

The Croft Preparatory School

Data Protection and Retention Policy

Whole School Policy, including Early Years Foundation Stage

Reviewed (SMo)	27 November 2024
Peer Review Completed	11 December 2024
Ratified SLT	07 January 2025
Next Review Date	November 2026

The legal responsibility for ensuring that the Croft Preparatory School adheres to all relevant statutory regulations, as issued by the DfE, lies with the Proprietors. At their discretion, the Proprietors may delegate the monitoring of the efficacy with which the school discharges its statutory duties to the Facilities Manager and Governing Committee.

Notwithstanding the above delegation, the Proprietors retain ultimate responsibility for how the statutory functions are executed.

General Statement of The Croft Preparatory School's Duties

During the school's daily activities, personal data about staff, pupils, parents and third parties is collected, stored and processed. This personal data is sometimes sensitive in nature. The data is used in the ways outlined in the Privacy Notice.

All staff have a part to play in ensuring the school is compliant with its legal obligations under the Data Protection Act 2018 (DPA), incorporating the General Data Protection Regulation (GDPR), and those who are involved in the processing of personal data are obliged to comply with the procedures outlined in this policy. This policy may be amended at any time. Any update will be communicated via the normal school channels.

This policy sets out the school's expectations and procedures with respect to processing any personal data we collect from data subjects (e.g. including parents, pupils and employees).

Data Controller

The Croft Preparatory School is registered with the Information Commissioners Office (ICO) as a Data Controller of personal data.



Data Protection Officer

The Facilities Manager is the Data Protection Officer (DPO), who will provide guidance to ensure that all personal data is processed in compliance with this Policy and the principles found in the Data Protection Act. Any questions about the operation of this policy or any concerns that the policy has not been followed should be referred in the first instance to the DPO.

The Principles

The DPA 2018 sets out six principles relating to the processing of personal data which must be adhered to by data controllers (and Data Processors, who process personal data on behalf of the Data Controller). These require that personal data must be:

1. Processed lawfully, fairly and in a transparent manner
2. Collected for specific and explicit purposes and only for the purposes it was collected for
3. Relevant and limited to what is necessary for the purposes it is processed
4. Accurate and kept up to date
5. Kept for no longer than is necessary for the purposes for which it is processed
6. Processed in a manner that ensures appropriate security of personal data.

The legislation's 'accountability' principle also requires that the school not only processes personal data in a fair and legal manner but that it is also able to demonstrate that the processing is lawful. This involves, among other things:

- Keeping records of our data processing activities, including by way of logs and policies
- Documenting significant decisions and assessments about how we use personal data
- In most circumstances, having an 'audit trail' regarding data protection and privacy matters, including for example when and how our Privacy Notice(s) were updated, how and when data protection consents were collected from individuals, how breaches were dealt with, etc.

Lawful grounds for data processing

At least one of these lawful grounds must apply whenever personal data is processed:

(1) Consent: the individual has given clear consent for us to process their personal data for a specific purpose (this consent can later be withdrawn however)

(2) Contract: the processing is necessary to fulfil the contract with the individual

(3) Legal obligation: the processing is necessary to enable the school to comply with the law

(4) **Vital interests:** the processing is necessary to protect someone's life

(5) **Public task:** the processing is necessary to perform a task in the public interest or for any official functions, and the task or function has a clear basis in law

(6) **Legitimate interests:** the processing is necessary for to enable the school to fulfil its legitimate interests

The lawful grounds for processing of personal data in School are outlined in the Privacy Notice, which is provided to all staff, volunteers, contractors, pupils and parents.

DATA PROTECTION PROCEDURES

Responsibilities of all staff

Record Keeping

It is important that personal data held by the school is accurate, fair and adequate. Staff are required to inform the school if they believe that their personal data is inaccurate or untrue or if they are dissatisfied with the information in any way. Similarly, it is vital that the way they record the personal data of others – in particular colleagues, pupils and their parents – is accurate, professional and appropriate.

Staff should be aware of the rights set out below, whereby any individuals about whom they record information in emails and notes on School business may have the right to see that information. This absolutely must not discourage staff from recording necessary and sometimes difficult records of incidents or conversations involving colleagues or pupils, in accordance with the school's other policies, and grounds may sometimes exist to withhold these from such requests. However, the starting position is to record every document or email in such a way that the originator would be able to stand by it if the person about whom it was recorded were to see it.

Data handling

All staff have a responsibility to handle the personal data which they encounter fairly, lawfully, responsibly and securely and in accordance with all relevant school policies and procedures. There are data protection implications across several areas of the school's wider responsibilities such as safeguarding and IT security, so all staff should read and comply with the following policies and documentation:

- Data Protection and Retention Policy
- Information Security and Data Breach Policy
- Online Safety Policy
- Staff Code of Conduct

Responsible processing also extends to the creation and generation of new personal data/records, as above, which should always be done fairly, lawfully, responsibly and securely.

Avoiding, mitigating and reporting data breaches

One of the key obligations outlined in DPA (2018) regards the reporting of personal data breaches. Data controllers must report certain types of personal data breaches (those which risk an impact to individuals) to the ICO within 72 hours.

In addition, data controllers must notify individuals affected if the breach is likely to result in a "high risk" to their rights and freedoms. In any event, the school must keep a record of any personal data breaches, regardless of whether we need to notify the ICO. If a member of staff becomes aware of a personal data breach, they must report it to the School's DPO. If staff are in any doubt as to whether to report something, it is always best to do so. A personal data breach may be serious, or it may be minor, and it may involve fault or not, but the school always needs to know about them to make a decision.

As stated above, the school may not need to treat the incident itself as a disciplinary matter – but a failure to report could result in serious consequences for the School, and for those affected, and could be a serious disciplinary matter whether under this Policy or the staff member's contract.

Care and data security

The school requires all staff to remain conscious of the six data protection principles (as outlined above), to attend any training required, and to use their best efforts to comply with the principles whenever processing personal information. Data security is not simply an online or digital issue but one that affects daily processes including creation and processing of hard copy documents.

We expect all those with management/leadership responsibilities to be champions of these principles and to oversee the swift reporting of any concerns about how personal information is used by the School to the DPO, and to identify the need for (and implement) regular staff training.

Rights of Individuals

In addition to the school's responsibilities when processing personal data, individuals have certain specific rights, perhaps most significantly that of access to their personal data held by a data controller. This is known as the 'subject access right' (or the right to make 'subject access requests'). Such a request must be dealt with promptly and does not need any formality, nor to refer to the correct legislation. If a member of staff becomes aware of a subject access request (or indeed any communication from an individual about their personal data), they must tell the DPO as soon as possible.

Individuals also have legal rights to:

- require the Data Controller to correct the personal data held about them if it is inaccurate.
- request that their personal data is erased (in certain circumstances).
- request that data processing activities using their personal data are restricted (in certain circumstances).
- receive, from a Data Controller, the personal data held about them for the purpose of transmitting it in a commonly used format to another data controller.
- object, on grounds relating to a particular situation, to any processing activities where the individual feels this has a disproportionate impact on them; and
- object to automated individual decision-making, including profiling (where a significant decision is made about the individual without human intervention), and to direct marketing, or to withdraw consent where it is being used as the legal basis for processing.

Except for automatic decision-making, none of these rights for individuals are unqualified and exceptions may well apply. In any event, however, if a member of staff receives a request from an individual who is purporting to exercise one or more of their data protection rights, they must tell the DPO as soon as possible.

Data Security: online and digital

The school must ensure that appropriate security measures are taken against unlawful or unauthorised processing of personal data, and against the accidental loss of, or damage to, personal data. As such, the following general principles apply:

- Staff must not use USB sticks/flash drives on the school site, nor email documents to personal email accounts to work on them from home. OneDrive and SharePoint should be used to work on school documents remotely or collaboratively.
- Staff members should lock their computer if they leave their desk, even if only for a few minutes
- Passwords should not be written down and never shared
- Use of personal email accounts for official school business is not permitted

The Information Security and Data Breach Policy provides more information on security protocols.

Processing of Credit Card Data

The school complies with the requirements of the Payment Card Industry Data Security Standard (PCI DSS). Staff who are required to process credit card data must ensure that they are aware of and comply with the most up to date PCI DSS requirements.

Summary

It is in everyone's interests to get data protection right and to think carefully about data protection issues: this means handling all personal information fairly, lawfully, securely and responsibly.

The school's data protection policies and procedures are not intended to be oppressive, bureaucratic, or a reason not to do something necessary or important, but a code of useful and sensible checks and balances to improve how to handle and record personal information and manage our relationships with people. This is an important part of the school's culture, and all staff and representatives are asked to be mindful of data protection and privacy issues. If in doubt, ask for help or assistance from the DPO.

Data Retention Schedule

The following table outlines the retention periods for data held by the school. Upon completion of the relevant retention period, the data should be destroyed in a secure manner. For the duration of the retention period, appropriate measures will be put in place to ensure the security of the data held.

Pupil Records	Retention Period	Status	Authority/Source
Pupil records - including school admissions/registration documents, performance records and reports, pastoral information and medical records	DOB + 25 Years (subject to safeguarding consideration where any material relevant to potential claims should be kept for the lifetime of the pupil)	Requirement	Limitation Act 1980/The Statute of Limitations (Amendment) Act 1991
Accident/incident records pertaining to children	DOB + 25 Years	Requirement	Limitation Act 1980
Special Educational needs records	DOB + 35 Years	Requirement	Allows for special extension to statutory limitation period
Records of any reportable death, injury, disease or dangerous occurrence	3 years after the date on which it happened	Requirement	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR)
Examination results (internal or external)	7 years from pupil leaving the school	Recommendation	ISBA

Early Years Records	Retention Period	Status	Authority/Source
Child's records - including admissions documents, pastoral information and medical records	DOB + 25 Years (subject to safeguarding consideration where any material relevant to potential claims should be kept for the lifetime of the pupil)	Requirement	Statutory Framework for the Early Years Foundation Stage
Signing in sheets and registers	3 years (subject to safeguarding consideration where any material relevant to potential claims should be kept for the lifetime of the pupil)	Recommendation	Statutory Framework for the Early Years Foundation Stage
Early Years accident/incident records pertaining to children	DOB + 25 Years	Requirement	Limitation Act 1980
Portfolio of work	To be sent home with the child	Recommendation	

Personnel Records	Retention Period	Status	Authority/Source
Personnel files and training records (including disciplinary records and redundancy details)	6 years after employment ceases NB do not delete any information which may be relevant to historic safeguarding claims	Recommendation	Chartered Institute of Personnel and Development (CIPD)
Records of Headteachers and School Proprietors	Permanently, for historical record	Recommendation	CIPD
Application forms and interview notes (for unsuccessful candidates)	6 months	Recommendation	CIPD

DBS Check/Disclosure information	Schools...do not have to keep copies of DBS certificates to fulfil the duty of maintaining the single central record. Where a school or college chooses to retain a copy, they should not be retained for longer than six months.	Recommendation	Keeping Children Safe in Education (KCSIE) September 2024
Single Central Register	Keep indefinitely Keep all checks retaining to current employees and leavers indefinitely	Requirement	As advised by Warwickshire Safeguarding Children's Board
Identity Documentation	A copy of the documents used to verify the successful candidate's identity, right to work and required qualifications should be kept for the personnel file.	Requirement	Keeping Children Safe in Education (KCSIE) September 2024
Whistleblowing documents	6 months following the outcome (if a substantiated investigation). If unsubstantiated, personal data should be removed immediately.	Requirement	Public Interest disclosure Act 1998 and recommended IAPP practice
Working time records including overtime, annual holiday, jury service, time off for dependents, etc	2 years from date on which they were made	Requirement	The Working Time Regulations 1998

Safeguarding	Retention Period	Status	Authority/Source
Policies and procedures	Keep a permanent record of historic safeguarding policies	Recommendation	ISBA
Child Protection files	If a referral has been made/social care have been involved or a child has been the subject of a multi-agency plan – retain indefinitely Low level concerns to be retained for 25 years from DOB. Any doubt, retain indefinitely.	Requirement	ISBA

Pay Records	Retention Period	Status	Authority/Source
Payroll records (including overtime, bonuses and expenses)	6 years	Requirement	Taxes Management Act 1970
Statutory Maternity Pay (SMP) records	3 years after the end of the tax year in which the maternity period ends	Requirement	The Statutory Maternity Pay (General) Regulations 1986
Statutory Sick Pay (SSP) records	3 years after the end of the tax year to which they relate	Requirement	The Statutory Sick Pay (General) Regulations 1982
Income tax and National Insurance returns/records	At least 6 years after the end of the tax year to which they relate	Recommendation (The Requirement is 3 years)	The Income Tax (Employments) Regulations 1993

National Minimum Wage Records	3 years after the end of the pay reference period following the one that the records cover	Requirement	National Minimum Wage Act 1998
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Health & Safety	Retention Period	Status	Authority/Source
Risk Assessments	For as long as they are relevant and relate to a work activity, and then for an additional 6 years.	Recommendation	HSE
Staff accident books or accident records	3 years after the date of the last entry (see below for records relating to an incident involving hazardous substances)	Requirement	Social Security (Claims and Payments) Regulations 1979
Records of any reportable death, injury, disease or dangerous occurrence	3 years after the date on which it happened	Requirement	RIDDOR 1995
Accident/medical records as specified by the Control of Substances Hazardous to Health Regulations (COSHH) 1999	40 years from the date of the last entry	Requirement	The Control of Substances Hazardous to Health Regulations 1999 and 2002
Assessments under Health & Safety Regulations	Permanently	Recommendation	CIPD
Equipment monitoring and maintenance for safety purposes (eg talscope, electric gates, Mundell Court lift etc)	Life of the equipment + 6 years	Requirement	Limitation Act, 1980 The Provision and Use of Work Equipment Regulations 1998 The Lifting Operations and Lifting Equipment Regulations 1998

Health & Safety General Training, including Instruction and training records, Material Safety Data Sheets, Safety Bulletins etc	6 years after the material is superseded		Limitation Act, 1980
Fire Warden Training Evidence	6 years	Requirement	Fire Precautions (Workplace) Regulations 1997
First Aid Training Evidence	6 years	Requirement	Health and Safety (First Aid) Regulations 1981
Asbestos Inspections and Work	40 years	Requirement	Control of Asbestos at Work Regulations 2002
Fire Risk Assessment	6 years after any new Fire Risk Assessment	Requirement	Limitation Act, 1980
Emergency Planning/Crisis Management	6 years after the material is superseded	Requirement	Limitation Act, 1980

Financial Records	Retention Period	Status	Authority/Source
Accounting records, including Corporation Tax and VAT records and accounts	At least 6 years from the date on which they are made	Requirement	Section 386 of the Companies Act 2006
Budget and internal financial reports	3 years	Recommendation	ISBA

Administration Records	Retention Period	Status	Authority/Source
Complaints	Date of resolution of the complaint + 7 years	Requirement	

Annual Reports required by the DfE	Date of Report + 10 Years	Requirement	
Insurance liability documents	40 years from date of issue	Requirement	The Employers' Liability (Compulsory Insurance) Regulations 1998
Other Insurance documents	6 years	Recommendation	
Minutes of meetings (Directors meetings, Governing Committee etc)	Signed copy to be kept permanently on file other copies – date of meeting + 6 years	Recommendation	CIPD
Minutes, Notes and Resolutions of Boards or Management meetings	Minimum – 10 years	Requirement	
Certificates of Incorporation	Permanent (until dissolution of the company)	Requirement	IRMS
Register of members/shareholders	Retain permanently	Required	IRMS
Shareholder Resolutions	10 years minimum	Recommendation	IRMS
Annual Reports	Date of report + 6 Years	Recommendation	IRMS
Signed final contracts and agreements	7 years from completion of contractual obligations	Recommendation	
OSM Manuals and Building Documentation	Master copy to be kept for the lifetime of the building	Recommendation	

School Management	Retention Period	Status	Authority/Source
Registration documents of school	Permanent – until closure of the school	Recommendation	ISBA
Unsuccessful applications to the school and record of decisions	12 months from application	Recommendation	ISBA
Attendance Register	6 years from last date of entry, then archive	Recommendation	ISBA
Records documenting the development and planning of strategy – including School Development plans	10 years	Recommendation	ISBA
Records documenting pupil numbers	10 years	Recommendation	ISBA
Curriculum and planning	3 years once superseded	Recommendation	ISBA
School Timetables	1 year once superseded	Recommendation	ISBA
Assignment of pupils to classes, forms or sets	1 year once superseded	Recommendation	ISBA
School's policies and procedures	6 years once superseded	Recommendation	ISBA
Professional development plans and staff training materials	6 years	Recommendation	ISBA
Correspondence, including email, created by the Headmaster and other members of staff	6 years	Recommendation	ISBA

with administrative responsibilities, for issues where a formal record needs to be kept	(except where relevant to a safeguarding issue, where records must be held indefinitely)		
School Magazine	Three copies to be kept indefinitely for historical purposes All other copies to be destroyed 3 years after publication	Recommendation	
Staff Emails – sent and received	Emails containing personal data should be retained <u>only for so long as required</u> . Any personal data received in emails that needs to be kept longer term should be filed in an appropriate location (eg Engage) and the email then deleted. Sent emails containing personal data should be deleted from the 'sent item's' folder after the email has been sent	Recommendation	GDPR Auditing
Subject Access Request	1 year following completion of the request	Requirement	Data Protection Act 2018
CCTV Footage	80 days and then overwritten	Recommendation	

School Photographs	Retention Period	Status	Authority/Source
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<p>Photographs of pupils and staff taken during the course of whole school educational activities, as part of class projects or homework</p> <p>These may be used in class displays, pupil workbooks, or internal publications</p>	<p>To be deleted when the project is completed or at the end of the academic year (may be kept for an additional 12 months for inspection purposes)</p> <p>Photos in workbooks to be sent home with the child at the end of the year</p> <p>A proportion of these photos may be held in school indefinitely for the purposes of historical research</p>	<p>Recommendation</p>	
<p>Photographs of pupils or staff for use in school publications or external media (with permission)</p>	<p>To be deleted after inclusion in the publication. The publication to be retained as per above guidance</p>	<p>Recommendation</p>	

Safeguarding

Any material potentially relevant for safeguarding and child protection cases should be retained indefinitely. Data protection issues should never put child safety at risk, nor take precedence over the general prevention and processing of safeguarding claims.

General Information

Some types of records are not listed on the retention schedule. For example, records which are of little continuing value to the school which only need to be kept for a short period of time, i.e. hours, days or possibly weeks. They could be, for instance, telephone messages, written on pads or post-its; or handwritten or typed notes which are no longer needed, or which have been transferred to a more formal document, which is being kept as a record.