

RECORDS RETENTION SCHEDULE

Description of Records	Retention Period	Comments e.g. Refer to Statutory Requirements
Board of Management: Responsible Person: College Secretary Governance <ol style="list-style-type: none"> 1. Agendas & reports for board and committees 2. Constitution (for board of management) 3. Code of Conduct 4. Correspondence 5. Gifts and hospitality register 6. Minutes of board & committee meetings 7. Register of board member interests 8. Standing orders and Operating Guidelines 9. Training records (for board members) 	<ol style="list-style-type: none"> 1. Current year+ 5 years 2. Current version 3. Current version 4. Current year + 3 years 5. Duration of membership + 5 years 6. Permanent from 2000 (CY + 50 yrs) 7. Duration of membership + 6 years (Jisc) 8. Current version 9. Duration of membership + 3 years (Jisc) 	<ol style="list-style-type: none"> 5. Refer to Standards Commission Guidance 7. Refer to Standards Commission Guidance
Estates & Facilities Responsible Person: Director of Corporate Services & Facilities Manager General <ol style="list-style-type: none"> 1. Accommodation schedules 2. Building titles 3. Capital project documentation 4. CCTV Footage 5. E-mandate returns 6. Estates strategy 7. Project safety file 8. Salto System Data (door security system) 9. SFC funding allocation /returns 10. Sites plans 11. UHI funding allocation/returns 	<ol style="list-style-type: none"> 1. Current version 2. Permanent until disposal of property 3. End of defects liability period + 10 years 4. 30 Days 5. Current year+ 1 year 6. Current version 7. Permanent 8. 6 months 9. Current year + 3 years 10. Permanent until disposal of property 11. Current year + 3 years 	<ol style="list-style-type: none"> 4. Unless downloaded for investigation purposes then purpose specific retention periods will apply

Updated 29 November 2018

H/New Job/Policies/Retention Schedule

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<p>Contracts</p> <ol style="list-style-type: none"> 1. Agreements with other colleges and stakeholders 2. Documents including photographs of key institutional importance 3. General Correspondence 4. Lease Agreements 5. Planning/building warrants 6. Tender documentation 7. Tender documents – successful tenderer 8. Tender documents- unsuccessful tenderers 9. Term contractors including insurance & health & safety details 	<ol style="list-style-type: none"> 1. Termination of Agreement + 3 years 2. Permanent 3. Current year + 3 years 4. Permanent 5. Permanent 6. Duration of Project + 3 years 7. Termination of Contract + 3 years 8. Current year +1 year 9. Current year + 3 years 	
<p>Finance Responsible Person: Director of Corporate Services & Financial Services Manager</p> <p>Audit</p> <ol style="list-style-type: none"> 1. Correspondence to external auditors 2. Correspondence to internal auditors <p>Contracts</p> <ol style="list-style-type: none"> 1. SDS Funding, Constructionskills, SNIPEF, SECTT etc. <p>Income & Expenditure</p> <ol style="list-style-type: none"> 1. BACs/cheque weekly payment runs & paperwork 2. Banking & petty cash record 3. Bank statements 4. Budget working papers 5. Car hire papers 6. Cash flow working papers 7. Cash sheets/telebanking files 8. Cheque & invoice requests 	<ol style="list-style-type: none"> 1. Current year + 6 years 2. Term of appointment + 1 year 1. Current year + 3 years (year last milestone claimed + 3 yrs)* 1. Current year + 6 years 2. Current year + 6 years 3. Current year + 6 years 4. Current year + 6 years 5. Current year + 1 year 6. Current year + 6 years 7. Current year + 6 years 8. Current year + 6 years 	<p>* As SDS funding may be used to match fund European Social Fund monies the Provider shall retain all records and all other supporting documentation for at least 3 years following the last payment on the ESF Programme – currently anticipated to be 2020. Where the Provider Contract is terminated the Provider shall forward all such records and supporting documentation to SDS for retention as above. <i>Extract from The Skills Development Scotland Co. Ltd Programme Rules for Modern Apprenticeships 2014/15. This document is effective from 1 April 2014 and is on the Provider Central website.</i></p>

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<p>9. Debt files (3rd party debt recovery agency)</p> <p>10. ESF Project files</p> <p>11. Journal file</p> <p>12. Monthly bank reconciliation files</p> <p>13. New supplier details (including bank details)</p> <p>14. Payment card details (includes course fees, travel accommodation, purchases etc.)</p> <p>15. Reclaimed VAT paperwork</p> <p>16. Scottish Funding Council returns</p> <p>17. Statistical returns</p> <p>18. Supplier/purchase ledger statements</p> <p>19. Statistical returns</p> <p>20. UHI claims</p> <p>21. VAT Correspondence</p> <p>22. VAT returns</p> <p>23. Virements</p> <p>24. Year-end accounts & working papers</p> <p>Insurance</p> <p>1. Annual renewal agreements</p> <p>2. Employer's Liability Certificates</p> <p>3. Insurance policies</p> <p>4. General correspondence</p> <p>Payroll</p> <p>1. PAYE, national insurance & pension records</p> <p>2. Request for additional staff resources</p> <p>3. Staff payroll & hourly rate information</p> <p>4. Staff timesheets evidencing project activity</p> <p>5. Staff travel claims for project activity</p> <p>6. Statutory maternity pay records, calculations (MAT B1s) or other medical evidence</p>	<p>9. Current year + 6 years</p> <p>10. Current year+ 14 years</p> <p>11. Current year + 6 years</p> <p>12. Current year + 6 years</p> <p>13. Current year + 6 years</p> <p>14. Destroy after processing</p> <p>15. Current year + 6 years</p> <p>16. Current year + 6 years</p> <p>17. Current year + 6 years</p> <p>18. Current year + 1 year</p> <p>19. Current year + 6 years</p> <p>20. Current year + 6 years</p> <p>21. Indefinitely</p> <p>22. Current year + 6 years</p> <p>23. Current year + 1 year</p> <p>24. Current year + 6 years</p> <p>1. Current year + 3 years</p> <p>2. 40 years</p> <p>3. Current policy + 6 years</p> <p>4. Current year + 6 years</p> <p>1. Current years + 6 years, 75 yrs for pension records</p> <p>2. Current year + 6 years</p> <p>3. Current year + 6 years</p> <p>4. Current year + 6 years</p> <p>5. Current year + 6 years</p> <p>6. Current year + 6 years</p>	<p>10. Minimum will depend on EU programme closure</p>
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<ul style="list-style-type: none"> 7. Statutory sick pay records, calculations, SSP1 forms 8. Wage/salary records (includes overtime, bonus and expenses) <p>Risk Management</p> <ul style="list-style-type: none"> 1. Risk Register 	<ul style="list-style-type: none"> 7. Current year + 6 years 8. Current year + 6 years <ul style="list-style-type: none"> 1. Current year + 3 years 	
<p>Health & Safety Responsible Person: Health & Safety Manager</p> <ul style="list-style-type: none"> 1. Accident Report records 2. Committee agendas, papers & minutes 3. Dangerous occurrence records and investigations 4. Fire risk assessments 5. Health & Safety Policy 6. Ionising radiation records 7. Medical records retained as part of COSHH 8. Portable appliance testing records & procedures 9. Risk assessments 10. Workplace assessments (student placements) 	<ul style="list-style-type: none"> 1. Current year + 3 years 2. Current year + 3 years 3. Current year + 3 years 4. Current version only (reviewed annually) 5. Current version 6. 50 years after last entry 7. 40 years 8. Current year 9. Current version 10. Current year + 3 years 	
<p>Human Resources Responsible Person: Director of Organisation Development and HR Manager</p> <ul style="list-style-type: none"> 1. Application forms and interview notes 2. Application forms (board members) 3. Disciplinary records (where employment continues) 4. Health records (include occupational health referrals and reports) 5. Health records where termination of employment is connected to health including stress related illness 	<ul style="list-style-type: none"> 1. 6 months from interview date 2. Duration of membership + 2 years 3. Closure of case + 6 yrs 4. Duration of employment + 6 years <ul style="list-style-type: none"> 5. Duration of employment + 6 years <ul style="list-style-type: none"> 6. Indefinitely 	

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<ul style="list-style-type: none"> 6. JCC/JNC Working papers and committee papers 7. Policies & procedures 8. Project files 9. Protection of vulnerable groups checks 10. Redundancy files (less than 20 employees) 11. Redundancy files (more than 20 employees) 12. Restructuring information 13. Staff files 14. Staff survey 15. Terms & conditions Staff Development <ul style="list-style-type: none"> 1. Applications for staff development 2. Applications to UHI 3. Individual staff records 4. Internal staff development programmes 5. Reports on staff development activities 	<ul style="list-style-type: none"> 7. Current year + previous version 8. 5 years after project ceased 9. 3 months from receipt 10. 6 years from date of redundancy 11. 12 years from date of redundancy 12. Current year + 6 years 13. Current year + 6 years from end of employment 14. Current year + 5 years 15. Permanent from date of incorporation (1993) 1. Current year + 3 years 2. Current year + 3 years 3. Duration of employment + 6 years 4. Current year + 3 years 5. Current year + 3 years 	
Learner Access & Progression Responsible Person: Depute Principal Guidance & Finance <ul style="list-style-type: none"> 1. BACS printouts (evidence of beneficiary payments) 2. Beneficiary application forms (including travel & childcare declaration forms, copies of bursary and SAAS awards letters) 3. Correspondence to beneficiaries 4. Counselling notes 5. Fee waiver forms (including details of evidence shown) 6. FE funding application forms 7. Fitness to Study PAT records 	<ul style="list-style-type: none"> 1. Current year + 6 years 2. Current year + 6 years 3. Current year + 6 years 4. Current year + 5 years 5. Current year + 6 years 6. Current year + 6 years 7. Current year + 6 years or until programme completed whichever is the earliest. 	 <p>4. In line with BACP guidelines</p> <p>5. Actual evidence to support fee waiver should not be retained, only a record of the type of evidence</p>

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8. HE funding application forms 9. ILA funded course records 10. Immigration notes 11. International student files 12. Personal Academic Tutor Files 13. Personal learning support plans (including reports from medical, psychologist, school, DSA/SAAS funding reports) 14. Student interview record 15. Student payments (direct debit)	8. Current year + 6 years 9. Current year + 7 years 10. 11. Current year + 6 years 12. Current year + 2 years 13. Current year + 3 years 14. Current year + 3 years 15. Current year + 6 years	offered (see SFC guidance referred to below). 11.Source: 2014-15 SFC student activity data guidance for colleges: SUMS Guidance.
<p>Learner Administration Responsible Person: Depute Principal and CMI Manager</p> 1. Change of address & personal information forms 2. Course application forms 3. Course frameworks 4. Course information sheets 5. Enrolment forms 6. FES returns 7. Group award entry forms 8. Results sheets 9. Registers 10. Withdrawal & transfer forms	1. Current year + 2 years 2. Current academic year 3. Period of validity+ 2 years 4. Current year + 2 years 5. Current year + 5 years 6. Current year + 5 years 7. Current year + 2 years 8. Current year + 2 years 9. Current year + 5 years 10. Current year + 2 years 1. Current year + 4 years 2. Current year + 5 years 3. Current year + 2 years 4. Current year 5. Current year * 6. Current year 7. Current year + 1 year	 Current + 5 years comes from the SFC guidelines “2014-15 Student activity data guidance for colleges: SUMS Guidance” 5. *UHI Exam Centre retains electronic copies of all exam papers for 5 years. *BPEC candidate records must be retained for current year + 6yrs

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8. Registrations 9. Results lists 10. Timetables Electronic Reports 1. Activity targets 2. Application reports 3. Attendance reports 4. Enrolment reports 5. Equal opportunity reports 6. Miscellaneous reports 7. Performance indicator reports Paper Documents 1. Back up documents for SUMS return 2. Working documents for performance indicators 3. Working documents for UHI, SQA etc.	8. Current year + 1 year 9. Current year + 4 years 10. Current year 1. Current year + 3 years 2. Current year + 3 years 3. Current year + 3 years 4. Current year + 3 years 5. Current year + 3 years 6. Current year + 3 years 7. Current year + 3 years 1. Current year + 3 years 2. Current year + 3 years 3. Current year + 3 years	
Quality & Teaching Materials 1. Annual course reports 2. Assessment Records 3. Awarding body correspondence 4. Complaint files 5. Course approval and validation reports 6. Course team minutes 7. Disciplinary Records 8. Education Scotland Correspondence 9. Education Scotland Review Documentation 10. External verification reports 11. Internal audit reports 12. Internal verification documentation 13. Master folders 14. Sample student work (good, average and poor) 15. Self-evaluation reports	1. Current year + 3 years 2. One calendar year following certification 3. Current year + 3 years 4. Current year + 3 years 5. Current year + 3 years 6. Current year + 3 years 7. Current year + up to end of programme 8. Current year + 3 years 9. Current year + 3 years 10. Current year + 3 years 11. Current year + 5 years 12. One calendar year following certification 13. For duration of unit/module currency 14. Current year + 3 years 15. Current year + 3 years	Current + 3 has been allocated as the period that may be required for external reviewers/auditors 7. Maximum retention of 6 yrs (whichever is earlier) 14. Refer to guidance in the Quality Folder (toolkit for course teams for up to date retention periods)

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16. Student evidence 17. Unit & module evaluation forms	16. See opposite column 17. Current year + 3 years	
Secretariat Responsible Person: Principal's PA and College Secretary, Information Development Manager 1. Academic committee agendas, papers & minutes 2. Correspondence 3. Data protection (subject access requests & general correspondence) 4. Data Sharing Agreements 5. Education Scotland Review documentation 6. Environmental information regulations (requests for information and general correspondence) 7. Freedom of information (requests for information and general correspondence) 8. Planning documents (includes operational plans and strategic plans) 9. SFC correspondence 10. SFC funding & returns 11. UHI correspondence	1. Current year + 3 years 2. Current year + 3 years 3. Current year + 1 year (unless subject to legal proceedings) 4. Life of agreement + 1 year 5. Current year + 5 years 6. Completion of request + 3 years 7. Completion of request + 3 years 8. Current year + 3 years 9. Current year + 5 years 10. Current year + 3 years 11. Current year + 3 years	3. Keep statistical data only after 18 months
Early Learning & Childcare Centre Responsible Person: ELCC Manager 1. Registration Forms 2. Attendance Records	1. Current year only 2. Destroy end of Oct following the academic year to which it relates.	2. Retain summary statistical info. for 3 yrs. (cumulative attendance by age, showing morning & afternoon breakdown)

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