



Arolygiaeth Ei Mawrhydi dros Addysg a Hyfforddiant yng Nghymru
Her Majesty's Inspectorate for Education and Training in Wales

Records retention and disposal schedule

This policy is also available in Welsh.

Information sheet

Information box

For further advice contact: Information Governance Group

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Version control

Document version	Author	Date of issue	Changes made
1.0	Ben Thomas	March 2008	-
2.0	Information Governance Group (IGG)	14 April 2014	Review completed
3.0	Cheryl Davies & IGG	April 2015	Inspection/education records retention periods reviewed only
3.1	Dai Williams & IGG	September 2015	Changes to retention period for SOF/STEFs etc. Updated logo and roles.
3.2	IGG	November 2016	Increased the retention period of any information relating to safeguarding.
4.0	IGG	November 2018	Retention periods amended due to: <ul style="list-style-type: none">• Our introduction of a new common inspection framework and reflect the new systems we now use to support this work.• to ensure we comply with the General Data Protection Regulations and new Data Protection Act.
4.1	IGG	July 2020	Additional records added and columns added to identify retention resource and asset owner
5.0	IGG	July 2021	Clarified IAOs and added references to sources for retention rationale

Equality Impact Assessment

A business rationale assessment has been carried out and this policy contributes to Estyn's strategic objectives and delivery principles.

In accordance with Estyn's Equality Impact Assessment, an initial screening impact assessment has been carried out and this policy is not deemed to adversely impact on the grounds of the nine protected characteristics as laid out by the Equality Act 2010.

Policy statement

The purpose of the retention schedule

Under the Freedom of Information Act 2000, public authorities are required to maintain a retention schedule listing the record series which the authority creates in the course of its business. The retention schedule lays down the length of time which the record needs to be retained and the action which should be taken when it is of no further use.

This retention schedule contains retention periods for the different records created and maintained by Estyn in the course of our business. This schedule covers data held in a variety of formats, on paper and electronically.

Some retention periods are governed by legislation or regulations. Others are guidelines following best practice. We have made every effort to ensure that these retention periods comply with the General Data Protection Regulation 2018 (GDPR), Data Protection Act 2018 (DPA), and the Freedom of Information Act 2000 (FOIA).

Managing records against the retention schedule is considered “normal processing” under the DPA, GDPR and the FOIA, and has a number of benefits:

- Allows the management of information to be consistent and compliant
- We can be confident about disposing information at the appropriate time
- Information which is subject to DPA, GDPR and the FOIA legislation will be available when required
- We are not maintaining and storing information unnecessarily.
- The risk of a complaint of unauthorised tampering with files in response to a freedom of information request or a data subject access request is reduced.

Disposal of records

The Freedom of Information Act 2000 requires us to document the disposal of records that are listed on the records retention schedule.

We will keep records in line with their specified retention period and we will dispose of them appropriately.

The Information Asset Owner will identify records or information that require destruction and will arrange appropriate destruction of the file.

A record of the destruction, its scope and date completed will be retained.

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Inspection/Follow-up Records					
Core inspection documents held in our Virtual Inspection Room (VIR) and elsewhere, for example judgement forms and reports.	Publication* *Closed complaint/Out of follow-up	6 months (18 months for NMN joint inspections with CIW)	Destroy	Business need - supporting our complaints process	IQP Group
Follow-up inspection documents held in our VIR and elsewhere, for example follow-up forms.	Publication* *Closed complaint	6 months	Destroy	Business need - supporting our complaints process	IQP Group
Any observation notes, emails or paper records generated during inspections, follow-up visits or thematic review.	End of on-site activity	Duration of on-site activity and completion of inspection/follow-up	Destroy	Directive from IQP and in line GDPR and DPA principles of not retaining any personal data un-necessarily	IQP Group
Thematic Records					
Email folders (records of emails between KIO, PO, HMI, Schools and WG – e.g. the planning email folders)	Publication	6 months	Destroy	Business need - complaints and GDPR	Knowledge and Information Officer
Notes taken on the visits	End of on-site activity	Duration of on-site activity and completion of thematic record	Destroy	Business need - complaints and GDPR	Knowledge and Information Officer
SharePoint docs including: <ul style="list-style-type: none"> • Draft reports • PBF • Aide Memoir • NOVs 	Publication Internal docs such as the PBF and survey questions	6 months	Destroy	Business need - complaints and GDPR	Knowledge and Information Officer

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
<ul style="list-style-type: none"> • Notification docs • Visit plans • Power points • Publication docs 	can be kept in the research library				
Questionnaire responses	Publication	6 months	Destroy	Business need - complaints and GDPR	Knowledge and Information Officer
Final Report (Website and Provider Files)	Publication	15 years	Review	Business need – retain for two cycle lengths	Knowledge and Information Officer
Provider Files					
Independent school advice on initial registration and follow up to registration	Closure of establishment	2 years	Destroy	National Archives 9 – Information management records	Information services or independent sector lead officer
Independent school standards regulations checklist	Closure of establishment	2 years	Destroy	Business need - National Archives 9 – Information management records	Independent sector lead officer
Material change advice	Closure of establishment	2 years	Destroy	National Archives 9 – Information management records	IQP Group
Data reports	After each annual update	5 years (Data for last 3 years to be transferred to the VIR)	Destroy	Business need	Statistics Officer
Provider related correspondence and complaints	Date saved	15 years	Destroy	Business need – retain for two cycle lengths	IQP Group
Health and safety correspondence Inspection reports,	Date saved	15 years	Destroy	Business need – retain for two cycle lengths	IQP Group

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
follow-up reports, annual monitoring reports and confirmation of category letter					
SEN consent advice	Date saved	15 years	Destroy	Business need – retain for two cycle lengths	IQP Group
Notes of link visits	Date saved	15 years	Destroy	Business need – retain for two cycle lengths	IQP Group
Databases					
<ul style="list-style-type: none"> • Inspection outcomes database • Reporting JF database • Questionnaire responses database • Follow up visit database 	Completed inspection	15 years At the end of each cycle, data should be aggregated to the highest level without losing any value	Review	Business need - GDPR	Statistics Officer
Databases of education data received from external sources, e.g., achievement records of pupils and learners received from the Welsh Government		Retained according to the stipulations in the individual Data Access Agreements for each data set		Business need - GDPR	Statistics Officer
External Inspector information (peer inspectors, challenge advisors, contracted additional and lay inspectors)					
Inspection Tender and Contract awarding information	Award of contract	Contract term + 6 years	Destroy	In line with National Archives guidance 3 – Accounting records	Procurement Manager
Resource planning tool (Cygnum):	Inactive	7 years	Delete details apart from name of the individual, role on	Retain for a cycle length after being made inactive.	Cygnum Lead Officer

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
<ul style="list-style-type: none"> Personal details including preclusions Deployment history History of Estyn training events attended 			the team and type of inspector	Retaining Name etc as the attendance on the inspection is a public record.	
Qualitative data: <ul style="list-style-type: none"> Inspector Evaluation Forms Quality Assurance of Inspections or Report evaluations 	Inactive	7 years	Destroy	Retaining this information whilst inspector is active as it makes up our record of their employment history and could be used to decide contract awarding and deployment. e.g. if we only retain a certain number of records we will need to keep them for all various combinations of the roles carried out. (someone may receive inadequate grades as RI but good grades as a team inspector, and therefore we may choose to deploy in this role but not as an RI)	Cygnum Lead Officer
Any issues/correspondence	Inactive	7 years	Destroy	One cycle	IQP

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner	
	relating to the inspector for example, letters about DBS content, performance, thank you letters					
Employment Records (Part A File for paper records)						
	Bank/Building society references	Date provided	6 months	Destroy	Retention dates are based on guidance obtained from: <ul style="list-style-type: none"> • The National Archives, Records Management Retention Scheduling, Employee personnel records March 2006 • Acas, Personnel data and record keeping booklet • CIPD Keeping HR Records Factsheet • Information Commissioner's Office Retention Schedule 	Human Resources Manager
	Tenants/Guarantor references	Date provided	6 years	Destroy		
	Documents supporting identity checks Immigration/right to work documentation	Date of appointment	6 months (unless there is a valid reason to exceed)	Destroy		
	Recruitment / selection papers – unsuccessful applicants and general recruitment information	Start date of the last appointment from each campaign	2 years (Civil Service Commission requirement)	Destroy		
	Annual leave/flexi/special leave records	End of the tax year in which the leave was taken	2 years	Destroy		
	Working time directive opt out forms	Opt-out rescinded or ceased to apply	3 years	Destroy		
	Qualification details	Date of appointment or Date qualification gained	6 years (unless relevant role e.g. QTS which would be age 100 of individual)	Destroy		
	References	Date of appointment	6 years	Destroy		
	Training history – 6 years of learning and development records	Employment end date	6 years	Destroy		

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Statutory maternity, paternity, adoption and shared parental pay documents	End of the tax year during which the pay period ends	6 years	Destroy		
Parental leave	Date of birth/adoption Receipt of disability allowance	5 years 18 years	Destroy		
Current bank and address details	Employment end date	6 years	Destroy		
Emergency contact details	Employment end date	6 years	Destroy		
Pay details, SQ1 forms and P45s	End of tax year	6 years	Destroy		
Salary advances	End of the tax year in which the advance was repaid in full	6 years	Destroy		
Overpayment documentation	End of the tax year in which the overpayment was repaid in full or written off	6 years	Destroy		
Redundancy papers	Date of redundancy	6 years	Destroy		
Relocation costs	End of the tax year in which the costs were claimed	5 years	Destroy		
Pension opt outs	Date correspondence saved	4 years	Destroy		
Pension re-enrolment information	Date correspondence saved	6 years	Destroy		

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Homeworking risk assessment reports and reviews	Date report/review is superseded by a new assessment/review	5 years	Destroy		
Disciplinary – formal action Written warnings	Date of last action Date lapsed if no further similar or related incidents	6 years 1 year	Destroy		
Dispute resolution records (formal)	Date of last action	6 years	Destroy		
Unsuccessful flexible working requests	Employment end date	4 years	Destroy		
Health records Medical forms (unrelated to industrial injury)	End of tax year in which the absence ended	4 years	Destroy		
Performance Management Form	End of the performance year	5 years	Destroy		
Documents relating to last 5 years of employment	Last day of service	Age 100	Destroy		
Employment Records (Part B File for paper records)					
Recruitment/Selection papers – successful candidates	Date of appointment	Age 100	Destroy	Retention dates are based on guidance obtained from; • The National Archives, Records Management	Human Resources Lead Officer
Pension Choices Form/Death Benefit Nomination and Revocation Forms	Date form received				

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Employment Contracts/Statement of Employment Particulars	Date of appointment / change			Retention Scheduling, Employee personnel records March 2006 <ul style="list-style-type: none"> • Acas, Personnel data and record keeping booklet • CIPD Keeping HR Records Factsheet • Information Commissioner's Office Retention Schedule 	
Career and location history (within Estyn)	Date of appointment				
Previous service records/supporting papers summary information	Date of appointment				
Transfer records (summary information)	Date of appointment / last day of service				
Changes to terms and conditions, e.g. change of hours, home working	Date of change				
Promotion and temporary promotion papers (summary information)	Date of promotion / temporary promotion				
Disciplinary action – papers relating to action which has resulted in any changes to terms and conditions of service, salary, allowances etc	Date of change				
Probation forms	Date of appointment				
Resignation, termination and/or retirement letters	Date received				
Health Records (Part B File for paper records)					
Summary sickness absence – dates and causes of sick leave	Last day of service	Age 100	Destroy	Retention dates are based on guidance obtained from;	Human Resources Lead Officer
Health declaration	Date of appointment				

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Health referrals and medical reports	Date created / received			<ul style="list-style-type: none"> • The National Archives, Records Management Retention Scheduling, Employee personnel records March 2006 • Acas, Personnel data and record keeping booklet • CIPD Keeping HR Records Factsheet • Information Commissioner's Office Retention Schedule 	
Papers relating to an injury on duty	Date received				
DSE assessments	Date completed				
Correspondence with the pension scheme medical advisers	Date created / received				
Personal Records (Part B File for paper records)					
Baseline security standard verification record	Date of appointment	Age 100	Destroy	Retention dates are based on guidance obtained from; <ul style="list-style-type: none"> • The National Archives, Records Management Retention Scheduling, Employee personnel records March 2006 • Acas, Personnel data and record keeping booklet 	Human Resources Lead Officer
Unpaid leave period e.g. maternity, paternity, adoption, shared parental, special leave	Date leave taken				
Risk assessment reports	Date report superseded	5 years	Destroy		
Risk assessment reports for the last 5 years of service	Last day of service	Age 72	Destroy		
Agency worker record	End of the tax year in which the individual left	4 years	Destroy		

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Secondees worker record	End of the tax year in which the individual left	4 years	Destroy	<ul style="list-style-type: none"> • CIPD Keeping HR Records Factsheet • Information Commissioner's Office Retention Schedule 	
Finance Records					
Payment authorisation documents, goods received notes, purchase order forms, payroll reports and copies of the supporting prime documents that justify payments	End of the financial year to which the records relate	6 years	Destroy	<p>The retention periods cited by The National Archives are based on the general National Audit Office (NAO) requirement that main accounting ledgers should be retained for six years and supporting documents for eighteen months following the end of the financial year to which they relate. We retain these for 3 years for auditing.</p> <p>It is not unusual for departments to retain supporting documentation also for six years, for example where goods are supplied. In the event of a query or dispute,</p>	Finance Lead Officer
Form FS/12/1288 (Record of loss, special payments etc that authorises the losses against voted expenditure) and supporting documents		6 years	Destroy		
Registered files containing restricted, commercial, budget or other financial information		6 years	Destroy		
Registered files containing general advice		6 years	Destroy		
Assets/equipment registers/records –		6 years after disposal of	Destroy		

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
registers/records documenting the assets, equipment, furniture etc		item/asset or last one in register		the invoice may not provide the necessary information and the supporting documentation may form part of the evidence required	
Travel and Subsistence claims and authorisation		3 years	Destroy		
Contracts under £100k – includes successful and unsuccessful tenders		6 years	Destroy		
Contracts over £100K – includes successful and unsuccessful tenders		6 years	Destroy		
Tenders					
Bidder documents	Date contract awarded	6 months	Destroy		Procurement Manager
Tender award documents	Date contract awarded	6 months	Destroy		Procurement Manager
Conditions of contracts	Date signed				Procurement Manager
Contact management meeting minutes	Agreed				Procurement Manager
Finance and Procurement: Procurement: Standard documentation used in the procurement process	Documentation superseded	3 years	Destroy	Business need	Procurement Manager
Risk Management					
Operational Impact Assessment	Date of application	6 years	Destroy	Business need	SDG Group
H & S risk assessments	Date of assessment				H & S Officer
Communications/Media Records					
Unregistered website subscriptions		1 year	Destroy	Business need – GDPR	

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Photographs / film provided via consent forms	End of the financial year to which the records relate.	3 years	Destroy	Business need - GDPR	Stakeholder engagement manager
Press releases	Last action	6 years	Review	Business need	Stakeholder engagement manager
Engagement with significant stakeholders: This will include consultations with government departments, citizens and other inspectorates	Last action	6 years	Review	Business need	Research and Information Officer
Consultations: Estyn gathers information externally through an open consultation in relation to a policy and inspection activity they are developing	Policy Published	As soon as policy is published	Destroy	Business need	EB to nominate
Request for Publications	Date received	4 weeks	Destroy	Business need	Publications Lead Officer
Events Records					
Event registration information, on events management system and internal systems (contact details, dietary requirements, other	End of the financial year to which the records relate.	2 years	Anonymise	Kept in system to as users may wish to re-enrol. Keeping user details in the system allows efficient re-enrolment.	Stakeholder engagement manager

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
requirements, attendance etc)				Individuals must attend initial or update training every 2 years, maintain evidence of recent attendance.	
Evaluation of events surveys, including SmartSurvey		2 years	Anonymise		
Training assessment records (paper copies)		2 years	Destroy	Business need - GDPR	
Training assessment documents (in VIR Training sites)		3 months	Destroy		
Emails relating to events		1 year	Destroy		
Correspondence and Other Information					
Information created in relation to new policies, guidelines and research. This information has been created internally to guide decision making. This relates to any final drafts and significant supporting information.	Last action	5 years 25 years	1 st Review 2 nd Review	Business need	IQP
General administration	Date saved of final document	5 years 25 years	First Review Second Review	Business need	IQP Group
Complaints, investigations, and reviews	Case closed	10 years	Destroy	National Archives Guidance. Records Management retention schedule 7 - Complaints	Complaints Officer
Freedom of Information Act cases	Case closed	10 years	Destroy	In line with National Archives guidance 9 -	FOI Officer
Subject access requests	Case closed	10 years	Destroy		DPA Officer

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
				Information management records	
Safeguarding	Case closed	99 years	Destroy	GDPR and safeguarding policy including the categorisation criteria and retention rates: here .	Safeguarding Group
Corporate Governance and Functions					
Memorandum of Understanding (MOU)	End of MOU	6 years	Destroy	Business need	IGG
Internal Committees and Groups minutes	Agreed	6 years	Review	Business need	IGG
Organisation wide Corporate Plans, Policies, Business Continuity, Risk Management and Strategies	Superseded	3 years	Review	Business need	Director of Corporate Services
Health and Safety Inspections, Property Management and Asset Records	Last action	6 years	Review	The National Archives Retention Scheduling: Departmental Accounts, Health and Safety at Work Act 1974 and supporting Regulations, Limitation Act 1980,	Office Services Lead Officer
Records and Information Management	Last action	3 years	Review	Business need	ITCSO
IT infrastructure	Last action	3 years	Review	Business need	ITCSO
IT security	Last action	6 years	Review	Business need	ITCSO

Records retention and disposal schedule

	Retention Trigger	Retain For	Action	Retention rationale	Information Asset Owner
Projects and Corporate Programmes	Last action	6 years	Review	Business need	Director of Corporate Services
System audits	Last action	1 year	Destroy	Business need	DPO
Reception sign in Book	End of year	2 year	Destroy	Business need	IAO Office Services
Legal					
Legal Advice	Last action	6 years	Review	Limitation Act 10980	EB to nominate
Contracts	End of contract	6 years	Review	The National Archives Retention Scheduling: Contractual Records	EB to nominate
Communication activities					
Staff mailboxes and Outlook	Creation	2 years	Destroy	Business need	ITCSO
Enquiries Inbox	Creation	2 years	Destroy	Business need	Stakeholder engagement manager
Internal email mailboxes	Creation	2 years	Destroy	Business need	ITCSO
Physical correspondence (not HR or personnel)	Once scanned	6 months	Destroy	Business need	IAO Office Services