

## DOCUMENT RETENTION POLICY

### 1. INTRODUCTION

- 1.1. The main aim of this policy is to enable the School to manage its records effectively and in compliance with data protection and other regulation. 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.
- 1.2. The School is committed to the principles of data protection including the principle that information is only to be retained for as long as necessary for the purpose concerned.
- 1.3. The table below 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.
- 1.4. Section 3 of this policy sets out the destruction procedure for documents at the end of their retention period. The IT Manager shall be responsible for ensuring that this is carried out appropriately, and any questions regarding this policy should be referred to them.
- 1.5. 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 Legal Administration Manager who will make a decision as to whether it should be kept, for how long, and note the new time limit and reasons for extension.
- 1.6. All School staff and teachers are responsible for processing personal data in full compliance with this and all related and relevant policies and procedures.
- 1.7. Staff must maintain all records relevant to administering this policy and procedure in electronic form in a recognised School recordkeeping system.

### 2. DOCUMENT RETENTION PERIOD

DOCUMENT CATEGORY	RETENTION PERIOD	REASON
<b>Corporate/Constitutional</b>		
Company's article of association, certificate of incorporation, registration of registration with the CC	Permanent	Companies Act 2006 Charities Act 2011
[School funding agreement]	Permanent	Charities Act 2011
Company's registry	Permanent	Companies Act 2006
Members minutes of meetings and written resolutions	At least 10 years, then archive	Companies Act 2006 Charities Act 2011

Trustees minutes of meetings and written resolutions	At least 10 years, then archive	Companies Act 2006 Charities Act 2011
Minutes of board committees	A least 10 years, then archive	Companies Act 2006 Charities Act 2011
Trustees personal information	[TBD]	
Document of clear historical/archival significance	Permanent	Data Protection regulation
Contracts e.g. with suppliers or grant makers	Length of contract term + 6 years	Limitation Act 1980
Contracts executed as deeds	Length of contract term + 12 years	Limitation Act 1980
IP records and legal files re provision of service	Life of service provision or IP + 6 years	Limitation Act 1980
<b>Administrative</b>		
Inspection copies	Permanent	
Complaints	6 years after resolution (review for further retention in the case of contentious disputes/legal proceedings)	
Log books (infirmary, other)	6 years from the date of last entry in the book, then archive (review for further retention in the case of contentious disputes/legal proceedings)	
Minutes of senior management board team meetings	1 year from meeting then archive	
Records created by head teacher, deputy head teachers, heads of department and other members of staff with administrative responsibilities	6 years after closure of file	
Correspondence created by Head teacher, deputy head teachers and other members of staff with administrative responsibilities	3 years after date of correspondence	
Reports by the Head Teacher or the management team	[TBD]	

School development plans	6 years after next plan becomes effective	
Admissions records	If application successful: 25 years from DOB of child, then destroy  If application unsuccessful: 1 year from closure of application, then destroy	
<b>Insurance</b>		
Employer's liability insurance	40 years	Employers Liability Insurance (Compulsory Insurance Regulation) 1998
Policies	3 Years after lapse	Commercial
Claims correspondence	3 years after settlement	Commercial
<b>Health &amp; Safety</b>		
General records	Minimum 3 years	Limitation act 1970
Accidents books/records and reports	3 years after last entry or end of investigation	RIDD0 Regulations 1995
Accessibility plans	6 years after the end of current year	Disability discrimination Act
Fire precautions log books	6 years after the end of current year	
Risk assessments	3 years after the end of current year	
<b>Property</b>		
Leases	12 years after lease has expired	Limitation Act 1980
Building records, plans consents and certification and warranties etc	6 years after disposal or more of possible actions against contractors.  Permanent if of historical/archival interest.	Limitation Act 1980
<b>Pension Records</b>		
Records about employees and workers		For all categories see:
Records re the Scheme		

Records re active members and opt in/opt out		Detailed Guidance for Employers: (April 2017) <a href="http://pensions.regulator.gov.uk">pensions.regulator.gov.uk</a> For all categories see:
Trust Deed/Rules and HMRC approvals		
Trustees' Minutes and annual accounts		
Policies including investment policies		
<b>Tax and Finance</b>		
Annual accounts and review	Permanent	Companies Act 2006 Charities Act 2011
Tax and accounting records	6 years from end of relevant tax year	Finance Act 1998 Taxes Management Act 1970
Information relevant for VAT purposes	Minimum 6 years from end of relevant tax year	Finance Act 1998 and HMRC Notice 700/21
Banking records/receipts book/sales ledger	6 years from transaction	Companies Act 2006 Charities Act 2011
<b>Employees/Administration</b>		
Payroll/Employee/Income Tax and NI records: P45; P6; P11D; P60 etc.	6 years from end of current year	Taxes Management Act 1970 /IT (PAYE) Regulations
Maternity pay	3 years after the end of the tax year	Statutory Maternity Pay Regulations
Sick pay	3 years after the end of the tax year	Statutory Sick Pay (General) Regulations
National Minimum wage records	3 years after the end of the tax year	National Minimum Wage Act
Foreign national ID documents	Minimum 2 years from end of employment	Immigration (Restrictions on Employment) Order 2007 Independent School Standards Regulations
HR files and training records	Maximum 6 years from end of employment	Limitation Act 1970 and Data Protection regulation
Records re working time	2 years	Working Time Regulations 1998 as amended

Job applications (CVs and related materials re unsuccessful applicants)	Recommended: 6-12 months from your notification of outcome of application	ICO Employment Practices Code (Recruitment & Selection) Disability Discrimination Act 1995 & Race Relations Act 1976
Pre-employment/volunteer vetting	6 months	ICO Employment Practice Code Independent School Standards Regulations
Disclosure & Barring Service checks	Record only satisfactory/unsatisfactory result and delete other information. If copy is kept, not to be retained beyond 6 months	Single Central Record Requirements under Part 4 of the Schedule to the Education (Independent School)
Disciplinary proceedings	Please contact DSL for further advice if proceedings related to a child protection matter  Other matters: <ul style="list-style-type: none"> <li>- Oral warning: 3 to 6 months after date of warning, then destroy</li> <li>- Written warning lev 1: 6 months after date of warning, then destroy</li> <li>- Written warning lev 2: 12 months after date of warning, then destroy</li> <li>- Final warning: 18 months after date of warning then destroy</li> </ul>	KCSIE 2018  ACAS Code of practice
Volunteer records	Undertake assessment to decide on retention period taking account of risk (e.g. safeguarding re work with children)	
<b>Pupils</b>		
<b>Educational Record</b>	Up to 7 years from date child leaves school, but usually	

	passed on to pupil's new school	
<b>Child Protection</b> information (on child's file)	<p>RETAIN UNTIL FURTHER RECOMMENDATIONS</p> <p>Subject to moratorium on destruction due to historic child abuse enquiry. See <a href="https://www.iicsa.org.uk/sites/default/files/retention-instructions-and-data-protection-requirements.pdf">https://www.iicsa.org.uk/sites/default/files/retention-instructions-and-data-protection-requirements.pdf</a></p>	<p>"Keeping children safe in education Statutory guidance for schools and colleges September 2016";</p> <p>"Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children February 2017"</p>
Child Protection Information in other files	<p>RETAIN UNTIL FURTHER RECOMMENDATIONS</p> <p>Subject to moratorium on destruction due to historic child abuse enquiry. See <a href="https://www.iicsa.org.uk/sites/default/files/retention-instructions-and-data-protection-requirements.pdf">https://www.iicsa.org.uk/sites/default/files/retention-instructions-and-data-protection-requirements.pdf</a></p>	<p>"Keeping children safe in education Statutory guidance for schools and colleges September 2016";</p> <p>"Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children February 2017"</p>
<b>Special Educational needs</b>		
SEN files	Usually 25 years from date of birth of the pupil.	Limitation Act 1980
Education Health and Care Plans	25 years from date of birth of the pupil	Special Educational Needs and Disability Regulations 2014 Children and families Act 2014, part 3
Attendance registers	<p>3 years from when the register entry was made if made in paper registers.</p> <p>For computerised registers retain until 3 years after the end of the school year during which the entry was made.</p>	<p>Pupil Registration Regulations 2006</p> <p>Regulation 14</p>
<b>Other items</b> e.g. curriculum related, photographs, video recordings	Usually no longer than the child is a pupil at School or as indicated on permission form	

	CCTV: 30 days max, then automatically overwrites	
Parental permission slips for school trips	If no incident: destroy at the conclusion of the trip  If major incident: slips for all pupils on the trip to be retained for 25 years after DOB of pupil involved in the incident	
<b>Parents</b>		
Registration information including contact details	Usually, for the duration that the parent has a pupil at the school and until all outstanding amounts are paid if later	Pupil Registration Regulations 2006, for basic name and contact details.  Otherwise usually operational in accordance with the statutory functions of the school
<b>Visitors' book</b>		
Visitors' log book	2 years from date of last entry, then destroy (unless retention required for legal purposes)	Contractual
<b>Alumni/Alumnae</b>		
[TBC]		

### 3. DELETION OF DOCUMENTS

3.1. When a document is at the end of its retention period, it should be dealt with in accordance with this policy.

#### Confidential waste

3.2. This should be made available for collection in the confidential waste bins or sacks located around the office or shredded.

3.3. Anything that contains personal information should be treated as confidential.

3.4. Where deleting electronically, please refer to the IT Manager to ensure that this is carried out effectively.

#### Other documentation

3.5. Other documentation can be deleted or placed in recycling bins where appropriate.

#### Individual responsibility

3.6. When faced with a decision about an individual document, you should ask yourself the following:

- 3.6.1. Has the information come to the end of its useful life?
- 3.6.2. Is there a legal requirement to keep this information or document for a set period
- 3.6.3. Would the information be likely to be needed in the case of any legal proceedings? In particular, is it potentially relevant to an historic child abuse enquiry? (Is the information contentious, does it relate to an incident that could potentially give rise to proceedings?)
- 3.6.4. Would the document be useful for the organisation as a precedent, learning document, or for performance management processes?
- 3.6.5. Is the document of historic or statistical significance?
- 3.7. If the decision is made to keep the document, this should be referred to the Legal Administration Manager and reasons given.

<b>Date of last review:</b>	<b>9 December 2019</b>	<b>Review period:</b>	<b>2 years</b>
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