

Retention of Records Policy

1. SCOPE

- 1.1 This policy is applicable to all Staff of Bath College.

2. INTRODUCTION

- 2.1 There is a requirement to have a clear policy in respect of the retention of the various documents maintained by the College.
- 2.2 In some cases the retention period and method will be determined by statutory requirements whilst in other cases retention periods will reflect the requirements of the College.
- 2.3 In determining the various periods it is necessary to consider how documentation retained will be stored and whether the storage of records, particularly those of a personal nature is meaningful and appropriate as required by the Data Protection Act 1998. Account should also be taken of the requirements of the Freedom of Information Act and the requirements in respect of access to documentation held.
- 2.4 The retention periods, details as to who should be responsible for the holding of documentation and necessary actions to centralise retained documentation storage are set out in Appendix 1.
- 2.5 The Policy and Schedule will be published on the Staff Portal and Heads of Departments / Service Teams are responsible for ensuring the awareness of staff.

Appendix 1

Type of Document	Responsible for Retention	Retention Period	Comments
<u>Primary Financial records</u> Orders Invoices Bank Statements / Reconciliation records Journal transfer authorisations ESF Records	Director of Finance & Corporate Services	7 complete financial yrs 7 complete financial yrs 7 complete financial yrs 7 complete financial yrs 10 complete financial years	In accordance with internal audit requirements Financial records held in departments should be retained for the current financial year and the previous financial year.
<u>Secondary Financial Records</u> Paying in slips Petty Cash Vouchers Duplicate receipts Refund authorisations	Director of Finance & Corporate Services	3 complete financial yrs 3 complete financial yrs 3 complete financial yrs 3 complete financial yrs	In accordance with audit requirements Secondary financial records held in departments should be retained for the current financial year and the previous financial year.
<u>Student Records</u> Registers / ALP's	CIS Manager	3 academic years following completion of course	
Student Personal Details	Deputy Principal	4 Academic years from completion of course	
Course Work	Head of Department	1 complete academic year following completion of course	
Learner Support Fund	Deputy Principal	7 Complete Academic Years	
Childcare Support Fund	Deputy Principal	7 Complete Academic Years	
HEFCE Agreements	Deputy Principal	7 Complete Academic Years	
Examination Entries	Deputy Principal	2 academic years following year of entry	

Examination Certificates	Deputy Principal	2 academic years following year of entry	Certificates returned to Board where stipulated if not dispatched to student. All other certificates kept for 10 years and then securely disposed.
Exam Documentation relating to Special Arrangements/Considerations	Deputy Principal	indefinitely	
Correspondence with Examination Bodies	Head of Quality & Learning	2 academic years	
Achievement data	Deputy Principal	4 complete academic years	Results to be transferred to electronic/micro fiche storage after 4 years and hard copy destroyed, if appropriate. Electronic/micro-fiche record to be held indefinitely.
ILR returns	Deputy Principal	Indefinitely	Retained in electronic format.
Student Applications	Deputy Principal	1 complete academic year	1 year if not converted into enrolment. If converted to enrolment transferred to students personal file at end of academic year.
Student Destination information	Deputy Principal	4 complete academic years	
Self Assessment Report, QIP & Data	Each Curriculum & Service Area Manager	4 complete academic years	
Student Surveys	Deputy Principal	4 Complete academic years	Questionnaires to be retained for 2 complete academic years. Survey reports for 4 years
Confidential Student Counselling Records	Counsellors	2 complete academic years after the academic year in which the student attended for counseling.	
Internal Quality Audit Records	Head of Quality & Learning	5 Years	
Employers Survey	Head of Quality & Learning	4 Complete academic years	Questionnaires to be retained for 2 complete academic years Survey reports for 4 years

<u>HR Records</u>			
Personal files	Director of Human Resources & Organisational Development	4 complete years from member of staff leaving college employment	Hard copy destroyed after 4 years. Basic data recorded electronically for 10 years.
Performance Review Records	Director of Human Resources & Organisational Development	4 complete years from member of staff leaving college employment	
Training/ Staff Development Activity Records	Director of Human Resources & Organisational Development	4 complete years from member of staff leaving college employment	
Facts relating to Redundancies	Director of Human Resources & Organisational Development	3 years from effective date of redundancy 12 years from effective date of redundancy	For less than 20 redundancies For 20 or more redundancies
Compromise Agreements/ Approved References Health Records where reason for termination of employment is concerned with health, including stress related illness	Director of Human Resources & Organisational Development	10 years from effective date of agreement 40 years	
Medical Records kept by reason of the Control of Substances hazardous to health	Director of Human Resources & Organisational Development	40 years	
Application Forms	Director of Human Resources & Organisational Development	6 months for candidates shortlisted but not interviewed 9 months for shortlisted and interviewed candidates	Applications of appointed staff onto Personal File when opened 6 months from interview date – non SL applicants 9 months from interview date - SL applicants
Interview Records / Notes	Director of Human Resources & Organisational Development	9 months from interview date	

Personal Records held within departments	Director of Human Resources & Organisational Development	Duration of employment + 3 years thereafter.	
Staff Surveys	Director of Human Resources & Organisational Development	5 years	Reporting retained for 5 years Internal Questionnaires retained for 2 years
Staff Timetables	Heads of Department CIS Manager	2 complete Academic Years from the end of the year to which the timetable relates	
<u>Payroll Records</u>			
Income Tax & NI returns, Correspondence with Tax Office	Payroll Manager	7 years after end of financial year to which records relate	
Wages and salary records	Payroll Manager	7 years from last day of employment	
Statutory Maternity Pay records and calculations	Payroll Manager	7 years from last day of employment	
Statutory Sick Pay records and calculations	Payroll Manager	7 years from last day of employment	
Pension Records	Payroll Manager	Indefinitely	
TPA ill Health Retirements	Payroll Manager	Indefinitely	
Other TPA/ Local Government records	Payroll Manager	25 years from date of retirement	
<u>Corporation Records</u>			
Minute Books	Clerk to the Corporation	Indefinitely	
Agenda / Papers of Corporation & Corporation Committees	Clerk to the Corporation	7 Years	
Correspondence		3 years	

<u>Collegiate Records</u>			
Tenders	Director of Finance & Corporate Services	5 years from award of tender	
Complaints	Deputy Principal	3 complete years	
Internal/ External Audit Reports	Director of Finance & Corporate Services	7 years	
Employers Liability Certificate	Director of Finance & Corporate Services	Indefinitely	
Data Protection Registration	Director of Finance & Corporate Services	10 years	
Contracts	Director of Finance & Corporate Services	3 complete years from expiration of Contract.	
PAT Testing/ Insurance Certificate Records	Deputy Head of Estates & Health & Safety Manager	10 years	
<u>Health & Safety Records</u>			
Accident Register, Records & Reports of Accidents	Deputy Head of Estates & Health & Safety Manager	7 years	
Health & Safety Records (Risk Assessment, audits, COSHH, etc)	Deputy Head of Estates & Health & Safety Manager	10 years	
<u>IT Records</u>			
Software Licenses	ICT Services Manager	7 years	
Hardware Registers	ICT Services Manager	7 Years	
E- Mail Accounts	ICT Services Manager	Closed within 7 days of member of staff leaving, deleted from system after 9 months	Accounts to be closed but retained on system. Access to be specifically authorised by Director of Finance.