FE College Sector (NI)

RETENTION AND DISPOSAL SCHEDULE

[Name of public authority] Disposal and Retention Schedule

Prepared as required by the Public Records Act (Northern Ireland), 1923 and in accordance with the Rules made pursuant thereto, approved by Order in Council dated 25th January 1925.

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Name

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INTRODUCTION

Further Education (FE) Colleges are the main providers of vocational and technical education and training in Northern Ireland (NI). The nature of College provision is diverse and broad based ranging from A Levels and GCSEs to BTECs, HNCs, HNDs, Apprenticeships, Foundation Degrees, Degrees and other specific training programmes. The FE Sector plays a central role in raising levels of literacy and numeracy, and in up-skilling and re-skilling the population through a broad range of courses leading to qualifications, particularly at Levels 2 and 3.

There are 6 FE Colleges within Northern Ireland; Belfast Metropolitan College (BMC), Northern Regional College (NRC), North West Regional College (NWRC), South Eastern Regional College (SERC), South West College (SWC) and Southern Regional College (SRC).

The Colleges have over 150,000 enrolments across their 40 campuses and 400 community outreach venues per year. The Colleges support 4,100 expert lecturers and professional staff. Colleges make an important contribution to social cohesion in the community, through the integrated approach taken to the delivery of the Entitlement Framework provision. Evidencing the success of creative and collaborative partnerships across the schools through Area Learning Communities. Increasingly the Colleges are working directly with organisations in the private, public and community sectors to improve their performance and currently work with over 7,500 businesses across NI.

PURPOSE OF THE RETENTION AND DISPOSAL SCHEDULE

As Public Authorities and data controllers, the FE Sector is legally obliged to comply with both the Data Protection Act (1998) and the Freedom of Information Act (2000). The main principle behind both Acts is the public 'right to know'. This may be either in relation to their own personal information or that of the organisation therefore it is critical that the FE Sector manages its records in line with either statutory guidance

or business need. The above mentioned Acts are enforced by the Information Commissioners Office and promote transparency and accountability of the authority.

The FE Sector has collaborated on the development of a single Retention and Disposal Schedule for all the Colleges. The creation of the document has been supervised by the Public Record Office for Northern Ireland (PRONI). The purpose of this Retention and Disposal Schedule is to manage the life of records from their creation to their completion. The Retention and Disposal Schedule will identify records of historical value and determine whether they are to be preserved as archives, either by the Colleges or PRONI and records which are to be destroyed. It provides guidance on retention of the records which are generated by the Colleges in the course of carrying out their functions and managing the Colleges as corporate bodies.

The retention of unnecessary paper and electronic records consumes staff time and utilises space and equipment. Records management is ultimately a matter of risk management, and the Colleges must determine their own position on managing the risks associated with the retention and disposal of records. Decisions to preserve or destroy records may be informed by professional legal advice within the relevant departments, and should be authorised by appropriate officers who can commit the College to the potential consequences of the decisions.

WHAT IS COVERED BY THIS RETENTION AND DISPOSAL SCHEDULE?

This schedule identifies the retention and disposal arrangements for all records created by Northern Ireland FE Colleges. A record is recorded information, in any form, created or received by the Colleges or individual members of staff to support and show evidence of College activities. For the purpose of this Retention and Disposal Schedule, records are defined as:

'Information captured in a reproducible format, including paper, e-mail and other documents in computer systems.'

The following information (e.g. ephemeral material, reference material and convenience copy) is not covered by the Retention and Disposal Schedule and includes:

- Rough or early drafts where these do not contain evidence of policy development;
- Circulated copies of drafts; unaltered drafts;
- Convenience copies or information retained for reference purposes only (it is not retained to provide evidence of transactions, but only for its information value);
- Reference or published materials from external sources which are not needed for record purposes, e.g. papers from conferences or seminars, policy briefings, sales catalogues, brochures, "junk-mail";
- CC'd e-mails;
- E-mails that are not the primary record of decisions or transactions (e.g. the information is recorded in some other way either prior to or following the e-mail);
- Personal records and e-mails, e.g. social arrangements, personal copies of performance reviews;
- Stocks of publications that have been superseded;
- Bookings for internal services (e.g. room hire, equipment hire);
- Notes taken during meetings where formal notes/minutes have been prepared;
- Meeting requests, acceptances and apologies;
- Corporate notices and circulars (circulated copies, i.e. not the original);
- Superseded circulation/contact lists;
- Covering/transmission documents such as covering letters, fax cover sheets, compliment slips, or e-mails accompanying attachments that do not provide additional information to the main document and where evidence of date and time of receipt or despatch are not required;
- Reservations and confirmations of arrangements with third parties, such as joining instructions for conferences, training etc when invoices have been received.

Document Management

The 6 FE Colleges declare that they will take measures to ensure that the records which they create will be physically well maintained and cared for while they are in their custody, i.e. until either destroyed or permanently preserved by the College or PRONI.

Electronic Documents/Material

The FE Colleges do not currently have an electronic document and records management system (EDRMS) which would enable the control, retention and transfer of records in electronic format.

The principles governing the retention of electronic documents are the same as those for paper records. In support of these principles, it is important that electronic folders should be organised in a similar way as paper records. In addition, ephemeral electronic documents of no enduring value, such as those of purely personal relevance, should be deleted from the system at the earliest opportunity.

CATEGORIES OF RETENTION/DISPOSAL

There are three broad categories of retention/disposal

(a) Permanent Retention by the College (R)

There are likely to be few records in this category but these are records which the College needs to retain permanently for business administrative needs.

(b) Destroy (D)

These are records which the College will retain in archive for a defined period and which will be destroyed at the end of that period. The College will adhere to the Lord Chancellor's Code Of Practice On The Management Of Records Under Section 46 of the Freedom of Information Act 2000.

(c) Transfer (T)

These are records e.g. European Funded Programmes which will be archived and returned to funder when the programme has closed.

(d) Public Record Office Permanent Preservation (RP)

These are files/records which PRONI has decided are of long-term historical research value. These records must be transferred to PRONI under the terms of the Public Records Act (NI) 1923.

OPERATION OF THIS RETENTION AND DISPOSAL SCHEDULE

Retention periods

Retention periods are based upon the specific business needs of the Colleges in addition to the regulatory environment within which the College operates. The retention period for each type of file is calculated from the point the file is closed.

Destruction

Destruction of files will take place on a planned basis in line with the retention and disposal schedule recommendations. Destruction will be conducted by staff responsible for the maintenance of registered file systems, in consultation with the relevant business area. A record of destruction will be kept for audit purposes and all files will be destroyed in line with the arrangements for the destruction of confidential waste.

CONTENT OF THE SCHEDULE

The Schedule is arranged first by function and then by activity.

- the description of the activity;
- examples of common records and a recommended retention period for records.

The Schedule lists Functions and Activities and suggests <u>minimum</u> retention periods for the records which are generated by these functions and activities. Where

applicable it also sets out <u>minimum</u> retention periods required by regulatory authorities.

Where there is no required retention period, a period is recommended. The Schedule also indicates functions and activities which are likely to generate records which should be preserved as historical archives, in accordance with the Criteria for Selection of Archival Records, by recommending a retention period of "Permanent" (R) or (RP).

<u>ROLES AND RESPONSIBILITIES</u>

Chief Executive

The Chief Executive of each College is responsible for ensuring that the College complies with legislative requirements relating to records management, the Data Protection Act (1998) and the Freedom of Information Act (2000). His/her principal role is to ensure that the College policy is adhered to.

Directors

Each Director is responsible for the management of records within his/her Department and for the application of the policy within his/her operational units.

Heads of Departments and Senior Managers

All managers in the College are accountable to their supervising managers for ensuring that all information and records systems within their operational responsibilities comply with the policy statement and guidelines. They are also responsible for ensuring that guidelines and records management procedures are maintained for their operational units and communicated to employees. The College Information Officer can provide guidance and assistance on these issues.

Employees

All employees are accountable to their line managers for compliance with this schedule.

FE Sector Information Working Group

The role of this group, reporting to the Directors' Working Group, is to review generally the Sector Schedule and its obligations under the legislation.

GLOSSARY OF TERMS

1. 'Retention Periods' are expressed in the Schedule as follows:
   Creation date + number of years (unless otherwise stated)
   For example:
   a) Settlement of claim + 6
   b) CFY + 2

2. Numbers represent years unless otherwise stated.

3. The starting point is frequently expressed by a code. The codes used are:
   a) C   Creation date
   b) CAY   Current Academic Year
   c) CFY   Current Financial Year
   d) CTY   Current Tax Year
   e) ACT   Record subject to on-going update and review. These are records requiring on-going appraisal. They are appraised by College staff at specified periods to determine if there is a continuing business need for retention. These records will be destroyed if considered to be of no further business use.

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
BUSINESS ENGAGEMENT	Business client information • Correspondence • Contractual Information • Contact details • Company size/employees • Training needs analyses • Client audit documentation	Termination of relationship + 2		(D)
BUSINESS ENGAGEMENT	Business proposals and relevant documentation	C + 1		(D)
BUSINESS ENGAGEMENT	Delivery plans and relevant documentation	End of project + 1		(D)
CURRICULUM	Definition of strategic goals and objectives for teaching and learning, and formulation of plans to achieve these goals and objectives. College Development Plan	ACT		(R)
CURRICULUM	Candidate coursework • Portfolios • Assignments • Examinations • Dissertations • Assessments completed • as part of their evidence • towards accreditation.	C + duration of course	Until External Verification has occurred, certification taken place and appeals period has expired.	(D)
CURRICULUM	Internal verification / moderation records relating to candidates undertaking a specific course / qualification	Course duration + 1	Unless superseded by Awarding Body regulations	(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
CURRICULUM	Details relating to grades / marks awarded to candidates during completion of a specific course	Course duration + 1		(D)
CURRICULUM	Identification of accreditation requirements for new courses, and obtaining accreditation • Course accreditation submissions	C + duration of the course	Updates should be kept with the original documentation	(D)
CURRICULUM	Generic course information • Course specific information relating to coursework and assessment design	CAY + duration of the course		(D)
CURRICULUM	Feedback reports from students, staff, employers and other stakeholders	Course duration + 1		(D)
CURRICULUM	Curriculum Development and Performance Monitoring reports	CAY + 5		(D)
CURRICULUM	Design of new curricula • Reports & other key documents	ACT		(D)
CURRICULUM	Identification and analysis of market needs for new courses	C + 3		(D)
CURRICULUM	Monitoring and analysis of enquiries about courses and qualifications • Collated data - reports / statistics	CAY + 5		(D)
CURRICULUM	Monitoring and assessment of courses offered by other colleges	CAY + 2		(D)
CURRICULUM	Preparation and delivery of courses • Course notes • Lecture notes • Seminar notes • Handouts	ACT		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Presentation materials • Reading lists			
CURRICULUM	Monitoring of submission of assignments by students • Course assignment registers	CAY +1		(D)
CURRICULUM	Course Handbook	ACT		(D)
CURRICULUM	Current course specifications and standards	ACT		(D)
CURRICULUM	Individual Learner Record	End of engagement with course + 2		(D)
ESTATES	**Buildings and Engineering Works** • Building Plans / Drawings • Buildings and Engineering Works, inclusive of major projects abandoned or deferred • Buildings Portfolio/CDM files	Permanent		(R)
	• Minor works including interior decoration, relocation • Planning Applications	Completion of works + 5 Permanent		(D/T)
ESTATES	**Property** • Copy Leases and Deeds Schedules and Report on Title • Covenants • Licenses and other rights over property • Original Leases and Deeds • Property Acquisitions Dossiers	Permanent End of lease + 5 C + 11		(R) (D) (D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Rental Agreements	End of contract + 5		(D)
	• Contract Documents (under seal)	C + 11		(D)
	• Signed Contract Documents (under hand)			
	• Tender Contracts, Building Works			
ESTATES	**Environmental Management**			
	• Environmental management function records including reviews, audits, risk assessments, investigations	C + 5		(D)
	• Energy Consumption records	C + 5		(D)
	• Asbestos Register	Permanent	The Control of Asbestos Regulations (Northern Ireland) 2012	(R)
	• Exposure to Group 3 or Group 4 biological agents and other hazardous substances records including health documentation	Permanent		(R)
	• Removal of hazardous materials	C + 11		(D)
	• Restoration of contaminated land	Permanent		(R)
	• Testing, maintenance and statutory inspections	Permanent		(R)
	• Waste Disposal records including controlled waste, special waste	CAY + 3		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Equipment and Consumable sanitation	Disposal + 6		(D)
ESTATES	**Estates Management**			
	• Car parking	CAY		(D)
	• CCTV Footage	30 days or until completion of claim/investigation		(D)
	• External Bookings - Room Bookings for external organisations	CAY		(D)
	• Negotiations for properties not acquired	End of negotiations		(D)
	• Property Access controls	CAY + 2		(D)
	• Property Disposal Dossiers	CAY + 2		(D)
	• Stock – quantities and valuation	CAY + 2		(D)
ESTATES	**Equipment**			
	• Equipment and Consumable disposal including transfer of ownership	Disposal + 1		(D)
	• Maintenance Contracts/Schedules	Lifetime of contract		(D)
	• Servicing of equipment, machinery and property	Lifetime of equipment + 3		(D)
	• Operation and Maintenance Manuals	Lifespan of equipment		(D)
ESTATES	**Fire Records**			
	• Fire-fighting equipment and assessment	C + 5	Health and Safety Regulations	(D)
	• Fire Inspection Reports	Duration of insurance contract + 3		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Fire evacuation drill records	CAY		(D)
	• Fire Risk Assessments	Lifespan of building		(R)
ESTATES	**Health and Safety**			
	• Contract Health and Safety Files	Permanent	Health and Safety Regulations	(R)
	• Health and Safety Records including audits, reviews, communication	C + 9		(D)
	• Accidents/dangerous occurrences, outbreaks of disease	C + 9		(D)
	• Health and Safety Representative Records	C + 9		(D)
	• Accident/incident report forms including associated administration e.g RIDDOR	C + 6		(D)
ESTATES	**Inspections**			
	• Inspections and reports	Completion of works + 5		(R)
ESTATES	**Project Files**			
	• Capital Building Project Files	Until buildings demolished		(D)
EXAMINATIONS	**Regulations** JCQ Regulations Specific Awarding body Regulations	Lifetime of Regulations	JCQ Regulations Awarding body Admin Handbooks Ofqual	(D)
EXAMINATIONS	**Student Records**			
	• Entries/Registrations/Withdrawals	CAY + 1	None	(D)
	• Access Arrangements applications			

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Special Consideration applications • Cash ins • Amendments • EDI Files			
EXAMINATIONS	**Examination Session Records** • Examination timetables • Seating plans • Records of attendance • Invigilator reports • SLDD Exam timetables • Invigilators timesheets • Enquiries about results & outcomes • Access to scripts requests • Appeals administration & outcomes • Examinations materials	CAY + 1 CAY + 1 CAY + 1 CAY + 1 CAY + 1 See Invigilator section End of appeals process End of appeals process End of appeals process End of appeals session		(D)
EXAMINATIONS	**Results** • Centre Results • University Broadsheets/Pass Lists • Online certificates postage records • Coursework mark submissions	CAY + 6	Awarding body regulations JCQ Ofqual	(D)
EXAMINATIONS	Managing changes in the external accreditation requirements of existing courses	ACT		(P)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
EXAMINATIONS	**Reports** • Centre Inspection Reports • Moderation Visit Reports	CAY + 3	JCQ Regulations	(D)
EXAMINATIONS	**Malpractice** • Administration to include invigilator reports, interview records with all parties • Evidence • Awarding body correspondence • Outcome report	Settlement + 5	JCQ Regulations Ofqual	(D)
EXAMINATIONS	**Centre Approvals** • Centre approval document • Course approval letters (online)	ACT	None	(D) at date of expiry
FINANCE	**Income** • Customer Set up Forms • Sales invoice and credit notes • Refunds • Fee Waivers • Customer Account Adjustments	CFY + 7	DEL Financial Memorandum	(D)
FINANCE	**Receipt of Income** • Remittance advice notes • Manual receipts • Till rolls • Credit card terminal reports • Lodgement reconciliation reports	CFY + 7	DEL Financial Memorandum	(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Donations, Grant etc.			
FINANCE	**Capital and Recurrent Grant** • Letters of offer • Completed claim forms and supporting documentation • Grant reconciliations	CFY + 7	DEL Financial Memorandum	(D)
FINANCE	**Credit Control** • Debtors ledger • Aged debtor reports • Debtor control account reconciliations • Bad debt written off • Court actions • Debt collection agency	CFY + 7	DEL Financial Memorandum	(D)
FINANCE	**Procurement** Pre-procurement activities e.g. economic appraisals and business cases • Tender advertisement • Expressions of interest • Clarification questions and responses • Tender opening records • Evaluation and award process • Conflict of Interest and award de-briefing information • Post award contract management • Post project evaluations • Successful tender proposals	Contract file and successful tender proposals retained for 7 years after end date of contract. Unsuccessful tender proposals retained for 1 year from contract award date.	Central Procurement Directorate	(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Unsuccessful tender proposals • Direct Award Contracts records			
FINANCE	**Expenditure** • Supplier Set up forms • Requisitions/purchase orders • Goods received notes • Supplier invoices • Credit notes • Supplier statements • Reconciliation of supplier statements • Creditor control account reconciliation • Aged creditors reports • Fruitless payments • Expenses claims	CFY + 7	DEL Financial Memorandum	(D)
FINANCE	**Petty Cash** • Petty cash vouchers • Petty cash receipts • Petty cash reconciliations	CFY + 7	DEL Financial Memorandum	(D)
FINANCE	**Lodgement books** Cash which is generated on a daily basis in respect of fees, trips, clothing,	CFY + 1		(D)
FINANCE	**Credit Card Payments** • Credit card statements • Supplier invoices	CFY + 7	DEL Financial Memorandum	(D)
FINANCE	**Bank** • Lodgement counterfoils • Bank statements	CFY + 7	DEL Financial Memorandum	(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Cancelled cheques • Bank reconciliations • Funds transfer authorisation documentation • Bank mandates • BACS reports • Direct Debit mandates • Instructions to bank			
FINANCE	**Treasury Investments** • Investment/Disposal Instructions • Investment portfolio reports • Bank Mandates	CFY + 7	DEL Financial Memorandum	(D)
FINANCE	**Financial Forecasts** • CDP – Three year financial strategy • Annual college budget • Annual departmental budget	CFY + 7	Dept of Finance and Personnel	(D)
FINANCE	**Management Accounts** • Monthly College Management Accounts • Monthly Departmental Management Accounts • DEL – Monthly budget monitoring • DEL – Quarterly monitoring returns	CFY + 7	Dept of Finance and Personnel	(D)
FINANCE	**Month End Accounts** • Trial Balance • Fixed Assets • Stock and WIP • Trade Debtors	CFY + 7	Dept of Finance and Personnel	(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Prepayments & Accrued Income • Bank and Cash Reconciliations • VAT Control Accounts • Other Debtors • Accruals and Deferred Income • Creditors • Salaries Control Account • Other Creditors • Provisions • Leases • Reserves			
FINANCE	**Annual Financial Statements** • Signed Annual Financial statements • Letter of Representation • External Auditor's Management Letter/Report to Those Charged with Governance • Audit File and Lead Schedules • FRS17 Actuarial Valuations • Land and Property Valuations	Permanent CFY + 7	DEL Financial Memorandum DEL Financial Memorandum	(R) (D)
FINANCE	**Tax Management** • VAT Control account • VAT returns and supporting documentation	CFY + 7	DEL Financial Memorandum	(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
FINANCE	**Externally Funded Projects** • All documentation	The greater of CFY + 7 or retention period specified by funding authority.	Funding Authority	(D)
GOVERNANCE/ CORPORATE	Definition of the college's overall strategic goals and objectives, and formulation of plans to achieve these goals and objectives • College Development Plan including mission statement, strategic aims and objectives • FLU targets • Fees Policy	C + 10	DEL Financial memorandum	(R)
GOVERNANCE/ CORPORATE	Measurement of the College's performance against its overall strategic goals and objectives e.g. Balanced Scorecard	CAY + 10		(D)
	Identification and accounting of under-performance	CAY + 10		(D)
	Reporting on performance to DEL, Government departments and other authorised bodies	CAY + 10		(D)
GOVERNANCE/ CORPORATE	Identification, quantification and assessment of risks • Risk Assessment Reports and associated documentation	CAY + 5		(D)
	Development and testing of disaster prevention, response and recovery plans • Contingency plans	ACT		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Business recovery plans • Disaster plans • Emergency planning exercise documentation	ACT ACT ACT		(D) (D) (D)
GOVERNANCE/ CORPORATE	Planning and implementation of organisational and cultural change, and analysis of its impact • Organisation plans/structures • Organisation charts	 C + 5 ACT		 (R) (R)
GOVERNANCE/ CORPORATE	• Instrument of Government • Articles of Government	ACT	The Further Education (Northern Ireland) Order 1997	(R)
GOVERNANCE/ CORPORATE	• Policies • Procedures	ACT ACT		(D) (D)
GOVERNANCE/ CORPORATE	**Governing Body / SubCommittee** • Minutes • Papers	 Permanent Permanent		 (RP) (RP)
	SMT and Directorate • Minutes • Papers	 ACT	PRONI request for papers to be reviewed for RP.	 (R) (R)
GOVERNANCE/ CORPORATE	Directorate correspondence	CAY + 5		(D)
GOVERNANCE/ CORPORATE	Service Level Agreements with customers Service Level Agreements with suppliers	End of agreement + 2 ACT		(D)
GOVERNANCE/ CORPORATE	Departmental Minutes	CAY + 2		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
GOVERNANCE/ CORPORATE	Departmental Policy/Strategy documents	ACT		(D)
GOVERNANCE/ CORPORATE	Asset Register and associated documentation (Data relating to 3 year rolling period)	ACT		(D)
GOVERNANCE/ CORPORATE	Business Continuity Plan / Disaster Recovery	ACT		(R)
GOVERNANCE/ CORPORATE	Internal/External Audit Reports	CAY + 5		(D)
GOVERNANCE/ CORPORATE	**Equality** • Equality Schemes/Disability Action Plan (DAP) • 5 Year Scheme Reviews/Annual Reviews of Progress • Equality Screening Forms and Equality Impact Assessments • S75 Equality Monitoring Forms (student and staff) • Statistical Data used for monitoring policy decisions and access to services • Documentation to support the development of Schemes/DAP/Reviews/Equality Screening/Equality Impact Assessment/Monitoring • s75 Complaints and investigations	Retain until Superseded plus 5 years Retain until 5 Year review is completed plus 3 years Retain until input into database then destroy Retain for current Academic year plus 5 Retain until signed off or approved plus 1 year Retain from last action on the case plus 6 years Retain for current academic year plus 5		(D) (D) (D) (D) (D) (D) (D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Good Relations/Community Relations liaison and reports			
HUMAN RESOURCES	Staff personal files	End of employment + 6 years (unless Health and Safety issue highlighted, see medical records below)	N/A	(D)
HUMAN RESOURCES	Health records	End of employment + 6 years	Management of Health and Safety at Work Regulations Limitation period for personal injury claims	(D)
HUMAN RESOURCES	Medical records kept by reason of the Control of Substances Hazardous to health Regulations 1994	40 years	COSHHR 1994	(D)
HUMAN RESOURCES	Files relating to disciplinary, grievance, harassment hearings	Settlement of case + 6		(D)
HUMAN RESOURCES	Industrial Tribunal Papers	End of tribunal case + 6		(D)
HUMAN RESOURCES	Job descriptions	ACT	Job descriptions subject to on-going update Permanently on personnel file of post holder	(D)
HUMAN RESOURCES	Assessment of jobs in relation to established job evaluation criteria	ACT		(D)
HUMAN RESOURCES	Staff structures papers (consultation documents)	ACT		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
HUMAN RESOURCES	Appraising the performance of individual members of staff (annual performance appraisal reports)	C + 2		(D)
HUMAN RESOURCES	**Staff Recruitment:** • Staff approval (recruitment) • Advertisement of vacancies • Application forms/interview notes/ files relating to recruitment activity	Filling of vacancy + 1 Filling of vacancy + 1 Appointment to the post/s + 1		(D)
HUMAN RESOURCES	Access NI Disclosure Information	Recruitment decision + 6 months	Access NI Code of Practice	(D)
HUMAN RESOURCES	Information relating to redundancies	CFY + 7	DEL Financial Memorandum	(D)
HUMAN RESOURCES	Exit interview reports	C + 3	N/A	(D)
HUMAN RESOURCES	Staff surveys	C + 3	N/A	(D)
HUMAN RESOURCES	Staff handbook / manual	ACT	N/A	(D)
HUMAN RESOURCES	Career break applications	As staff personnel file	N/A	(D)
HUMAN RESOURCES	Staff training records and reports	End of employment + 6	N/A	(D)
HUMAN RESOURCES	Making payroll payments Payslips Payroll Calculation records BACS submission report	CFY + 7	DEL Financial Memorandum	(D)
HUMAN RESOURCES	Income tax and NI returns, including correspondence with tax office	CFY + 7	DEL Financial Memorandum	(D)
HUMAN RESOURCES	Statutory Maternity Pay records and calculations	CFY + 7	DEL Financial Memorandum	(D)
HUMAN RESOURCES	Statutory Sick Pay records and calculations	CFY + 7	DEL Financial Memorandum	(D)
HUMAN RESOURCES	Wages and salary records Non-Teaching / Lecturer pay scales	CFY + 7	DEL Financial Memorandum	(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
HUMAN RESOURCES	Statutory Returns and Notices • P46 • P45 • P60 • P11 • P11d • P35	CFY + 7	DEL Financial Memorandum	(D)
HUMAN RESOURCES	Records of Corporate working hours (flexi sheets)	CAY + 1		(D)
HUMAN RESOURCES	Claims for salary payment	CFY + 7		(D)
ICT	Software Licences	Lifetime of Licence + 1		(D)
ICT	Software/Hardware – Lease/Purchase/Maintenance Agreements/Contracts	Lifetime of Lease/Purchase/ Contract + 1		(D)
ICT	Operation of data backup logs and archiving routines	ACT		(D)
ICT	Design, development and implementation of IT systems including source code and configurations	Lifetime of system + 1		(D)
ICT	Active Directory Accounts/VLE Accounts for Staff	Duration of employment or study + 6 months		(D)
ICT	Exchange Mailboxes	Duration of employment or study + 6 months		(D)
ICT	Staff and student home drive data	Staff – duration of employment + 6 months Students – duration of study + 1		(D)
ICT	Web filtering/firewall logs	C + 3		(D)
ICT	User account logon audits	C + 1		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
INSURANCE	Insurance documentation / Schedule	Renewal + 5		(D)
INSURANCE	Certificates of Employers and Public Liability	Permanent		(R)
INSURANCE	Claims • Files • Correspondence	C + 10		(D)
INSURANCE	Claims History	C + 5		(D)
INSURANCE	Fruitless Payments	C + 3		(D)
INSURANCE	Indemnities and Guarantees	C + 10		(D)
INSURANCE	Insurance – Inspections	C + 5		(D)
INSURANCE	Insurance Broker Payments	C + 5		(D)
INSURANCE	Insurance Correspondence	C + 5		(D)
INSURANCE	Insurance Premium Payments	C + 5		(D)
INSURANCE	Insurance Reports	C + 5		(D)
INSURANCE	Records documenting all student placement data including company details, all insurance details, students in placement, hours of student placement, job descriptions	CAY + 6		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
MARKETING	**Promotional Information**			
	• College Newsletter	Permanent	Data Protection Legislation	(RP)
	• College Prospectus	Permanent		(RP)
	• Design and Control of the College's corporate identity	Permanent		(RP)
	○ Brand Guidelines			
	○ Publicity Material			
	• Design and distribution of promotional materials	Permanent		(RP)
	• Direct Marketing	Permanent		(RP)
	• Photography / Films / Videos / Footage	Permanent		(RP)
	• PowerPoint Presentations	CAY + 1		(D)
	• Press Releases / Media Briefings	Permanent		(RP)
	• Media Coverage/queries	Permanent		(RP)
	Prospectus (FT and PT) distribution database	Permanent		(RP)
MARKETING	**External Links**			
	• Applicant details from on-line enquiries FT and PT (including e-mail and mobile number)	CAY		(D)
	• Enquiry Cards Data	CAY + 1		(D)
	• Local community events	CAY + 1		(D)
	○ Organisation and administration			
	○ Schedules			
	○ Risk Management and Assessment			
	• Marketing Databases:	ACT		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	• Stakeholder Communication	CAY + 1		(D)
MARKETING	**Alumni** • Database • Statistical information • Communications • Events	Permanent		(R)
MARKETING	**Records relating to students** • Consent Forms • Student Profiles • Student Recruitment Information and materials	Permanent Permanent CAY + 4		(R) (R) (D)

MARKETING	**Marketing Management**
	 • Identification and exploitation of promotional opportunities
	 • Marketing Annual Reports
	 • Marketing campaigns and assessment of their impact:
	   ○ Marketing plans
	   ○ Market Research
	   ○ Reports
	 • Quality Assurance
	 • Staff Communications
		CAY
		
		 CAY + 1
		 CAY + 1
		
		 CAY + 1
		 C + 1
				(D)
				
				 (D)
				 (D)
				
				 (D)
				 (D)

MIS	Registers (hard copy or electronic)	C + 6		(D)
MIS	QL Database e.g QLS, QLP -	End of relationship + 10		(D)
MIS	Enrolment forms (full time and part time) including authorisation to changes of student details.	CAY + 7		(D)
MIS	Authorised course set-up documentation	Retain until external audit complete		(D)
MIS	Withdrawal forms/transfer forms/amendments	C + 3		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
MIS	Timetables	CAY + 2		(D)
QUALITY ASSURANCE	ETI and QAA • Inspection Reports • Survey Reports • Action Plans	 ACT ACT ACT	Available from DE/QAA	 (D) (D) (D)
QUALITY ASSURANCE	Current Awarding Organisation examination / assessment rules and regulations.	CAY + 1	Retain for the duration of the course, until External Verification has occurred, certificates claimed and appeals period has expired.	(D)
QUALITY ASSURANCE	Teaching / Lesson Observation Reports completed as part of the CiT and PGCE (FE)	CAY + 1	Until candidate has successfully completed qualification	(D)
QUALITY ASSURANCE	Self Evaluation Reports • Course Review – Self Evaluation Reports • Team/Unit reviews	CAY + 2		(D)
QUALITY ASSURANCE	Case Conference Records i.e. student progress analysis and review	CAY + 2		(D)
QUALITY ASSURANCE	Internal College Quality Review/Audit Records	CAY + 3		(D)
QUALITY ASSURANCE	Course Quality Review Records	CAY + 3		(D)
QUALITY ASSURANCE	Competitions and Awards records	CAY + 2		(D)
QUALITY ASSURANCE	Complaint/Appeal and associated evidence	Settlement + 6		(D)
QUALITY ASSURANCE	Records documenting the Customer Feedback Policy including all	CAY + 2		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	positive/negative feedback, refund requests and the College response			
RECORDS MANAGEMENT	Retention and Disposal Schedule	ACT	PRONI	(R)
RECORDS MANAGEMENT	Publication Scheme	ACT		(R)
RECORDS MANAGEMENT	ICO Data Controller Registration	ACT		(R)
RECORDS MANAGEMENT	**FOI/EIR/DP** • Requests • Responses • Refusal Notices • Internal Review Requests	C + 3 years		(D)
RECORDS MANAGEMENT	**FOI/EIR/DPA** • Requests Database	ACT		(R)
RECORDS MANAGEMENT	Shredding Certification	CAY + 1	Lord Chancellor's Code Of Practice On The Management Of Records Under Section 46 of the Freedom of Information Act 2000	(D)
STUDENT SERVICES	**Careers** • Advice documentation • Statistical analysis e.g drop ins, careers talks	CAY + 2		(D)
STUDENT SERVICES	**Student Union** • Records documenting details of Student Union Executive and SU activities • Records documenting name and contact details of organisations affiliated with	CAY – destroy after new election Last date of contact + 1		(D) (D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
	SU e.g. those who participate in Freshers' week, conduct information talks			
STUDENT SERVICES	**Pastoral Care/Safeguarding** • Records documenting Cause For Concern submitted including nature of concerns and actions taken.	CAY + 6		(D)
	• Records documenting information requests made to professional organisations and advice received e.g PSNI, Gateway.	CAY + 6		(D)
	• Records documenting all risk assessment forms, discussions and recommendations i.e. those who have disclosed convictions in relation to drug use or those of a sexual nature.	CAY + 6		(D)
STUDENT SERVICES	**Student Retention** • Records documenting students 'at risk' of withdrawal, intervention made and final outcome • Records of correspondence sent to parents/students in relation to factors affecting attendance/progress	End of course + 1		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
STUDENT SERVICES	**Learning Support** • Records documenting all Learning Support provision to each student, including student contact/course details, DEL Coding, evidence, support worker details, equipment costs, total cost of support. • Records documenting support needs recommendations **Funding for Student Support** • ASF • Records documenting Disabled Students Allowance assessment for HE students. • Records documenting equipment and its allocation	CAY + 6 CAY + 3 CAY + 7		(D) (D) (D)
STUDENT SERVICES	Records documenting all International student activity • College Administration • Individual Student Administration	CAY + 2	UKBA / British Council policies, guidelines and accreditation	(D)
STUDENT SERVICES	Records documenting the application stage of admissions including application form, acknowledgements, correspondence regarding interviews and issuing of conditional/unconditional offers.	CAY + 2		(D)

FUNCTIONALITY	RECORD TYPE	RETENTION PERIOD	LEGISLATION/OTHER	FINAL ACTION
STUDENT SERVICES	**Student Finance** • Student Loan Company documentation • FE Awards documentation • EMA documentation • Hardship Funds documentation • Care to Learn documentation • Dinner/meal ticket documentation • Travel Pass documentation	CAY + 7	DEL Memorandum	(D)
STUDENT SERVICES	Learner Access and Engagement (LAE) documents including claims, expenditure, course provisions, audit, evaluation of tenders.	CAY + 7	DEL guidelines	(D)
TRAINING FOR SUCCESS (TFS)	• Student files (TFS/Jobskills/Apprenticeships) administration, insurance and associated student records • PTP Agreement **Steps To Work/New Deal** Student files and associated administration	Termination of programme + 13 C + 7 Termination of relationship + 7		(D) (D) (D)