | SHRED/<br>DELETE |
| 3.13 | Accessibility Strategy  | Yes | Special Educational Needs and Disability Act 2001 Section 14 | Closure + 12 years   |  |  | SHRED/<br>DELETE |
| 3.14 | Children SEN Files  | Yes |  | Destroy information held at school once the pupil has left School        |  |  | SHRED/<br>DELETE |
| 3.15 | Parental permission slips for school trips – where              | Yes |  | Conclusion of the trip   |  |  | SHRED/<br>DELETE |

|      |   |     |  |   |  |  |                  |
|------|---|-----|--|---|--|--|------------------|
|      | there has been no major incident  |     |  |   |  |  |                  |
| 3.16 | Parental permission slips for school trips – where there has been a major incident                                  | Yes | Limitations Act 1980   | DOB of the pupil involved in the incident + 30 years <sup>5</sup> |  |  | SHRED/<br>DELETE |
| 3.17 | Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Primary Schools   | No  | 3 part supplement to the Health & safety of Pupils on Educational Visits (HASPEV) (1998) | Date of visit + 14 years  |  |  | SHRED/<br>DELETE |
| 3.18 | Records created by schools to obtain approval to run an Educational Visit outside the Classroom – Secondary Schools | No  | 3 part supplement to the Health & safety of Pupils on Educational Visits (HASPEV) (1998) | Date of visit + 10 years  |  |  | SHRED/<br>DELETE |
| 3.19 | Walking Bus Register  | Yes |  | Date of Register + 3 years <sup>6</sup>                           |  | If these records are retained electronically any back up copies should be destroyed at the same time | SHRED/<br>DELETE |

<sup>5</sup> The permission slips for all pupils on the trip need to be retained to show that the rules had been followed for all pupils

<sup>6</sup> 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

| Ref:     | Basic File Description | Data Protection Issues  | Statutory Provision | Retention Period       |              | Action at the end of the administrative life of the records |              |
|----------|------------------------|---|---------------------|------------------------|--------------|---|--------------|
|          |                        |   |                     | Operational            | Fair Funding |   |              |
| <b>4</b> | <b>Curriculum</b>      |   |                     |                        |              |   |              |
| 4.1      | Curriculum development | No  |                     | Current year + 6 years |              |   | SHRED/DELETE |
| 4.2      | Curriculum returns     | No  |                     | Current year + 3 years |              |   | SHRED/DELETE |
| 4.3      | School syllabus        | No  |                     | Current year + 6 year  |              |   | SHRED/DELETE |
| 4.4      | Schemes of work        | No  |                     | Current year + 6 year  |              |   | SHRED/DELETE |
| 4.5      | Timetable              | No  |                     | Current year + 6 year  |              |   | SHRED/DELETE |
| 4.6      | Class record books     | No  |                     | Current year + 6 year  |              |   | SHRED/DELETE |
| 4.7      | Mark books             | No  |                     | Current year + 6 year  |              |   | SHRED/DELETE |
| 4.8      | Record of homework set | No  |                     | Current year + 6 year  |              |   | SHRED/DELETE |
| 4.9      | Pupils work            | No as the norm – although consideration must be given to pupils work where they have included |                     | Current year + 6 year  |              |   | SHRED/DELETE |

|      |  | information about themselves or family |  |                         |  |  |              |
|------|--|--|--|-------------------------|--|--|--------------|
| 4.10 | SATS records                             | Yes                                    |  | Current year + 6 years  |  |  | SHRED/DELETE |
| 4.11 | Value added records                      | Yes                                    |  | Current year + 6 years  |  |  | SHRED/DELETE |
| 4.12 | Published Admission Number (PAN) Reports | Yes                                    |  | Current year + 6 years  |  |  | SHRED/DELETE |
| 4.13 | Self Evaluation Forms (SEF)              | Yes                                    |  | Current year + 6 years  |  |  | SHRED/DELETE |
| 4.14 | Early Years Foundation Analysis          | Yes                                    |  | Current year +13 years  |  |  | SHRED/DELETE |
| 4.15 | Key Stage 1 Analysis                     | Yes                                    |  | Current year + 11 years |  |  | SHRED/DELETE |
| 4.16 | Key Stage 2 Analysis                     | Yes                                    |  | Current year + 9 years  |  |  | SHRED/DELETE |

| Ref:                                      | Basic File Description   | Data Protection Issues | Statutory Provision   | Retention Period                    |                        | Action at the end of the administrative life of the records |              |
|---|--|------------------------|-----------------------|-------------------------------------|------------------------|---|--------------|
|   |  |                        |                       | Operational                         | Fair Funding           |   |              |
| <b>5 Personnel Records held in School</b> |  |                        |                       |                                     |                        |   |              |
| 5.1                                       | Timesheets, sick pay   | Yes                    | Financial Regulations | Current year + 6 years              | Current year + 3 years |   | SHRED/DELETE |
| 5.2                                       | Flexitime records  | Yes                    |                       | Current year + 1 year               |                        |   | SHRED/DELETE |
| 5.3                                       | SSP records  | Yes                    | Financial regulations | Current year + 3 years              | Current year + 3 years |   | SHRED/DELETE |
| 5.4                                       | SSP variations   | Yes                    | Financial regulations | Current year + 2 years              | Current year + 3 years |   | SHRED/DELETE |
| 5.5                                       | Starters forms   | Yes                    |                       | Current year + 1 year               | Current year + 3 years |   | SHRED/DELETE |
| 5.6                                       | Staff transfer records   | Yes                    |                       | Current year + 5 years              | Current year + 3 years |   | SHRED/DELETE |
| 5.7                                       | Staff personnel files  | Yes                    |                       | 6 years after first pension payment |                        |   | SHRED/DELETE |
| 5.8                                       | Unsuccessful interview notes and recruitment records – this includes unsuccessful Governor | Yes                    |                       | Date of interview + 1 year          |                        |   | SHRED/DELETE |

|      |  |     |  |                           |  |  |                  |
|------|--|-----|--|---------------------------|--|--|------------------|
|      | applicants   |     |  |                           |  |  |                  |
| 5.9  | Pre-employment vetting information (including Disclosure and Barring checks, formerly CRB, checks)                 | No  | Disclosure and Barring guidelines  | Date of check + 6 months  |  | This information should be placed on the personnel file if the applicant is successful and managed according to the guidelines   | SHRED/<br>DELETE |
| 5.10 | 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 personnel file | SHRED/<br>DELETE |
| 5.11 | Disciplinary proceedings   | Yes | <b>Where the warning relates to child protection issues see separate section for Child Protection.</b> |                           |  |  |                  |
|      | <ul style="list-style-type: none"> <li>Any disciplinary proceedings must be placed in a sealed envelope</li> </ul> |     |  | 6 years after termination |  |  | SHRED/<br>DELETE |

|      | on the Personnel file  |     |   |                                     |                        |  |   |                  |
|------|--|-----|---|-------------------------------------|------------------------|--|---|------------------|
| 5.12 | 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/<br>DELETE |
| 5.13 | Annual appraisal/assessment records  | No  |   | Current year + 5 years              |                        |  |   | SHRED/<br>DELETE |
| 5.14 | Salary cards   | Yes |   | Last date of employment + 85 years  |                        |  |   | SHRED/<br>DELETE |
| 5.15 | Maternity pay records  | Yes | Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960), revised 1999 (SI 1999/567) | Current year + 3 years              |                        |  |   | SHRED/<br>DELETE |
| 5.16 | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes |   | Current year + 6 years              |                        |  |   | SHRED/<br>DELETE |
| 5.17 | Pensions personal records  | Yes | Financial Regulations   | 6 years after first pension payment | Current year + 3 years |  |   | SHRED/<br>DELETE |
| 5.18 | Payroll – BACS amendments and output   |     | Financial Regulations   | Current year + 3 years              | Current year + 3 years |  |   | SHRED/<br>DELETE |
| 5.19 | Payroll – Building Society   |     | Financial Regulations   | Current year                        | Current                |  |   | SHRED/           |

|      |  |  |                       |                        |                        |  |              |
|------|--|--|-----------------------|------------------------|------------------------|--|--------------|
|      | tabulations  |  |                       | + 3 years              | year + 3 years         |  | DELETE       |
| 5.20 | Payroll – Copy payslips                                |  | Financial Regulations | Current year + 6 years | Current year + 3 years |  | SHRED/DELETE |
| 5.21 | Payroll – Correspondence                               |  |                       | Current year + 6 years | Current year + 3 years |  | SHRED/DELETE |
| 5.22 | Payroll – FE claims                                    |  |                       | Current year + 6 years | Current year + 3 years |  | SHRED/DELETE |
| 5.23 | Payroll – Inland revenue documentation                 |  | Financial Regulations | Current year + 6 years | Current year + 3 years |  | SHRED/DELETE |
| 5.24 | Payroll – Kalamazoo manual records (non current staff) |  |                       | Current year + 6 years | Current year + 3 years |  | SHRED/DELETE |
| 5.25 | Payroll – Life Certificates (pensions)                 |  |                       | Current year + 2 years | Current year + 3 years |  | SHRED/DELETE |
| 5.26 | Payroll – Monthly BACS listings                        |  | Financial Regulations | Current year + 3 years | Current year + 3 years |  | SHRED/DELETE |
| 5.27 | Payroll – NI file cashbook (control summaries)         |  | Financial Regulations | Current year + 3 years | Current year + 3 years |  | SHRED/DELETE |
| 5.28 | Payroll – NI number changes                            |  | Financial Regulations | Current year + 3 years | Current year + 3 years |  | SHRED/DELETE |
| 5.29 | Payroll – Part-time employee's claim forms             |  | Financial Regulations | Current year + 6 years | Current year + 3 years |  | SHRED/DELETE |

|      |  |     |                       |                                     | years                  |  |              |
|------|--|-----|-----------------------|-------------------------------------|------------------------|--|--------------|
| 5.30 | Payroll – Payroll adjustment documentation |     | Financial Regulations | Current year + 6 years              | Current year + 3 years |  | SHRED/DELETE |
| 5.31 | Union documents                            |     |                       | Current year + 2 years              | Current year + 3 years |  | SHRED/DELETE |
| 5.32 | Training records – Health and Safety       |     |                       | Current year + 40 years             |                        |  | SHRED/DELETE |
| 5.33 | Training records – not Health and Safety   |     |                       | Current year + 35 years             |                        |  | SHRED/DELETE |
| 5.34 | Terminations of Employment                 | Yes |                       | 6 years after first pension payment |                        |  | SHRED/DELETE |
| 5.35 | Travel / expense claims                    |     |                       | Current year + 6 years              | Current year + 3 years |  | SHRED/DELETE |

| Ref:     | Basic File Description   | Data Protection Issues | Statutory Provision   | Retention Period            |              | Action at the end of the administrative life of the records       |              |
|----------|--------------------------|------------------------|---|-----------------------------|--------------|---|--------------|
|          |                          |                        |   | Operational                 | Fair Funding |   |              |
| <b>6</b> | <b>Health and Safety</b> |                        |   |                             |              |   |              |
| 6.1      | Accessibility Plans      | No                     | Disability Discrimination Act   | Current year + 6 years      |              |   | SHRED/DELETE |
| 6.2      | Accident Reporting       |                        | Social Security (Claims and Payments) Regulations 1979<br>Regulation 25. Social Security Administration Act 1992 Section 8.<br>Limitations Act 1980 |                             |              |   |              |
|          | • Adults                 | Yes                    |   | Date of incident + 7 years  |              |   | SHRED/DELETE |
|          | • Children               | Yes                    |   | DOB + 25 years <sup>7</sup> |              |   | SHRED/DELETE |
| 6.3      | COSHH                    |                        |   | Current year + 10 years     |              | Where appropriate an additional retention period may be allocated | SHRED/DELETE |
| 6.4      | Incident reports         | Yes                    |   | Current year + 20 years     |              |   | SHRED/DELETE |
| 6.5      | Policy Statements        |                        |   | Date of                     |              |   | SHRED/       |

<sup>7</sup> A child may make a claim for negligence for 7 years from their 18<sup>th</sup> birthday. To ensure that all records are kept until the pupil reaches the age of 25 this retention period has been applied

|     |   |  |  |   |  |  |                  |
|-----|---|--|--|---|--|--|------------------|
|     |   |  |  | expiry + 6<br>year                            |  |  | DELETE           |
| 6.6 | Risk Assessments<br>Building assessments,<br>safe practices ect   |  |  | Date<br>assessment<br>superseded<br>+ 6 years |  |  | SHRED/<br>DELETE |
| 6.7 | Process of monitoring of<br>areas where employees<br>and persons are likely to<br>have come in contact with<br><b>asbestos</b>  |  |  | Last action +<br>40 years                     |  |  | SHRED/<br>DELETE |
| 6.8 | Process of monitoring of<br>areas where employees<br>and persons are likely to<br>have come in contact with<br><b>radiation</b> |  |  | Last action +<br>50 years                     |  |  | SHRED/<br>DELETE |
| 6.9 | Fire Precautions log book   |  |  | Current year<br>+ 6 years                     |  |  | SHRED/<br>DELETE |

| Ref:                    | Basic File Description  | Data Protection Issues | Statutory Provision | Retention Period   |              | Action at the end of the administrative life of the records |              |
|-------------------------|---|------------------------|---------------------|--|--------------|---|--------------|
|                         |   |                        |                     | Operational  | Fair Funding |   |              |
| <b>7 Administrative</b> |   |                        |                     |  |              |   |              |
| 7.1                     | Employer's Liability certificate                                      | No                     |                     | Closure of school + 40 years                               |              |   | SHRED/DELETE |
| 7.2                     | Insurance policy documentation  |                        |                     | 7 years after policy expired                               |              |   | SHRED/DELETE |
| 7.3                     | Insurance renewal documents   |                        |                     | 5 years after renewal                                      |              |   | SHRED/DELETE |
| 7.4                     | Claims made against insurance policies – damage to property           | Yes                    |                     | Case concluded + 3 years                                   |              |   | SHRED/DELETE |
| 7.5                     | Claims made against insurance policies – personal injury              | Yes                    |                     | Case concluded + 6 years                                   |              |   | SHRED/DELETE |
| 7.6                     | Inventories of equipment and furniture                                |                        |                     | Current year + 6 years                                     |              |   | SHRED/DELETE |
| 7.7                     | Premises files (relating to maintenance)                              | No                     |                     | Cessation of the use of the building + 7 years then review |              |   | SHRED/DELETE |
| 7.8                     | Risk Assessments<br>Maternity<br>Temporary adjustments due to illness | No                     |                     | Current year + 3 years                                     |              |   | SHRED/DELETE |

|      |                                       |  |                       |                         |                       |  |                  |
|------|---------------------------------------|--|-----------------------|-------------------------|-----------------------|--|------------------|
| 7.9  | Stock taking records                  |  |                       | Current year + 1 year   |                       |  | SHRED/<br>DELETE |
| 7.10 | Approved suppliers list               |  | Financial Regulations | Current year + 10 years |                       |  | SHRED/<br>DELETE |
| 7.11 | Internal Requisitions (e.g. Printing) |  |                       | Current year + 5 years  | Current year + 1 year |  | SHRED/<br>DELETE |
| 7.12 | General file series                   |  |                       | Current year + 5 years  |                       | Review to see whether a further retention period is required | SHRED/<br>DELETE |
| 7.13 | School brochure/prospectus            |  |                       | Current year + 3 years  |                       |  | SHRED/<br>DELETE |
| 7.14 | Circulars (Staff/parents/pupils)      |  |                       | Current year + 1 year   |                       |  | SHRED/<br>DELETE |
| 7.15 | Newsletters, ephemera                 |  |                       | Current year + 1 year   |                       | Review to see whether a further retention period is required | SHRED/<br>DELETE |
| 7.16 | Visitors' book                        |  |                       | Current year + 2 years  |                       | Review to see whether a further retention period is required | SHRED/<br>DELETE |
| 7.17 | PTA/Old Pupils' Association           |  |                       | Current year + 6 years  |                       | Review to see whether a further retention period is required | SHRED/<br>DELETE |

Pioneer Academies Community Trust (PACT) – Retention of Records

|      |  |     |  |   |  |  |                  |
|------|--|-----|--|---|--|--|------------------|
| 7.18 | Minor Matters of Theft,<br>Fraud Misappropriation<br>(Internal Action Taken)   | Yes |  | 6 years after<br>action /<br>investigation<br>is completed  |  |  | SHRED/<br>DELETE |
| 7.19 | Serious Matters of Theft,<br>Fraud Misappropriation<br>(External Action Taken) | Yes |  | 10 years<br>after action /<br>investigation<br>is completed |  |  | SHRED/<br>DELETE |

| Ref:     | Basic File Description   | Data Protection Issues | Statutory Provision   | Retention Period                        |  | Action at the end of the administrative life of the records  |              |
|----------|--|------------------------|-----------------------|---|--|--|--------------|
|          |  |                        |                       | Operational                             | Fair Funding                               |  |              |
| <b>8</b> | <b>Finance</b>   |                        |                       |   |  |  |              |
| 8.1      | Annual Budget (Final Version)  | No                     | Financial Regulations | Current year + 6 years                  |  | To be kept indefinitely                                      |              |
| 8.2      | Abstract of Accounts   | No                     | Financial Regulations | Current year + 6 years                  | Current year + 2 years (if Ex A sign a/cs) | REVIEW   | SHRED/DELETE |
| 8.3      | Loans and Grants   |                        | Financial Regulations | Date of last payment on loan + 12 years |  | Review to see whether a further retention period is required | SHRED/DELETE |
| 8.4      | Contracts  |                        |                       |   |  |  |              |
|          | <ul style="list-style-type: none"> <li>Under seal</li> </ul>         |                        |                       | Contract completion date + 12 years     |  |  | SHRED/DELETE |
|          | <ul style="list-style-type: none"> <li>Under signature</li> </ul>    |                        |                       | Contract completion date + 6 years      |  |  | SHRED/DELETE |
|          | <ul style="list-style-type: none"> <li>Monitoring records</li> </ul> |                        |                       | Current year + 2 years                  |  |  | SHRED/DELETE |
|          | <ul style="list-style-type: none"> <li>Forms of Tender</li> </ul>    |                        |                       | Permanently                             | Current                                    |  | SHRED/       |

|      |  |  |                       |  |                              |  |                  |
|------|--|--|-----------------------|--|------------------------------|--|------------------|
|      |  |  |                       |  | year + 6<br>years            |  | DELETE           |
| 8.5  | Quotations – successful  |  | Financial Regulations | Current year<br>+ 6 years                                    | Current<br>year + 6<br>years |  | SHRED/<br>DELETE |
| 8.6  | Quotations –<br>unsuccessful                                       |  |                       | Current year<br>+ 1 year                                     |                              |  | SHRED/<br>DELETE |
| 8.7  | Contracts – Expression of<br>Interests, Tender<br>Received Forms   |  |                       | 2 years after<br>contract let<br>or not<br>proceeded<br>with |                              |  | SHRED/<br>DELETE |
| 8.8  | Post Tender Negotiations<br>/ Clarification documents /<br>Minutes |  |                       | 2 years after<br>expiry of<br>contract                       |                              |  | SHRED/<br>DELETE |
| 8.9  | Tender envelopes   |  |                       | 1 year after<br>start of<br>contract                         |                              |  | SHRED/<br>DELETE |
| 8.10 | Capital Works tabulation   |  |                       | Current year<br>+ 1  |                              |  | SHRED/<br>DELETE |
| 8.11 | Costings records   |  |                       | Current year<br>+ 5  |                              |  | SHRED/<br>DELETE |
| 8.12 | Estimate working papers  |  |                       | Current year<br>+ 1  |                              |  | SHRED/<br>DELETE |
| 8.13 | Works Orders   |  | Financial Regulations | Current year<br>+ 6 years                                    | Current<br>year + 6<br>years |  | SHRED/<br>DELETE |
| 8.14 | Copy orders  |  |                       | Current year<br>+ 2 years                                    | Current<br>year + 6<br>years |  | SHRED/<br>DELETE |
| 8.15 | Delivery notes   |  |                       | Current year   | Current                      |  | SHRED/           |

|      |   |  |                       |                           |  |        |                  |
|------|---|--|-----------------------|---------------------------|--|--------|------------------|
|      |   |  |                       | + 2 years                 | year + 6<br>years                                      |        | DELETE           |
| 8.16 | VAT Accounts / Claims   |  | Financial Regulations | Current year<br>+ 5 years |  |        | SHRED/<br>DELETE |
| 8.17 | Investment Records  |  |                       | Current year<br>+ 1       |  | REVIEW | SHRED/<br>DELETE |
| 8.18 | Budget reports, budget<br>monitoring etc  |  |                       | Current year<br>+ 3 years | Current<br>year + 2<br>years (if<br>Ex A sign<br>a/cs) |        | SHRED/<br>DELETE |
| 8.19 | Invoices, receipts and<br>other records covered by<br>the Financial Regulations |  | Financial Regulations | Current year<br>+ 6 years |  |        | SHRED/<br>DELETE |
| 8.20 | Cash Books  |  | Financial Regulations | Current year<br>+ 6 years | Current<br>year + 12<br>years                          |        | SHRED/<br>DELETE |
| 8.21 | Cash income batch<br>control sheets / Non billed<br>cash banking sheets         |  |                       | Current year<br>+ 6 years | Current<br>year + 6<br>years                           |        | SHRED/<br>DELETE |
| 8.22 | Cash summary book /<br>Cash Office receipts                                     |  | Financial Regulations | Current year<br>+ 6 years | Current<br>year + 6<br>years                           |        | SHRED/<br>DELETE |
| 8.23 | Correspondence<br>(income)  |  |                       | Current year<br>+ 2 years |  |        | SHRED/<br>DELETE |
| 8.24 | Correspondence on<br>Unpaid accounts  |  |                       | Current year<br>+ 5 years |  |        | SHRED/<br>DELETE |
| 8.25 | Credit Notes  |  |                       | Current year<br>+ 5 years |  |        | SHRED/<br>DELETE |
| 8.26 | Annual Budget and<br>background papers  |  |                       | Current year<br>+ 6 years |  |        | SHRED/<br>DELETE |

|      |  |  |                       |                        |                         |                         |                       |
|------|--|--|-----------------------|------------------------|-------------------------|-------------------------|-----------------------|
| 8.27 | Order books and requisitions                             |  |                       | Current year + 6 years |                         |                         | SHRED/<br>DELETE      |
| 8.28 | Delivery Documentation                                   |  |                       | Current year + 2 years | Current year + 6 years  |                         | SHRED/<br>DELETE      |
| 8.29 | Debtors' Records   |  | Limitations Act 1980  | Current year + 6 years |                         |                         | SHRED/<br>DELETE      |
| 8.30 | School Fund – Cheque books                               |  | Financial Regulations | Current year + 3 years | Current year + 6 years  |                         | SHRED/<br>DELETE      |
| 8.31 | Cancelled cheques  |  |                       | Current year + 2 years |                         |                         | SHRED/<br>DELETE      |
| 8.32 | Cheque lists (creditor / payrolls)                       |  |                       | Current year + 2 years |                         |                         | SHRED/<br>DELETE      |
| 8.33 | School Fund – Paying in books                            |  |                       | Current year + 6 years |                         |                         | SHRED/<br>DELETE      |
| 8.34 | School Fund – Ledger                                     |  |                       | Current year + 6 years |                         | To be kept indefinitely | Offer to the Archives |
| 8.35 | School Fund – Invoices                                   |  |                       | Current year + 6 years |                         |                         | SHRED/<br>DELETE      |
| 8.36 | School Fund – Receipts                                   |  |                       | Current year + 6 years |                         |                         | SHRED/<br>DELETE      |
| 8.37 | School Fund – Bank statements                            |  | Financial Regulations | Current year + 6 years | Current year + 12 years |                         | SHRED/<br>DELETE      |
| 8.38 | School Fund – School Journey books                       |  |                       | Current year + 6 years |                         |                         | SHRED/<br>DELETE      |
| 8.39 | Applications for free school meals, travel, uniforms etc |  |                       | Whilst child at school |                         |                         | SHRED/<br>DELETE      |

Pioneer Academies Community Trust (PACT) – Retention of Records

|      |                            |     |                       |                        |                        |  |                  |
|------|----------------------------|-----|-----------------------|------------------------|------------------------|--|------------------|
| 8.40 | Student grant applications |     |                       | Current year + 3 years |                        |  | SHRED/<br>DELETE |
| 8.41 | Free school meals register | Yes | Financial Regulations | Current year + 6 years | Current year + 6 years |  | SHRED/<br>DELETE |
| 8.42 | Petty Cash books           |     | Financial Regulations | Current year + 6 years | Current year + 6 years |  | SHRED/<br>DELETE |
| 8.43 | Telephone call records     |     |                       | Current year + 5 years | Current year + 2 years |  | SHRED/<br>DELETE |
| 8.44 | Unauthorised Absence Fines |     | Financial Regulations | Current year + 6 years |                        |  | SHRED/<br>DELETE |

| Ref:     | Basic File Description                     | Data Protection Issues | Statutory Provision   | Retention Period          |              | Action at the end of the administrative life of the records |                       |
|----------|--|------------------------|-----------------------|---------------------------|--------------|---|-----------------------|
|          |  |                        |                       | Operational               | Fair Funding |   |                       |
| <b>9</b> | <b>Property</b>                            |                        |                       |                           |              |   |                       |
| 9.1      | Title Deeds                                | No                     |                       | Permanent                 |              | These should follow the property                            | Offer to the Archives |
| 9.2      | Plans                                      |                        |                       | Permanent                 |              | Retain in school whilst operational                         | Offer to the Archives |
| 9.3      | Maintenance and Contractors                |                        | Financial Regulations | Current year + 6 years    |              |   | SHRED/DELETE          |
| 9.4      | Leases                                     |                        |                       | Expiry of Lease + 6 years |              |   | SHRED/DELETE          |
| 9.5      | Lettings                                   |                        |                       | Current year + 3 years    |              |   | SHRED/DELETE          |
| 9.6      | Burglary, theft and vandalism report forms |                        |                       | Current year + 6 years    |              |   | SHRED/DELETE          |
| 9.7      | Maintenance log books                      |                        |                       | Last entry + 10 years     |              |   | SHRED/DELETE          |
| 9.8      | Contractors' Reports                       |                        |                       | Current year + 6 years    |              |   | SHRED/DELETE          |

| Ref:      | Basic File Description              | Data Protection Issues | Statutory Provision | Retention Period              |              | Action at the end of the administrative life of the records  |              |
|-----------|-------------------------------------|------------------------|---------------------|-------------------------------|--------------|--|--------------|
|           |                                     |                        |                     | Operational                   | Fair Funding |  |              |
| <b>10</b> | <b>Local Education Authority</b>    |                        |                     |                               |              |  |              |
| 10.1      | Secondary transfer sheets (Primary) | Yes                    |                     | Current year + 2 years        |              |  | SHRED/DELETE |
| 10.2      | Attendance returns                  | Yes                    |                     | Current year + 1 year         |              |  | SHRED/DELETE |
| 10.3      | Circulars from LEA                  |                        |                     | Whilst operationally required |              | Review to see whether a further retention period is required | SHRED/DELETE |

| Ref:      | Basic File Description                                       | Data Protection Issues | Statutory Provision | Retention Period                                     |              | Action at the end of the administrative life of the records  |              |
|-----------|--|------------------------|---------------------|--|--------------|--|--------------|
|           |  |                        |                     | Operational  | Fair Funding |  |              |
| <b>11</b> | <b>Department for Children, Schools and Families</b>         |                        |                     |  |              |  |              |
| 11.1      | HMI reports  |                        |                     | These do not need to be kept any longer              |              |  | SHRED/DELETE |
| 11.2      | OFSTED reports and papers                                    |                        |                     | Replace former report with any new inspection report |              | Review to see whether a further retention period is required | SHRED/DELETE |
| 11.3      | Returns  |                        |                     | Current year + 6 years                               |              |  | SHRED/DELETE |
| 11.4      | Circulars from Department for Children, Schools and Families |                        |                     | Whilst operationally required                        |              | Review to see whether a further retention period is required | SHRED/DELETE |

| Ref:      | Basic File Description    | Data Protection Issues | Statutory Provision | Retention Period        |              | Action at the end of the administrative life of the records |                  |
|-----------|---------------------------|------------------------|---------------------|-------------------------|--------------|---|------------------|
|           |                           |                        |                     | Operational             | Fair Funding |   |                  |
| <b>12</b> | <b>Connexions</b>         |                        |                     |                         |              |   |                  |
| 12.1      | Service level agreements  |                        |                     | Until superseded        |              |   | SHRED/<br>DELETE |
| 12.2      | Work experience agreement |                        |                     | DOB of child + 18 years |              |   | SHRED/<br>DELETE |

| Ref:      | Basic File Description      | Data Protection Issues | Statutory Provision | Retention Period       |                        | Action at the end of the administrative life of the records |              |
|-----------|-----------------------------|------------------------|---------------------|------------------------|------------------------|---|--------------|
|           |                             |                        |                     | Operational            | Fair Funding           |   |              |
| <b>13</b> | <b>School Meals</b>         |                        |                     |                        |                        |   |              |
| 13.1      | Dinner Register             |                        |                     | Current year + 3 years | Current year + 6 years |   | SHRED/DELETE |
| 13.2      | School Meals Summary Sheets |                        |                     | Current year + 3 years | Current year + 6 years |   | SHRED/DELETE |

| Ref:      | Basic File Description  | Data Protection Issues | Statutory Provision   | Retention Period            |              | Action at the end of the administrative life of the records   |               |
|-----------|-------------------------|------------------------|---|-----------------------------|--------------|---|---------------|
|           |                         |                        |   | Operational                 | Fair Funding |   |               |
| <b>14</b> | <b>Child Protection</b> |                        |   |                             |              |   |               |
| 14.1      | Child Protection Files  | Yes                    | Education Act 2002, s175, related guidance "Safeguarding Children in Education", September 2004 | DOB + 30 years <sup>5</sup> |              | 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 | SHRED/DELETED |

|      |   |     |  |  |  |   |              |
|------|---|-----|--|--|--|---|--------------|
|      |   |     |  |  |  | copied to the Local Education Authority   |              |
| 14.2 | Allegations 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” October 2012 | <b>Until the person’s normal retirement age, or 10 years from the date of the allegation whichever is longer</b> |  | The following is an extract from “Dealing with allegations of abuse against teachers and other staff Statutory guidance for local authorities, head teachers, school staff, governing bodies and proprietors of independent schools” . P.11 It is important that a clear and comprehensive summary of the allegation, details of how the allegation | SHRED/DELETE |

Pioneer Academies Community Trust (PACT) – Retention of Records

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|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  | <p>was followed up and resolved, and a note of any action taken and decisions reached, is kept on the confidential personnel file of the accused, 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, where appropriate. It will provide clarification in cases where a future DBS</p> |  |
|--|--|--|--|--|--|--|--|

Pioneer Academies Community Trust (PACT) – Retention of Records

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|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  | <p>Disclosures reveal 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 accused has reached normal retirement age or for a period of 10 years from</p> |  |
|--|--|--|--|--|--|--|--|

Pioneer Academies Community Trust (PACT) – Retention of Records

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|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  | the date of<br>the allegation<br>if that is<br>longer” |  |
|--|--|--|--|--|--|--|--|

| Ref:      | Basic File Description   | Data Protection Issues | Statutory Provision | Retention Period  |              | Action at the end of the administrative life of the records                        |              |
|-----------|--|------------------------|---------------------|---|--------------|--|--------------|
|           |  |                        |                     | Operational   | Fair Funding |  |              |
| <b>15</b> | <b>Family Liaison Officers and Parent Support Assistants</b>   |                        |                     |   |              |  |              |
| 15.1      | Day Books  | Yes                    |                     | Current year +2 years then review                                     |              |  | SHRED/DELETE |
| 15.2      | Reports for outside agencies – where the report has been included on the case file created by the outside agency | Yes                    |                     | Whilst the child is attending the school then destroy                 |              |  | SHRED/DELETE |
| 15.3      | Referral Forms   | Yes                    |                     | While the referral is current then destroy                            |              |  | SHRED/DELETE |
| 15.4      | Contact Data Sheets  | Yes                    |                     | Current year then review, if contact is no longer active then destroy |              |  | SHRED/DELETE |
| 15.5      | Contact Database Entries   | Yes                    |                     | Current year then review, if contact is no longer active then destroy |              | Ensure that all elements are shredded/deleted, including archive or back up copies | SHRED/DELETE |
| 15.6      | Group Registers  | Yes                    |                     | Current year  |              |  | SHRED/       |

Pioneer Academies Community Trust (PACT) – Retention of Records

|  |  |  |  |           |  |  |        |
|--|--|--|--|-----------|--|--|--------|
|  |  |  |  | + 2 years |  |  | DELETE |
|--|--|--|--|-----------|--|--|--------|

| Ref:      | Basic File Description  | Data Protection Issues | Statutory Provision | Retention Period  |                  | Action at the end of the administrative life of the records |                  |
|-----------|---|------------------------|---------------------|---|------------------|---|------------------|
|           |   |                        |                     | Operational   | Fair Fundin<br>g |   |                  |
| <b>16</b> | <b>Early Years Provision<br/>Records to be kept by Registered Persons - All Cases</b>                     |                        |                     |   |                  |   |                  |
| 16.1      | The name, home address and date of birth of each child who is looked after on the premises                | Yes                    |                     | Closure of setting + 50 years <sup>8</sup>  |                  |   | SHRED/<br>DELETE |
| 16.2      | The name, home address and telephone number of a parent of each child who is looked after on the premises | Yes                    |                     | If this information is kept on the same form as the previous then the same retention period should be used. 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) |                  |   | SHRED/<br>DELETE |

<sup>8</sup> These could be required to show whether or not an individual child attended the setting in a child protection investigation

|      |  |     |   |  |  |  |                  |
|------|--|-----|---|--|--|--|------------------|
| 16.3 | The name, address and telephone number of any person who will be looking after children on the premises  | Yes |   | See entry immediately below  |  |  | SHRED/<br>DELETE |
| 16.4 | 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 | Yes | The Day Care and Child Minding (National Standards)(England) Regulations 2003               | Current year + 2 <sup>9</sup><br>(See note below)  |  |  | SHRED/<br>DELETE |
| 16.5 | A record of accidents occurring on the premises and incident books relating to other incidents   | Yes | The Day Care and Child Minding (National Standards)(England) Regulations 2003 <sup>10</sup> | DOB of the child involved in the accident or incident + 25 years. If an adult is injured then the accident book must be kept for 7 years from the date of the incident |  |  | SHRED/<br>DELETE |
| 16.6 | A record of any medicinal product administered to any child on the premises, including date  | Yes | The Day Care and Child Minding (National Standards)(England)                                | DOB of the child being given / taking the medicine + 25  |  |  | SHRED/<br>DELETE |

<sup>9</sup> The regulations state that these records should be kept for 2 years (SI20031996 7(1b)). If, however these records are likely to be needed in a child protection setting then the records should be retained for closure of setting + 50 years

<sup>10</sup> The regulations state 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 18<sup>th</sup> birthday, therefore the retention should be for the longer period

|      |   |     |                                    |  |  |  |  |
|------|---|-----|------------------------------------|--|--|--|--|
|      | and circumstances of its administration, by whom it was administered, including medicinal products which the child is permitted to administer to him / her self, together with a record of parent's consent |     | nd) Regulations 2003 <sup>11</sup> | years  |  |  |  |
| 16.7 | Records of transfer   | Yes |                                    | One copy is to be given to the parent, one copy transferred to the Primary School where the child is going   |  |  |  |
| 16.8 | Portfolio of work, observations etc   | Yes |                                    | To be sent home with the child   |  |  |  |
| 16.9 | Birth certificates  | Yes |                                    | 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 |  |  |  |

<sup>11</sup> The regulations state 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. Therefore the retention should be for the longer period

|   |  |     |  |   |  |  |                  |
|---|--|-----|--|---|--|--|------------------|
|   |  |     |  | keep a copy of the birth certificate.       |  |  |                  |
| Records to be kept by Registered Persons - Day Care |  |     |  |   |  |  |                  |
| 16.10   | The name and address and telephone number of the registered person and every other person living or employed on the premises         | Yes |  | Closure of setting + 50 years <sup>12</sup> |  |  | SHRED/<br>DELETE |
| 16.11   | A statement of the procedure to be followed in the event of a fire or accident   | No  |  | Procedure superseded + 7 years              |  |  | SHRED/<br>DELETE |
| 16.12   | A statement of the procedure to be followed in the event of a child being lost or not collected                                      | No  |  | Procedure superseded + 7 years              |  |  | SHRED/<br>DELETE |
| 16.13   | A statement of the procedure to be followed where a parent has a complaint about the service being provided by the registered person | No  |  | Until superseded                            |  |  | SHRED/<br>DELETE |
| 16.14   | A statement of the arrangements in place for the protection of children, including arrangements to safeguard the children            | No  |  | Closure of setting + 50 years <sup>13</sup> |  |  | SHRED/<br>DELETE |

<sup>12</sup> These could be required to show whether or not an individual child attended the setting in a child protection investigation

<sup>13</sup> These could be required to show whether or not an individual child attended the setting in a child protection investigation

|  |  |     |  |   |  |  |                  |
|--|--|-----|--|---|--|--|------------------|
|  | from abuse or neglect and procedures to be followed in the event of allegations of abuse or neglect  |     |  |   |  |  |                  |
| Records to be kept by Registered Persons - Overnight Provision - under 2's |  |     |  |   |  |  |                  |
| 16.15  | Emergency contact details for appropriate adult to collect the child if necessary  | Yes |  | Destroy once the child had left the setting (unless the information is collected for anything other than emergency contact) |  |  | SHRED/<br>DELETE |
| 16.16  | 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 | Yes |  | Date of birth of the child who is the subject of the contract + 25 years  |  |  | SHRED/<br>DELETE |

All retention documents within Pioneer Academies Community Trust are kept following the latest Retention Schedule document from BMBC 2017.