



Joseph Leckie Academy

Data Retention Policy and Schedule

Approved by JLA Trust Board: 09/2021

Last reviewed on: 10/2022

Next review due by: 10/2023

1. Introduction

1.1 Joseph Leckie Academy is committed to maintaining the confidentiality of its information and ensuring that all records within the Academy are only accessible to the appropriate individuals. In line with the requirements of the Data Protection Act (DPA) 2018 and the General Data Protection Regulation (GDPR) 2016. The Academy also has a responsibility to ensure that all records are only kept for as long as is necessary to fulfil the purpose(s) for which they were intended.

1.2 The Academy has created this policy to outline how records are stored, accessed, monitored, retained and disposed of to meet the Academy's statutory requirements.

1.3 This document complies with the requirements set out in the DPA 2018 and the GDPR 2016.

2. Purpose of Disposal Schedule

2.1 This disposal schedule identifies the disposal arrangements for all manual and electronic records created by Joseph Leckie Academy. The schedule complies with the guidelines given under the Information Management Toolkit for Schools (IRMS). It is advised schools adapt this template and it be approved by internal management/Trustees specifically in relation to records disposal.

| Approval Date | Approved by | Review Date |
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3. Closing a file

3.1 Manual records should be closed as soon as they cease to be of active use other than for reference purposes. When a file is due to be closed an appropriate Academy employee should consult the disposal schedule and mark the front cover of the file, indicating the date on which the file can be destroyed, or whether it should be reviewed by an Academy employee. Closing a file simply means that no further papers can be added but the file can be used for reference.

4. Minimum Retention Period

4.1 With the exception of student files, the minimum retention period required for each type of record is calculated from the point the file/record is closed.

5. Destroy

5.1 Where the disposal action states 'Destroy' the records should be kept for the period stated and then destroyed securely. A record must be maintained of the files that have been destroyed.

6. Commitment to preserving files/records

6.1 Joseph Leckie Academy declares that it will take measures to ensure that the records it creates (including electronic records) will be well maintained and protected while they are in its custody.

7. Roles and Responsibilities

7.1 The Academy Board of Trustees is responsible for ensuring that the Academy complies with the commitment laid out in this Policy. The Academy Principal is charged with operational compliance and will assign any specific employee responsibilities as required in order to help fulfil the Academy's commitment to effective records management. **All Academy employees** are

responsible for creating and maintaining records in accordance with good records management practice.

7.2 If any student attends the Academy until statutory school leaving age, the Academy will keep the student's records until the student reaches the age of 25 years.

8. Definitions of Records held by Joseph Leckie Academy in respect of its Functional Areas.

8.1 There are six main functional areas for which Joseph Leckie Academy keeps records as follows:

- a. Management and Organisation
- b. Legislation & Guidance
- c. Students
- d. Employees
- e. Finance
- f. Health & Safety
- g. Other

The records contained within these functional areas provide evidence and information about its business activities and are important for the efficient operation of the Academy.

a. Management and Organisation (Trust Bodies and Senior Leadership Team)

This category comprises records held which relate to the management and organisation of the Academy. Typical records would include the minutes of the Board of Trustees, the Senior Leadership Team and Parent/Teachers Association meetings which record the major decision making processes of the Academy. Also included are records detailing development, planning and curriculum policies as well as those that demonstrate how the Academy reports to its parents and other organisations. Records include the Academy Development Plan, the Academy Prospectus, Curriculum policies, Annual Report, Emergency Planning and Business Continuity Plan along with the records of meetings, minutes, and policies documenting the decisions and actions taken within this business function.

b. Legislation and Guidance from DE, ELBs, ESA, & CCMS

Files maintained under this heading contain papers relating to legislation e.g. the Education Act 2011, Circulars, Guidance, Bulletins from the Department of Education and Education & Library Boards, CCMS etc. correspondence in connection with Statistical Returns and documents relating to Department of Education Inspections and Reports.

c. Students

Student Files contain vitally important records which, not only capture the progress of the student throughout their time at the Academy, but also contain personal details and information beneficial to their wellbeing within the Academy environment. Such records would include admission data, attendance of the students at the Academy, timetables and class groupings, education/progress reports of students, special education needs documentation, child protection information, disciplinary action taken, examination results, careers advice, school trip details and medical records (details of medical conditions where medicines are required to be administered at during the Academy day).

d. Employees

Employees category refers to those records required for the Human Resources Management function within the Academy. These include employee personnel records (recruitment, interview notes, appointments, training, employee development etc.), employee salary records, employee induction, sickness records, employee performance review, substitute teacher records and student teachers on teaching practice etc.

e. Finance

This business function maintains records for a range of financial activities such as annual budgets, budget monitoring, Annual Statement of Accounts, procurement, tender information and prices, reconciliation of invoices, audit reports etc.

f. Health & Safety

The health and safety of students and employees is of paramount importance in the Academy and such records to support this are kept e.g. accident/incident book, legal/accident/incident forms, risk assessments, fire procedure, CCTV, security system files, health and safety policy statement.

g. Other Retention Records

The table outlines the Academy's retention periods for any other records held by the Academy and the action that will be taken after the retention period, in line with any requirements.

9. Electronic Records

9.1 The legal obligation to properly manage records, including compliance with Data Protection legislation, applies equally to electronic records. The main considerations for the management of electronic records are therefore the same as those for manual records. They include:

- Academy employees must be able to use and access electronic information effectively
- Adequate measures must be in place to ensure all information is stored securely and only available to authorised persons.
- The Academy must be able to demonstrate a record's authenticity by ensuring information cannot be altered when declared a record.
- A system must be in place for disposing of electronic records in line with policy once they are no longer needed.

9.2 In addition to the above, sufficient backup/recovery processes must be in place. There must also be a process through which links are created from electronic records to any associated manual records. This is to ensure a full record can be considered when necessary i.e. when decision making, providing access or considering a record for disposal.

9.3 The Academy's Board of Trustees is ultimately responsible for records management within the Academy. The decision to move towards electronic records must be taken carefully and the Board of Trustees must satisfy itself that the measures identified above can be achieved. Further information and advice on electronic records can be obtained from the Information and Records Management Society (IRMS). A number of International Standards have also been established to help organisations follow best practice when implementing an electronic records strategy. They include:

- ISO 15801:2009 - record authenticity and legal admissibility
- ISO 27001 - information security management
- BS 10008 - legal admissibility of electronic information standards

10. Academy Disposal Schedule

a. Management & Organisation (Trust Bodies and Senior Leadership Team)

| Ref | Record | Minimum Retention Period | Action After Retention |
|------|---|---|---|
| 1.1 | BOG Meetings Minutes (master) | Permanent | Consult local archives before disposal |
| 1.2 | Minutes of SLT meetings and the meetings of other internal administrative bodies | Date of meeting plus three years | Reviewed annually and securely disposed of, if not needed |
| 1.3 | Action plans created and administered by the Trust board | Until superseded or whilst relevant | Securely disposed of |
| 1.4 | Policy documents created and administered by the Trust board | Until superseded or whilst relevant | Securely disposed of |
| 1.5 | Records relating to complaints dealt with by the Trust board or Principal | Current academic year, plus six years If negligence is involved, records are retained for the current academic year, plus 15 years If child protection issues are involved, the records are retained for the current academic year, plus 40 years | Reviewed for further retention in case of contentious disputes, then securely disposed of |
| 1.6 | Annual reports required by the DfE | Date of report, plus 10 years | Securely disposed of |
| 1.7 | Proposals concerning changing the status of the Academy | Date proposal accepted or declined, plus three years | Securely disposed of |
| 1.8 | Records relating to the appointment of co-opted Trustees | Date of election, plus six months | Securely disposed of |
| 1.9 | Records relating to the election of the chair of the Trust board and the vice chair | Destroyed after the decision has been recorded in the minutes | Securely disposed of |
| 1.10 | Meeting schedule | Current academic year | Standard disposal |

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| 1.11 | Register of attendance at full Trust board meetings | Date of last meeting in the book, plus six years | Securely disposed of |
| 1.12 | Records relating to governor monitoring visits | Date of visit, plus three years | Securely disposed of |
| 1.13 | All records relating to the conversion of the school to academy status | Permanent | Consult local archives before disposal |
| 1.14 | Correspondence sent and received by the Trust board or Principal | Current academic year, plus three years | Securely disposed of |
| 1.15 | Board of Trustees; Records relating to the terms of office of serving Trustees, including evidence of appointment Records relating to governor declaration against disqualification criteria Register of business interests | Date of which the Trustees appointment ends, plus six years | Securely disposed of |
| 1.16 | Governor code of conduct | Dynamic document – kept permanently | Securely disposed of |
| 1.17 | Governor training; Records relating to the training required and received by Trustees Records relating to the induction programme of new Trustees | Date the governor steps down, plus six years Date on which the Trustees appointment ends, plus six years | Securely disposed of Securely disposed of |
| 1.18 | Governor personnel files | Date on which the Trustees appointment ends, plus six years | Securely disposed of |
| 1.19 | Log books of activity in the Academy maintained by the Principal | Date of last entry, plus a minimum of six years | Reviewed and offered to the local archives if appropriate |

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| 1.20 | SLT minutes and reports | Date of the meeting/report, plus three years | Reviewed annually and securely disposed of if not needed |
| 1.21 | Records created by Principal, Vice/Assistant Principals, heads of year and other Academy employees with administrative responsibilities | Current academic year, plus six years | Reviewed annually and securely disposed of if not needed |
| 1.22 | Correspondence created by Principal, Vice/Assistant Principals, heads of year and other Academy employees with administrative responsibilities | Date of correspondence, plus three years | Securely disposed of |
| 1.23 | Academy development plan | Duration of the plan, plus three years | Securely disposed of |

b. Legislation and Guidance from DE, ELB, ESA, CCMS etc.

| Ref | Record | Minimum Retention Period | Action After Retention |
|-----|--|----------------------------------|------------------------|
| 2.1 | Correspondence re: Statistical Returns to DE, ELB etc. | Current financial year + 6 years | Destroy |
| 2.2 | DE Reports, Inspections | Until superseded | Destroy |

c. Student Records

| Ref | Record | Minimum Retention Period | Action After Retention |
|------|--|--|--|
| 3.1 | Admissions | | |
| 3.1a | Register of admissions | Every entry in the register will be preserved for a period of three years after the date on which the entry was made | Review, Academy may wish to keep permanently |
| 3.1b | Successful admissions | Date of admission, plus one year | Securely disposed of |
| 3.1c | Admissions appeal (where the appeal is unsuccessful) | Resolution of the case, plus one year | Securely disposed of |

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| 3.1d | Secondary schools admissions | Whilst student remains at the Academy, plus one year | Securely disposed of |
| 3.2 | Student files | | |
| 3.2a | Primary schools – student educational records | Whilst student remains at the Academy | Transferred to the next destination – If this is an independent school, home schooling or outside of the UK, the file will be kept by the LA and retained for the statutory period |
| 3.2b | Secondary schools and sixth forms – student educational records | 25 years after students date of birth | Review and securely disposed of if no longer needed |
| 3.3 | Examination Results | | |
| 3.3a | Public examination results | Added to student record | All uncollected certificates should be returned to the examination board after reasonable attempts to contact the student have failed |
| 3.3b | Internal examination results | Added to student record | Transferred to the next school where applicable |
| 3.3c | Examination results Academy's copy | Current year, plus six years | Secure disposal |
| 3.3d | SAT's results | 25 years after the students date of birth | Secure disposal |
| 3.3e | Examination papers | Until the appeals/validation process has been completed | Secure disposal |
| 3.4 | Child protection information held on student file | Stored in a sealed envelope and placed in the students file, retained for the same period as the student file Records also subject to any instruction given by the Independent Inquiry into Child Sex Abuse (IICSA) | Securely disposed of - shredded |
| 3.5 | Child Protection information held in a separate file | 25 years after the student's date of birth | Securely disposed of - shredded |

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| | | Records also subject to any instruction given by the Independent Inquiry into Child Sex Abuse (IICSA) | |
| 3.6 | Timetable and Class Groupings (scheme of works, timetable, class record books, mark books, record of homework set, students work) | Current academic year, plus one year | Review at the end of each year and allocate a further retention period or securely dispose of |
| 3.7 | Curriculum returns | Current year, plus three years | Secure disposal |
| 3.8 | Attendance | | |
| 3.8a | Attendance register | Every entry is retained for a period of 3 years after the date on which the entry was made | Secure disposal |
| 3.8b | Correspondence relating to any absence (authorised or unauthorised) | Current academic year, plus two years | Secure disposal |
| 3.9 | SEND files, reviews and EHC plans, including advice and information provided to parents regarding educational needs and accessibility strategy | The students date of birth, plus 31 years | Secure disposal |
| 3.10 | Self-evaluation forms – Internal moderation | Current academic year, plus one year | Secure disposal |
| 3.11 | Self - evaluation forms – External moderation | Retained until superseded | Secure disposal |
| 3.12 | Students work | Returned to students at the end of the academic year, or retained for the current academic year, plus one year | Secure disposal |
| 3.13 | Extra curriculum activities | | |
| 3.13a | Field file – information taken on Academy trips | Until the conclusion of the trip, plus one month Where a minor incident occurs, field files are added to the core system as appropriate | Secure disposal |

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| 3.13b | Financial information relating to Academy trips | Whilst the student remains at Academy, plus one year | Secure disposal |
| 3.13c | Parental consent forms for Academy trips where no major incident occurred | Until the conclusion of the trip | Secure disposal |
| 3.13d | Parental consent forms for Academy trips where a major incident occurred | 25 years after the students date of birth on the students record (permission slips of all students on the trip will also be held to show that the rules had been followed for all students) | Secure disposal |
| 3.14 | Catering and free school meals administration | | |
| 3.14a | Free school meals registers (where the register id used as a basis for funding) | Current year, plus 6 years | Secure disposal |
| 3.14b | Meal administration | Current year, plus 3 years | Secure disposal |

d. Employee Records

| Ref | Record | Minimum Retention Period | Action After Retention |
|------|--|---|------------------------|
| 4.1 | Operational | | |
| 4.1a | Academy employee personnel files | Termination of employment, plus six years, unless the Academy employee is part of any case which falls under the terms of reference of the IICSA. If this is the case, the file will be retained until the IICSA enquiries are complete | Secure disposal |
| 4.1b | Annual appraisal and assessment records | Current academic year, plus six years | Secure disposal |
| 4.1c | Sickness absence monitoring (where sickness pay is not paid) | Current academic year, plus three years | Secure disposal |
| 4.1d | Sickness absence monitoring (where sickness pay is paid) | Current academic year, plus six years | Secure disposal |
| 4.1e | Employee training (where training leads to CPD) | Length of time required by the CPD professional body) | Secure disposal |

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| 4.1f | Employee training (except where the training relates to dealing with students, e.g. First aid or H&S) | Retain in the personnel file | Secure disposal |
| 4.1g | Employee training (where the training relates to students, e.g. safeguarding or other student related training) | Date of training, plus forty years | Secure disposal |
| 4.2 | Recruitment | | |
| 4.2a | Interview notes and recruitment records relating to the appointment of a new Principal (unsuccessful attempts) | Date of appointment, plus six months | Secure disposal |
| 4.2b | Interview notes and recruitment records relating to the appointment of a new Principal (successful appointments) | Added to employee's personnel file and retained until the end of appointment, plus six years, except in cases of negligence or claims of child abuse, then records are retained for at least fifteen years | Secure disposal |
| 4.2c | Interview notes and recruitment records relating to the appointment of new Academy employees or Trustees (unsuccessful candidates) | Date of appointment of the successful candidate, plus six months | Secure disposal |
| 4.2d | Pre-employment vetting information (successful candidates) | For the duration of the employee's employment, plus six years | Secure disposal |
| 4.2c | Proof of identity collected as part of the enhanced DBS check | Where necessary to keep a copy, it will be placed in the employee's personnel file | Secure disposal |
| 4.2d | Evidence of right to work in the UK | Added to the employee's personnel file or, if kept separately, termination of employment, plus no longer than two years | Secure disposal |
| 4.3 | Disciplinary and grievance procedures | | |
| 4.3a | Child protection allegations, including where the allegation is unproven | Added to employee's personnel file, and until the individual's normal retirement age, or ten years from the date of the allegation – whichever is longer | Reviewed and securely disposed of |

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| | | <p>If allegations are malicious, they are removed from the personal files</p> <p>If the allegations are found, they are kept on the personnel file and a copy provided to the person concerned unless the Academy employee is part of any case which falls under the terms of reference of the IICSA. If this is the case, the file is retained until IICSA enquiries are complete</p> | |
| 4.3b | Oral warning | Date of warning, plus six months | Securely disposed of, if placed on employee's personnel file, to be removed from the file |
| 4.3c | Written warning - level 1 | Date of warning, plus six months | Securely disposed of, if placed on employee's personnel file, to be removed from the file |
| 4.3d | Written warning – level 2 | Date of warning, plus twelve months | Securely disposed of, if placed on employee's personnel file, to be removed from the file |
| 4.3e | Final warning | Date of warning, plus eighteen months | Securely disposed of, if placed on employee's personnel file, to be removed from the file |
| 4.3f | Records relating to unproven incidents | Conclusion of the case, unless the incident is child protection related, then it is disposed of as per 4.3a | Secure disposal |

f. Finance Records

| Ref | Record | Minimum Retention Period | Action After Retention |
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| 5.1 | Financial records | Current year, plus six years | Secure disposal |
| 5.2 | All records relating to the creation and management of budgets, including the | Life of the budget, plus three years | Secure disposal |

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| | annual budget statement and background papers | | |
| 5.3 | Employee finance records | Current academic year, plus six years | Secure disposal |
| 5.4 | Personal bank details | Until superseded, plus three years | Secure disposal |
| 5.5 | Contract Management | | |
| 5.5a | All records relating to the management of contracts under seal | Last payment on the contract, twelve years | Secure disposal |
| 5.5b | All records relating to the management of contracts under signature | Last payment on the contract, plus six years | Secure disposal |
| 5.5c | Records relating to the monitoring of contracts | Life of the contract, plus six years or twelve years | Secure disposal |

g. Health and Safety Records

| Ref | Record | Minimum Retention Period | Action After Retention |
|-----|--|--|------------------------|
| 6.1 | Health & safety policy statement | Duration of the policy, plus three years | Secure disposal |
| 6.2 | Health & safety risk assessments | Duration of risk assessment, plus three years provided that a copy of the risk assessment is stored with the accident report if an incident has occurred | Secure disposal |
| 6.3 | Records relating to any reportable death, injury, disease or dangerous occurrence under RIDDOR | Date of incident, plus three years providing that all records relating to the incident are held on the personnel file | Secure disposal |
| 6.4 | Accident reporting – adults | Three years after the last entry in the accident book | Secure disposal |
| 6.5 | Accident reporting – students | Three years after the last entry in the accident book | Secure disposal |
| 6.6 | Records kept under the Control of Substances Hazardous to Health Regulations | Date of incident, plus 40 years | Secure disposal |

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| 6.7 | Information relating to areas where employees and persons are likely to come into contact with asbestos | Date of last action, plus forty years | Secure disposal |
| 6.8 | Information relating to areas where employees and persons are likely to come into contact with radiation (maintenance records or controls, safety features and PPE) | Two years from the date on which the examination was made | Secure disposal |
| 6.9 | Information relating to areas where employees and persons are likely to come into contact radiation (dose assessment and recording) | Until the person to whom the record relates would have reached seventy-five years old, but in any event for at least thirty years from when the record was made | Secure disposal |
| 6.10 | Fire precaution log books | Current academic year, plus three years | Secure disposal |
| 6.11 | Health and safety file to show current state of buildings, including all alterations (wiring, plumbing, building works etc.) to be passed on in the case of change of ownership | Permanent | Passed to new owner on sale or transfer of building |

7. Retention of Other Academy Records

| Ref | Record | Minimum Retention Period | Action After Retention |
|------|---|--|---|
| 7.1 | Property management | | |
| 7.1a | Title deeds of properties belonging to the Academy | Permanent | Transferred to new owners if the building is leased or sold |
| 7.1b | Plans of property belonging to the Academy | For as long as the building belongs to the Academy | Transferred to new owners if the building is leased or sold |
| 7.1c | Leases of property leased by or to the Academy | Expiry of lease, plus six years | Secure disposal |
| 7.1d | Records relating to the letting of the Academy premises | Current financial year, plus six years | Secure disposal |
| 7.2 | Maintenance | | |

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| 7.2a | All records relating to the maintenance of the Academy carried out by contractors | For as long as the Academy owns the building and then passed onto any new owners if the building is leased or sold | Secure disposal |
| 7.2b | All records relating to the maintenance of the Academy carried out by Academy employees | For as long as the Academy owns the building and then passed onto any new owners if the building is leased or sold | Secure disposal |
| 7.3 | Operational administration | | |
| 7.3a | General files series | Current academic year, plus five years | Reviewed and securely disposed of |
| 7.3b | Records relating to the creation and publication of the Academy brochure and/or prospectus | Current academic year, plus three years | If a copy is not preserved by the Academy, standard disposal |
| 7.3c | Records relating to the creation and distribution of circulars to employees, parents or students | Current academic year, plus one year | Standard disposal |
| 7.3d | Newsletters and other items with short operational use | Current academic year, plus one year | One copy archived, other copies standard disposal |
| 7.3e | Visitors Sign in information | Six years | Reviewed then secure disposal |
| 7.3f | Records relating to the creation and management of parent-teacher associations and/or old student associations | Current academic year, plus six years | Reviewed then secure disposal |
| 7.3g | Academy privacy notice which is sent to parents | Until superseded, plus six years | Secure disposal |
| 7.3h | <p>Emails (Emails that contain information that exists elsewhere on the Academy's systems must be deleted as soon as possible)</p> <p>Email services have an operational function and are not provided for the storage or filing of documents and as such emails must be reviewed and dealt with promptly.</p> | <p>Email must only be retained for as long as stipulated in the Academy Email Policy.</p> <p>Everyone is responsible for the management of their own email account. Emails should be reviewed, actioned and filed/deleted as appropriate as soon as possible upon receipt.</p> <p>See the Academy Email Policy for guidance.</p> | Secure Disposal |

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| | It should be remembered that Information held in an email or and attachment to an email may be required to be included in SAR or FOI request. | | |
| 7.3i | <p>Network accounts</p> <p>Access to networks are on a needs to know basis and as such when someone leaves employment or moves to a different job role their account access should be removed or level of access changed.</p> | <p>Will be locked as soon as the user leaves the employment of the Academy.</p> <p>A decision on the retention of data should be decided within 90 days. The files and emails should be moved to the required appropriate storage during this time</p> | Secure Disposal |
| 7.3j | Third party services with network access (A list access should already be known for each user or should be able to be ascertained quickly) | All third-party access should be removed immediately upon the user leaving the Academy. | Secure Disposal |
| 7.3k | Phone Call Recordings | <p>7 days</p> <p>If the recording is subject to an investigation it will be moved to a secure location and is subject to a retention period as detailed within this document.</p> | Secure Disposal |
| 7.3l | CCTV Recordings | <p>30 days</p> <p>If the recording is subject to or part of an investigation into a complaint, safeguarding complaint, disciplinary/grievance process or exclusion, it will be moved to a secure location and will be deleted as soon as the investigation is closed or will be subject to the retention period of the complaint or investigation as detailed within this document.</p> | Secure Disposal |

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| 7.3m | Community Bookings Information - Booking Forms & data | For as long as the booking continues plus 12months | Secure Disposal |
| 7.3n | Online/Remote lesson recordings | For as long as the lesson is required to facilitate online/remote learning. | Secure Disposal |

11. Further Information and Associated Policies

11.1 For further information about Information Governance please visit the ICO website www.ico.org.uk

11.2 This policy should be read alongside:

- Information Governance Strategy
- Information Risk and Security Policy
- CCTV Policy
- Data Protection Policy
- Confidentiality Policy
- Freedom of Information Policy
- Information Rights Policy
- Records Management Policy and Schedule
- Incident Management Policy
- Subject Access Request Policy
- Consent to Use Personal Data Guidance
- Impact Levels and Protective Marking Guidance