

# RECORDS RETENTION POLICY



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## 1. INTRODUCTION

- 1.1. Within this policy 'we' and 'us' means the Federation.
- 1.2. The main aim of this policy is to enable us to manage our records effectively and in compliance with data protection (namely: the UK General Data Protection Regulation ("**UK GDPR**"), the Data Protection Act 2018 ("**DPA 2018**") and other related legal and regulatory requirements.
- 1.3. This policy applies to all our staff, including employees, trustees and governors, volunteers, trainees, consultants, external contractors, temporary workers and those employed on a casual basis. All such persons must understand and comply with this policy. Failure to do so may subject us, and/or our workforce to civil and/or criminal liability. Any failure to comply with this policy may result in disciplinary sanctions, including suspension or termination of a contract.
- 1.4. As an organisation we collect, hold, store and create significant amounts of data and information, and this policy provides a framework of retention and disposal of categories of information and documents.
- 1.5. This policy covers all data that the Federation holds or has control over. This includes physical data such as hard copy documents, contracts, notebooks, letters and invoices. It also includes digital data such as emails, electronic documents, and audio and video recordings.

This policy also covers data that is held by third parties on the Federation's behalf, for example cloud storage providers. It also extends to data that belongs to us but is held by employees or volunteers on their personal devices (e.g. personal mobile phones) in accordance with our ICT policy.

- 1.6. We are committed to the principles of data protection including the principle that personal data is only to be retained for as long as necessary for the purpose concerned, known as the "storage limitation principal".
- 1.7. Appendix 1 sets out the main categories of information that we hold, the length of time that we intend to hold them, and the reason for this.
- 1.8. For information, Appendix 1 sets out the legal requirements for certain categories of documents.
- 1.9. This policy sets out the destruction procedure for documents at the end of their retention period. The Data Protection Officer (DPO) shall be responsible for ensuring that this is carried out appropriately, and any questions regarding this policy should be referred to him.
- 1.10. If a document or piece of information is reaching the end of its stated retention period, but you are of the view that it should be kept longer, please refer to The Data Protection Officer, who will decide as to whether it should be kept, for how long, and note the new time limit and reasons for extension.

## 2. TYPES OF DATA

- 2.1 Retention schedule data: Certain types of data that we routinely process are listed in the retention schedule in the Appendix. There are various reasons why we retain this data, for example, we may have a legal requirement to retain it, or we may need it in order to provide education to our students.
- 2.2 Disposable data: Disposable (day-to-day) data consists of data that serves only a temporary purpose and is not a part of any formal or official record included in the retention schedule. Such data should be deleted or discarded by the user once it has served its temporary purpose.

Examples of disposable data include:

- duplicates of originals that have not been annotated;
  - preliminary drafts of documents that do not represent significant steps or decisions and are not required to be retained;
  - manuals, training materials and other printed materials obtained from sources outside of the Federation and retained for reference purposes;
  - spam and junk mail and day-to-day emails that are no longer relevant to the needs of the Federation.
- 2.3. Personal data: Both retention schedule data and disposable data may contain personal data. Data protection laws require us to retain personal data for no longer than is

necessary for the purposes for which it is processed (this is known as the principle of storage limitation). See Appendix 1 for more information.

### 3. PRINCIPLES OF DATA RETENTION

- 3.1 Through our data retention practices, we aim to meet the following commitments:
- comply with relevant legal and regulatory requirements to retain data;
  - comply with our data protection obligations;
  - handle, store and dispose of data responsibly and securely;
  - create and retain data where we need this to operate effectively, but not create or retain data without good reason;
  - allocate appropriate resources and responsibilities to data retention, regularly monitor compliance with this policy and when required.

### 4. DOCUMENT RETENTION PERIOD

- 4.1 We will adhere to the proposed retention periods set out by the Records Management Society in their Tool Kit for Schools.
- 4.2 The retention schedule contained in Appendix 1 sets out the categories of data that we hold, the length of time that we need to retain them, and the reason for this. Please note, there may be valid reasons why data should be deleted earlier than the period indicated in the retention schedule. The Federation will keep all data held under review to ensure that we only retain information for as long as necessary.
- 4.3 Any data that is part of any of the categories listed in the retention schedule, must be retained for the relevant amount of time indicated. It must not be retained beyond the period indicated in the retention schedule, unless a valid reason (including notice to preserve documents for contemplated litigation or other special situation see special circumstances section below) calls for its continued retention.
- 4.4 Where personal data is listed in the retention schedule, we have considered the principle of storage limitation and balanced this against our requirements to retain the data.
- 4.5 The retention schedule does not set out retention periods for disposable data. This type of data should only be retained for as long as it is needed. Once it no longer has any value to the Federation, it should be securely disposed of. Where personal data is disposable information, we must consider the principle of storage limitation when deciding whether to retain this data.
- 4.6 If data is not listed in the retention schedule, it is likely that it should be classed as disposable data. However, if you consider that there is an omission in the Retention Schedule, or if you are unsure whether to retain a certain record, contact the DPO for further guidance.

### 5. STORAGE AND BACK-UP OF DATA

- 5.1 Our data must be stored in a safe, secure, and accessible manner. Any documents that are essential to the Federation's operations must be duplicated and/or backed up regularly (at least once a month) on a separate network/network segment, preferably off site. The Federation IT Team has responsibility for ensuring back-ups and/or duplicated storage is maintained.

- 5.2 If a document has reached the end of its stated retention period, but you are of the view that it should be retained for longer, please refer to the DPO, who will decide whether it should be retained, for how long, and note the new time limit and reasons for extension.

## 6. DELETION OF DOCUMENTS

- 6.1. When a document is at the end of its retention period, it should be dealt with in accordance with this policy.
- 6.2. It may be necessary to delete certain personal data before the end of the retention period in response to a request for erasure. Any such requests should be forwarded to the DPO who will decide how to proceed.
- 6.3. The DPO is responsible for working with relevant team leaders and identifying the data that has reached its retention period and its safe destruction.

## 7. CONFIDENTIAL WASTE

- 7.1. The destruction of confidential data (confidential documents will include financial, staff and workforce-related records, and other documents containing sensitive information) must be conducted securely. i.e., in such a way that it cannot be read or reconstituted.
- 7.2. In the case of hard copy records such as paper records, these should be securely shredded (i.e., using a cross-cutting shredder).
- 7.3. In the case of digital storage devices such as DVDs, these should be securely cut and hard discs ground down.
- 7.4. Any records that contain personal data or special category personal data should be treated as confidential.

## 8. NON-CONFIDENTIAL DATA

- 8.1. Non-confidential hard copy data may be destroyed by recycling.
- 8.2. Electronic data

The destruction of electronic data must be overseen by the DPO who will decide whether the relevant data should be deleted irretrievably, archived or (in cases where permanent deletion is temporarily impossible for technical reasons) 'put beyond use' (with appropriate safeguards in place and commitment for permanent deletion, when it becomes possible).

- 8.3. Routine deletion

Certain data may be routinely archived by the computer systems. Should you want to retrieve any information, or prevent this happening in a particular circumstance, please contact the DPO.

You should always consider the following factors when deciding on retention or disposal:

- has the information come to the end of its useful life?

- is this data included in the retention schedule? Is there a legal requirement or other justification to keep this data and if so, for what period? (Refer to Appendix 1 for more information).
- would this data be likely to be needed in the case of any legal proceedings? (Is the information contentious, does it relate to an incident that could potentially give rise to legal proceedings?).
- would the document be useful for the Federation as a precedent, learning document, or for performance management processes?
- is the document of historic or statistical significance? If it includes personal data, is it possible to retain it in an anonymised or pseudonymised form?
- are there any special circumstances set out in the section below?

## 9. SPECIAL CIRCUMSTANCES – PRESERVATION OF DOCUMENTS

- 9.1. The destruction of data must stop immediately if you believe, or you are informed that certain records may be relevant to current litigation or contemplated litigation (that is, a dispute that could result in litigation), government investigation, audit, or any other event. In such circumstances, you must preserve and not delete, dispose, destroy, or change those records, including emails and other electronic documents, until the DPO determines those records are no longer needed. Preserving documents includes suspending any requirements in the retention schedule and preserving the integrity of the electronic files or other format in which the records are kept.
- 9.2. If you believe this exception may apply, or have any questions regarding whether it may apply, please contact the DPO.
- 9.3. You may be asked to suspend any routine data disposal procedures in connection with certain other types of events, such as receipt of a data subject request, a restructure or the replacement of our information technology systems. Destruction may begin again once the DPO lifts the requirement for preservation.

## 10. OTHER RELEVANT POLICIES

- 10.1. This policy supplements and should be read in conjunction with our other policies and procedures in force from time to time, including the Data Protection Policy and the ICT Policy.

## APPENDIX 1: DOCUMENT RETENTION PERIODS

### REVIEW OF DATA

On an annual basis, the DPO works in conjunction with each team to review its records containing personal data.

Based on what is stored at the relevant time, records should be subject to one of 3 eventualities:

- Keep, on the grounds that you know or are confident it is still required
- Delete, on the grounds that you are certain it is no longer required or that you no longer consider that there is a plausible legal, operational, educational or other business reason to keep
- Secure Archive, if genuinely unsure whether to keep or delete (e.g., because more information is required or you can't be sufficiently certain either way), put into "secure archive", such that the information is beyond the daily reach of everyone in the organisation. This data should however be accessible to the DPO and wider senior leadership team.

The secure archive folders should be reviewed as part of future annual sweeps, and subject to the same 3-step approach set out here.

Information Type	Statutory basis for retention	Retention period	Action after retention period ends
<b>Corporate records</b>			
Governing documents (Articles of Association, Rules, By-Laws)	Companies Act 2006 Charities Act 2011	Permanent	Secure disposal
Academy funding agreement and any supplemental agreements	Charities Act 2011	Permanent	Secure disposal
Minutes of Trustee and Governor meetings and written resolutions	Companies Act 2006 Charities Act 2011	Recommended at least 10 years	Secure disposal
Members' meetings etc. Minutes / resolutions	Companies Act 2006 Charities Act 2011	Recommended at least 10 years	Secure disposal
Scheme of delegation and terms of reference for committees		To be retained until superseded.	Secure disposal
Annual Reports required by the Department for Education		Date of report + 10 years	Secure disposal

Records relating to the conversion of schools to academy status / creation of free schools		Permanent	Secure disposal
<b>Trustee and Governor Management</b>			
Records relating to the appointment of a clerk to the governing body	Limitation Act 1980	Date on which clerk appointment ceases + 6 years	Secure disposal
Records relating to governor declaration against disqualification criteria	Limitation Act 1980	Date appointment ceases + 6 years	Secure disposal
Register of business interests	Limitation Act 1980	Date appointment ceases + 6 years	Secure disposal
Code of Conduct		Permanent	Secure disposal
Records relating to the training required and received by Governors	Limitation Act 1980	Date appointment ceases + 6 years	Secure disposal
Individual Governor personnel files	Limitation Act 1980	Date appointment ceases + 6 years	Secure disposal
<b>Operational Management of the Federation</b>			
Log books of activity in the Federation maintained by the Executive Principal		Retain for a minimum of 6 years from the date of last entry in the book	Secure disposal
Senior Management Team meetings minutes		Retain for a minimum of 3 years then review as required	Secure disposal
Reports created by the Executive Principal or Senior Leadership Team		Retain for a minimum of 3 years then review as required	Secure disposal
School development plans		Life of the plan + 3 years	Secure disposal
Policies and privacy notices	Limitation Act 1980	Until superseded + 6 years	Standard disposal
Newsletters and other items with a short operational use		Current academic year + 1 year	Standard disposal
Visitor management systems (visitors' books)		Last entry in the visitors' book + 6 years (in case of claims by parents or students about various actions).	Secure disposal

Commercial			
Contracts e.g. with suppliers or grant makers	Limitation Act 1980	Duration of contract term plus 6 years	Secure disposal
Contracts executed as deeds	Limitation Act 1980	Duration of contract term plus 12 years	Secure disposal
Intellectual property records and legal files regarding provision of service	Limitation Act 1980	Life of service provision or IP plus 6 years	Secure disposal
Taxation and Finance			
Annual accounts and review (including transferred records on amalgamation)	Companies Act 2006 Charities Act 2011	Minimum 6 years	Secure disposal
Tax and accounting records	Finance Act 1998 Taxes Management Act 1970	6 years from end of relevant tax year	Secure disposal
Information relevant for VAT purposes	Finance Act 1998 and HMRC Notice 700/21	Minimum 6 years from end of relevant period	Secure disposal
Banking records / receipts book/sales ledger	Companies Act 2006 Charities Act 2011	6 years from transaction	Secure disposal

Insurance			
Employer's Liability Insurance	Employers' Liability (Compulsory Insurance Regulation) 1998	Closure of the Federation + 40 years	Secure disposal. To be passed to the Local Authority on closure.
Policies	Commercial	3 years after lapse	Secure disposal
Claims correspondence	Commercial	3 years after settlement	Secure disposal
Property			
Original title deeds		Permanent / to disposal of property	Secure disposal
Leases	Limitation Act 1980	12 years after lease has expired	Secure disposal
Building records, plans, consents and certification and warranties etc	Limitations Act 1980	6 years after disposal or permanent if of historical / archival interest.	Secure disposal

Health and Safety			
Health and safety policy statements		Life of policy + 3 years	Secure disposal
Health and safety risk assessments		Life of risk assessment + 3 years provided that a copy of the risk assessment is stored with the accident report if an incident has occurred	Secure disposal
Accident reporting records relating to individuals	Social Security (Claims and Payments) Regulations 1979 Regulation 25 1. Social Security Administration Act 1992 Section 8. Limitation Act 1980	The Accident Book – BI 510 – 3 years after last entry in the book	Secure disposal
Records relating to any reportable death, injury, disease or dangerous occurrence (RIDDOR).	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013 No 1471 Regulation 12(2)	Date of incident + 3 years provided that all records relating to the incident are held on an individual's personnel file	Secure disposal
Control of Substances Hazardous to Health (COSHH)	Control of Substances Hazardous to Health Regulations 2002, Regulation 11. Records kept under the 1994 and 1999 Regulations to be kept as if the 2002 Regulations had not been made. Regulation 18 (2)	Date of incident + 40 years	Secure disposal
Process of monitoring of areas where employees and persons are likely to have come into contact with asbestos	Control of Asbestos at Work Regulations 2012 SI 1012 No 632 Regulation 19	Last action + 40 years	Secure disposal

Process of monitoring of areas where employees and persons are likely to have come into contact with radiation.	The Ionising Radiation Regulations 2017. SI 2017 No 1075 Regulation 11  As amended by SI 2018 No 390 Personal Protective Equipment (Enforcement) Regulations 2018	2 years from the date on which the examination was made and that the record includes the condition of the equipment at the time of the examination. Records relating to dose assessment and recording to be maintained until the person to whom the record relates reaches 75 years of age / 30 years from when the record was made.	Secure disposal
Fire Precautions log books		Current year + 3 years	Secure disposal
Health and safety file to show current state of building, including alterations		Permanent / to disposal of property	Transfer to the new owner of the property

## Student Records

<b>Personal Identifiers</b>			
Images used for identification purposes		For the duration of the event/activity, or whilst the student remains at school, whichever is less, plus one month	Secure disposal
Images used for marketing purposes		The Legitimate Interest Assessment states that this data may be retained for as long as the legitimate interest applies.	Secure disposal
<b>Admissions</b>			
Records relating to the creation and implementation of the Admissions Policy	School admissions guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Life of the policy + 3 years then review	Secure disposal
Admission records (successful)	School admissions guidance for admission authorities, governing bodies, local authorities, schools adjudicators	Date of admission + 1 year	Secure disposal

	and admission appeals panels December 2014		
Admission appeal records (unsuccessful appellants)	School admissions guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Resolution of case + 1 year	Secure disposal
Register of Admissions	School admissions guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Each entry in the admission register must be preserved for a period of three years after the date on which the entry was made	Secure disposal
Proofs of address supplied by parents as part of the admissions process	School admissions guidance for admission authorities, governing bodies, local authorities, schools adjudicators and admission appeals panels December 2014	Current year + 1 year	Secure disposal
<b>Educational Records</b>			
Student Educational Record	[The Education (Pupil Information) (England) Regulations 2005] <sup>1</sup> Limitation Act 1980	Primary schools: The file should follow the student when they leave the primary school. Secondary schools: Date of birth of the student + 25 years	Transfer to new school / secure disposal
Child protection information held on student file	Keeping Children Safe in Education statutory guidance for schools and colleges Working together to safeguard children. A guide to inter-agency working to safeguard and promote the	Date of birth of the student + 25 years If any records relating to child protection issues are placed on the student file, it should be in a sealed envelope and then retained for the same period of time as the student file.	Secure disposal

	welfare of children 2018		
Child protection information held in separate files	Keeping Children Safe in Education statutory guidance for schools and colleges Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children 2018	Date of birth of the student + 25 years	Secure disposal
SEN(D) files	Limitation Act 1980	Date of birth of the student + 31 years (An Education, Health and Care Plan is valid until the individual reaches the age of 25 years, the retention period adds an additional 6 years from the end of the plan in line with the Limitation Act 1980).	Secure disposal or transfer to the student's new school
Education Health and Care Plans	Special Educational Needs and Disability Regulations 2014 Children and families Act 2014, part 3	Date of birth of the student + 25 years	Secure disposal or transfer to the student's new school
Statements of Special Educational Needs (now historic)	Originally under Special Educational Needs and Disability Regulations 2001	Date of birth of the student + 25 years	Secure disposal
Attendance registers	Pupil Registration Regulations 2006 Regulation 14	3 years from when the register entry was made if made in paper registers For computerised registers retain until 3 years after the end of the school year during which the entry was made. This applies to every back up copy. The difference in retention periods as between hard copy and computerised registers has probably come about in error but this is what the Regulations say.	Secure disposal
Student subject access requests	Data Protection Act 2018	1 year following completion of the request	

Alumni			
Alumni records		For as long as there is an active relationship	Secure disposal

### Parent Records

Personal identifiers	Pupil Registration Regulations 2006 For basic name and contact details.  Otherwise usually operational in accordance with the statutory functions of the school.	Usually, for the duration that the parent has a student at the Federation. Otherwise, subject to case-by-case justification.	Secure disposal
Parental consent forms		Until the conclusion of the trip or if a major incident has occurred, to be retained in the student's record.	Secure disposal
Visitor logs		Last entry in the visitors' book + 6 years.	Secure disposal
Parent correspondence		To be retained for as long as necessary, for inclusion in the educational record where appropriate (e.g., records of absences).	Secure disposal
Parental subject access requests	Data Protection Act 2018	1 year following completion of the request	

### Staff Records

Recruitment			
Applications (unsuccessful)	Equality Act 2010	Recommended: 6-12 months from your notification of outcome of application	Secure disposal
Applications (successful)		To be added to the personnel file and retained until end of appointment + 6 years, except in cases of negligence or claims of child abuse then at least 15 years	Secure disposal

Pre-employment vetting information – DBS Checks – successful candidates	DBS Update Service Employer Guide June 2014; Keeping Children Safe in Education statutory guidance for schools and colleges	Applications forms, references and other documents – for the duration of the employee’s employment + 6 years	Secure disposal
Forms of proof of identity collected as part of the process of checking “potable” enhanced DBS disclosure		Where possible this process should be carried out using the on-line system. If it is necessary to take a copy of documentation then it should be retained on the staff personnel file.	Secure disposal
Pre-employment vetting information – Evidence proving the right to work in the United Kingdom – successful candidates	An Employer’s Guide to Right to Work Checks (Home Office, 28 February 2023)	Where possible these documents should be added to the staff personnel file, but if they are kept separately then the Home Office requires that the documents are kept for termination of employment + not less than 2 years.	Secure disposal
<b>Employee personnel files</b>			
Income tax and NI returns, income tax records and correspondence with HMRC.	The Income Tax (Employments) Regulations 1993 (SI 1993/744) as amended	Not less than 3 years after the end of the financial year to which they relate.	Secure disposal
Payroll wage/salary records (also overtime, bonuses, expenses)	Taxes Management Act 1970	6 years from the end of the tax year to which they relate.	Secure disposal
Statutory Maternity Pay records, calculations, certificates (Mat B1s) or other medical evidence (also shared parental, paternity and adoption pay records)	The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960) as amended, Maternity & Parental Leave Regulations 1999.	3 years after the end of the tax year in which the maternity period ends	Secure disposal
Sick pay	Statutory Sick Pay (General) Regulations	3 years after the end of the tax year	Secure disposal
National Minimum wage records	National Minimum Wage Act 1998	3 years after the end of the pay reference period following the one that the records cover	Secure disposal

Foreign national ID documents	Immigration (Restrictions on Employment) Order 2007 Independent School Standards Regulations	Minimum 2 years from end of employment	Secure disposal
HR files and training records	Limitation Act 1970 and Data Protection regulation	Maximum 6 years from end of employment	Secure disposal
Working time records including overtime, annual holiday, jury service, time off for dependents, etc	Working Time Regulations 1998 as amended	2 years	Secure disposal
Coronavirus Job Retention Scheme (records of the furlough agreement, including the amount claimed, claim period for each employee, claim reference number and calculations in case HMRC need more information)	Statutory guidance 'Claim for wages through the Coronavirus Job Retention Scheme'	6 years for furlough records (employers should retain the written furlough agreement for 5 years. But HMRC can retrospectively audit all claims so it is important to keep a copy of all records for 6 years minimum.)	Secure disposal
Retirement Benefits Schemes – records of notifiable events, for example, relating to incapacity	The Retirement Benefits Schemes (Information Powers) Regulations 1995	6 years from the end of the scheme year in which the event took place	Secure disposal
Staff subject access requests	Data Protection Act 2018	1 year following completion of the request	Secure disposal
Whistleblowing documents	Public Interest disclosure Act 1998 and recommended IAPP practice.	6 months following the outcome (if a substantiated investigation). If unsubstantiated, personal data should be removed immediately.	Secure disposal
Pension records		Current year + 6 years	