



DOCUMENT RETENTION POLICY

THIS POLICY WAS APPROVED:	SUMMER 2018
THIS POLICY WILL BE REVIEWED:	SUMMER 2021
MEMBER OF STAFF WITH RESPONSIBILITY FOR REVIEW:	DIRECTOR OF HR

DOCUMENT RETENTION

1. INTRODUCTION

- 1.1. The main aim of this policy is to enable Anglian Learning (Trust) to manage our 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 Trust 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. For information, the Appendix sets out the legal requirements for certain categories of document. Where we have decided to keep information longer than the statutory requirement, this has been explained in the table at Section 2.
- 1.5. Section 3 of this policy sets out the destruction procedure for documents at the end of their retention period. The CEO shall be responsible for ensuring that this is carried out appropriately and delegating responsibilities, and any questions regarding this policy should be referred to them.
- 1.6. 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 CEO 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.

2. DOCUMENT RETENTION PERIOD

DOCUMENT CATEGORY	RETENTION PERIOD	REASON
Corporate / Constitutional		
Company Records	Permanent	Companies Act 2006 Charities Act 2011
Company Articles of Association, Rules/bylaws	Permanent	Companies Act 2006 Charities Act 2011
Academy funding agreement and any supplemental agreements	Permanent	Companies Act 2006 Charities Act 2011
Trustee/Director minutes of meetings and written resolutions	10 years	Companies Act 2006 Charities Act 2011
Members' meetings etc. Minutes/Resolutions	10 years	Companies Act 2006 Charities Act 2011
Documents of clear historical/archival significance	Permanent	
Contracts e.g. with suppliers or grant makers	6 years on expiry of contract	Limitations Act 1980
Contracts executed as deeds	12 years on expiry of contract	Limitations Act 1980
IP records and legal files re provision of service	6 years on expiry of contract	Limitations Act 1980
Insurance		
Employer's Liability Insurance	40 years	Employers' Liability (Compulsory Insurance Regulations) 1998
Policies	3 years after lapse	Commercial
Claims Correspondence	3 years after settlement	Commercial
Health & Safety		
General records	3 years	Limitation Act 1970
Records re work with hazardous substances	Permanent	Control of Hazardous Substances to Health Regulations 2002
Accident books/records and reports	3 years post last entry	

Medical Scheme Documentation	Permanent	Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995 Commercial
Property		
Original Title Deeds	Permanent	Legal Ownership
Leases	12 years after lease has expired	Limitations Act 1980
Building records, plans, consents and certification and warranties etc.	6 years after disposal Permanent if of historical/archival interest	Limitations Act 1980
Pension Records		
Records about employees and workers	6 years	The Pension Regulator
Records re the scheme	6 years	The Pension Regulator
Records re active members and opt in / opt out	4 years	The Pension Regulator
Trust Deed / Rules and HMRC approvals	6 years	The Pension Regulator
Trustees' Minutes and annual accounts	6 years	The Pension Regulator
Policies including investment policies	6 years	The Pension Regulator
Tax and Finance		
Annual accounts and review (inc transferred records on amalgamation)	Permanent	Companies Act 2006 Charities Act 2011
Tax and accounting records	6 years from end of relevant year	Finance Act 1998 Taxes Management Act 1970
Information relevant for VAT purposes	6 years from end of relevant year	Finance Act 1998 HMRC Notice 700/21
Banking records/receipts books/sales ledger	6 years from transaction	Companies Act 2006 Charities Act 2011
Employees / Administration		
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
National Minimum wage records	3 years after the end of the tax year	National Minimum Wage At
Foreign national id documents	2 years from the end of employment	Immigration (Restrictions on Employment) Order 2007
HR files and training records	6 years from the end of employment	Limitation Act 1970 Data Protection Regulations
Records re working time	2 years from the end of employment	Working Time Regulations 1998 as amended
Job applications (CVs and related materials re unsuccessful applicants)	6 months from notification of outcome	ICO Employment Practices Code (Recruitment and Selection), Disability Discrimination Act 1995 and Race Relations Act 1976
Pre-employment/volunteer vetting	6 months	ICO Employment Practice Code Independent School Standards Regulations
Disclosure and Barring Service Checks Result	Permanent	Part 4 Schedule to the Education (Independent School Standards) Regulations 2014
Volunteer Records	1 year from end of volunteer period	
Students		
Educational Record	25 years from date of birth / follow student	Pupil Information Regulations 2005 Data Protection Regulation
Child Protection Information	Permanent	KCSIE
Special Educational Needs	25 years from date of birth	Limitation Act 1980
Education Health and Care Plans	25 years from date of birth	SEN and Disability Regulations 2014 Children and Families Act 2014, part 3
Statements of Special Educational Needs (now historic)	25 years from date of birth / passed to new school	SEN and Disability Regulations 2001
Attendance registers	3 years after end of academic year	Pupil Registration Regulations 2006

Other items eg curriculum, photographs, videos etc	Case by Case See relevant policies	Regulation 14
Parents		
Contact Information	Duration of student's attendance	Pupil Registration Regulations 2006
Alumni / Alumnae		
Contact Information	Duration of membership	

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 in office areas and these will then be collected and confidentially shredded.

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

3.4. Where deleting electronically, please refer to ICT Support to ensure that this is carried out effectively.

Other documentation

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

Automatic deletion

3.6. Certain information will be automatically archived by the IT systems, details of which are set out below. Should you want to retrieve any information, or prevent this happening in a particular circumstance, please contact ICT Support for the relevant academy.

Individual responsibility

3.7. Much of the retention and deletion of documents will be automatic, but when faced with a decision about an individual document, you should ask yourself the following:

3.7.1. Has the information come to the end of its useful life?

3.7.2. Is there a legal requirement to keep this information or document for a set period? (Refer to Appendix 1 for more information)

- 3.7.3. 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?)
 - 3.7.4. Would the document be useful for the organisation as a precedent, learning document, or for performance management processes?
 - 3.7.5. Is the document of historic or statistical significance?
- 3.8. If the decision is made to keep the document, this should be referred to the CEO and reasons given.