



DOCUMENT RETENTION POLICY

Issue:	1	Prepared by:	Authorised by:
Date:	July 2015	David Pullein Executive Director of Finance & Resources	Principal
Reviewed:			Approved by:
Next Review:	July 2018	3 yearly	SMT

LEEDS COLLEGE OF BUILDING

DOCUMENT RETENTION POLICY

Leeds College of Building recognise that the efficient management of its records is necessary to support the College's core functions and to comply with its legal and regulatory obligations. This document provides the policy framework through which this effective management can be achieved and audited.

1. Scope of the Policy:

The Policy applies to all records created, received or maintained by College staff in the course of carrying out their corporate functions. Records and documentation created in the course of research, whether internally or externally funded, are also subject to contractual record-keeping requirements.

Records are defined as all those documents which facilitate the business carried out by the College and which are thereafter retained to provide evidence of its transactions or activities. Records may be created, received and retained electronically or in hard copy. The College's records may be selected for permanent preservation as part of the College's archives, for example, for legal compliance and as an enduring record of the conduct of the business.

2. Responsibilities:

The College has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. Senior Management Team have overall responsibility for this policy. Individual employees must ensure that records for which they are responsible are accurate / maintained and disposed of in accordance with the College's records management guidelines.

3. Compliance:

Compliance with this policy will facilitate compliance not only with information-related legislation (specifically the Freedom of Information Act 2000 and the Data Protection Act 1998), and Human Rights Act 1998 (Article 10 right to privacy) but also with any other legislation or regulations (including audit, equality and inclusion) affecting the College.

4. Retention and Disposal of Records:

Leeds College of Building will seek to:

- identify records that it is appropriate to archive;
- use the centrally managed College archive;
- consider issues such as cost, space utilisation, long term quality of storage, the medium of storage and accessibility when determining how to archive materials;
- regularly review materials that are archived and dispose of materials that it is no longer appropriate to retain.

The Senior Management Team has overall responsibility for the implementation of this policy. These managers, in consultation with appropriate colleagues, will determine the most suitable location for the most appropriate medium for the storage of archive material.

College managers should regularly (ideally once per annum) review:

- all materials to be archived.
- materials that it is no longer appropriate to archive.

They should also ensure that all archive material is stored in such a manner as to be safe and that access to such material is controlled to ensure the confidentiality of personal data. Managers will also ensure that the disposal of material no longer required is carried out in a manner that is safe and that takes into account the confidential and sensitive nature of the data.

Appendix 1 sets out guidelines for the retention period of records created and maintained by the College in the course of its business. The appendix refers to all information regardless of the media in which it is stored. Some of the retention periods are governed by statute. Others are guidelines following best practice. Every effort has been made to ensure that these retention periods are compliant with the requirements of the Data Protection Act 1998 and the Freedom of Information Act 2000. This appendix will require reviewing on an annual basis.

RECORDS RETENTION PERIOD

BUILT ENVIRONMENT & ENGINEERING SERVICES

Record	To be Maintained by	Period of Retention	Location of Records
LCB Internal HE Review evidence	Faculty Director	6 years	G Drive: HE Review 2014
LCB Internal IQER evidence	Faculty Director	6 years	G Drive: IQER Evidence Folder
Pearson BTEC & NVQ Copies of Learner Work submitted for standards verification sampling	Assistant Faculty Director	3 years	E18 storage
Pearson BTEC & NVQ Assessment and IQA/EQA records	Assistant Faculty Director	3 years	G Drive HE Construction Design and Management (HECDM) – Trackers and IQA Folders
City & Guilds Summary course records and tracking sheets	Assistant Faculty Director	3 years	G Drive Sustainable Building Services (SBS) – Trackers and spreadsheets folder
City & Guilds IQA/EQA records	Assistant Faculty Director	3 years	C Floor storage area for 1 year and Archive Room for 2 years
ABC Awards Summary course records and tracking sheets	Assistant Faculty Director	3 years	G Drive SBS– Trackers and spreadsheets folder
ABC Awards Assessment and IQA/EQA records	Assistant Faculty Director	3 years	C Floor storage area for 1 year and Archive Room for 2 years
ACS Gas Safety (Full Cost) Candidate assessment records	Assistant Faculty Director	7 years	ACS centre for 1 year and Archive room for 6 years.
NEBOSH Summary course records, tracking sheets	Assistant Faculty Director	5 years	G Drive SBS – Trackers and spreadsheets folder
IOSH Summary course records, tracking sheets	Assistant Faculty Director	5 years	G Drive SBS – Trackers and spreadsheets folder

BUILT ENVIRONMENT & ENGINEERING SERVICES (continued)

AM2 Candidate assessment records	Assistant Faculty Director	7 years	Short course centre for 1 year and Archive room for 6 years.
BPEC Short course (Full Cost) Candidate assessment records	Assistant Faculty Director	7 years	Short course centre for 1 year and Archive room for 6 years.
EAL Assessment and IQA/EQA records	Assistant Faculty Director	3 years	G Drive HECDM – Trackers and IQA Folders
BIFM Assessment and IQA/EQA records	Assistant Faculty Director	3 years	G Drive HECDM – Trackers and IQA Folders and Huddle web site

CATERING

Record	To be Maintained by	Period of Retention	Location of Records
Cleaning schedule	Supervisor/ Manager	3 years	Kitchen
Equipment temperature record	“	3 years	Kitchen
Cooked food temperature	“	3 years	Kitchen
Cooling record	“	3 years	Kitchen
Delivery temperature of food delivered	“	3 years	Kitchen
Probe calibration record	“	3 years	Kitchen
Opening and closing checks	“	3 years	Kitchen

CONSTRUCTION CRAFTS

Record	To be Maintained by	Period of Retention	Location of Records
IQA records – Schedules & Reports - to demonstrate QA process has taken place, scope and rigour	Faculty Directors	3 years	Archive Room

CURRICULUM AND QUALITY

Record	To be Maintained by	Period of Retention	Location of Records
Student portfolios (Classroom Based & ER) – SFA match funded for those identified	Faculty Directors	7 years	Archive Room
Student Centre File for Awarding Bodies	Faculty Directors	3 years	Archive Room
ESF Projects (contracts, claims and evidence base)	Director of Quality & Learning Support Services	*15 years (or as contract specifies)	Archive Room
Sub-contracting contracts (Classroom Based / ER delivery)	Director of Quality & Learning Support Services	7 years	Archive Room

DIS/EXAMS

Record	To be Maintained by	Period of Retention	Location of Records
Learning Agreements	DIS Manager	7 Years	Archive Room
Learning Agreements (ESF Match Funding – where informed by SFA)	DIS Manager	Until 2022	Archive Room
Freedom of Information Requests	DIS Manager	5 Years	Admin Office
Copies of WBL Apprenticeship ILRs	DIS Manager	1 Year	Admin Office
Prosolution – Student Data	DIS Manager	7 Years	Central Server
Prosolution – Student Enrolment Information	DIS Manager	7 Years	Central Server
Prosolution – Student Register Information	DIS Manager	7 Years	Central Server
Prosolution – Student Exam Registration/Claim Information	DIS Manager	7 Years	Central Server
Proachieve – Success Retention and Achievement Information, including Student Information	DIS Manager	7 Years	Central Server
Student Disciplinary Database	Information Analyst	2 Years	G:Drive
Absence Management Database	Information Analyst	2 Years	G Drive
Leeds City Council September Guarantee Database	Information Analyst	2 Years	G Drive

DIS/EXAMS (continued)

Learners Qualification Registration Forms and Confirmation	Exams Manager	7 Years	Admin Office/Archive Room
Learners Qualification Claim Forms and Achievement Confirmations	Exams Manager	7 Years	Admin Office/Archive Room
Learners scanned Certificate copies	Exams Manager	7 years	Admin Office/Archive Room
Learners Access Arrangement reports and Profile of Learning difficulties documentations	Exams Manager	2 years	Admin Office
Examinations Attendance Reports and Seating Plans	Exams Manager	3 years	Admin Office/Archive Room

FINANCE

Record	To be Maintained by	Period of Retention	Location of Records
Purchase Invoices	Finance Manager	7 years	Archive Room
Sales Invoices	Finance Manager	7 years	Archive Room
Payroll Expenses Claims	Finance Manager	7 years	Archive Room
Petty Cash Claims / Receipts	Finance Manager	7 years	Archive Room
Management Accounts	Executive Director of Finance & Resources	4 years	Executive Director of Finance & Resources Office for 1 year and Archive Room for 3 years
SFA / EFA Allocations	Executive Director of Finance & Resources	5 years	Executive Director of Finance & Resources Office
College Budget File / Working Papers	Executive Director of Finance & Resources	5 years	Executive Director of Finance & Resources Office

FINANCE AND ADMINISTRATION MANAGER

Record	To be Maintained by	Period of Retention	Location of Records
Purchase Orders	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Payment Runs & Cash Payments Documentation	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Sales Invoices	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Daily Cash Sheets/Receipt Books	Finance Manager	7 Years	Finance Office for 1 year and Archive Room for 6 years
Petty Cash Claims / Receipts & Returns	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Transfer/Hospitality Forms	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Journals	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Documents – Bank Opening / Closing of Accounts	Finance Manager	6 years from closure of account	Finance Office for 1 year and Archive Room for 5 years
Documents – Bank Deposits/Withdrawals/Transfers	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Fixed Assets Documentation – Value	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Fixed Assets Documentation – Disposals	Finance Manager	Current Financial year (of disposal) + 6 years	Finance Office for 1 year and Archive Room for 6 years
Renewal of insurance policies- Employers Liability Certificates	Finance Manager	40 years	Finance Office for 5 years and Archive Room for 35 years
Renewal of insurance policies- All other insurance	Finance Manager	6 years from expiry of policy	Finance Office for 1 year and Archive Room for 5 years
Insurance Claims Made	Finance Manager	6 years from Settlement / withdrawal of claim	Finance Office for 1 year and Archive Room for 5 years
Tender Documents Invitations & Evaluation Criteria	Finance Manager	6 years from Termination of supply	Finance Office for 1 year and Archive Room for 5 years

GOVERNANCE

Record	To be Maintained by	Period of Retention	Location of Records
Tender Documents	Secretary	7 years	Secretary's office for 1 year and Archive Room for 6 years
Corporation and Sub-Committees – papers, minutes, contact details of the members	“ “	Forever (Records archived as they represent the history of the organisation)	G Drive and Secretary's office
Corporation and budget holders Register of Interest	“ “	7 years	Secretary's office

HEALTH & SAFETY / ESTATES

Record	To be Maintained by	Period of Retention	Location of Records
Accident Records	HSE Advisor, HR	10 years	H&S Office / Server
Asbestos related documents (health records / air monitoring / asbestos management plan)	Facilities Manager, HR	40 years	Server / Estates
Audit / Inspection/NCR Reports	HSE Advisor	5 years	Server / H&S
Business Objectives	HSE Advisor	5 years	Server
Calibration Records	Facilities Manager	5 years	Server / Estates
Consignment Notes	Facilities Manager	3 years	Server / Estates / Individual Depts
Contractor Records	Facilities Manager	5 years	Server / Estates
COSHH assessments	Line Manager / HSE Advisor	5 years	Sypol / Individual Depts
Driving documents (staff)	HSE Advisor	5 years	Server / H&S
Environmental Monitoring (e.g. dust, vapours, noise)	HSE Advisor / Facilities Manager	40 years	Server / H&S / Estates
Equipment Maintenance Records general	Facilities Manager	5 years	Server / Estates / Individual Department
Fire System Records (e.g. alarm, emergency lighting, fire drills etc.)	HSE Advisor / Facilities Manager	5 years	Server / Estates / H&S

HEALTH & SAFETY / ESTATES (continued)

Fixed Electrical Test Records of the Building	Facilities Manager	12 years	Server / Estates
Health Surveillance Records	HR Director	40 years	Server / HR
Meeting (HSE related) minutes	HSE Advisor	5 years	Server / throughout the College
Permit to Work	Facilities Manager	5 years	Server / Estates
Policies and procedures (HSE related)	HSE Advisor	5 years	Server / throughout the College
PPE Issue Records	HSE Advisor	5 years	Server / Estates
Risk Assessments / Method Statements	Line Manager / HSE Advisor	5 years	Server, Individual departments
Spillage Record Form	HSE Advisor	5 years	Server / Estates / H&S
Timesheets	Line Manager	2 years	Server / Office
Toolbox Talk Record	HSE Advisor	After termination of contract + 6 years	Server / H&S
Training Records / Certificates	HSE Advisor / HR	After termination of contract + 6 years	Server / HR / H&S
Waste Carrier's Licence	Facilities Manager	5 years	Server / Estates
Waste Transfer Notes	Facilities Manager	2 years	Server / Estates

HUMAN RESOURCES

Record	To be Maintained by	Period of Retention	Location of Records
Staff Personal Files (Ex Staff)	HR Unit	7 Years	HR Office
Application forms (of unsuccessful applicants) & Interview Records / Documents	HR Unit	6 Months	HR Office
Staff Personal Files (Current & Ex Staff). Where allegations of abuse have been made against teachers and other staff.	HR Unit	Until the accused has reached normal retirement age or for a period of 10 years from the date of the allegation if that is longer.	HR Office
Payroll - Calculation of Payments	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years
Payroll – Pension Scheme Contributions	Finance Manager	75 years from Termination of employment	Finance Office for 1 year and Archive Room/other storage for 74 years
Payroll – Deduction Forms (Non-Statutory)	Finance Manager	7 years	Finance Office for 1 year and Archive Room for 6 years

IT

Record	To be Maintained by	Period of Retention	Location of Records
Copy Purchase Orders	IT Manager	1 Year	E2c
Delivery Notes	IT Manager	1 Year	E2c
Equipment/Remote Access Approval Forms	IT Manager	1 Year	IT Workshop
COSHH & H&S Sheets	IT Manager	1 Year	IT Workshop
Inventory Records	IT Manager	10 Years	Online (Server Room)
Copy of Telephony contracts	IT Manager	3 years	E2c

LIBRARY

Record	To be Maintained by	Period of Retention	Location of Records
Purchase orders, receipts, invoices, delivery notes	College librarian	7 years	Archive room
Credit card statements and receipts	College librarian	7 years	Archive room
Cash receipts/paying-in slips from Finance	College librarian	7 years	Archive room
Weekly overdues data from Heritage	College librarian	1 year then shredded	Library filing cabinet
Student invoice records and lists (re overdues)	College librarian	7 years	First year in library filing cabinet then transferred to the archive room.
Student reservation slips	College librarian	1 month then shredded	Library filing cabinet
Staff overdues data	College librarian	1 month or until overdues are returned then shredded	Library filing cabinet

MARKETING

Record	To be Maintained by	Period of Retention	Location of Records
Reprographics Tender Documents	Cat Izzard / Ian Knight	4 Years	Paper copy & Scanned copy on G Drive
Copies of Purchase Orders	Cat Izzard	3 Years	Hard copies Marketing Dept

QUALITY AND LEARNING SUPPORT SERVICES

Record	To be Maintained by	Period of Retention	Location of Records
IQA records – Schedules & Reports - to demonstrate QA process has taken place, scope and rigour	Faculty Directors	3 years for awarding body purposes	Archive Room

QUALITY - BUSINESS SUPPORT AREA

Record	To be Maintained by	Period of Retention	Location of Records
Risk Register	Executive Director of Finance and Resources	Seven years minimum	Covalent online database from 2009. Covalent is a rolling audit record so previous items are not deleted. <i>NB link to health and safety records and requirement to keep records for 40 years relating to asbestos.</i>
SPOC Data	Quality Improvement and Enhancement Manager	Five years	<ul style="list-style-type: none"> • Pre 2012 paper records held in Quality Office NS C11a. • Post 2012 online via Curriculum Surveyor
SPOC Analysis Reports	“	Five years	Intranet and G:Drive (Quality)
EPOC Data	“	Five years	<ul style="list-style-type: none"> • Pre 2012 paper records held in Quality Office NS C11a. • Post 2012 online via Curriculum Surveyor.
EPOC Analysis Reports	“	Five years	Intranet and G:Drive (Quality)
Observation Reports for members of staff	“	Seven years <i>NB linked to HR staff records.</i>	<ul style="list-style-type: none"> • 2010-2011 onwards signed paper copies held in Quality Office NS C11a. • 2010-2011 onwards electronic copies held on G:Drive (Quality)
Observation Analysis Reports	“	Five years	Intranet and G:Drive (Quality)
Complaints, including complaints register	“	Ten years <i>NB some refer to College staff and therefore linked to HR staff records.</i>	Electronic - G:Drive (Quality) Paper correspondence held in Quality Office NS C11a
Complaints Analysis Reports	“	Five years	Intranet and G:Drive (Quality)
Policies and Procedures	“	Seven years	Intranet and G:Drive (Quality)
Self-assessment Reports	“	Five years	Intranet and G:Drive (Quality)

SAFEGUARDING

Record	To be Maintained by	Period of Retention	Location of Records
<p>Information concerning the management of child protection and safeguarding cases relating to students.</p> <ul style="list-style-type: none"> • Child protection disclosures • Looked After Children (LAC) information. • Risk assessments • Child In Need Plans (CIN) • Child Protection Plans (CPP) • Common Assessment Framework (CAF) • Case monitoring records • Emails • Health records • Disclosure and barring service / criminal records • Other case related documentation 	<p>Documentation is maintained by 'designated staff' [Child Protection Team].</p>	<p>All related documentation must be retained:</p> <ol style="list-style-type: none"> 1. Up to the 25th birthday of the individual. [and] 2. Where Children's Social Work Services / Adult Social Care are involved, the documentation must be retained for an additional 25 years. 	<p>'Sensitive data' stored on:</p> <ol style="list-style-type: none"> 1. [G:/ Safeguarding Case files] 2. Some original documentation stored in CP filing cabinet on D Floor [D14].

Notes.

- i. Some of the information which is retained about students may not have the implied or explicit consent of students.
- ii. The information which is retained may be shared with other agencies without the consent of the student. This will be done by adhering to the Leeds Safeguarding Children's Board [LSCB] Information Sharing Protocol.
- iii. Some of the data which is held about students may be received in confidence from other agencies, and ***may not*** be subject to a request through Freedom of Information Act [2000]
- iv. Requests for information could be made from any of the following agencies.
 - The Police
 - District Councils
 - Leeds Children Social Work Services
 - Leeds Adult Social Care
 - Schools and other providers of education and training (FE / HE)
 - The Probation Service
 - Youth Offending Teams (YOTs)
 - Bodies within the National Health Service
 - Connexions
 - Multi Agency Risk Assessment Conference (MARAC)

SKILLS FOR LIFE

Record	To be Maintained by	Period of Retention	Location of Records
SFL -Portfolios Measure Shape and Space	Director of Quality & Learning Support Services	5 years	Archive Room
SFL –Assessments for Entry English, Maths and ICT	“	5 years	Archive Room
SFL –Speaking and Listening assessments for English all levels	“	5 years	Archive Room
ALS- paperwork ‘white books’	“	5 years	Archive Room

STUDENT SERVICES

Record	To be Maintained by	Period of Retention	Location of Records
Student Application Paperwork	Student Services & Department	7 years	SS Office, Departments, Archiving
Criminal Convictions Disclosures	Student Services	2 – 3 years	SS office and archiving
Financial paperwork: Bursary - LSF 24+ etc	Student Services	7 years	SS office and archiving

WORK BASED LEARNING

Record	To be Maintained by	Period of Retention	Location of Records
Learner Files	Apprentice Contracts Manager	7 years	WBL Office - Archive
Employer H&S Files	Apprentice Contracts Manager	7 years	WBL Office - Archive
Apprentice Application Forms	Apprentice Contracts Manager	2 years	WBL Office - Archive
Unsuccessful Entry Test	Apprentice Contracts Manager	2 years	WBL Office - Archive
AGE Grant Application Forms	Apprentice Contracts Manager	2 years	WBL Office - Archive
Work Placement Student Records	Apprentice Contracts Manager	7 years	WBL Office - Archive
Work Placement H&S records	Apprentice Contracts Manager	7 years	WBL Office - Archive