



## RECORDS RETENTION POLICY

<b>DATE CREATED</b>	May 2023	<b>DATE OF NEXT REVIEW</b>	September 2025
<b>POLICY OWNER(S)</b>	Mike Bibby		
<b>DESIGNATION</b>	Data Protection Officer		

<b>Purpose of policy</b>	Sets out a required length of time for all records retained under the Data Protection Policy
<b>Intended audience</b>	All Staff at St. Elizabeth's
<b>Links to other policies</b>	Data Protection Policy; Privacy Notices; Business Continuity and Emergency Planning Policy; Bring your Own Device Policy, Internet Filtering Policy, Information Security Policy, Communications, Email and Internet Policy.

## 1 Introduction

1.1 This Records Retention Policy has been approved by the Board of Trustees (the Trustees) of St Elizabeth's Centre ("St Elizabeth's"). St Elizabeth's is registered with the Office of the Information Commissioner with registration number.ZA673699

1.2 The Records Retention Policy will enable St Elizabeth's to comply with the legal and regulatory requirements for us to retain certain specified data and with the requirements of data protection legislation. Furthermore, this policy will enable St Elizabeth's to manage and track documents and assist in providing openness and transparency to the public.

1.3 The Records Retention Policy is required to support the organised creation, retrieval, appropriate storage and preservation of St Elizabeth's operational records. In addition, it is essential to support the appropriate disposal of documents with no continuing business, legal or historical significance.

1.4 As a charity, the actual period for records to be kept will depend on a number of factors, including but not necessarily limited to:

- legal requirements
- storage costs
- St Elizabeth's need to access the document
- historical value
- industry standards or best practice.
- archival needs (permanent preservation).
- decision by senior management (in the absence of guidance on the above)

## 2 Scope of the Policy

2.1 This policy encompasses all data that we hold or have control over:

- records created by or on behalf of St Elizabeth's and staff in their duties for St Elizabeth's
- records received by any member of staff in St Elizabeth's
- hard copy and electronic records including but not necessarily limited to Internet and Intranet sites, databases, emails, films and videos
- personal data and non-personal data

2.2 This policy covers data that is held by third parties on our behalf, for example cloud storage providers or offsite records storage. It also covers data that belongs to us but is held by employees on personal devices in accordance with our BRING YOUR OWN DEVICE POLICY.

## 3 Data Protection

3.1 This policy will ensure that St Elizabeth's is complying with applicable data protection legislation, which requires that we do not retain personal data for longer than is necessary

3.2 To comply with the principles of data protection legislation, St Elizabeth's must:

- only keep information for as long as there is a business need
- keep records secure, whether electronic or paper
- ensure records are retrievable and easily traced
- allow a person access to information held about them, should they request it

3.3 It follows that St Elizabeth's must:

- destroy papers and electronic data for which there is no continuing business need and send papers that cannot be destroyed to archive for as short a time as possible
- keep data secure while it remains in any office
- keep track of where information is stored
- continue to apply these good practices to avoid stockpiling papers in the future

## 4 Policy

4.1 All records created by or on behalf of St Elizabeth's belong to St Elizabeth's. This includes any rights or copyright in the context, except where specifically provided under copyright legislation.

4.2 All records received on behalf of St Elizabeth's as part of its business will be its property, which may be disposed of or released as St Elizabeth's sees fit or as required by law. Originators' and owners' rights will be fully respected in accordance with legislation.

4.3 Any confidential information that an employee may have obtained from a source outside of St Elizabeth's, such as a previous employer, must not, so long as such information remains confidential, be disclosed to or used by us. Unsolicited confidential information submitted to us should be refused, returned to the sender where possible, and deleted, if received via the internet.

4.4 Our data must be stored in a safe, secure, and accessible manner. Any documents and financial files that are essential to our business operations during an emergency must be duplicated and/or backed up at least once per week and maintained off site.

## 5 Roles and Responsibilities

5.1 We aim to comply with the laws, rules, and regulations that govern our organisation and with recognised compliance good practices. All employees must comply with this policy, the Record Retention Schedule, any communications suspending data disposal and any specific instructions from a member of Executive Team. Failure to do so may subject us, our employees, and contractors to serious civil and/or criminal liability. An employee's failure to comply with this policy may result in disciplinary sanctions, including suspension or termination. It is therefore the responsibility of everyone to understand and comply with this policy.

5.2 Responsibility for depositing and disposing of archive records lies with the Director of HR and Communications, Director of Children Services, Finance Director, Director of Learning and Director of Wellbeing as appropriate as the Head of Service and relevant information officer. It is their responsibility to ensure that complete and accurate records are retained in line with legislative requirements and agreed best practice.

5.3 Responsibility for managing and tracking records lies with the relevant Head of Service who:

- Will determine if a file is no longer required for current business usage, which can then be added to the archive.
- Will identify data that has met its required retention period and supervise its destruction.
- May choose to retain records for longer than the indicative periods given in the retention schedule, for example, if they consider records to be of significant historical value or if the issue they are concerned remains 'live'.

5.4 Our Data Protection Officer (DPO) is responsible for advising on and monitoring our compliance with data protection laws which regulate personal data. Our DPO works with the Executive Team on the retention requirements for personal data and on monitoring compliance with this policy in relation to personal data.

## **6 Record Keeping**

Records will be reviewed against the record retention schedule on an annual basis. Records that have passed their retention period and have no current ad-hoc requirement to retain the information (e.g. current or pending legal action or complaint) will be presented to their information asset owner for confirmation that disposal should be undertaken. A record will be maintained documenting, as a minimum, the record type, name of the record, any further metadata that will enable subsequent identification of the record being disposed (e.g. date range); date of disposal, authorising officer name and role. The decision of the information asset owner will be countersigned by the DPO.

## **7 Secure Disposal**

7.1 All deleted records will be disposed of in a secure manner. In the case of paper records, these will be shredded and all information passed through confidential waste, which is then disposed of in a confidential manner. No shredded paper records will be passed through the general paper disposal process. In relation to electronic records these will be irretrievably deleted and this process will be co-ordinated with the IT department.

7.2 If data is not listed in the Record Retention Schedule, it is likely that it may be discarded or deleted at the discretion of the user once it has served its temporary useful purpose or that it may be safely destroyed because it is not a formal or official record. However, if you consider that there is an omission in the Record Retention Schedule, or if you are unsure, please contact the DPO.

## **8. Where to go for Advice and Questions**

Any questions about retention periods relevant to your role should be raised with your manager. Any questions about this policy should be referred to the DPO who is in charge of administering, enforcing, and updating this policy.

## **9. Breach Reporting and Audit**

**9.1** We are committed to enforcing this policy as it applies to all forms of data. The effectiveness of our efforts, however, depend largely on employees. If you feel that you or someone else may have breached this policy, you should report the incident immediately to your manager. If you are not comfortable bringing the matter up with your immediate line manager, or do not believe they have dealt with the matter properly, you should raise the matter with the DPO or a member of Executive Team. If employees do not report inappropriate conduct, we may not become aware of a possible breach of this policy and may not be able to take appropriate corrective action.

**9.2** No one will be subject to and we do not allow, any form of discipline, reprisal, intimidation, or retaliation for reporting incidents of inappropriate conduct of any kind, pursuing any record destruction claim, or co-operating in related investigations.

**9.3** The DPO and Executive Team will periodically review this policy and its procedures to ensure St Elizabeth's is in compliance with relevant new or amended laws, regulations or guidance. Additionally, we will regularly monitor compliance with this policy, including by carrying out audits.

## RECORDS RETENTION SCHEDULE

Type of information	Retention Period	Data Owner
<b>Donations / Fundraising</b>		<b>Finance Director</b>
<b>Information connected to donations</b> – not including those who have expressed interest in leaving a gift to St Elizabeth's Centre	Retained for 10 years from the donors last gift	
Supporter Personal Information	Retained for 10 years from the donors' last gift	
Name and address of people who have asked not to be contacted again	Retained for 6 years	
Records of Donors expressed interest in leaving a gift in their Will to St Elizabeth's Centre	Retained until they expressly state they will not be leaving such a gift and are also not actively giving/engaging with the charity in other ways, OR until 7 full financial years have elapsed from our notification of their death.	
Information required for purpose of legacy gift administration	Retained for 7 years after the date the file was closed and 12 years after the date the file was closed for any disputed legacies. Will Trust files remain open until all of the income distributions have been received, and then will be deleted 7 years after closing of the file.	
Grants Casework and Beneficiary	Data reviewed after 3 years. Information connected to beneficiaries retained for a maximum of 5 years after the	

	end of service delivery relationship.	
Gift Aid records	Retained for 6 years from donors last gift	
<b>HR - Employment Records</b>		<b>Director of HR &amp; Communications</b>
Job applications and interview records of unsuccessful candidates	Six months after notifying unsuccessful candidates, unless the school 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 Personnel, disciplinary and training records	Destroyed on termination 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: <input type="checkbox"/> Opt out forms <input type="checkbox"/> Records of compliance with WTR	<input type="checkbox"/> Two years from the date on which they were entered into <input type="checkbox"/> Two years after the relevant period	
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.	
<b>Financial and Payroll Records</b>		<b>Finance Director</b>
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 replaced/updated plus 3 years	
Supplier / Customer Invoices	6 years	
Budget reports (monitoring of actual against planned expenditure)	Retain current financial year + 1 year. Finance retains annual management accounts for CFY + 3 years	
<b>SCHOOL / COLLEGE</b>		<b>Director of Education</b>
<b><u>Pupil Records</u></b>		
Admission Registers	Current Year of last entry + 6 Years	
Attendance registers	Date of Register + 3 Years	
Pupil's Education Record	End of Pupil relationship + 3 academic years where this is necessary to retain electronic records  (Retain whilst the child remains at the school) The School keeps/does not keep basic personal details. Retain if relevant to Part 1 of this schedule	
Special Educational Needs Files, review and individual Education plans	Until end of pupil relationship	
Child Protection information held on pupil file	To be retained in a sealed envelope for the same period of time as the pupil file.	
All other records created such as conduct / behaviour	Termination of relationship with student + 3 Years if kept electronically on IMS	
Student Work	Return to student at end of academic year. If not possible	

	retain for current academic year + 1 Year	
Safeguarding SEND records	LAC Children 75 Years – up to the age of 25	
Staff, building and governance records	6 Years	
Records relating to complaints dealt with by Government body	Date of resolution of complaint + 6 Years then review each case of contentious disputes	
Annual Records required by the Department of Education	Date of report + 10 Years	
Log Book maintained by Head Teacher	From date of entry + 6 Years minimum	
Minutes from SM Team	From meeting date + 3 Years	
Records created from Head Teachers, Deputy Head and other member of staff with administrative responsibilities	Closure of file + 6 Years	
All Correspondence created as above	From Date of creation + 3 Years then review	
Professional development plan	Life of Plan + 6 Years	
School Development plan	Life of Plan + 3 Years	
<b>School / College Admissions Process</b>	<b>To the age of 25 for School placement + 6 Years for College</b>	
All records in relation to creation and implementing Admissions policy	Life of Span + 3 Years then review	
If Admissions is successful	Date of admission + 1 Year and added to pupil file	
If Admission unsuccessful	Resolution of case + 1 Year	
Registry of admission	Preserved for 3 Years after entry	
Home Address details	Current year + 1 Year	
Records relating to creation and publication of the school / college brochure or prospective	Current Year + 1 Year	

Records of circulars to staff parents or pupils	Current Year + 1 year	
Newsletters and items with short operational use	Current Year + 1 Year	
Supplementary information form including additional information such as religion, medical conditions etc.	End of student relationship + 1 Year	
Visitors books and signing in sheets	Current year + 6 years then review	
Action Improvement plans	Life of plan + 3 Years	
<b>Service Users Records</b>		<b>Director of Wellbeing</b>
Health Records – Adults	From the last entry of the calendar year + 8 Years reviewed annually	
Health Records – Children	From date of birth until the age of 25	
Financial and Administrative Records	From 8 years to the age of 25 + 6 years	
Personal information	From 8 years to the age of 25 + 6 years	
Destruction Certificates	From date of destruction + 20 Years	
Medical Files	20 Years	