

WLP Records Management Policy

This policy is applicable to: Wolds Learning Partnership (WLP)

Version 2

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| Name of Responsible Committee/Individual: | Board of Trustees |
| Implementation Date: | November 2022 |
| Review Date: | November 2023 |
| Target Audience: | All Staff |
| Related Documentation | Information Governance policy Data Protection policy; and other legislation or regulations (including audit, equal opportunities and ethics) affecting the school. |

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Introduction and Scope

The Wolds Learning Partnership (WLP) recognises records management as a core corporate function that supports the effective management of the Trust. A records management programme ensures that authoritative evidence of our work is created, captured, managed and made accessible within the scope of our information governance policy framework. This allows for improved accountability, transparency, continuity, decision-making, and better compliance with relevant legislation and regulations, as well as protecting the rights and interests of ourselves and our pupils.

A record is defined as information created, received and maintained as evidence and as an asset by the school in pursuit of legal obligations or in the transaction of business. Records are retained as evidence for a set period determined by legal, regulatory and functional requirements.

The Records Management policy and retention schedule applies to all records created, received or maintained by the Trust in the course of carrying out its functions, regardless of whether it is in paper or electronic format.

This policy applies to all employees, governors or Trustees, contractors, agents and representatives, volunteers and temporary staff working for, or on behalf of, the school. It should be read alongside the other policies within our information governance policy framework, including the Data Protection policy, Information Security policy and Acceptable Use policies.

Roles and Responsibilities

Overall responsibility for ensuring that the school meets the statutory requirements of any legislation lies with the Board of Governors or Trustees. The following roles have day to day responsibility for records management compliance and provide the necessary assurance to the Board.

Senior Information Risk Owner (SIRO)

The SIRO is responsible for overseeing the implementation of this policy and ensuring that effective records management practices are in place across the school. They are ultimately responsible for the day-to-day operational management of the school and will ensure that staff are appropriately trained in relation to records management, supported by the SPOC and IAOs. In our organisation this role lies with the Chief Executive Officer.

Single Point of Contact (SPOC)

The SPOC will support the SIRO in the day-to-day operational management of the school, providing guidance on good records management practices and promoting compliance with this policy so that information can be retrieved easily, appropriately and in a timely way. They will help develop and carry out regular reviews of the records management programme, at least annually, to ensure compliance and to check that records are stored securely and can be accessed appropriately. In our organisation this role lies with the Trust's Head of Operations and Compliance.

Information Asset Owner (IAO)

The IAO is responsible for the security and maintenance of a particular record during its lifecycle. They need to understand how information is created, amended or added to over time, and know who has access to the records and why. They are responsible for the appropriate disposal of information when it is no longer required. A record of IAOs is included in our Information Asset Register.

All staff

All staff, including governors or Trustees, contractors, agents and representatives, volunteers and temporary staff working for, or on behalf of, the school are responsible for managing records

consistently in accordance with this policy. They must keep complete and accurate records which adequately document their work.

Records Management

We have a robust programme in place for managing our records throughout their lifecycle. This includes using methods such as version control and file plans to ensure that records can be easily searched and accessed in the event of an information request. We also include records and information management as a risk on our corporate risk register.

Information Asset Register (IAR)

In accordance with Article 30 of UK GDPR, we have in place an Information Asset Register (IAR) which maintains a record of our processing activities. The IAR documents exactly what records we hold, where they are stored, who has access to the information and the retention periods in place. This is reviewed, at least annually, to ensure it remains accurate.

Email management

We have a process in place to ensure that emails are also managed in line with this policy and our retention schedule. Emails discussing school business or reflecting significant actions or decisions concerning school business will not be stored in personal email inboxes but will be removed and stored securely in the appropriate filing system.

Personal email inboxes are regularly reviewed by staff to ensure any unnecessary emails are deleted.

Pupil Records

Schools are under a duty to maintain a record for each pupil which serves as the core record of an individual's progress through the education system and should accompany them throughout their school career. The information within the pupil record must be easy to find, accurately and objectively recorded, and expressed in a professional manner.

Pupil records are held electronically within our management information system (MIS). Some information, not forming part of the core record, will be held outside the MIS in either electronic or paper format. This includes information which has shorter retention periods such as attendance registers, consent forms, medical forms, accident forms, absence notes and pupil work.

Safeguarding files

Records relating to pupils involved with child protection or safeguarding are held securely in a designated system accessible to the Designated Safeguarding Leads (DSLs). This is stored separately to the core pupil record to ensure confidentiality and restricted accessibility.

Staff Records

Records relating to the school workforce will be held securely, either electronically or in paper format, with appropriate measures in place to ensure accessibility is restricted.

Storage and Security

All records, especially where containing personal data, will be stored securely to maintain confidentiality, whilst also keeping information accessible to those authorised to see it. Electronic records will have appropriate security and access controls in place, and systems will have robust audit functions in place wherever possible.

Paper records will be stored in secure, lockable storage areas with restricted access.

When sharing or transferring records containing personal information, we will ensure appropriate transmission security controls are in place, in line with our Information Security Policy.

Retention and Disposal

Retention is the period a record is kept for after it stops being actively used, but before it is destroyed. Retention is a vital part of records management as it allows organisations to retain records only for as long as needed, and discourages records being kept for long periods 'just in case'.

The retention period for particular types of records is determined by legal, regulatory or functional requirements. We have adopted a Retention Schedule based on the IRMS Schools Toolkit which sets out our specified retention periods (Appendix [x](#)).

We will ensure that any records containing personal or confidential information are disposed of appropriately and securely when they have reached the end of their retention period, in line with our retention schedule.

Records held in databases or electronic management systems with the functionality for automatic destruction of records after a specified period of time will be used wherever possible. A review of the records will be carried out prior to destruction, where practical.

Where automatic disposal is not in place, for example for paper records, we will carry out a manual review, at least annually, to ensure they are deleted in line with retention guidelines.

The disposal of all information is documented to ensure that we maintain a record of when it has been deleted and by whom. This allows us to evidence that a record no longer exists, or has been transferred to another institution, in the event of a subject access or Freedom of Information request being received.

Archiving

A small percentage of our records will be selected for permanent preservation as part of the Local Authority Archives Service. This is maintained as a resource to help inspire and equip current staff and pupils to understand and appreciate issues of identity, belonging and shared heritage; to prompt memories of school-life among many generations; and to serve as a research resource for all interested in the history of the school and the community it serves.

Records containing personal information will only be selected for archive with appropriate safeguards in place to protect the rights and freedoms of individuals. This will include anonymisation or pseudonymisation wherever possible.

Training

Since all employees are involved in creating, maintaining and using records, it is vital that everyone understands their record management responsibilities as set out in this policy. We will ensure that staff are appropriately trained or experienced and that they understand the need for effective record keeping.

When we introduce new technology or ICT systems we ensure that users are appropriately trained to use these systems and can manage records within them effectively.

Appendix A – Retention Schedule (for Academies)

1. Governance, Funding and Financial Management of the Academy Trust

Academies are governed by the Academy Trust, which will usually be a company limited by guarantee. The Academy Trust is also a charitable Trust.

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--|--|------------------------|---|--|--|
| 1.1 Governance of the Academy Trust | | | | | |
| 1.1.1 | Governance Statement | No | | Life of governance statement + 6 years | SECURE DISPOSAL |
| 1.1.2 | Articles of Association | No | | Life of the Academy | |
| 1.1.3 | Memorandum of Association | No | | This can be disposed of once the Academy has been incorporated | SECURE DISPOSAL |
| 1.1.4 | Memorandum of Understanding of Shared Governance among Schools | No | Companies Act 2006 section 355 | Life of Memorandum of Understanding + 6 years | SECURE DISPOSAL |
| 1.1.5 | Constitution | No | | Life of the Academy | |
| 1.1.6 | Special Resolutions to amend the Constitution | No | | Life of the Academy | |
| 1.1.7 | Written Scheme of Delegation | No | Companies Act 2006 section 355 | Life of Written Scheme of Delegation + 10 years | SECURE DISPOSAL |
| 1.1.8 | Directors – Appointment | No | | Life of appointment + 6 years | SECURE DISPOSAL |
| 1.1.9 | Directors – Disqualification | No | Company Directors Disqualification Act 1986 | Date of disqualification + 15 years | SECURE DISPOSAL |
| 1.1.10 | Directors – Termination of Office | No | | Date of termination + 6 years | SECURE DISPOSAL |
| 1.1.11 | Annual Report – Trustees Report | No | Companies Act 2006 section 355 | Date of report + 10 years | SECURE DISPOSAL |
| 1.1.12 | Annual Report and Accounts | No | Companies Act 2006 section 355 | Date of report + 10 years | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--|---|---|---------------------------------|---|--|
| 1.1.13 | Annual Return | No | Companies Act 2006 section 355 | Date of report + 10 years | SECURE DISPOSAL |
| 1.1.14 | Appointment of Trustees and Governors and Directors | Yes | | Life of appointment + 6 years | SECURE DISPOSAL |
| 1.1.15 | Statement of Trustees Responsibilities | No | | Life of appointment + 6 years | SECURE DISPOSAL |
| 1.1.16 | Appointment and removal of Members | No | | Life of appointment + 6 years | SECURE DISPOSAL |
| 1.1.17 | Strategic Review | No | | Date of the review + 6 years | SECURE DISPOSAL |
| 1.1.18 | Strategic Plan [also known as School Development Plans] | No | | Life of plan + 6 years | SECURE DISPOSAL |
| 1.1.19 | Accessibility Plan | There may be if the plan refers to specific pupils | Limitation Act 1980 (Section 2) | Life of plan + 6 years | SECURE DISPOSAL |
| 1.2 Board of Directors, Members Meetings and Governing Body | | | | | |
| 1.2.1 | Board Meeting Minutes | Could be if the minutes refer to living individuals | Companies Act 2006 section 248 | Minutes must be kept for at least 10 years from the date of the meeting | OFFER TO ARCHIVES |
| 1.2.2 | Board Decisions | Could be if the decisions refer to living individuals | | Date of the meeting + a minimum of 10 years | OFFER TO ARCHIVES |
| 1.2.3 | Board Meeting: Annual Schedule of Business | No | | Current year | SECURE DISPOSAL |
| 1.2.4 | Board Meeting: Procedures for conduct of meeting | No | Limitation Act 1980 (Section 2) | Date procedures superseded + 6 years | SECURE DISPOSAL |
| 1.2.5 | Minutes relating to any committees set up by the Board of Directors | Could be if the minutes refer to living individuals | | Date of the meeting + a minimum of 10 years | OFFER TO ARCHIVES |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------|--|---|--------------------------------|--|--|
| 1.2.6 | Records relating to the management of General Members' Meetings | Could be if the minutes refer to living individuals | Companies Act 2006 section 248 | Minutes must be kept for at least 10 years from the date of the meeting | OFFER TO ARCHIVES |
| 1.2.7 | | Could be if the minutes refer to living individuals | Companies Act 2006 section 248 | Minutes must be kept for at least 10 years from the date of the meeting | OFFER TO ARCHIVES |
| 1.2.8 | Agendas for Governing Body meetings | May be data protection issues, if the meeting is dealing with confidential issues relating to staff | | One copy should be retained with the master set of minutes. All other copies can be disposed of | SECURE DISPOSAL |
| | Minutes of, and papers considered at, meetings of the Governing Body and its committees | May be data protection issues, if the meeting is dealing with confidential issues relating to staff | | Principal Set (Signed) – Life of Academy Inspection Copies – Date of meeting + 3 years | SECURE DISPOSAL |
| 1.2.10 | Reports presented to the Governing Body | May be data protection issues, if the meeting is dealing with confidential issues relating to staff | | Reports should be kept for a minimum of 6 years. However, if the minutes refer directly to individual reports, then the reports should be kept for the life of the Academy | SECURE DISPOSAL or retain with the signed set of minutes |
| 1.2.11 | Meeting papers relating to the annual parents' meeting held under Section 33 of the Education Act 2002 | No | Education Act 2002, Section 33 | Date of the meeting + a minimum of 6 years | SECURE DISPOSAL |
| 1.2.12 | Trusts and Endowments managed by the Governing Body | No | | PERMANENT | |
| 1.2.13 | Records relating to complaints dealt with by the Governing Body | Yes | | Date of the resolution of the complaint + a minimum of 6 | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------------------------------|---|------------------------|--|---|--|
| | | | | years then review for further retention in case of contentious disputes | |
| 1.2.14 | Annual Reports created under the requirements of the Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 | No | Education (Governor's Annual Reports) (England) (Amendment) Regulations 2002 SI 2002 No 1171 | Date of report + 10 years | SECURE DISPOSAL |
| 1.2.15 | Register of Directors | | Companies Act 2006 | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.2.16 | Register of Directors' interests [this is not a statutory register] | | | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.2.17 | Register of Directors' residential addresses | | Companies Act 2006 | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.2.18 | Register of gifts, hospitality and entertainments | | Companies Act 2006 | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.2.19 | Register of members | | Companies Act 2006 | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.2.20 | Register of secretaries | | Companies Act 2006 | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.2.21 | Register of Trustees interests | | | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.2.22 | Declaration of Interests Statements [Governors] [this is not a statutory register] | | | Life of the Academy + 6 years | SECURE DISPOSAL |
| 1.3 Funding and Finance | | | | | |
| 1.3.1 | Statement of financial activities for the year | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.2 | Financial planning | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.3 | Value for money statement | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.4 | Records relating to the management of VAT | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.5 | Whole of government accounts returns | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.6 | Borrowing powers | No | | Current financial year + 6 years | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------|---|------------------------|----------------------|--|--|
| 1.3.7 | Budget plan | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.8 | Charging and remissions policy | No | | Date policy superseded + 3 years | SECURE DISPOSAL |
| 1.3.9 | Audit Committee and appointment of responsible officers | No | | Life of the Academy | SECURE DISPOSAL |
| 1.3.10 | Independent Auditor's report on regularity | No | | Financial year report relates to + 6 years | SECURE DISPOSAL |
| 1.3.11 | Independent Auditor's report on financial statements | No | | Financial year report relates to + 6 years | SECURE DISPOSAL |
| 1.3.12 | Funding Agreement with Secretary of State and supplemental funding agreements | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.13 | Funding Agreement – Termination of the funding agreement | | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.14 | Funding Records – Capital Grant | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.15 | Funding Records – Earmarked Annual Grant (EAG) | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.16 | Funding Records – General Annual Grant (GAG) | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.17 | Per pupil funding records | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.18 | Exclusions agreement | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.19 | Funding records | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.20 | Gift Aid and Tax Relief | No | | Date of last payment of funding + 6 years | SECURE DISPOSAL |
| 1.3.21 | Records relating to loans | No | | Date of last payment on loan + 6 years if the loan is under £10,000 or date of last payment on loan + 12 years if the loan is over £10,000 | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------|--|------------------------|--|---|--|
| 1.3.22 | Maternity pay records | Yes | Statutory Maternity Pay (General) Regulations 1986 (SI1986/1960), revised 1999 (SI1999/567) | Current year + 3 years | SECURE DISPOSAL |
| 1.3.23 | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes | Regulation 15 Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103) | From the end of the year in which the accounts were signed for a minimum of 6 years | SECURE DISPOSAL |
| 1.3.24 | Management of the Teachers' Pension Scheme | Yes | | Date of last payment on the pension + 6 years | SECURE DISPOSAL |
| 1.3.25 | Records relating to pension registrations | Yes | | Date of last payment on the pension + 6 years | SECURE DISPOSAL |
| 1.3.26 | Payroll records | Yes | | Date payroll run + 6 years | SECURE DISPOSAL |
| 1.3.27 | Insurance policies | No | | Date the policy expires + 6 years | SECURE DISPOSAL |
| 1.3.28 | Records relating to the settlement of insurance claims | No | | Date claim settled + 6 years | SECURE DISPOSAL |
| 1.3.29 | Employer's Liability Insurance Certificate | No | | Closure of the school + 40 years | SECURE DISPOSAL |
| 1.3.30 | Investment policies | No | | Life of the investment + 6 years | SECURE DISPOSAL |
| 1.3.31 | Management of Endowment Funds | No | | Life of the fund + 6 years | |
| 1.3.32 | Annual accounts | No | | Current year + 6 years | STANDARD DISPOSAL |
| 1.3.33 | Loans and grants managed by the school | No | | Date of last payment on the loan + 12 years then REVIEW | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------|---|------------------------|----------------------|---|--|
| 1.3.34 | Student Grant applications | Yes | | Current year + 3 years | SECURE DISPOSAL |
| 1.3.35 | All records relating to the creation and management of budgets, including the Annual Budget statement and background papers | No | | Life of the budget + 3 years | SECURE DISPOSAL |
| 1.3.36 | Invoices, receipts, order books and requisitions, delivery notices | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.37 | Records relating to the collection and banking of monies | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.38 | Records relating to the identification and collection of debt | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 1.3.39 | All records relating to the management of contracts under seal | No | Limitation Act 1980 | Last payment on the contract + 12 years | SECURE DISPOSAL |
| 1.3.40 | All records relating to the management of contracts under signature | No | Limitation Act 1980 | Last payment on the contract + 6 years | SECURE DISPOSAL |
| 1.3.41 | Records relating to the monitoring of contracts | No | | Current year + 2 years | SECURE DISPOSAL |
| 1.3.42 | Inventories of furniture and equipment | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.43 | Burglary, theft and vandalism report forms | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.44 | Records relating to the leasing of shared facilities, such as sports centres | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.45 | Land and building valuations | No | | Date valuation superseded + 6 years | SECURE DISPOSAL |
| 1.3.46 | Disposal of assets | No | | Date asset disposed of + 6 years | SECURE DISPOSAL |
| 1.3.47 | Community School leases for land | No | | Date lease expires + 6 years | SECURE DISPOSAL |
| 1.3.48 | Commercial transfer arrangements | No | | Date of transfer + 6 years | SECURE DISPOSAL |
| 1.3.49 | Transfer of land to the Academy Trust | No | | Life of land ownership then transfer to new owner | SECURE DISPOSAL |
| 1.3.50 | Transfers of freehold land | No | | Life of land ownership then transfer to new owner | SECURE DISPOSAL |
| 1.3.51 | School Fund – Cheque books | No | | Current year + 6 years | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--|---|------------------------|----------------------|---|--|
| 1.3.52 | School Fund – Paying in books | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.53 | School Fund – Ledger | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.54 | School Fund – Invoices | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.55 | School Fund – Receipts | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.56 | School Fund – Bank statements | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.57 | School Fund – Journey books | No | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.58 | Free school meals registers | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 1.3.59 | School meals registers | Yes | | Current year + 3 years | SECURE DISPOSAL |
| 1.3.60 | School meals summary sheets | No | | Current year + 3 years | SECURE DISPOSAL |
| 1.4 Policies, Frameworks and Overarching Requirements | | | | | |
| 1.4.1 | Data Protection Policy, including data protection notification | No | | Date policy superseded + 6 years | SECURE DISPOSAL |
| 1.4.2 | Freedom of Information Policy | No | | Date policy superseded + 6 years | SECURE DISPOSAL |
| 1.4.3 | Information Security Breach Policy | No | | Date policy superseded + 6 years | SECURE DISPOSAL |
| 1.4.4 | Special Educational Needs Policy | No | | Date policy superseded + 6 years | SECURE DISPOSAL |
| 1.4.5 | Complaints Policy | No | | Date policy superseded + 6 years | SECURE DISPOSAL |
| 1.4.6 | Risk and Control Framework | No | | Life of framework + 6 years | SECURE DISPOSAL |
| 1.4.7 | Rules and Bylaws | No | | Date rules or bylaws superseded + 6 years | SECURE DISPOSAL |
| 1.4.8 | Home School Agreements | No | | Date agreement revised + 6 years | SECURE DISPOSAL |
| 1.4.9 | Equality Information and Objectives (public sector equality duty) Statement for publication | No | | Date of statement + 6 years | SECURE DISPOSAL |

2. Human Resources

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|------------------------|--|------------------------|--|---|--|
| 2.1 Recruitment | | | | | |
| 2.1.1 | All records leading up to the appointment of a new Head Teacher | Yes | | Date of appointment + 6 years | SECURE DISPOSAL |
| 2.1.2 | All records leading up to the appointment of a new member of staff – unsuccessful candidates | Yes | | Date of appointment of successful candidate + 6 months | SECURE DISPOSAL |
| 2.1.3 | All records leading up to the appointment of a new member of staff – successful candidate | Yes | | All relevant information should be added to the Staff Personal File (see below) and all other information retained for 6 months | SECURE DISPOSAL |
| 2.1.4 | Pre-employment vetting information – DBS Checks | Yes | DBS Update Service Employer Guide June 2014 | The organisation should take a copy of the DBS certificate when it is shown to them by the individual and should be added to the Staff Personal File | SECURE DISPOSAL |
| 2.1.5 | Proofs of identity collected as part of the process of checking “portable” enhanced DBS disclosure | Yes | | Where possible, these should be checked, and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation, then this should be added to the Staff Personal File | SECURE DISPOSAL |
| 2.1.6 | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom | Yes | An employer’s guide to right to work checks [Home Office May 2015] | Where possible, these documents should be added to the Staff Personal File, but if they are kept separately, then the Home Office requires | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|---|---|------------------------|---|---|--|
| | | | | that the documents are kept for termination of employment plus not less than 2 years | |
| 2.1.7 | Records relating to the employment of overseas teachers | Yes | | Where possible, these documents should be added to the Staff Personal File, but if they are kept separately, then the Home Office requires that the documents are kept for termination of employment plus not less than 2 years | SECURE DISPOSAL |
| 2.1.8 | Records relating to the TUPE process | Yes | | Date last member of staff transfers or leaves the organisation + 6 years | SECURE DISPOSAL |
| 2.2 Operational Staff Management | | | | | |
| 2.2.1 | Staff Personal File, including employment contract and staff training records | Yes | Limitation Act 1980 (Section 2) | Termination of employment + 6 years | SECURE DISPOSAL |
| 2.2.2 | Timesheets | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 2.2.3 | Annual appraisal/assessment records | Yes | | Current year + 5 years | SECURE DISPOSAL |
| 2.2.4 | Records relating to the agreement of pay and conditions | No | | Date pay and conditions superseded + 6 years | SECURE DISPOSAL |
| 2.2.5 | Training needs analysis | No | | Current year + 1 year | SECURE DISPOSAL |
| 2.3 Management of Disciplinary and Grievance Processes | | | | | |
| 2.3.1 | Allegation which is child protection in nature against a member of staff, including where the allegation is unfounded | Yes | "Keeping children safe in education Statutory guidance for schools and colleges March 2015"; "Working together to | Until the person's normal retirement age or 10 years from the date of the allegation, whichever is longer, then REVIEW | SECURE DISPOSAL These records must be shredded |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|------------------------------|---|------------------------|--|---|--|
| | | | safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015" | | |
| 2.3.2 | Disciplinary Proceedings | Yes | | | |
| | <ul style="list-style-type: none"> Oral warning | | | Date of warning + 6 months | SECURE DISPOSAL |
| | <ul style="list-style-type: none"> Written warning – level 1 | | | Date of warning + 6 months | SECURE DISPOSAL |
| | <ul style="list-style-type: none"> Written warning – level 2 | | | Date of warning + 12 months | SECURE DISPOSAL |
| | <ul style="list-style-type: none"> Final warning | | | Date of warning + 18 months | SECURE DISPOSAL |
| | <ul style="list-style-type: none"> Case not found | | | If the incident is child protection related, then see above; otherwise, dispose of at the conclusion of the case | SECURE DISPOSAL |
| 2.4 Health and Safety | | | | | |
| 2.4.1 | Health and Safety policy statements | No | | Life of policy + 3 years | SECURE DISPOSAL |
| 2.4.2 | Health and Safety risk assessments | No | | Life of risk assessment + 3 years | SECURE DISPOSAL |
| 2.4.3 | Records relating to accident/injury at work | Yes | | Date of incident + 12 years In the case of serious accidents, a further retention period will need to be applied | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------|--|------------------------|---|---|--|
| 2.4.4 | Accident reporting | Yes | Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980 | The official Accident Book must be retained for 3 years after the last entry in the book. The book may be in paper or electronic format The incident reporting form may be retained as below | |
| | <ul style="list-style-type: none"> Adults | | | Date of incident + 6 years | SECURE DISPOSAL |
| | <ul style="list-style-type: none"> Children | | | Date of birth of the child + 25 years | SECURE DISPOSAL |
| 2.4.5 | Control of Substances Hazardous to Health (COSHH) | No | | Current year + 10 years then REVIEW | SECURE DISPOSAL |
| 2.4.6 | Process of monitoring of areas where employees and persons are likely to have come into contact with asbestos | No | | Last action + 40 years | SECURE DISPOSAL |
| 2.4.7 | Process of monitoring of areas where employees and persons are likely to have come into contact with radiation | No | | Last action + 50 years | SECURE DISPOSAL |
| 2.4.8 | Fire precautions logbooks | No | | Current year + 6 years | SECURE DISPOSAL |
| 2.4.9 | Fire risk assessments | No | Fire Service Order 2005 | Life of the risk assessment + 6 years | SECURE DISPOSAL |
| 2.4.10 | Incident reports | Yes | | Current year + 20 years | SECURE DISPOSAL |

3. Management of the Academy

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-----------------------|--|------------------------|------------------------|--|--|
| 3.1 Admissions | | | | | |
| 3.1.1 | All records relating to the creation and implementation of the School Admissions' Policy | No | School Admissions Code | Life of the policy + 3 years then REVIEW | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-------|---|------------------------|---|---|--|
| | | | Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014 | | |
| 3.1.2 | Admissions – if the admission is successful | Yes | School Admissions Code Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014 | Date of admission + 1 year | SECURE DISPOSAL |
| 3.1.3 | Admissions – if the appeal is unsuccessful | Yes | School Admissions Code Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014 | Resolution of case + 1 year | SECURE DISPOSAL |
| 3.1.4 | Register of admissions | Yes | School attendance: Departmental advice | Every entry in the admission register must be preserved for | REVIEW |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|---|--|--|--|---|--|
| | | | for maintained schools, Academies, independent schools and local authorities October 2014 | a period of 3 years after the date on which the entry was made | Schools may wish to consider keeping the admission register permanently, as often schools receive enquiries from past pupils to confirm the dates they attended the school |
| 3.1.5 | Admissions – Secondary Schools – Casual | Yes | | Current year + 1 year | SECURE DISPOSAL |
| 3.1.6 | Proofs of address supplied by parents as part of the admissions process | Yes | School Admissions Code Statutory Guidance for admission authorities, governing bodies, local authorities, schools' adjudicators and admission appeals panels December 2014 | Current year + 1 year | SECURE DISPOSAL |
| 3.1.7 | Supplementary information form, including additional information such as religion and medical conditions | Yes | | | |
| | For successful admissions | | | This information should be added to the pupil file | SECURE DISPOSAL |
| | For unsuccessful admissions | | | Until appeals process completed | SECURE DISPOSAL |
| 3.2 Headteacher and Senior Management Team | | | | | |
| 3.2.1 | Logbooks of activity in the school maintained by the Head Teacher | There may be data protection issues if the | | Date of last entry in the book + a minimum of 6 years then REVIEW | These could be of permanent historical value and should be |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-------|--|---|----------------------|---|--|
| | | logbook refers to individual pupils or members of staff | | | offered to the County Archives Service, if appropriate |
| 3.2.2 | Minutes of Senior Management Team meetings and meetings of other internal administrative bodies | There may be data protection issues if the minutes refers to individual pupils or members of staff | | Date of the meeting + 3 years then REVIEW | SECURE DISPOSAL |
| 3.2.3 | Reports created by the Head Teacher or the Management Team | There may be data protection issues if the report refers to individual pupils or members of staff | | Date of the report + a minimum of 3 years then REVIEW | SECURE DISPOSAL |
| 3.2.4 | Records created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities | There may be data protection issues if the records refer to individual pupils or members of staff | | Current academic year + 6 years then REVIEW | SECURE DISPOSAL |
| 3.2.5 | Correspondence created by Head Teachers, Deputy Head Teachers, heads of year and other members of staff with administrative responsibilities | There may be data protection issues if the correspondence refers to individual pupils or members of staff | | Date of correspondence + 3 years then REVIEW | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|---------------------------------------|---|------------------------|----------------------|--|--|
| 3.2.6 | Professional Development Plans | Yes | | Life of the plan + 6 years | SECURE DISPOSAL |
| 3.3 Operational Administration | | | | | |
| 3.3.1 | Management of complaints | Yes | | Date complaint resolved + 3 years | SECURE DISPOSAL |
| 3.3.2 | Records relating to the management of contracts with external providers | No | | Date of last payment on contract + 6 years | SECURE DISPOSAL |
| 3.3.3 | Records relating to the management of software licences | No | | Date licence expires + 6 years | SECURE DISPOSAL |
| 3.3.4 | General file series | No | | Current year + 5 years then REVIEW | SECURE DISPOSAL |
| 3.3.5 | Records relating to the creation and publication of the school brochure or prospectus | No | | Current year + 3 years | STANDARD DISPOSAL |
| 3.3.6 | Records relating to the creation and distribution of circulars to staff, parents or pupils | No | | Current year + 1 year | STANDARD DISPOSAL |
| 3.3.7 | Newsletters and other items with a short operational use | No | | Current year + 1 year | STANDARD DISPOSAL |
| 3.3.8 | Visitors' books and signing in sheets | Yes | | Current year + 6 years then REVIEW | SECURE DISPOSAL |
| 3.3.9 | Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations | No | | Current year + 6 years then REVIEW | SECURE DISPOSAL |

4. Property Management

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------------------------------|---|------------------------|----------------------|--|--|
| 4.1 Property Management | | | | | |
| 4.1.1 | Title deeds of properties belonging to the school | No | | These should follow the property, unless the property has been registered with the Land Registry | |
| 4.1.2 | Plans of property belonging to the school | No | | These should be retained whilst the building belongs to the school and should be | |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-----------------------------|---|------------------------|---------------------------------|--|--|
| | | | | passed onto any new owners if the building is leased or sold | |
| 4.1.3 | Leases of property leased by or to the school | No | | Expiry of lease + 6 years | SECURE DISPOSAL |
| 4.1.4 | Records relating to the letting of school premises | No | | Current financial year + 6 years | SECURE DISPOSAL |
| 4.1.5 | Business continuity and disaster recovery plans | No | | Date the plan superseded + 3 years | SECURE DISPOSAL |
| 4.2 Maintenance | | | | | |
| 4.2.1 | All records relating to the maintenance of the school carried out by contractors | No | | Current year + 6 years | SECURE DISPOSAL |
| 4.2.2 | All records relating to the maintenance of the school carried out by school employees, including maintenance logbooks | No | | Current year + 6 years | SECURE DISPOSAL |
| 4.3 Fleet Management | | | | | |
| 4.3.1 | The process of acquisition and disposal of vehicles through lease or purchase, e.g., contracts/leases, quotes, approvals | N | Limitation Act 1980 (Section 2) | Disposal of the vehicle + 6 years | SECURE DISPOSAL |
| 4.3.2 | The process of managing allocation and maintenance of vehicles, e.g., lists of who was driving the vehicles and when, maintenance | N | Limitation Act 1980 (Section 2) | Disposal of the vehicle + 6 years | SECURE DISPOSAL |
| 4.3.3 | Service logs and vehicle logs | N | Limitation Act 1980 (Section 2) | Life of the vehicle, then either to be retained for 6 years by school or to be returned to lease company | SECURE DISPOSAL |
| 4.3.4 | GPS tracking data relating to the vehicles | N | Limitation Act 1980 (Section 2) | Date of journey + 6 years | SECURE DISPOSAL |

5. Pupil Management

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|---------------------------------------|---|------------------------|---|---|---|
| 5.1 Pupil's Educational Record | | | | | |
| 5.1.1 | Pupil's Educational Record required by The Education (Pupil Information) (England) Regulations 2005 | Yes | The Education (Pupil Information) (England) Regulations 2005 SI 2005 No. 1437 | | |
| | <ul style="list-style-type: none"> Primary | | | Retain whilst the child remains at the primary school | <p>The file should follow the pupil when they leave the primary school. This will include:</p> <ul style="list-style-type: none"> To another primary school To a secondary school To a pupil referral unit <p>If the pupil dies whilst at primary school, the file should be returned to the LA to be retained for the statutory retention period.</p> <p>If the pupil transfers to an independent school, transfers to home schooling or leaves the country, the file should be returned to the LA to be retained for the</p> |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-------|---|------------------------|---|---|---|
| | | | | | statutory retention period. Primary schools do not ordinarily have sufficient storage space to store records for pupils who have not transferred in the normal way. It makes more sense to transfer the record to the LA, as it is more likely that the pupil will request the record from the LA |
| | <ul style="list-style-type: none"> Secondary | | Limitation Act 1980 (Section 2) | Date of birth of the pupil + 25 years | SECURE DISPOSAL |
| 5.1.2 | Records relating to the management of exclusions | Yes | | Date of birth of the pupil involved + 25 years | SECURE DISPOSAL |
| 5.1.3 | Management of examination registrations | Yes | | The examination board will usually mandate how long these records need to be retained | |
| 5.1.4 | Examination results – pupil copies | Yes | | | |
| | <ul style="list-style-type: none"> Public | | | This information should be added to the pupil file | All uncollected certificates should be returned to the examination board |
| | <ul style="list-style-type: none"> Internal | | | This information should be added to the pupil file | |
| 5.1.5 | Child protection information held on pupil file | Yes | “Keeping children safe in education Statutory guidance for schools and | If any records relating to child protection issues are placed on the pupil file, it should be in a sealed envelope and then | SECURE DISPOSAL – these records MUST be shredded |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-----------------------|---|------------------------|--|--|--|
| | | | colleges March 2015"; "Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015" | retained for the same period of time as the pupil file | |
| 5.1.6 | Child protection information held in separate files | Yes | "Keeping children safe in education Statutory guidance for schools and colleges March 2015"; "Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children March 2015" | Date of birth of the child + 25 years then REVIEW This retention period was agreed in consultation with the Safeguarding Children Group on the understanding that the principal copy of this information will be found on the LA Social Services record | SECURE DISPOSAL – these records MUST be shredded |
| 5.2 Attendance | | | | | |
| 5.2.1 | Attendance registers | Yes | School attendance: Departmental advice for maintained schools, Academies, independent schools and local authorities October 2014 | Every entry in the attendance register must be preserved for a period of 3 years after the date on which the entry was made | SECURE DISPOSAL |
| 5.2.2 | Correspondence relating to authorised absence | | Education Act 1996 Section 7 | Current academic year + 2 years | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--------------------------------------|---|------------------------|---|---|--|
| 5.3 Special Educational Needs | | | | | |
| 5.3.1 | Special Educational Needs files, reviews and Individual Education Plans | Yes | Limitation Act 1980 (Section 2) | Date of birth of the pupil + 25 years | REVIEW NOTE: This retention period is the minimum retention period that any pupil file should be kept. Some authorities choose to keep SEN files for a longer period of time in order 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 – this should be documented |
| 5.3.2 | Statement maintained under section 234 of the Education Act 1990 and any amendments made to the statement | Yes | Education Act 1996 Special Educational Needs and Disability Act 2001 Section 1 | Date of birth of the pupil + 25 years [This would normally be retained on the pupil file] | SECURE DISPOSAL, unless the document is subject to a legal hold |
| 5.3.3 | Advice and information provided to parents regarding educational needs | Yes | Special Educational Needs and Disability Act 2001 Section 2 | Date of birth of the pupil + 25 years [This would normally be retained on the pupil file] | SECURE DISPOSAL, unless the document is subject to a legal hold |
| 5.3.4 | Accessibility strategy | Yes | Special Educational Needs and Disability Act 2001 Section 14 | Date of birth of the pupil + 25 years [This would normally be retained on the pupil file] | SECURE DISPOSAL, unless the document is subject to a legal hold |

6. Curriculum Management

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|--|--|------------------------|----------------------|---|--|
| 6.1 Statistics and Management Information | | | | | |
| 6.1.1 | Curriculum returns | No | | Current year + 3 years | SECURE DISPOSAL |
| 6.1.2 | Examination results (schools copy) | Yes | | Current year + 6 years | SECURE DISPOSAL |
| | SATs records – | Yes | | | |
| | <ul style="list-style-type: none"> Results | | | <p>The SATs results should be recorded on the pupil's educational file and will therefore be retained until the pupil reaches the age of 25 years</p> <p>The school may wish to keep a composite record of all the whole year SATs results. These could be kept for current year + 6 years to allow suitable comparison</p> | SECURE DISPOSAL |
| | <ul style="list-style-type: none"> Examination papers | | | The examination papers should be kept until any appeals/validation process is complete | SECURE DISPOSAL |
| 6.1.3 | Published Admission Number (PAN) reports | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.1.4 | Value added and contextual data | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.1.5 | Self-evaluation forms | Yes | | Current year + 6 years | SECURE DISPOSAL |
| 6.2 Implementation of Curriculum | | | | | |
| 6.2.1 | 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 further retention period, or, SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-------|------------------------|------------------------|----------------------|---|--|
| 6.2.2 | Timetable | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a further retention period, or, SECURE DISPOSAL |
| 6.2.3 | 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 further retention period, or, SECURE DISPOSAL |
| 6.2.4 | Mark books | No | | Current year + 1 year | It may be appropriate to review these records at the end of each year and allocate a further retention period, or, SECURE DISPOSAL |
| 6.2.5 | 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 further retention period, or, SECURE DISPOSAL |
| 6.2.6 | Pupils' work | No | | Where possible, work should be returned to the pupil at the end of the academic year. If this is not the school's | SECURE DISPOSAL |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|------|------------------------|------------------------|----------------------|------------------------------------|--|
| | | | | policy, then current year + 1 year | |

7. Extracurricular Activities

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|---|--|------------------------|---|--------------------------------|--|
| 7.1 Educational Visits outside the Classroom | | | | | |
| 7.1.1 | Records created by schools in order to obtain approval to run an educational visit outside the classroom – Primary schools | No | Outdoor Education Advisers' Panel National Guidance website http://oeapng.info specifically Section 3 – "Legal Framework and Employer Systems" and Section 4 – "Good Practice". | Date of visit + 14 years | SECURE DISPOSAL |
| 7.1.2 | Records created by schools in order to obtain approval to run an educational visit outside the classroom – Secondary schools | No | Outdoor Education Advisers' Panel National Guidance website http://oeapng.info specifically Section 3 – "Legal Framework and Employer Systems" and Section 4 – "Good Practice". | Date of visit + 10 years | SECURE DISPOSAL |
| 7.1.3 | Parental consent forms for school trips where there has been no major incident | Yes | | Conclusion of the trip | Although the consent forms could be retained for date of |

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|------------------------|--|------------------------|---------------------------------|---|---|
| | | | | | birth + 25 years, the requirement for them being needed is low and most schools do not have the storage capacity to retain every single consent form issued by the school for this period of time |
| 7.1.4 | Parental permission slips for school trips – where there has been a major incident | Yes | Limitation Act 1980 (Section 2) | Date of birth of the pupil involved in the incident + 25 years The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all pupils | |
| 7.1.5 | Records relating to residential trips | Yes | | Date of birth of youngest pupil involved + 25 years | SECURE DISPOSAL |
| 7.2 Walking Bus | | | | | |
| 7.2.1 | 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 | SECURE DISPOSAL [If these records are retained electronically any back up copies should be destroyed at the same time] |

8. Central Government and Local Authority

| Ref. | Basic file description | Data Protection Issues | Statutory Provisions | Retention Period [Operational] | Action at end of the administrative life of the record |
|-------------------------------|--|------------------------|----------------------|--------------------------------|--|
| 8.1 Local Authority | | | | | |
| 8.1.1 | Secondary transfer sheets (Primary) | Yes | | Current year + 2 years | SECURE DISPOSAL |
| 8.1.2 | Attendance returns | Yes | | Current year + 1 year | SECURE DISPOSAL |
| 8.1.3 | School census returns | No | | Current year + 5 years | SECURE DISPOSAL |
| 8.2 Central Government | | | | | |
| 8.2.1 | OFSTED reports and papers | No | | Life of the report then REVIEW | SECURE DISPOSAL |
| 8.2.2 | Returns made to central government | No | | Current year + 6 years | SECURE DISPOSAL |
| 8.2.3 | Circulars and other information sent from central government | No | | Operational use | SECURE DISPOSAL |