



ASPIRATIONS

Livingstone Academy Bournemouth

DATA RETENTION POLICY

Version control	
Data Retention Policy [2021-04-01]	Reviewed and updated previous version to align with new DPO appointment. This policy was previously known as Records Management Policy.

Date of next review:	September 2022	Owner:	Director of HR & Compliance
Type of policy:	Network	Approving Body:	Board

Version control	
Data Retention Policy [2021-04-01]	Based on Aspirations template policy (version 2021-04-01)

Date of next review:	September 2022	Owner:	Executive Director of Learning
Type of policy:	Academy	Approving Body:	Regional Board

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Introduction

This policy is based on the Aspirations Academies Trust template Data Retention Policy.

The Academy has a responsibility to maintain its records and record keeping systems. When doing this, the Academy will take account of the following factors:

- The most efficient and effective way of storing records and information;
- The confidential nature of the records and information stored;
- The security of the record systems used;
- Privacy and disclosure; and
- Their accessibility.

This policy does not form part of any employee's contract of employment and is not intended to have contractual effect. It does, however, reflect the Academy's current practice, the requirements of current legislation and best practice and guidance. It may be amended by the Academy from time to time and any changes will be notified to employees within one month of the date on which the change is intended to take effect. The Academy may also vary any parts of this procedure, including any time limits, as appropriate in any case.

Data protection

This policy sets out how long employment-related and pupil data will normally be held by the Academy and when that information will be confidentially destroyed in compliance with the terms of the General Data Protection Regulation (GDPR) and the Freedom of Information Act 2000.

Data will be stored and processed to allow for the efficient operation of the Academy. The Academy's Data Protection Policy outlines its duties and obligations under the GDPR

Retention schedule

Information (hard copy and electronic) will be retained for at least the period specified in the attached retention schedule. When managing records, the Academy will adhere to the standard retention times listed within that schedule.

Paper records will be regularly monitored by our Administration Officer.

Electronic records will be regularly monitored by Administration Officer.

The schedule is a relatively lengthy document listing the many types of records used by the Academy and the applicable retention periods for each record type. The retention periods are based on business needs and legal requirements.

Destruction of records

Where records have been identified for destruction they should be disposed of in an appropriate way. All information must be reviewed before destruction to determine whether there are special factors that mean destruction should be delayed, such as potential litigation, complaints or grievances.

All paper records containing personal information, or sensitive policy information should be shredded before disposal where possible. All other paper records should be disposed of by an appropriate waste paper merchant. All electronic information will be deleted.

The Academy maintains a database of records which have been destroyed and who authorised their destruction. When destroying documents, the appropriate staff member should record in this list at least:

- File reference (or other unique identifier);
- File title/description;
- Number of files;
- Name of the authorising Officer;
- Date destroyed or deleted from system; and
- Person(s) who undertook destruction.

Record keeping of safeguarding

Any allegations made that are found to be malicious must not be part of the personnel records.

For any other allegations made, the Academy must keep a comprehensive summary of the allegation made, details of how the investigation was looked into and resolved and any decisions reached. This should be kept on the personnel files of the accused.

Any allegations made of sexual abuse should be preserved by the Academy for the term of an inquiry by the Independent Inquiry into Child Sexual Abuse. All other records (for example, the personnel file of the accused) should be retained until the accused has reached normal pension age or for a period of 10 years from the date of the allegation if that is longer. Guidance from the Independent Inquiry Child Sexual Abuse states that prolonged retention of personal data at the request of an Inquiry would not contravene data protection regulation provided the information is restricted to that necessary to fulfil potential legal duties that an Academy may have in relation to an Inquiry.

Whilst the Independent Inquiry into Child Sexual Abuse is ongoing, it is an offence to destroy any records relating to it. At the conclusion of the Inquiry, it is likely that an indication regarding the appropriate retention periods of the records will be made.

Archiving

Where records have been identified as being worthy of preservation over the longer term, arrangements should be made to transfer the records to the archives. A database of the records sent to the archives is maintained by the Administration Officer. The appropriate staff member, when archiving documents should record in this list the following information:

- File reference (or other unique identifier);
- File title/description;
- Number of files; and
- Name of the authorising officer.

Transferring information to other media

Where lengthy retention periods have been allocated to records, members of staff may wish to consider converting paper records to other media such as digital media or virtual storage centres (such as cloud storage). The lifespan of the media and the ability to migrate data where necessary should always be considered.

Transferring information to another school

The Academy retains a student's educational record whilst the child remains at the Academy. Once a student leaves the Academy, the file should be sent to their next school. The responsibility for retention then shifts onto the next school.

The Academy may delay destruction for a further period where there are special factors such as potential litigation.

Electronic records relating to a pupil's record will also be transferred to the students' next school.

The Academy will not keep any copies of information stored within a student's record, unless there is ongoing legal action at the time that the student leaves the Academy. The responsibility for these records will then transfer to the school the student moves to. 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.

The Academy will, wherever possible, avoid sending a student record by post. Where a student record must be sent by post, it will be sent by registered post, with an accompanying list of the files included. The school it is sent to is required to sign a copy of the list to indicate that they have received the files and return this to the Academy.

Responsibility and monitoring

The Academy DPL together with the Executive Director of Learning has primary and day-to-day responsibility for implementing this Policy. The DPO in conjunction with the Trust's Director of HR and Compliance and the Academy DPL is responsible for monitoring the use and effectiveness of the policy.

Internal control systems and procedures will be subject to regular audits to provide assurance that they are effective in creating, maintaining and removing records.

Management at all levels are responsible for ensuring those reporting to them are made aware of and understand this Policy and are given adequate and regular training on it.

Emails

Generally emails fall under different retention periods (for example, an email regarding a health and safety report will be subject to a different time frame to an email which forms part of a pupil record). The email system itself is not an appropriate way of managing the records needing to be maintained. It is important to note that the retention period will depend on the content of the email and it is important that these emails are filed in the appropriate storage areas to avoid the data becoming lost. This will be particularly important if/when the Trust establishes a retention period after which emails would generally be purged.

Student records

All Academies with the exception of independent Academies, are under a duty to maintain a student record for each student. Early Years will have their own separate record keeping requirements. If a child changes Academy, the responsibility for maintaining the student record moves to the next Academy. We retain the file for a year following transfer in case any issues arise as a result of the transfer.

Appendices

Appendix A – Retention schedule

FILE DESCRIPTION	RETENTION PERIOD
Employment Records	
Job applications and interview records of unsuccessful candidates	Six months after notifying unsuccessful candidates, unless the Academy has applicants' consent to keep their CVs for future reference. In this case, application forms will give applicants the opportunity to object to their details being retained
Job applications and interview records of successful candidates	6 years after employment ceases
Written particulars of employment, contracts of employment and changes to terms and conditions	6 years after employment ceases
Right to work documentation including identification documents	6 years after employment ceases
Immigration checks	Two years after the termination of employment
DBS checks and disclosures of criminal records forms	As soon as practicable after the check has been completed and the outcome recorded (i.e. whether it is satisfactory or not) unless in exceptional circumstances (for example to allow for consideration and resolution of any disputes or complaints) in which case, for no longer than 6 months.
Change of personal details notifications	No longer than 6 months after receiving this notification
Emergency contact details	Destroyed on termination
Personnel records	While employment continues and up to six years after employment ceases
Annual leave records	Six years after the end of tax year they relate to or possibly longer if leave can be carried over from year to year
Consents for the processing of personal and sensitive data	For as long as the data is being processed and up to 6 years afterwards
Working Time Regulations: <ul style="list-style-type: none"> • Opt out forms • Records of compliance with WTR 	<ul style="list-style-type: none"> • Two years from the date on which they were entered into • Two years after the relevant period
Disciplinary records	6 years after employment ceases
Training	6 years after employment ceases or length of time required by the professional body
Staff training where it relates to safeguarding or other child related training	Date of the training plus 40 years

Annual appraisal/assessment records	Current year plus 6 years
Professional Development Plans	6 years from the life of the plan
Allegations of a child protection nature against a member of staff including where the allegation is founded	10 years from the date of the allegation or the person's normal retirement age (whichever is longer). This should be kept under review. Malicious allegations should be removed.
Financial and Payroll Records	
Pension records	12 years
Retirement benefits schemes – notifiable events (for example, relating to incapacity)	6 years from the end of the scheme year in which the event took place
Payroll and wage records	6 years after end of tax year they relate to
Maternity/Adoption/Paternity Leave records	3 years after end of tax year they relate to
Statutory Sick Pay	3 years after the end of the tax year they relate to
Current bank details	Until updated plus 3 years
Bonus Sheets	Current year plus 3 years
Time sheets/clock cards/flexitime	Current year plus 3 years
Pupil Premium Fund records	Date pupil leaves the provision plus 6 years
National Insurance (schedule of payments)	Current year plus 6 years
Insurance	Current year plus 6 years
Overtime	Current year plus 3 years
Annual accounts	Current year plus 6 years
Loans and grants managed by the Academy	Date of last payment on the loan plus 12 years
All records relating to the creation and management of budgets	Life of the budget plus 3 years
Invoices, receipts, order books and requisitions, delivery notices	Current financial year plus 6 years
Student Grant applications	Current year plus 3 years
Pupil Premium Fund records	Date pupil leaves the Academy plus 6 years
Academy fund documentation (including but not limited to invoices, cheque books, receipts, bank statements etc).	Current year plus 6 years
Free Academy meals registers (where the register is used as a basis for funding)	Current year plus 6 years
Academy meal registers and summary sheets	Current year plus 3 years

Agreements and Administration Paperwork	
Collective workforce agreements and past agreements that could affect present employees	Permanently
Trade union agreements	10 years after ceasing to be effective
Academy Development Plans	3 years from the life of the plan
Visitors Book and Signing In Sheets	6 years
Newsletters and circulars to staff, parents and pupils	1 year (and the Academy may decide to archive one copy)
Minutes of Senior Management Team meetings	Date of the meeting plus 3 or as required
Reports created by the Head Teacher or the Senior Management Team.	Date of the report plus a minimum of 3 years or as required
Records relating to the creation and publication of the Academy prospectus	Current academic year plus 3 years
Health and Safety Records	
Health and Safety consultations	Permanently
Health and Safety Risk Assessments	Life of the risk assessment plus 3 years
Health and Safety Policy Statements	Life of policy plus 3 years
Any records relating to any reportable death, injury, disease or dangerous occurrence	Date of incident plus 3 years provided that all records relating to the incident are held on personnel file
Accident reporting records relating to individuals who are under 18 years of age at the time of the incident	Accident book should be retained 3 years following the last entry made in the book.
Accident reporting records relating to individuals who are over 18 years of age at the time of the incident	Accident book should be retained 3 years following the last entry made in the book.
Fire precaution log books	Current year plus 3 years
Medical records and details of: - <ul style="list-style-type: none"> ● control of lead at work ● employees exposed to asbestos dust ● records specified by the Control of Substances Hazardous to Health Regulations (COSHH) 	40 years from the date of the last entry made in the record
Records of tests and examinations of control systems and protection equipment under COSHH	5 years from the date on which the record was made
Temporary and Casual Workers	

Records relating to hours worked and payments made to workers	3 years
Governing Body Documents	
Instruments of government	For the life of the Academy
Meetings schedule	Current year
Minutes – Executive Director of Learning set (signed)	Generally kept for the life of the organisation
Agendas – Executive Director of Learning copy	Where possible the agenda should be stored with the Executive Director of Learning set of the minutes
Agendas – additional copies	Date of meeting
Policy documents created and administered by the governing body	Until replaced.
Register of attendance at full governing board meetings	Date of last meeting in the book plus 6 years
Annual reports required by the Department of Education	Date of report plus 10 years
Records relating to complaints made to and investigated by the governing body or head teacher	Major complaints: current year plus 6 years. If negligence involved: current year plus 15 years. If child protection or safeguarding issues are involved then: current year plus 40 years.
Correspondence sent and received by the governing body or head teacher	General correspondence should be retained for current year plus 3 years.
Records relating to the terms of office of serving governors, including evidence of appointment	Date appointment ceases plus 6 years
Register of business interests	Date appointment ceases plus 6 years
Records relating to the training required and received by governors	Date appointment ceases plus 6 years
Records relating to the appointment of a clerk to the governing body	Date on which clerk appointment ceases plus 6 years
Governor personnel files	Date of appointment ceases plus 6 years
Pupil Records	
Details of whether admission is successful/unsuccessful	1 year from the date of admission/non-admission
Proof of address supplied by parents as part of the admissions process	Current year plus 1 year
Admissions register	Entries to be preserved for three years from date of entry
Pupil Record	Primary – Whilst the child attends the Academy Secondary – until the child reaches the age of 25.
Attendance Registers	3 years from the date of entry

Correspondence relating to any absence (authorised or unauthorised)	Current academic year plus 2 years
Special Educational Needs files, reviews and Education, Health and Care Plan, including advice and information provided to parents regarding educational needs and accessibility strategy	Date of birth of the pupil plus 31 years (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).
Child protection information (to be held in a separate file).	DOB of the child plus 25 years then review Note: These records will be subject to any instruction given by IICSA
Exam results (pupil copy)	2 years from the date the results are released.
Examination results (Academy's copy)	Current year plus 6 years
Allegations of sexual abuse	For the time period of an inquiry by the Independent Inquiry into Child Sexual Abuse.
Records relating to any allegation of a child protection nature against a member of staff	Until the accused normal retirement age or 10 years from the date of the allegation (whichever is the longer)
Consents relating to Academy activities as part of GDPR compliance (for example, consent to be sent circulars or mailings)	Consent will last whilst the pupil attends the Academy.
Pupil's work	Where possible, returned to pupil at the end of the academic year (provided the Academy have their own internal policy to this effect). Otherwise, the work should be retained for the current year plus 1 year.
Mark books	Current year plus 1 year.
Schemes of work	Current year plus 1 year
Timetable	Current year plus 1 year
Class record books	Current year plus 1 year
Record of homework set	Current year plus 1 year
Photographs of pupils	For the time the child is at the Academy and for a short while after. Please note select images may also be kept for longer (for example to illustrate history of the Academy).
Parental consent forms for Academy trips where there has been no major incident	End of the trip or end of the academic year (subject to a risk assessment carried out by the Academy)
Parental permission slips for Academy trips where there has been a major incident	Date of birth of the pupil involved in the incident plus 25 years. Permission slips for all the pupils on the trip should be retained to demonstrate the rules had been followed for all pupils
Other Records	

CCTV	One calendar month unless a recording is required for a longer period for a specific case.
Privacy notices	Until replaced plus 6 years.
Inventories of furniture and equipment	Current year plus 6 years
All records relating to the maintenance of the Academy carried out by contractors or employees of the Academy	Whilst the building belongs to the Academy.
Records relating to the letting of Academy premises	Current financial year plus 6 years
Records relating to the creation and management of Parent Teacher Associations and/or Old Pupils Associations	Current year plus 6 years then review
Referral forms	While the referral is current
Contact data sheets	Current year then review, if contact is no longer active then destroy