

## ARCHIVING AND RETENTION OF RECORDS

### Policy Statement

The purpose of this document is to summarise the requirements and policy going forward in relation to the retention of paper / hard copies of documentation in the interests of making the most efficient use of the space we have available.

All staff have to adhere to this policy as the College can face potential fines for non-compliance e.g. clawback from funding audits, fines from Government bodies etc.

### Policy – Broad Principles

Space constraints as a result of construction work at both campuses, along with compliance of the Data Protection Laws, has led the College to plan appropriately for retaining documentation.

- To the extent that documents are stored electronically (and securely backed up) then we should not seek to duplicate their storage unless there are legal or regulatory reasons to do so. As a result, any paper copies of these documents can and should be destroyed.
- It is recognised that there are certain documents which we need to retain / archive paper copies. In relation to these, all retention is the responsibility of the relevant department in terms of tracking and advising what should be retained / destroyed (i.e. Exams for awarding bodies information, MIS for student records, HR for employee data, Finance for financial information). The Facilities team will support this through the removal, storage, retrieval and destruction of documents as appropriate.
- For specific types of documents, the following guidelines are expected to be adhered to:
  - Certificates / awarding bodies. As a general principle, certificates are to be sent to students on passing. Where records kept in-house, to be retained a maximum of 3 years (shorter where relevant body allows)
  - Student records (learning agreements, enrolment forms, amendments, remission evidence, etc.) to be kept for 12 years (i.e. 12 years from the end of December following the financial year-end). This is necessary to verify ESF co-financed provision, in line with contractual requirements.
  - Student work (i.e. folders held by curriculum containing student course work / assignments) – to be either returned to the student or destroyed at the end of the course / academic year. This assumes that all student records are maintained by MIS and therefore any archiving here would be duplication. **NB - following learner certification you must keep records of summative assessments at criterion level and the associated verification documentation for three years (shorter where awarding bodies allow). Such records include assignment briefs, marking criteria, IV records, Marks, BTEC front sheets. It is acceptable to retain this data electronically. Note that this does not mean retaining student work, which should be disposed of as soon as the student has received their certificates** (any questions in this regard, please speak to Quality)
  - HR and Finance documents – assuming all scanning is done, no archiving requirement
  - All other records should not be archived but should be destroyed at end of course / academic year

# POLICY & PROCEDURE 31

## ARCHIVING AND RETENTION OF RECORDS

### 1. Summary of main requirements for retention of documents

- Awarding bodies – student assessments and associated verification on documentation to be retained for periods ranging from 2 weeks (AAT), one year (VRQ, EDI) to maximum of three years (C&G, Cskills, NVQ, PAAVQset). All documents to be destroyed three years after publication of results, shorter where allowed
- ESFA requirement – retain original invoices, management information returns and all other documents necessary to verify the provision delivered for 6 years
- MIS – student records (learning agreements, enrolment forms, amendments, remission evidence, etc.) to be kept for 12 years
- HR – majority of records need to be kept for duration of employment. Salary / payroll information to be kept for 7 years. All information being scanned in, so should do away with the need to retain hard-copy information
- Finance – accounting records generally kept for 6 years. All information being scanned in, so should do away with the need to retain hard-copy information
- Other curriculum – course files, etc. – no legal requirement
- Governance and Health & Safety – there are various requirements for all the different categories ranging from ‘current year + 1’ to ‘lifetime of the institution’. The annexes cover the details.
- It is the responsibility of the individual Heads of Departments to ensure that records are kept in line with the retention periods listed above

### 2. Archiving

#### General Procedure:

- All documents to be stored should be placed in an archive box and clearly marked **at both ends** with the following information:
  - Responsible person and department
  - Brief description of contents
  - Date of archiving (i.e. the current date)
  - Date for destruction. This is expected to be in line with the above guidelines
- Facilities can provide template labels for the above on request
- Going forward, Facilities will only archive documents which adhere to the above retention criteria – any exceptions will require sign-off from a member of SMT.

### 3. Responsibility of key staff and monitoring compliance

- It is the responsibility of the individual Heads of Departments to ensure that records are kept in line with the retention periods listed above
- The following roles are responsible for checking compliance via spot checks

<u>Area</u>	<u>Role</u>
HR	Vice Principal – HR & Organisation Development
MIS (student records etc)	Director of MIS and Exams
Finance	Director of Finance
Health & safety	Director of Estates & IT
Awarding bodies	Exams & Achievements Manager

# POLICY & PROCEDURE 31

## Annex 1 - Governance

Classification No.	Description	Retention
1.1 Legal Framework	Records documenting the establishment and development of the institution's legal framework.	<b>Life of institution</b>
1.2 Governance Structure	Records documenting the establishment and development of the institution's governance structure.	<b>Life of institution</b>
1.3 Governing Body	Records documenting the appointment of members of the institution's governing body.	<b>Termination of appointment + 6 years</b>
1.3 Governing Body	Records documenting the provision of training and development for members of the institution's governing body.	<b>Current year + 3 years</b>
1.3 Governing Body	Register of Interests of members of the Governing Body, senior staff and others covered by conflict of interest policies.	<b>Termination of appointment + 6 years</b>
1.3 Governing Body	Records documenting the organisation of meetings of the institution's governing body.	<b>Current year + 1 year</b>
1.3 Governing Body	Records documenting the conduct and proceedings of meetings of the institution's governing body.	<b>Current year + 50 years</b>
1.4 Management of Executive Committees	Records documenting the development and establishment of terms of reference for the institution's executive committees.	<b>Life of committee</b>
1.4 Management of Executive Committees	Records documenting the provision of training and development for members of the institution's executive committees.	<b>Current year + 3 years</b>
1.4 Management of Executive Committees	Records documenting the organisation of meetings of the institution's executive committees.	<b>Current year + 1 year</b>
1.4 Management of Executive Committees	Records documenting the conduct and proceedings of meetings of the institution's executive committees.	<b>Current year + 50 years</b>
1.5 Appointment of Senior Officers	Records documenting the appointment and designation of the institution's senior officers.	<b>Termination of appointment + 5 years</b>
1.6 Strategic Planning and Performance	Records documenting the development of the institution's policies on strategic planning and performance management.	<b>Superseded + 10 years</b>
1.6 Strategic Planning and Performance	Records documenting the development of the institution's overall strategic plan.	<b>Superseded + 10 years</b>
1.6 Strategic Planning and Performance	Records containing reports on the institution's performance against its strategic plan.	<b>Current academic year + 10 years</b>
1.6 Strategic Planning and Performance	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	<b>Current academic year + 5 years</b>
1.7 Organisational Strategy, Development and Performance	Records documenting the development of the institution's organisational development strategy.	<b>Superseded + 5 years</b>

## POLICY & PROCEDURE 31

Classification No.	Description	Retention
1.7 Organisational Strategy, Development and Performance	Records documenting the development of plans for the implementation of the institution's organisational development strategy.	<b>Superseded + 5 years</b>
1.7 Organisational Strategy, Development and Performance	Records documenting the conduct and results of audits and reviews of the organisational development function, and responses to the results.	<b>Current year + 5 years</b>
1.7 Organisational Strategy, Development and Performance	Records documenting the management of individual organisational restructuring processes.	<b>Completion of process + 5 years</b>
1.8 Contingency/Risk Planning and Management	Records documenting the development and testing of the institution's risk management strategy.	<b>Current Year+10</b>
1.8 Contingency/Risk Planning and Management	Records documenting the development and establishment of the institution's risk management strategy.	<b>Superseded + 5 years</b>
1.8 Contingency/Risk Planning and Management	Records documenting the development and establishment of the institution's risk management procedures.	<b>Superseded + 3 years</b>
1.8 Contingency/Risk Planning and Management	Records documenting the conduct and results of audits and reviews of the risk management function, and responses to the results.	<b>Current Year+5</b>
1.8 Contingency/Risk Planning and Management	Records documenting identified risks to the institution and assessments of those risks.	<b>Superseded + 1 year</b>
1.9 Quality Management	Records documenting the development and establishment of the institution's overall quality management policies.	<b>Superseded + 5 years</b>
1.9 Quality Management	Records documenting the development of the institution's quality management procedures.	<b>Superseded + 3 years</b>
1.9 Quality Management	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	<b>Completion of audit + 3 years</b>
1.9 Quality Management	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	<b>Termination of accreditation + 1 year</b>
1.9 Quality Management	Complaints System and Procedures.	<b>5 years</b>
1.9 Quality Management	Public Complaints.	<b>3 years</b>
1.11 Audit	Records documenting the institution's audit strategy.	<b>Superseded + 5 years</b>
1.11 Audit	Records documenting the development and establishment of the institution's audit policies.	<b>Superseded + 5 years</b>
1.11 Audit	Records documenting the development of the institution's audit procedures.	<b>Superseded + 3 years</b>
1.11 Audit	Records documenting the conduct and results of audits, and action taken to address issues raised.	<b>Completion of audit + 5 years</b>

# POLICY & PROCEDURE 31

Classification No.	Description	Retention
1.12 Legal Matters	Records documenting the development and establishment of the institution's policies on legal affairs and the acquisition/provision of legal services.	<b>Superseded + 5 years</b>
1.12 Legal Matters	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the institution and third parties: - agreements and contracts under seal.	<b>Termination of contract + 12 years</b>
1.12 Legal Matters	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the institution and others: - other contracts and agreements.	<b>Termination of contract + 6 years</b>
1.12 Legal Matters	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	<b>Settlement of claim + 6 years OR Withdrawal of claim + 6 years</b>
1.12 Legal Matters	Records documenting legal advice requested by, and provided to, the institution concerning: <ul style="list-style-type: none"> <li>• interpretation of legislation affecting the institution's legal framework, governance,</li> <li>• responsibilities or operations</li> <li>• proposals for new legislation affecting the institution's legal framework, governance,</li> <li>• responsibilities or operations</li> <li>• the institution's relationships with government bodies and HE regulators</li> <li>• industrial relations issues</li> <li>• - health, safety and environmental issues.</li> </ul>	<b>Life of institution</b>

## Annex 2 - Health and Safety

Classification No.	Description	Retention
1.1 Health and Safety	<p>Oaklands College will follow best practise and keep all Health and Safety records for up to five years. Risk assessments should be kept as long as the particular process or activity, to which the assessment refers to, is performed. Civil claims for injury should be held up to 3 years after an incident. Some record related to health risk must be held for up to 40 years these are listed below.</p> <ol style="list-style-type: none"> <li>1. List of persons exposed to Hazard Group 3 microbiological agents</li> <li>2. Records of monitoring of exposures to hazardous substances</li> <li>3. Health records of personal under occupational health surveillance</li> </ol>	<b>5 years/40 years</b>