

Summary Schedule for the Retention and Destruction of Documents

Review Cycle:

Next Review Date:

Person Responsible: Legal Officer

Approving Body:

This schedule sets out the periods for which the College's key business records will be retained to meet its operational needs and to comply with legal and other requirements.

Estates	
<i>Type of record</i>	<i>Retention period</i>
Inspection, maintenance and repair of property	Completion of work + 2 years
Property disposal	Disposal + 6 years
CCTV recordings	Creation + 1 month
Security passes	Expiry + 1 year
Security breaches	Last action on incident + 1 year
Repairs to fixtures and fittings	Current year + 1 year
Stock records	Current year + 1 year
Inspection and testing of equipment	Disposal + 1 year

Governance and Management	
<i>Type of record</i>	<i>Retention period</i>
Appointment of members of governing body	Termination of appointment + 6 years
Register of interests	Termination of appointment + 6 years
Conduct and proceedings of governors' meetings	Current year + 50 years
Terms of reference	Life of the Committee
Governor training	Current year + 3 years
Conduct and proceedings of Executive Committee	Current year + 50 years
Executive Committee training	Current year + 3 years
Financial strategy	Current + 10 years

Health and Safety	
<i>Type of record</i>	<i>Retention period</i>
Accident books, and records and reports of accidents	3 years after the date of the last entry
Health records	During employment
Health records where reason for termination of employment is connected with health, including stress related illness	3 years
Medical records kept by reason of the Control of Substances Hazardous to Health Regs 1999	40 years
Ionising radiation records	At least 50 years after last entry

Fire certificates	Issue of new certificate
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Human Resources – Payroll

Type of record	Retention period
Income tax and NI returns, including correspondence with tax office	At least 3 years after the end of the financial year to which the records related
Statutory maternity pay records and calculations	At least 3 years after the end of the financial year to which the records related
Statutory sick pay records and calculations	At least 3 years after the end of the financial year to which the records related
Wages and salary records	At least 3 years after the end of the financial year to which the records related
Authorisations of deductions from salaries and wages authorisations	Current Tax Year + 6
Tax code notices	ACT + 3
Salary advices	Current Tax Year + 6
Bank transfer reports	Current + 6
Notifying staff of their employment-related tax liabilities	Current Tax Year + 6

Human Resources – Personnel and Recruitment

Type of record	Retention period
Personnel management procedures	Current + 10 years
Personnel files	6 years from the end of employment
Training records	6 years from the end of employment
Disciplinary and grievance hearings	6 years from the end of employment
Internal authorisation for recruitment	Current + 1 year
Advertising vacancies	Completion of appointment + 6 months
Enquiries	Completion of appointment
Job application forms	At least 6 months from the date of the interviews
Job interview notes	At least 6 months from the date of the interviews
Unsuccessful applications	Completion of appointment + 6 months
Successful applications	Termination of appointment + 6 years
Facts relating to redundancies (less than 20)	6 years from the date of redundancy
Facts relating to redundancies (20 or more)	12 years from the date of the redundancies
Contracts	6 years from the end of employment
Job descriptions	Duration of job + 1 year
Sickness absence records	Termination of employment + 40 years
Authorisation of leave	Completion of entitlement + 6 years

Legal & Contracts

Type of record	Retention period
Legal support for negotiation, establishment and review of agreements and contracts under seal	Termination of contract +12 years
Legal support for negotiation, establishment and review of other contracts and agreements	Termination of contract + 6 years
Claims by or against the College that do not proceed to litigation or settlement	Withdrawal + 6 years

Legal advice concerning legal framework , governance, industrial relations, health and safety issues	Life of Institution
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Learner Records	
<i>Type of record</i>	<i>Retention period</i>
Admissions policies	Current + 10 years
Enquiries	Current + 1 year
Enquiry, recruitment and retention data	Current + 5 years
Initial assessment	Termination of relationship + 6 years
Enrolment forms	At least 6 years from date learner leaves College
Withdrawal forms	Termination of relationship + 6 years
Personal and academic references	At least 10 years
Examination and achievement results	At least 10 years
Student personal details and enrolment record	At least 10 years (and until 2030 where eligible for ESF match funding)
Exam timetables	Current year + 1 year
Student conduct	Last action + 6 years

Finance - Assets	
<i>Type of record</i>	<i>Retention period</i>
Capital asset registers/Major items	Permanent
Other items	Disposal of asset + 12
Asset disposal authorisation forms	Current Financial Year + 1

Finance – Cash and Banking	
<i>Type of record</i>	<i>Retention period</i>
Administration of bank accounts	Closure of account + 6 years
Petty cash authorisations	Current + 6
Petty cash receipts and books	Current + 6
Bank paying-in slips	Current + 6
Bank statements	Current + 6
Cancelled cheques	Current + 6

Finance – Expenditure	
<i>Type of record</i>	<i>Retention period</i>
Authorisation of purchasing	Current Financial Year +1
Purchase requisitions	Current Financial Year +1
Purchase orders	Current + 6
Delivery notes / Goods received notes	Current + 6
Purchase invoices	Current + 6
Payment authorisations	Current + 6
Credit notes	Current + 6
Purchase ledgers	Current + 6
Cheque authorisations	Current + 6
BACS reports	Current + 6

Finance – Income	
<i>Type of record</i>	<i>Retention period</i>
Sales invoices	Current + 6
Sales ledgers	Current + 6
Credit notes	Current + 6
Till rolls	Current + 6
Remittance advices/Receipts	Current + 6
Statements	Current + 6

Finance – Insurance	
<i>Type of record</i>	<i>Retention period</i>
Records documenting the development and establishment of the institution's insurance management policies	Superseded + 5 years
Records documenting the development of the institution's insurance management procedures	Superseded + 3 years
Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: employers' liability insurance	Commencement of policy + 40 years OR Renewal of policy + 40 years
Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: all other insurance	Expiry of policy + 6 years
Records documenting claims made under insurance policies	Settlement of claim + 6 years OR Withdrawal of claim + 6 years

Finance - Management Accounts & Financial Reports	
<i>Type of record</i>	<i>Retention period</i>
Annual accounts	Current + 6
Monthly/Quarterly accounts	Current + 1
Cross-charge requests	Current Financial Year +1
Cross-charge reports	Current Financial Year +1
Budget monitoring reports	Current Financial Year +1
ESF project funding	Funding period + 6 years

Finance – Procurement	
<i>Type of record</i>	<i>Retention period</i>
Procurement policy	Current + 5 years
Procurement procedures	Current + 3 years
Invitations to tender and evaluation criteria	Termination of contract award + 6 years
Rejected tenders	Award of contract + 1 year
Accepted tenders	Termination of contract + 6 years

Finance - Tax	
<i>Type of record</i>	<i>Retention period</i>
Assessment of tax liabilities	Current Tax Year + 6
VAT account	Current Tax Year + 6
Submission of tax returns	Current Tax Year + 6
VAT return	Current Tax Year + 6

Finance - Treasury Management	
<i>Type of record</i>	<i>Retention period</i>
Acquisition / disposal of investments	Permanent
Investment instructions	Current + 6
Share certificates	Disposal of Shares + 6
Investment portfolio reports	Permanent

ICT	
<i>Type of record</i>	<i>Retention period</i>
ICT policies	Current + 5 years
ICT procedures	Current + 3 years
Monitoring and testing ICT performance	Current year + 1 year
Data storage, back up, archiving	Current year + 1 year
Software licences	Issue of new license
Opening, maintenance and closure of user accounts	Closure of account + 1 year

Risk Management and Audit	
<i>Type of record</i>	<i>Retention period</i>
Audit reports and responses	Current year + 5 years
Risk management strategy	Current year + 10 years
Risk management procedures	Current year + 3 years
Identification/Assessment of risk	Current year + 1 year

Strategic Planning & Quality	
<i>Type of record</i>	<i>Retention period</i>
Strategic planning	Current year + 10 years
Quality procedures	Current year + 3 years
Complaints system and procedures	5 years
Public complaints	3 years

Student Support	
<i>Type of record</i>	<i>Retention period</i>
Counselling	Current + 2 years
Student health	Permanent medical records
Specific learner needs	Current + 7 years
Chaplaincy	Permanent
Student surveys	Completion of survey + 3 years
Student complaints policies	Permanent
Student complaints handling	Current + 6 years
Student Union operation and activities	Permanent

Documents that may be routinely destroyed

As a rule, the following types of records have no significant operational, informational or evidential value. They can therefore be destroyed as soon as they have served their primary purpose.

Message slips	Superseded address lists, distribution lists etc.
Requests for, and confirmations of, reservations for internal services (e.g. meeting rooms, car parking spaces, pool cars) where no internal charges are made	Duplicate documents such as CC' and 'FYI' copies, Unaltered drafts, 'Snapshot' printouts or extracts from databases, 'Day Files' (chronological copies of correspondence)
Requests for, and confirmations of, reservations with third parties (e.g. travel, hotel accommodation, restaurants) when invoices have been received	Personal diaries, address books etc.
Announcements and notices of meetings and other events, and notifications of acceptance or apologies	Working papers, where the results have been written into an official document and which are not required to support it
Transmission documents: letters, FAX cover sheets, e-mail messages, routing slips, compliments slips and similar items which accompany documents but do not add any value to them	Stocks of in-house publications which are obsolete, superseded or otherwise useless e.g. magazines, marketing materials, prospectuses, catalogues, manuals, directories, forms, and other material produced for wide distribution
Requests for stock information such as maps and travel directions, brochures etc.	Published or reference materials received from other parts of the institution or from vendors or other external organisations which require no action and are not needed for 'record' purposes, e.g. trade magazines, vendor catalogues, flyers, newsletters