



We believe, you achieve

Data Retention Policy



1. Principles

- 1.1. The principles outlined in this policy apply to all records created and retained by the Trust and the Academies within it.
- 1.2. In line with data protection law and good-practice, the Trust will:
 - 1) Retain records and information in all its forms securely
 - 2) Retain information for no longer than is required under statute, contract or other legal obligation
 - 3) Retain no more information than is required under statute, contract or other legal obligation
 - 4) Ensure that the integrity of the information is preserved
 - 5) Preserve information in an accessible form for future reference and audit
 - 6) Destroy all records and data that are no longer required
 - 7) Not store personal data in a country or territory outside the European Economic Area, with the exception of the US if the recipient of the data has signed up to the Privacy Shield Framework designed by the U.S. Department of Commerce and the European Commission.
- 1.3 All electronic data and documents will be retained as if they were paper documents. If a piece of electronic data is required to be retained indefinitely, or retained beyond the designated retention period, (e.g. an e-mail message), the message should be printed in hard copy and kept in the appropriate physical document file.

2. Retention of pupil records and other pupil-related information

Type of file	Retention period	Action taken after retention period ends
Personal identifiers, contacts and personal characteristics		
Images used for identification purposes	For the duration of the event/activity, or whilst the pupil remains at Academy, whichever is less, plus one month	Securely disposed of
Images used in displays in Academies	Whilst the pupil is at Academy and until displays are refreshed	Securely disposed of
Images used for marketing purposes, social media or other	In line with the consent period	Securely disposed of

Biometric data	For the duration of the event/activity, or whilst the pupil remains at Academy, whichever is less, plus one month	Securely disposed of
Postcodes, names and characteristics	Whilst the pupil is at Academy, plus five years	Securely disposed of
House number and road	For the duration of the event/activity, plus one month	Securely disposed of
Admissions		
Register of admissions	Whilst the pupil remains at the Academy, plus one year	Information is reviewed and the register may be kept permanently
Admissions appeals	Whilst the pupil remains at Academy, plus five years	Securely disposed of
Secondary Academy admissions	Whilst the pupil remains at the Academy, plus one year	Securely disposed of
Proof of address (supplied as part of the admissions process)	Whilst the pupil remains at the Academy, plus one year	Securely disposed of
Supplementary information submitted, including religious and medical information etc. (where the admission was successful)	Whilst the pupil remains at the Academy, plus one year	Securely disposed of
Supplementary information submitted, including religious and medical information etc. (where the admission was not successful)	Whilst the pupil remains at the Academy, plus five years	Securely disposed of
Pupils' educational records		

<p>Primary only Pupils' educational records</p>	<p>Whilst the pupil remains at the Academy</p>	<p>Transferred to the next destination – if this is an independent Academy, home-schooling or outside of the UK, the file will be kept by the LA and retained for the statutory period</p>
<p>Secondary only Pupils' educational records</p>	<p>25 years after the pupil's date of birth, with their personal data removed</p>	<p>Securely disposed of</p>
<p>Public examination results</p>	<p>Added to the pupil's record and transferred to next Academy</p> <p>Copies with pupils' names are held whilst the pupil is at Academy, plus five years</p> <p>Copies with pupils' names removed are held for 25 years after the pupil's date of birth</p>	<p>Returned to the examination board</p>
<p>Internal examination results</p>	<p>Added to the pupil's record and transferred to next Academy</p> <p>Copies with the pupil's personal data are held whilst the pupil is at Academy, plus five years</p> <p>Copies with personal data removed are held for 25 years after</p>	<p>Securely disposed of</p>

	the pupil's date of birth	
Behaviour records	Added to the pupil's record and transferred to the next Academy Copies are held whilst the pupil is at Academy, plus one year	Securely disposed of
Exclusion records	Added to the pupil's record and transferred to the next Academy Copies are held whilst the pupil is at Academy, plus one year	Securely disposed of
Child protection information held on a pupil's record	Stored in a sealed envelope for the same length of time as the pupil's record	Securely disposed of – shredded
Child protection records held in a separate file	25 years after the pupil's date of birth	Securely disposed of – shredded
Attendance		
Attendance registers	Whilst the pupil remains at Academy, plus one year Non-identifiable summary statistics are held after the initial retention period for 25 years after the pupil's date of birth	Securely disposed of
Letters authorising absence	Whilst the pupil remains at Academy, plus one year	Securely disposed of

	Non-identifiable summary statistics are held after the initial retention period for 25 years after the pupil's date of birth	
Medical information and administration		
Permission slips	For the duration of the period that medication is given, plus one month	Securely disposed of
Medical conditions – ongoing management	Added to the pupil's record and transferred to the next Academy Copies held whilst the pupil is at Academy, plus one year	Securely disposed of
Medical incidents that have a behavioural or safeguarding influence	Added to the pupil's record and transferred to the next Academy Copies held whilst the pupil is at Academy, plus 25 years	Securely disposed of
SEND		
SEND files, reviews and individual education plans	25 years after the pupil's date of birth (as stated on the pupil's record)	Information is reviewed and the file may be kept for longer than necessary if it is required for the Academy to defend themselves in a 'failure to provide sufficient education' case
An EHC plan maintained under section 37 of the Children and Families Act 2014 (and any amendments to the statement or plan)	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of, unless it is subject to a legal hold

Information and advice provided to parents regarding SEND	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of, unless it is subject to a legal hold
Accessibility strategy	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of, unless it is subject to a legal hold
Curriculum management		
SATs results	25 years after the pupil's date of birth (as stated on the pupil's record)	Securely disposed of
Examination papers	Until the appeals/validation process has been completed	Securely disposed of
Published Admission Number (PAN) reports	Current academic year, plus six years	Securely disposed of
Valued added and contextual data	Current academic year, plus six years	Securely disposed of
Self-evaluation forms	Current academic year, plus six years	Securely disposed of
Pupils' work	Returned to pupils at the end of the academic year, or retained for the current academic year, plus one year	Securely disposed of
Extra-curricular activities		
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	Securely disposed of
Financial information relating to Academy trips	Whilst the pupil remains at Academy, plus one year	Securely disposed of

Parental consent forms for Academy trips where no major incident occurred	Until the conclusion of the trip	Securely disposed of
Parental consent forms for Academy trips where a major incident occurred	25 years after the pupil's date of birth on the pupil's record (permission slips of all pupils on the trip will also be held to show that the rules had been followed for all pupils)	Securely disposed of
Walking bus registers	Three years from the date of the register being taken	Securely disposed of
Educational visitors in Academy – sharing of personal information	Until the conclusion of the visit, plus one month	Securely disposed of
Family liaison officers and home-Academy liaison assistants		
Day books	Current academic year, plus two years	Reviewed and destroyed if no longer required
Reports for outside agencies	Duration of the pupil's time at Academy	Securely disposed of
Referral forms	Whilst the referral is current	Securely disposed of
Contact data sheets	Current academic year	Reviewed and destroyed if no longer active
Contact database entries	Current academic year	Reviewed and destroyed if no longer required
Group registers	Current academic year, plus two years	Securely disposed of
Catering and free Academy meal management		
Meal administration	Whilst the pupil is at Academy, plus one year	Securely disposed of
Meal eligibility	Whilst the pupil is at Academy, plus five years	Securely disposed of

3. Retention of staff records

Type of file	Retention period	Action taken after retention period ends
Operational		
Staff members' personal file	Termination of employment, plus six years	Securely disposed of
Timesheets	Current academic year, plus six years	Securely disposed of
Annual appraisal and assessment records	Current academic year, plus five years	Securely disposed of
Recruitment		
Records relating to the appointment of a new Principal	Date of appointment, plus six years	Securely disposed of
Records relating to the appointment of new members of staff (unsuccessful candidates)	Date of appointment of successful candidate, plus six months	Securely disposed of
Records relating to the appointment of new members of staff (successful candidates)	Relevant information added to the member of staff's personal file and other information retained for six months	Securely disposed of
DBS certificates	Up to six months	Securely disposed of
Proof of identify as part of the enhanced DBS check	After identity has been proven	Reviewed and a note kept of what was seen and what has been checked – if it is necessary to keep a copy this will be placed on the staff member's personal file, if not, securely disposed of
Evidence of right to work in the UK	Added to staff personal file or, if kept separately, termination of employment, plus no longer than two years	Securely disposed of
Disciplinary and grievance procedures		

Child protection allegations, including where the allegation is unproven	Added to staff personal file, and until the individual's normal retirement age, or 10 years from the date of the allegation – whichever is longer If allegations are malicious, they are removed from personal files	Reviewed and securely disposed of – shredded
Oral warnings	Date of warning, plus six months	Securely disposed of – if placed on staff personal file, removed from file
Written warning – level 1	Date of warning, plus six months	Securely disposed of – if placed on staff personal file, removed from file
Written warning – level 2	Date of warning, plus 12 months	Securely disposed of – if placed on staff personal file, removed from file
Final warning	Date of warning, plus 18 months	Securely disposed of – if placed on staff personal file, removed from file
Records relating to unproven incidents	Conclusion of the case, unless the incident is child protection related and is disposed of as above	Securely disposed of

4. Retention of senior leadership and management records

Type of file	Retention period	Action taken after retention period ends
Governing board		
Agendas for governing board meetings	One copy alongside the original set of minutes – all others disposed of without retention	Securely disposed of
Original, signed copies of the minutes of governing board meetings	Permanent	If unable to store, these will be provided to the county archives service

Inspection copies of the minutes of governing board meetings	Date of meeting, plus three years	Shredded if they contain any sensitive and personal information
Reports presented to the governing board	Minimum of six years, unless they refer to individual reports – these are kept permanently	Securely disposed of or, if they refer to individual reports, retained with the signed, original copy of minutes
Meeting papers relating to the annual parents' meeting	Date of meeting, plus a minimum of six years	Securely disposed of
Instruments of government, including articles of association	Permanent	If unable to store, these will be provided to the county archives service
Trusts and endowments managed by the governing board	Permanent	Retained in the Academy whilst it remains open, then provided to the county archives service when the Academy closes
Action plans created and administered by the governing board	Duration of the action plan, plus three years	Securely disposed of
Policy documents created and administered by the governing board	Duration of the policy, plus three years	Securely disposed of
Records relating to complaints dealt with by the governing board	Date of the resolution of the complaint, plus a minimum of six years	Reviewed for further retention in case of contentious disputes, then securely disposed of
Annual reports created under the requirements of The Education (Governors' Annual Reports) (England) (Amendment) Regulations 2002	Date of report, plus 10 years	Securely disposed of
Proposals concerning changing the status of the Academy	Date proposal accepted or declined, plus three years	Securely disposed of
Principal and senior leadership team (SLT)		
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 county archives service if appropriate

Minutes of SLT meetings and the meetings of other internal administrative bodies	Date of the meeting, plus three years	Reviewed and securely disposed of
Reports created by the Principal or SLT	Date of the report, plus a minimum of three years	Reviewed and securely disposed of
Records created by the Principal, deputy Principal, heads of year and other members of staff with administrative responsibilities	Current academic year, plus six years	Reviewed and securely disposed of
Correspondence created by the Principal, deputy Principal, heads of year and other members of staff with administrative responsibilities	Date of correspondence, plus three years	Reviewed and securely disposed of
Professional development plan	Duration of the plan, plus six years	Securely disposed of
Academy development plan	Duration of the plan, plus three years	Securely disposed of

5. Retention of health and safety records

Type of file	Retention period	Action taken after retention period ends
Health and safety		
Health and safety policy statements	Duration of policy, plus three years	Securely disposed of
Health and safety risk assessments	Duration of risk assessment, plus three years	Securely disposed of
Records relating to accidents and injuries at work	Date of incident, plus 12 years. In the case of serious accidents, a retention period of 15 years is applied	Securely disposed of
Accident reporting – adults	Date of the incident, plus six years	Securely disposed of
Accident reporting – pupils	25 years after the pupil's date of birth, on the pupil's record	Securely disposed of

Control of substances hazardous to health	Current academic year, plus 40 years	Securely disposed of
Information relating to areas where employees and persons are likely to come into contact with asbestos	Date of last action, plus 40 years	Securely disposed of
Information relating to areas where employees and persons are likely to come into contact with radiation	Date of last action, plus 50 years	Securely disposed of
Fire precautions log books	Current academic year, plus six years	Securely disposed of

6. Retention of financial records

Type of file	Retention period	Action taken after retention period ends
Payroll pensions		
Maternity pay records	Current academic year, plus three years	Securely disposed of
Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995	Current academic year, plus six years	Securely disposed of
Risk management and insurance		
Employer's liability insurance certificate	Closure of the Academy, plus 40 years	Securely disposed of
Asset management		
Inventories of furniture and equipment	Current academic year, plus six years	Securely disposed of
Burglary, theft and vandalism report forms	Current academic year, plus six years	Securely disposed of
Accounts and statements including budget management		
Annual accounts	Current academic year, plus six years	Disposed of against common standards
Loans and grants managed by the Academy	Date of last payment, plus 12 years	Information is reviewed then securely disposed of
All records relating to the creation and management of budgets	Duration of the budget, plus three years	Securely disposed of

Invoices, receipts, order books, requisitions and delivery notices	Current financial year, plus six years	Securely disposed of
Records relating to the collection and banking of monies	Current financial year, plus six years	Securely disposed of
Records relating to the identification and collection of debt	Current financial year, plus six years	Securely disposed of
Contract management		
All records relating to the management of contracts under seal	Last payment on the contract, plus 12 years	Securely disposed of
All records relating to the management of contracts under signature	Last payment on the contract, plus six years	Securely disposed of
All records relating to the monitoring of contracts	Current academic year, plus two years	Securely disposed of
Academy fund		
Cheque books, paying in books, ledgers, invoices, receipts, bank statements and journey books	Current academic year, plus six years	Securely disposed of
Academy meals		
Free Academy meals registers	Current academic year, plus six years	Securely disposed of
Academy meals registers	Current academic year, plus three years	Securely disposed of
Academy meals summary sheets	Current academic year, plus three years	Securely disposed of

7. Retention of other Academy records

Type of file	Retention period	Action taken after retention period ends
Property management		
Title deeds of properties belonging to the Academy	Permanent	Transferred to new owners if the building is leased or sold

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
Leases of property leased by or to the Academy	Expiry of lease, plus six years	Securely disposed of
Records relating to the letting of Academy premises	Current financial year, plus six years	Securely disposed of
Maintenance		
All records relating to the maintenance of the Academy carried out by contractors	Current academic year, plus six years	Securely disposed of
All records relating to the maintenance of the Academy carried out by Academy employees	Current academic year, plus six years	Securely disposed of
Operational administration		
General file series	Current academic year, plus five years	Reviewed and securely disposed of
Records relating to the creation and publication of the Academy brochure and/or prospectus	Current academic year, plus three years	Disposed of against common standards
Records relating to the creation and distribution of circulars to staff, parents or pupils	Current academic year, plus one year	Disposed of against common standards
Newsletters and other items with short operational use	Current academic year plus one year	Disposed of against common standards
Visitors' books and signing-in sheets	Current academic year, plus six years	Reviewed then securely disposed of
Records relating to the creation and management of parent-teacher associations and/or old pupil associations	Current academic year, plus six years	Reviewed then securely disposed of

8. Electronic data retention periods

File Category	Item	Minimum Retention Period
Contract Documentation (exc. personal data processed as part of contracts with commissioning bodies)	Contracts	6 years from contract expiry
	Deeds	12 years
	Property / Land Conveyances	Permanent (and/or paper document)
	Funding Agreements	Specific to each agreement
Corporate Documentation	Company formation documents	Permanent (and/or paper document)
	Register of directors and company secretaries	Permanent (and/or paper document)
	Minutes of board meetings and general meetings	10 years from meeting
	Accounting records, banking records and books of accounts	3 years from creation
	Audits	5 years from date of auditors report
Tax Documentation	Corporation Tax	6 years following end of relevant accounting period
	VAT	
	Stamp Duty Land Tax	
Employment Documentation (N.B. See below re HMPPS document retention)	PAYE Records	3 years from end of financial year
	Records of National Insurance contributions	3 years from end of year contribution was payable
	Maternity, paternity and adoption payment records	3 years from end of tax year payment was made
	Sickness records	3 years from end of tax year in which created
	General Employee history / employment records (Inc. unfair dismissal, discrimination, statutory redundancy pay, equal pay claim)	6 month from termination of employment
	Employee history / employment records – Breach of employment	6 years of the event constituting the alleged breach

	Employee records associated with Tax	6 years following end of relevant accounting period
Health and Safety Documentation	Health and safety policy	Permanent (and/or paper document)
	Risk assessment reports	Permanent (and/or paper document)
	Injury records and accident books	3 years from the accident date
Specific Electronic files (Excl. Client Data)	Emails	6 years from sending date unless specifically identified in categories above
	General operational files and staff functional data (databases, word documents, spreadsheets, slides, plans, etc.	No retention period unless defined by the specific business need
	Electronic communications including instant messaging, tweets, posts, news articles, intranet site, eLearning	No retention period unless specifically covered in categories above
	Video: live, recorded, streamed	
	Telephone calls, contact centres, live voice, recorded voicemails, voice messaging, etc.	No retention period
HMPPS CFO Records	Financial records Incident records Complaint records Record of visitors Personnel records Staffing details Administrative records	12 years beyond project end date

The following minimum retention periods shall apply for electronic data associated from specific Trust contracts:

File Category	Item	Retention Period
STEP, CMS, MPS and Client/Customer Personal Data held by the Trust	1. DWP contracts falling within 2007-2013 ESF spending period	1. End December 2022 upon DWP notification *
	2. Other DWP contracts and contracts with other commissioning bodies	2. As required under the individual contracts
	IMPORTANT NOTE: For each and every customer database relating to any contract that is co-financed with the ESF, there must exist a signed declaration that the documents held within the data carrier are certified as being true copies (conforming to) the originals. See Chapter 11 of Generic Provider Guidance for further details.	
Future spend periods and contracts to be identified		

9. Digital continuity statement

- 9.1. Digital data that is retained for longer than six years will be named as part of the DPO's digital continuity statement.
- 9.2. The ICT support team will identify any digital data that will need to be named as part of a digital continuity statement.
- 9.3. The data will be archived to dedicated files on the Trust's server, which are password-protected – this will be backed-up in accordance with the Data Protection Policy.
- 9.4. The following information will be included within the digital continuity statement:
 - A statement of purpose and requirements for keeping the records
 - The names of the individuals responsible for long term data preservation
 - A description of the information assets to be covered by the digital preservation statement
 - A description of when the record needs to be captured into the approved file formats
 - A description of the appropriate supported file formats for long-term preservation

- A description of the retention of all software specification information and licence information
- A description of how access to the information asset register is to be managed in accordance with the GDPR

10. Disposal of data

- 10.1. Where disposal of information is outlined as standard disposal, this will be recycled appropriate to the form of the information, e.g. paper recycling, electronic recycling.
- 10.2. Where disposal of information is outlined as secure disposal, this will be shredded or pulped and electronic information will be scrubbed clean and, where possible, cut. The Academy expert, with the aid of the ICT support team, will keep a record of all files that have been destroyed.
- 10.3. Where the disposal action is indicated as reviewed before it is disposed, the data expert, with the support of the DPO, will review the information against its administrative value – if the information should be kept for administrative value, the data expert will keep a record of this.
- 10.4. If, after the review, it is determined that the data should be disposed of, it will be destroyed in accordance with the disposal action outlined in this policy.
- 10.5. Where information has been kept for administrative purposes, the data expert will review the information again after five years and conduct the same process. If it needs to be destroyed, it will be destroyed in accordance with the disposal action outlined in this policy. If any information is kept, the information will be reviewed every five subsequent years.
- 10.6. Where information must be kept permanently, this information is exempt from the normal review procedures

11. Monitoring and review

- 11.1. All data will be audited on an annual basis to ensure compliance with the Trust's Data Protection Policy.
- 11.2. This policy will be reviewed on an annual basis by the DPO – the next scheduled review date for this policy is May 2019.
- 11.3. Any changes made to this policy will be communicated to all members of staff and the Academy Councils.



We believe, you achieve

The Lodge
Wolstanton High School
Milehouse Lane
Newcastle-under-Lyme
Staffordshire
ST5 9JU

Twitter: @shawedutrust
Tel: 01782 742910
Email: info@shaw-education.org.uk
Online: www.shaw-education.org.uk

