

# Retention and Archiving of College Records Policy

Formal Review Cycle:	<b>Annual</b>		
Latest Formal Review (month/year):	<b>August 2019</b>	Next Formal Review Due (month/year):	<b>August 2021</b>
Policy Owner:	<b>Head of Quality</b>		
Impact Assessed by:	<b>NA</b>	Impact Assessment Date:	

## APPROVAL REQUIRED

SMT Y/N	<b>Y</b>	SMT Date approved:	<b>6/8/2019</b>	
Governor Y/N	<b>N</b>	Committee:		Governor Date approved:

## PUBLICATION

Website Y/N	<b>Y</b>	Intranet Y/N	<b>Y</b>	Student VLE Y/N	<b>N</b>	Other:	
Area/s of Staff Intranet:	<b>Quality</b>						

## **Policy description:**

The Retention and Archiving of College Records Policy describes the procedures for effective management of the College's records in order to meet both organisational and legislative requirements. Responsibilities for record management are identified, and specific details regarding method of storage, location, retention time and disposal are listed.

## **Supporting documentation:**

- Schedule of records

## **1. Executive Summary**

Craven College recognises the importance of records management both in the effective management of the organisation and in meeting its legal and regulatory obligations. Records should be effectively managed for storage, retrieval, use and secure disposal. This policy sets out the scope of records included, the relevant legislative and regulatory drivers, and identifies how such records will be stored, for what time period, and subsequent disposal.

## **2. Context**

The College's records must be effectively managed for storage, retrieval, use and disposal. The primary function of supporting College business and the secondary functions of providing evidence, accountability and information about its activities are taken into account when delegating responsibilities for maintenance and disposal of records, and determining the retention time, place and format, and then the most appropriate method of disposal.

The records may also be used as a resource to compare current and recent practice, considered in the light of actions and their impacts, facilitating the sharing of good practice. The policy applies to all records created, received or maintained by Craven College staff in the course of carrying out their duties. It covers all records regardless of medium or means of storage and applies to all those employed by Craven College, whether on a permanent or temporary basis, and whether directly or through an agency.

All records created in the course of business, which relate to actions taken or decisions made are corporate records of Craven College and must be managed as such.

## **3. The Policy**

### Responsibilities

- 3.1. The Principal of Craven College has overall responsibility for ensuring the effective management of College records.
- 3.2. All College staff, whether employed directly by the College or through an agency, are responsible for creating and maintaining records in relation to their work which are accurate, authentic and reliable. All staff are responsible for working in accordance with this policy, with any document or record retention guidelines which may be issued, and with retention schedules for records with which they work.
- 3.3. It is the responsibility of all department heads to ensure that departmental records, and any other records for which they are responsible, are managed in accordance with this

policy and with procedures, guidelines and retention schedules established for these records. It is also their responsibility to ensure that all staff reporting to them are fully trained and competent in their roles in relation to records management.

- 3.4. All members of staff must ensure that records are only disposed of in accordance with procedure and after full and appropriate appraisal.
- 3.5. Named members of the College Senior Management team and other Managers will have responsibility for records management.
- 3.6. The Director of Human Resources Management will ensure that staff roles and responsibilities are clearly defined in terms of records management and that job descriptions and person specifications reflect this.
- 3.7. The Head of Quality will oversee the implementation of this policy.
- 3.8. Line Managers will have responsibility for ensuring that all staff are appropriately inducted and trained in records management, and that staff are developed to meet the demands of their particular roles.
- 3.9. The Technology Services Development Manager in conjunction with the Head of Quality will be responsible for ensuring that systems are acquired and developed which support the implementation of this policy and related College strategy, and for ensuring that existing systems and practices are adapted where necessary to support effective and efficient records management.

#### Adoption of policy

- College records will be identified and their management attributed to named job roles within the wider management team.
- The format, retention time and storage location of records will be recorded and managed by the identified individual.
- A suitable and timely disposal method will be used for the disposal of all records.
- Accountability for the retention and destruction of records will be established through retention schedules, systematic appraisal and full recording of disposition decisions
- The appropriate storage and disposal of records will be monitored through checks directed by the Head of Quality.
- The policy will be reviewed on an annual basis, but updated as required between times to ensure compliance with all relevant legislation.
- Record management procedures will, wherever possible, reduce any negative impact on the environment and contribute to the achievement of the College's environmental strategy.

#### **4. Supporting documents**

A schedule of records follows.

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Governance							
1.	Agenda, papers and other records of the Board of the Corporation	Director of Governance	Current year + 50 years	Director of Governance's Office Electronic – shared drive	Archived – hard copy Electronic	JISC retention schedule for FE	Electronic copy deleted Hard copy secure disposal	Director of Governance
2.	Minutes of the Board of the Corporation and its committees	Director of Governance	No limit	Director of Governance's Office Electronic – shared drive and hard copy	Archived – hard copy Electronic	JISC retention schedule for FE	n/a	Director of Governance
3.	Appointment of Members of Governing Body	Director of Governance	Termination of appointment + 6 years	Director of Governance's Office Electronic and hard copy	Director of Governance's Office Electronic and hard copy	JISC retention schedule for FE	Electronic copy deleted Hard copy secure disposal	Director of Governance
4.	Register of Interests	Director of Governance	Termination of appointment + 6 years	Director of Governance's Office Electronic – shared drive and hard copy	Director of Governance's Office Electronic and hard copy	JISC retention schedule for FE	Electronic copy deleted	Director of Governance
5.	Terms of Reference	Director of Governance	Life of the Committee	Director of Governance's Office Electronic – shared drive - and hard copy	Archived – hard copy Electronic	JISC retention schedule for FE	Electronic copy deleted Hard copy secure disposal/shredding	Director of Governance
6.	Governor Training	Director of Governance	Current year + 3 years	Director of Governance's	Director of Governance's	JISC retention	Electronic copy deleted	Director of Governance

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
				Office Electronic - shared drive	Office Electronic	schedule for FE		

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Principal's Office							
7.	ESFA Contracts and Variations	Maintained and retained centrally on ESFA hub with alerts sent to MIS, Principal and PA	Current year + 3 years	ESFA HUB and downloaded by us as required	Electronic – Shared Drive/s	None	Shred or secure disposal of any downloaded copies	PA to the Principal
8.	ESFA Contracts and Variations	Maintained and retained centrally on ESFA hub with alerts sent to MIS, Principal and PA	Current year + 3 years	ESFA HUB and downloaded by us as required	Electronic – Shared Drive/s	None	Shred or secure disposal of any downloaded copies	PA to the Principal
9.	SMT Meeting	PA to Principal	Current year + 3 years	Electronic – Shared Drive/s	Electronic – Shared Drive/s	None	Shred or secure disposal	PA to the Principal
10.	Risk Management Group	PA to Principal	Current year + 3 years	Electronic – Shared Drive/s	Electronic – Shared Drive/s	None	Shred or secure disposal	PA to the Principal
11.	Facilities Management Group	VP F&R	Current year + 3 years	Bus Support Manager	Bus Support Manager	None	Shred or secure disposal	PA to the Principal
12.	Student Disciplinary Appeals	PA to Principal	Current year + 3 years	Electronic – Principal's Office	Electronic – Principal's office	None	Shred or secure disposal	PA to the Principal
13.	Freedom of	PA to Principal	Current year + 7	Electronic	Electronic	Information	Shred or secure	PA to the

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Information Requests (NOT MIS)		years	Principal's Office	Principal's Office	Commissioner's Office	disposal	Principal
14.	Complaints	Head of Quality	Current year + 7 years	Electronic – Shared Drive/s	Quality office electronic	None	Shred or secure disposal	Head of Quality

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Legal Contracts							
15.	Legal support for negotiation, establishment and review of agreements and contracts under seal	Vice Principal Finance and Resources	Termination of Contract + 12 years	Electronic – Shared Drive/s Hard Copy – Vice Principal Finance and Resources' Office	Finance Office/Basement of High Street	None	Shred or secure disposal	Vice Principal Finance and Resources
16.	Deeds to property	Vice Principal Finance and Resources	Indefinitely	Electronic – Shared Drive/s Hard Copy – Vice Principal Finance and Resources' Office	Finance Office/Basement of High Street	None	Shred or secure disposal	Vice Principal Finance and Resources
17.	Legal support for negotiation, establishment and review of other contracts and agreements	Vice Principal Finance and Resources	Termination of Contract + 6 years	Electronic – Shared Drive/s Hard Copy – Vice Principal Finance and Resources' Office	Finance Office/Basement of High Street	None	Shred or secure disposal	Vice Principal Finance and Resources
18.	Legal advice concerning legal framework,	Vice Principal Finance and Resources/Clerk to	Life of Institution	Electronic – Shared Drive/s Hard Copy – Vice	Finance Office/Basement of High Street	None	Shred or secure disposal	Vice Principal Finance

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	governance, industrial relations, health and safety issues	the Governors/HR Director		Principal Finance and Resources' Office				and Resources
19.	Validation documents with Universities	Senior Academic Quality Officer (HE)	8 years	Electronic – shared drive	Electronic – shared drive	None	Delete	Vice Principal Curriculum & Quality

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Health and Safety							
20.	Accident Register/Reports Internal Records	Health and Safety Manager	3 years	HSM office for hard copy, electronic on HSM drive with restricted access	Electronic on HSM drive with restricted access	HASAWA	delete	Health & Safety Manager
21.	Health and Safety Assessments/Records (including audits, PAT testing records, tests and inspection records)	Health and Safety Manager	5 years	HSM office for hard copy, electronic on HSM drives with restricted access. Inspection documentation with facilities.	Archived for hard copy, electronic on HSM drive with restricted access or with the facilities manager	HASAWA	Shredding/delete	Health & Safety Manager

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Finance							
22.	Employers Liability Certificate	Finance Manager	Commencement of policy + 40 years OR Renewal of policy + 40 years *years	Up to 1 year Finance Office	Over one year High Street Basement	<u>1969 c.57 S.I. 1998 / 2573 * The Employers' Liability (Compulsory Insurance) Regulations 1998</u>	Shredded	Vice Principal – Director of Finance & Resources
23.	Financial Records (all records including invoices, receipts, copies of ledgers and accounts – electronic and hard copy).	Finance Manager	Current financial year + 6 years	Up to 1 year Finance Office	Over one year High Street Basement	<u>1980 c.58 Limitation Act 1980</u> <u>1970 c.9 * 1970 c.9 Taxes Management Act 1970</u>	Shredded	Vice Principal – Director of Finance & Resources
24.	Fixed Asset Register	Finance Manager	Current financial year + 6 years	Up to 1 year Finance Office	Over one year High Street Basement	<u>1970 c.9 * 1970 c.9 Taxes Management Act 1970</u>	Shredded	Vice Principal – Director of Finance & Resources
25.	Internal and External Audit Records	Finance Manager	Last action on audit + 6 years	Up to 1 year Finance Office	Over one year High Street Basement	<u>1980 c.58 Limitation Act 1980</u>	Shredded	Vice Principal – Director of Finance & Resources
26.	Tenders and Time-Expired Contracts	Finance Manager	Termination of supply contract awarded + 6 years	Up to 1 year Finance Office	Over one year High Street Basement	<u>1980 c.58 Limitation Act 1980</u> <u>S.I. 1991 / 2680 The Public Works</u>	Shredded	Vice Principal – Director of Finance & Resources



	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
						<u>Contracts Regulations 1991</u> <u>S.I. 1993 / 3228</u> <u>The Public Services Contracts Regulations 1993</u> <u>S.I. 1995 / 201</u> <u>The Public Supply Contracts Regulations 1995</u>		
27.	Insurance policies, insurance claims	Finance Manager	Expiry of policy + 6 years Settlement of claim + 6 years OR Withdrawal of claim + 6 years	Up to 1 year Finance Office	Over one year High Street Basement	<u>1980 c.58</u> <u>Limitation Act 1980</u>	Shredded	Vice Principal – Director of Finance & Resources
28.	Contracts and leases	VP – Finance and Resources	7 Years	VP Finance and Resources Office – Hard Copies Shared drive Scanned Copies	VP Finance and Resources Office – Hard Copies Shared drive Scanned Copies	None	Shredded and deletion of documents on system	Vice Principal – Director of Finance & Resources

	Record	Maintained by	*Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
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	Record	Maintained by	*Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Funding/MIS/Exams							
29.	Staff Timetables	MIS Manager	7 years	MIS System	MIS System	Internal	System update	Vice Principal – Director of Finance & Resources
30.	Enrolment forms, registers, funding claims	MIS Manager	2007–2013 Until at least 31/12/2022 2014–2020 Until 31/03/2034	Current and Previous Year within MIS Office	Archiving Store	ESF retention regulations	Shredded	Vice Principal – Director of Finance & Resources
31.	Exam Records	Exams Officer	9 years (currently until at least 31/03/2034)	Current and Previous Year within Exams Office	Archiving Store	SFA retention regulations ESF	Shredded	Vice Principal – Director of Finance & Resources

*\*NB. All records relating to ESF and match should be retained until at least 31 March 2034. This end date is subject to change if the programme is not formally closed in the expected timeline.*

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Human Resources							
32.	Payroll Data (including pay claims, expense claims)	Director of HR (DHR)	Duration of individual's employment, then archived for 10 years	HR office	Archived	HM Revenue and Customs	shredding	DHR

	<b>Record</b>	<b>Maintained by</b>	<b>Period of Retention</b>	<b>Location of Past Records Short term + Hard copy/electronic?</b>	<b>Location of Past Records Long term + Hard copy/electronic?</b>	<b>Body or Institution driving retention &amp; archive rules</b>	<b>Disposal method</b>	<b>Information provided by</b>
33.	Recruitment Files	Director of HR (DHR)	9 months for unsuccessful candidates	HR office	Archived	Equality Act Equality and Human Rights Commission	shredding	DHR
34.	Staff Personal Files	Director of HR (DHR)	Duration of individual's employment then for 10 years	HR office	Archived	Equality and Human Rights Commission	shredding	DHR
35.	Health Records/Fit notes	DHR	Duration of individual's employment then for 10 years	HR office	Archived	Equality and Human Rights Commission	shredding	DHR
36.	Health records where reason for termination of employment is connected with health, including stress related illness	DHR	Duration of individual's employment then for 10 years	HR office	Archived	HASAWA Bullying and Harassment	shredding	DHR
37.	Medical records kept for the reason of the Control of Substances Hazardous to Health Regulations 1999	Health and Safety Manager	40 years	Health and Safety Office	Archived	COSHH Employers Liability	shredding	DHR
38.	Parental Leave	DHR	Duration of individual's employment then for 10 years	HR office	Archived	Parental Leave Directive	shredding	DHR
39.	Pension scheme investment policies	DHR	12 years from the ending of any benefit payable under the policy	N/A paid by pension provider	N/A paid by pension provider	Pension Provider	shredding	DHR

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
40.	Pensioners' Records	HR Office	12 years after benefit ceases	N/A paid by pension provider	N/A paid by pension provider	Pension Provider	shredding	DHR
41.	Facts relating to less than 20 redundancies	HR Office	3 years from the date of	HR Office	Archived	Employment Rights Act	shredding	DHR
42.	Facts relating to 20 or more redundancies	HR Office	12 years from the date of redundancy	HR office	Archived	TULRA	shredding	DHR
43.	Trade union agreements	HR Office	10 years after ceasing to be effective	HR Office	Archived	TULRA	shredding	DHR
44.	Staff Professional Development Records	Staff & Professional Development Manager	2 years + current	Current year hard + electronic record Electronic copy of years archived on the shared drive	Previous years archived on the SD shared drive	Craven College	Hard copies shredded annually Electronic Copies deleted	Staff Development Officer

	Record	Maintained by	*Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Student Records							
45.								
46.	Student Attendance (registers)	Head of MIS	2007–2013 Until at least 31/12/2022 2014–2020 Until 31/03/2034	Current and Previous Year within MIS Office	Archiving Store	ESF retention regulations	Shredded	Vice Principal – Director of Finance & Resources
47.	Student Details	Head of MIS/CT	2007–2013 Until	CT: paper based	Archiving Store	ESF retention	Shredded	Vice

	Record	Maintained by	*Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	(personal file)		at least 31/12/2022  2014–2020 Until 31/03/2034	files: - current; previous year to be forwarded to new CT if student progresses in College (spent information removed) otherwise shredded Current and Previous Year within MIS Office		regulations		Principal – Director of Finance & Resources
48.	Student Summary (name, date left, course) EL data	Head of MIS	No limit	Held electronically within MIS System	Held electronically within MIS System	Internal	n/a	Vice Principal – Director of Finance & Resources
49.	EL interview records	Head of Quality	Current year plus 1 year	Quality Office	N/A	None	Shredding	Admin Assistant Quality Office
50.	Student Attendance Records (electronic)	Head of MIS	2007–2013 Until at least 31/12/2022  2014–2020 Until 31/03/2034	Held electronically within MIS System	Held electronically within MIS System	ESF retention regulations	Deleted	Vice Principal – Director of Finance & Resources
51.	Student MIS Records (electronic)	Head of MIS	20 years	Held electronically within MIS System	Held electronically within MIS System	ESF retention regulations	Deleted	Vice Principal – Director of Finance & Resources
52.	Data Protection and Freedom of	Head of MIS	7 years	MIS Office	MIS Office	DPA Recommendation	Shredded	Vice Principal –

	<b>Record</b>	<b>Maintained by</b>	<b>*Period of Retention</b>	<b>Location of Past Records Short term + Hard copy/electronic?</b>	<b>Location of Past Records Long term + Hard copy/electronic?</b>	<b>Body or Institution driving retention &amp; archive rules</b>	<b>Disposal method</b>	<b>Information provided by</b>
	Information Register							Director of Finance & Resources

\*NB. All records relating to ESF and match should be retained until at least 31 March 2034. This end date is subject to change if the programme is not formally closed in the expected timeline.

	<b>Record</b>	<b>Maintained by</b>	<b>Period of Retention</b>	<b>Location of Past Records Short term + Hard copy/electronic?</b>	<b>Location of Past Records Long term + Hard copy/electronic?</b>	<b>Body or Institution driving retention &amp; archive rules</b>	<b>Disposal method</b>	<b>Information provided by</b>
Apprenticeships								
53.	Student Applications (that do not lead to enrolment)	Apprenticeships Department	2 years	Filed in "No further action" in WBL Office	WBL Office	None	Shredded	Apprenticeship Manager
54.	Learner Reviews	Apprenticeships Manager	Duration of student's enrolment, then archived for 3 years	Learner files stored in "leavers"	Learner files stored in archive room	SFA Audit Compliance	Shredded	Apprenticeship Manager
55.	Student Details (personal file)	Apprenticeships Manager	7 years	Learner files stored in "leavers"	Learner files stored in archive room	SFA Audit Compliance	Shredded	Apprenticeship Manager
56.	Student Summary (name, date left, course) EL data	Apprenticeships Manager	No limit	PIC's data system & learner files	Learner files stored in archive room	SFA Audit Compliance	Shredded & auto archive	Apprenticeship Manager
57.	Student MIS Records (electronic)	Apprenticeships Manager	20 years	PIC's data system	PIC's auto achieve	SFA Audit Compliance	Delete	Apprenticeship Manager
58.	Student Comments and College Surveys	Apprenticeships Manager	5 years	Apprenticeships Dept questionnaire file	Archive room	Internal Quality	Shredded	Apprenticeship Manager
59.	Customer Surveys	Apprenticeships	7 years	Apprenticeships		Internal		Apprenticeship

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
		Manager		Dept questionnaire file	Archive room	Quality	Shredded	Manager

	Record	Maintained by	*Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
TYRO including Workplace Learning								
60.	Student Details (personal file)	Tyro	7 years	Filing cabinets - Tyro	Tyro archive storage – Auction Mart & Crescent House	ESFA	Shred	BD and Training Manager - Tyro
61.	Student Attendance Records (electronic)	Head of MIS/ BD and Training Manager - Tyro	5 years/7 years 2007–2013 Until at least 31/12/2022 2014–2020 Until 31/03/2034	Paper-based registers/contact records etc. – Tyro Electronic - Current and Previous Year within MIS Office	Tyro archive storage – Auction Mart & Crescent House	ESFA retention regulations	Shred	BD and Training Manager - Tyro
62.	Student MIS Records (electronic)	Tyro	20 years	Electronic records on PICS server	Electronic records on PICS server	ESFA	Delete	BD and Training Manager - Tyro
63.	Contracts with partners, ESFA, Variation to Financial Memorandum,	Director of Services to Business and Community	As per specific contract requirements:  ESF: 2007–2013 Until at least 31/12/2022	Funding & Development Team (Office 2 – Tyro) Tyro – DL Office/CJ Office	Archived (High Street)	DWP  Calderdale College	Shred	Director of Services to Business and Community

	Record	Maintained by	*Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
			2014–2020 Until 31/03/2034					
64.	Subcontracting Contracts	Subcontracting Manager	As per ESFA document retention guidance	Funding & Development Team – Office 2	ARCHIVED. Auction Mart	ESFA	Shred	Subcontracting Manager
65.	Project Contracts	Project and Community Manager	As per terms of project contract	Funding & Development Team – Office 2	Archived High Street	Project Funder	Shred	Project and Community Manager
66.	Student's Own Work	Course Tutor or Subject tutor	3-4 years	Tyro – Portfolio cupboards [pre EQA]	Hard copy – Tyro archive storage Assessment records only kept post EQA visit according to regulations for each awarding organisation	Awarding organisations	Shred	Training Operations Manager
67.	Student Comments and College Surveys for project and community	Tyro	3 years	Tyro – electronic on SNAP system, paper-based in Office 2	Electronic – SNAP system Paper-based – Tyro archive storage Crescent House	None	Shred	
68.	Enrolment forms, registers, funding claims	MIS Manager/Tyro	2007–2013 Until at least 31/12/2022 2014–2020 Until 31/03/2034	Electronic Tyro Data drive Paper-based student files	Electronic Tyro Data Drive Paper-based – Tyro archive Crescent House	SFA	Shred	BD and Training Manager - Tyro
69.	Student files Disciplinary records Course files and	Directors of Curriculum Administrators/Tyro	7 years 7 years Current and previous years	WPL & DL student files in filing cabinets	WPL & DL student files in Tyro archive storage at Auction Mart	None	Shred	BD and Training Manager - Tyro



	Record	Maintained by	*Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	timetables				& Crescent House			

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	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Learner Support							
70.	Confidential Student Counselling Records	Student Counsellor	3 years	In filing cabinet for staff / apprenticeship  Electronic records held on CPOM's	In filing cabinet for staff / apprenticeship  Electronic records held on CPOM's	BACP	Shredding	Student Support Services Manager
71.	High Needs / Low cost Learner Support Fund claims, Discretionary Learner Support Bursary Fund claims and returns	Student Services Manager	3 years	In filing cabinet /  Electronic for Promonitor for HN / LC ALS  Electronic Pay my student for dLSF	Storage  And electronic in Promonitor and Pay my student	EFA / SFA	Shredding  Delete electronic records	Student Support Services Manager

	<b>Record</b>	<b>Maintained by</b>	<b>Period of Retention</b>	<b>Location of Past Records Short term + Hard copy/electronic?</b>	<b>Location of Past Records Long term + Hard copy/electronic?</b>	<b>Body or Institution driving retention &amp; archive rules</b>	<b>Disposal method</b>	<b>Information provided by</b>
	Quality Assurance							
72.	Student Portfolios/workbooks	Course Tutor	Next EQA visit after certification	E-portfolios/ hard copies in School/Dept	N/A	Awarding Organisations	Return to student or confidential	Head of Quality
73.	Assessment plans and achievement records	Course Tutors	3 years	Electronic - ProMonitor/hard copy School/Dept	ProMonitor/Course files (paper or electronic)	Awarding Organisations	Shred hard copies/ electronic delete record	Head of Quality
74.	Internal Quality Assurance sampling plans and records	Internal Verifiers	3 years	Electronic/hard copy School/Dept	Course files (paper or electronic)	Awarding Organisations	Shred/delete	Head of Quality
75.	External Quality Assurance Records	Quality Compliance Manager and IQAs	Current + 3 years	Approvals – Quality and School/Dept offices Reports - Quality and School/Dept offices - Electronic	Course files (paper or electronic) and Quality Office (electronic)	Awarding Organisations	Shredding/deletion	Head of Quality
76.	Internal Quality Audit Files	Head of Quality	3 years	Electronic/Quality Department and relevant School/Department	Electronic/Quality Department and relevant School/Department	Internal	Deleting	Head of Quality
77.	College Surveys	Academic Quality Officer	Current year + 3 years	Electronic	Electronic	Internal	Deleting	Head of Quality
78.	Lesson Observation records	Head of Quality	Electronic – current year + 3 years	Paper/Quality Office Electronic/ProObserve	Electronic/ProObserve (personal copy held by observed individual)	Internal	Deleting	Head of Quality
79.	Self-assessment reports	Head of Quality	Electronic – current year + 2 years	Electronic Shared drive	Electronic/Dept Provider Gateway	Internal	Deleting	Head of Quality

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Higher Education							
80.	Student files Disciplinary records Course files and timetables  HE Validated documents	HE Officer; HE Administrators	7 years 7 years Current and previous years  7 years	Paper – current year + 1 year Electronic – current year + 7 years Admin Office Electronic – current year + 7 years	Paper – Archived Electronic  Electronic	College  College in conjunction with Awarding Universities	Shredding  n/a	Vice Principal Curriculum & Quality
81.	Course/Subject Files	Course Tutor/Subject Tutor	3 years – current year	Office	N/A	College	Shredding/Deleting	HE Business & Development Leader
82.	HE Student Achievement Record (i.e. Diploma and Transcript)	HE Office	6 years (followed by archive for 120 years from student date of birth)	Electronic.	HE Student Achievement Record (i.e. Diploma and Transcript)	HE Office	6 years (followed by archive for 120 years from student date of birth)	Electronic.

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	IT Department							
83.	Software Licence agreements	Technology Manager	7 years	Held online with Vendor (eg Microsoft / Adobe)	Held online with Vendor (eg Microsoft / Adobe)	None	Never Disposed, archived online by vendor	

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Learning Resource Centre							
84.	Learning Resource Centre Statistics	Learning Resource Centre	3 years	Electronically in Resource Centre Share Drive	Electronically in Resource Centre Share Drive. All results are used in SAR, information stored electronically & Hard Copy	Craven College	Delete Electronically stored & shred Hard Copies	LRC Manager
85.	Annual report and supporting records	LRC	7 years	Electronically in Resource Centre Share Drive SAR & Questionnaire Results	Electronically in Resource Centre Share Drive SAR. Information stored Electronically & Hard Copy	Craven College	Delete Electronically stored & shred Hard Copies	LRC Manager

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
	Estates							
86	Inspection, maintenance and repair of property	Facilities Manager	Completion of work + 2 years	Facilities Office	Facilities Office	<u>S.I. 1997 / 1840 The Fire Precautions (Workplace) Regulations 1997</u>	Archive relevant information. Dispose of paper test records through waste management.	Facilities Manager
87	CCTV recordings	Facilities Manager	Creation + 1	Hard drive of	N/A	Data Protection	Delete	Facilities

	Record	Maintained by	Period of Retention	Location of Past Records Short term + Hard copy/electronic?	Location of Past Records Long term + Hard copy/electronic?	Body or Institution driving retention & archive rules	Disposal method	Information provided by
			month	machine		Act	Electronically stored data.	Manager
88	Repairs to fixtures and fittings	Facilities Manager	Current year + 1 year	Facilities Office	Facilities Office	Health & Safety at Work Act 1974	Dispose through waste management.	Facilities Manager
89	Asbestos Management Surveys	Facilities Manager	Duration of ownership/lease or superseded by subsequent survey	Office & Reception	Office & Reception	Control of Asbestos Regulations 2012	Asbestos Management Surveys	Facilities Manager
90	Legionella Risk Assessment and Testing	Facilities Manager	5 Years	Facilities Office & Reception	Facilities Office & Reception	Health & Safety at Work Act 1974	Delete Electronically stored & shred Hard Copies	Facilities Manager
91	Waste Transfer Consignment Notes	Facilities Manager	3 Years	Facilities Office	Facilities Office	The Waste (England and Wales) (Amendment) Regulations 2012 SI 1889 The Controlled Waste (England and Wales) (Amendment) Regulations 2012 SI 2320	Dispose through waste management.	Facilities Manager

	<b>Record</b>	<b>Maintained by</b>	<b>Period of Retention</b>	<b>Location of Past Records Short term + Hard copy/electronic?</b>	<b>Location of Past Records Long term + Hard copy/electronic?</b>	<b>Body or Institution driving retention &amp; archive rules</b>	<b>Disposal method</b>	<b>Information provided by</b>
	All Curriculum Areas/Departments							
92.	Minutes of staff meetings	All College Managers	Current and previous year	Department – hard and electronic	N/A	internal	Shredding/deletion	