



ALTERNATIVE PROVISION

Data Retention Policy

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Approved by: [RAISE-AP Educational Directors](#)

Approval Signatures

*RAISE-AP
Directors*

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Facilities

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Health surveillance and medical records plus air monitoring and/or biological monitoring etc. kept by reason of the Control of Substances Hazardous to Health Regulations 2002	5 years or 40 years in respect of specific individuals	RAISE AP Directors	Control of Substances Hazardous to Health Regulations 2002
General Health Surveillance	40 years	RAISE AP Directors	To carry out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and for the purposes of preventative or occupational medicine, for the assessment of the working capacity of an employee
Accident books, and records and reports of accidents	3 years after the date of the last entry or, if the accident involves a child/young adult – until that person reaches the age of 21	Head of Provision	Control of Substances Hazardous to Health Regulations 2002 (as amended). Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (as amended). Data Protection Act 2018. Management of Health and Safety at Work Regulations 1999 (as amended). Control of Noise at Work Regulations 2005 (as amended).
CCTV recordings	One month (or until hard drive is full). CCTV recordings may be copied to USB and held pending investigation	Head of Provision	Data Protection Act 1998 and BSIA Code of Practice
Accommodation records/room utilisation surveys/ property strategy documents	7 years	Head of Provision	

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Agency application details	1 year	RAISE AP Directors	<p>To carry out the obligations and exercising specific rights of the controller or of the data subject in the field of employment.</p> <p>To comply with statutory guidance and legal obligations.</p> <p>To enable reporting on special category data to demonstrate RAISE AP is meeting its obligations in accordance with the Equality Act 2010.</p> <p>To enable the completion of Freedom of Information and reference requests.</p>
Safeguarding concerns	10 years	RAISE AP Directors	To carry out the obligations and exercising specific rights of the controller or of the data subject in the field of employment
Pension details (Name; job role; Address; Date of Birth; NI Number; Pension Number; Payroll Reference Number; Health)	Perpetuity	RAISE AP Directors	<p>To carry out the obligations and exercising specific rights of the controller or of the data subject in the field of employment.</p> <p>In line with payroll retention periods, to allow for any queries to be resolved up to and after the death of the individual.</p>

Staff Discipline

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Written warning including notes of disciplinary hearings kept on file (subject to satisfactory conduct and performance)	1 year	RAISE AP Directors	
Final warning	1 year	RAISE AP Directors	
Documentation relating to grievance hearings (notes, reports etc...)	2 years	RAISE AP Directors	Allows for appropriate appeal mechanism and monitoring future grievance
Pre-employment health screening questionnaire	During employment + 3 years	RAISE AP Directors	Management of Health and Safety at Work Regulations 1999.
Employment references received	During employment + 6 years	RAISE AP Directors	Management of appointment and probation processes

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Occupational Health Records - health surveillance and medical records relating to risk assessments or incidents occurring at work	40 years	RAISE AP Directors	Management of Health and Safety at Work Regulations 1999 Noise at Work Regulations 1989
Occupational Health Records where reason for termination of employment is connected with health, including stress related illness	During employment + 3 years	RAISE AP Directors	Limitation period for personal injury claims (there may be circumstances where it is not practical to separate these from other Occupational Health Records)
Statutory Maternity Pay records, calculations and certificates, etc.	6 years from the end of the financial year the maternity occurred in	RAISE AP Directors	Statutory retention 3 years from the end of the financial year the maternity occurred in
Statutory Sick Pay records, calculations and certificates and self-certificates	6 years from the end of the financial year they relate to	RAISE AP Directors	Statutory retention 3 years from the end of the financial year they relate to
Parental Leave records	6 years from the birth / adoption of the child or 18 years if the child receives a disability allowance	RAISE AP Directors	Statutory retention 5 years

Redundancies

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Where less than 20 redundancies	6 years from the date of the redundancies	RAISE AP Directors	Time limits on litigation
Where more than 20 redundancies	12 years from the date of the redundancies	RAISE AP Directors	Limitation Act 1980

Payroll Records

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Income Tax and NI Returns, including correspondence with tax office	6 years after end of the financial year to which the records relate	RAISE AP Directors	Income Tax (Employment) Regulations 1993
Wages and salary records	6 years	RAISE AP Directors	Taxes Management Act 1970

Finance Records

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Financial records (including purchase and sales invoices, bank statements, receipts, payment requests and supporting documents, journals, reports and accounts – electronic and hard copy)	7 years after end of the financial year to which the records relate	RAISE AP Directors	Time limits on litigation
Signed Annual Financial Statements	Indefinitely	RAISE AP Directors	RAISE AP good practice
Subsidiary companies – Statutory records	Indefinitely	Head of Provision	RAISE AP good practice
Internal and external audit reports	7 years after end of the financial year to which the reports relate	RAISE AP Directors	Time limits on litigation
Contracts	Termination of contract plus 7 years	RAISE AP Directors	Time limits on litigation
Tenders	7 years	RAISE AP Directors	Time limits on litigation
General insurance records	7 years following the expiry of the policy	RAISE AP Directors	Time limits on litigation
Employer's Liability insurance	40 years from the start / renewal of the policy	RAISE AP Directors	Time limits on litigation

Student Records – Enquiries and Admissions

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Records documenting the handling of enquiries from prospective students attending Open Events or requesting directories	1 year after provision ends	Head of Provision	RAISE AP good practice
Records documenting the handling of applications for admission: unsuccessful applications	1 year after provision ends	Head of Provision	RAISE AP good practice

Student Records – Safeguarding

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Student safeguarding documents / records	CPOMS storage retained until 25 th anniversary of the child's birth (Looked After 75) or if the child dies before the age of 18, for 6 years from death (Looked After 15)	Head of Provision / DSL	Child Protection legislation

Student Records – Paper Based Collated Files

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Full student records, including documents relating to: <ul style="list-style-type: none"> • Application/admission Forms & Interview Records • Enrolment/Learning agreement/Files • Employer Liability/H&S (apprenticeships) • Contact/Attendance • Change of personal details • Diagnostic/Assessments/ILP • Qualifications on Entry • Transfer, withdrawal or termination of studies • Academic achievements • Reference requests / responses 	6 years after provision ends	Head of Provision	Limitation period for negligence

Student Records – Electronic Based Collated Files

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Scanned copy of full student records including documents relating to: <ul style="list-style-type: none"> • Application/admission • Enrolment/Learning agreement/Files • Employer Liability/H&S (apprenticeships) • Contact/Attendance • Change of personal details • Diagnostic/Assessments/ILP • Qualifications on Entry • Transfer, withdrawal or termination of studies • Academic achievements • Reference requests / responses 	10 years after provision ends	Head of Provision	Limitation period for negligence
Network account / cloud storage / student VLE	Current academic year + 3 months	Head of Provision	ICT security good practice
Documents referring to coursework marks / grades and assessment	3 years after provision ends	Head of Provision	RAISE AP good practice
Electronic records of coursework assessment / marks / grades	3 years after provision ends	Head of Provision	RAISE AP good practice
Electronic records of exam marks / grades	3 years after provision ends	Head of Provision	RAISE AP good practice
Electronic documentation for examination specifics (special arrangements / attendance / notification of results)	3 years after provision ends	Head of Provision	RAISE AP good practice

General Non-Financial Records

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Minutes, papers and other records of Corporation meetings and its committees	10 years after the last meeting	RAISE AP Directors	ICT security good practice

Quality Assurance

Type of Record	Minimum Retention Period	Responsibility	Reason for Length of Period
Student Records Records documenting the conduct and results of disciplinary proceedings against individual students.	Current academic year + 6 years	Head of Provision	Limitation period for negligence
Student / Employee Records Records documenting the handling of formal complaints & compliments made by individual students.	Last action in complaint + 6 years	Head of Provision	Limitation period for negligence
Student / Employee Records Records documenting the handling of complaints made by individual students where formal complaints procedure is not initiated.	Last action in complaint + 3 years	Head of Provision	Limitation period for negligence
Employee Records Records of observations	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice
Employee Records Records of learning walks	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice
Employee Records Records of advanced practitioner or equivalent support	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice
Employee Records Records of Ofsted inspection records	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice
Student / Employee Records Record of reports	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice
Employee Records Record of essential training	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice
Quality Records Record of stakeholder surveys	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice
Employee Records Record of CPD requests	Last action in complaint + 5 years	Head of Provision	RAISE AP good practice

Raise Values

Our [RAISE-AP values](#) (Resolve, Attitude, Invest, Social Skills and Education) are key in everything we do, specifically with attitudes (modelling and expectations), invest (tailoring setup for our young people) social skills (becoming part of a community) which are linked to our Data Retention policy.
