



Document Retention Schedule

Date approved: 20 February 2017
Approved by: Executive Board
Review date: Under review
Responsible Manager: Clerk to the Corporation
Group Executive Lead: Group Director, HR and Organisational Development
Accessible to Clients / Students: Yes

1. Consultation

Consultation undertaken with:-

- Kidderminster College: Yes/No
- Newcastle College: Yes/No
- Newcastle Sixth Form College: Yes/No
- West Lancashire College: Yes/No
- Intraining: Yes/No
- Rathbone Training: Yes/No
- Group Services: Yes/No

2. Applicability to Organisation

The Document Retention Schedule applies to:-

- Kidderminster College: Yes/No
- Newcastle College: Yes/No
- Newcastle Sixth Form College: Yes/No
- West Lancashire College: Yes/No
- Intraining: Yes/No
- Rathbone Training: Yes/No
- Group Services: Yes/No

3. Scope and Purpose

The Document Retention Schedule is intended to provide a consistent approach which meets legal standards and ensures that key documents can be retrieved when needed.

4. Approach

The Document Retention Schedule sets out the minimum periods for which documents should be retained and those responsible for the retention of various classes of documents.

5. Linked Policies

Information Policy

6. Linked Procedures

Information Procedures
Information Security Procedures

7. Equal Opportunities Statement

No impact on equality has been identified.

8. Location and Access

The Document Retention Schedule is located as follows:

- NCG website: Media Centre: Guide to Information: Our policies & procedures
- NCG intranet: Group Services: Group Policies and Procedures

9. Person Responsible for the Document Retention Schedule

Clerk to the Corporation

10. Variations

There are no variations to the Document Retention Schedule.

Type of document	Period of retention	Requirement / Reason	Responsible
Accidents and Insurance			
Accident reports and relevant correspondence	3 years after settlement Insurance schedules		Group Human Resources & Organisational Development Director
Insurance Claims correspondence	80 years		Group Human Resources & Organisational Development Director
Employers' liability policies	Permanently		Group Human Resources & Organisational Development Director
Group personal accident policies	Permanently		Group Human Resources & Organisational Development Director
Insurance schedules	Permanently		Group Human Resources & Organisational Development Director
Product liability policies	Permanently		Group Human Resources & Organisational Development Director
Public liability policies	Permanently		Group Human Resources & Organisational Development Director
Sundry insurance policies	Permanently		Group Human Resources & Organisational Development Director

Type of document	Period of retention	Requirement / Reason	Responsible
Contracting and Tenders			
Income Contracts - Contractual documentation including original contract and any contract variations, notices / correspondence, performance and notes of meetings	Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030)	Claims can be brought for up to six years after the contract expires (10 for a deed)	Head of Division
Expenditure Contracts - Contractual documentation including original contract and any contract variations, notices / correspondence, supplier performance and notes of meetings	Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030)	Claims can be brought for up to six years after the contract expires (10 for a deed)	Head of Division
Service Level Agreements (non-monetary) - Original SLA and any contract variations, notices / correspondence, performance and notes of meetings	Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030)	Claims can be brought for up to six years after the contract expires (10 for a deed)	Head of Division

Type of document	Period of retention	Requirement / Reason	Responsible
Agents Contracts - Contractual documentation including original contract and any contract variations, notices / correspondence, supplier performance and notes of meetings	Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030)	Claims can be brought for up to six years after the contract expires (10 for a deed)	Head of Division
Indemnities and guarantees	6 years after expiry or longer as determined by the Contract		Head of Division
Disputes and Litigation - Records documenting negotiation, establishment and settlement of dispute and / or claims	Settlement of claims + 6 years OR withdrawal of claim + 6 years		Head of Division
Records as defined by the Contract - Documents required to be held in accordance with income, expenditure, agent contracts or SLAs, e.g. learner records	Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030)		Head of Division
Intellectual Property - any copyright, patent and trade mark records	Permanently		Head of Division
Tender documents	7/15 years		Group Director, Finance, Estates and IT.

Type of document	Period of retention	Requirement / Reason	Responsible
Corporate Governance			
Policies and Procedures - Records documenting the development and establishment of policies and procedures	Superseded + 5 years		Manager responsible for the policy or procedure
Statutory Records and Registers - memorandum and articles of association - certificate of incorporation - seal book / register - register of directors and secretaries, directors' interests, interests in voting shares, charges and members - Minutes of general and class meetings, directors' minutes, written resolutions	Originals to be kept permanently	Companies Act	Clerk to the Corporation
Estates			
Agreements with architects builders etc	Six years after contract completion		Group Director of Property Services
Deeds of Title	Permanently		Group Director of Property Services
Leases	Twelve years after lease has terminated		Group Director of Property Services
Licensing agreements	Six years after expiry		Group Director of Property Services
Examinations			
Records documenting & establishment of College's assessment & examination including the control of examination papers & scripts and timetabling of examinations	10 years		Head of Division

Type of document	Period of retention	Requirement / Reason	Responsible
Records documenting the organisation of examination facilities, including special arrangements for learners with special needs	2 years		Head of Division
Arrangements for assessment & examinations	7 years		Head of Division
Pass / Qualification / Award Lists	11 years		Head of Division
Finance and Accounting			
Financial Forecasts	3 years		Financial Controller
Capital and Revenue Budgets	3 years		Financial Controller
European Funding - All original documentation including: - Application Form and approval letters - Claim forms - Audit Reports - Project closure report - Match Funding Certificates - All correspondence - Project records - Individual beneficiary records - Financial records	For a period of 6 years following final payment by the European Commission to DWP	General conditions of the European Commission (Annex 2)	Financial Controller
Accounting for income	6 years	Value Added Tax Act 1994*	Financial Controller
Sales ledgers, credit notes, till rolls, remittance advices	6 years	Value Added Tax Act 1994*	Financial Controller
Sales invoices	6 years		Financial Controller
Statements	1 year		Financial Controller
Accounting for expenditure	6 years	Value Added Tax Act 1994*	Financial Controller

Type of document	Period of retention	Requirement / Reason	Responsible
Payment authorisations, credit notes, purchase ledgers, cheque authorisations, BACS reports, staff expense claims, petty cash authorisations, petty cash receipts, petty cash books, journal vouchers	6 years	Value Added Tax Act 1994*	Financial Controller
Purchase invoices	6 years		Financial Controller
Financial analysis	Permanent		Financial Controller
Annual Financial Statements	Permanent		Financial Controller
Monthly / bi monthly Management Accounts	1 year		Financial Controller
Bank accounts	6 years	Value Added Tax Act 1994*	Financial Controller
Pay-in slips	6 years	Value Added Tax Act 1994*	Financial Controller
Cash receipt data	6 years	Value Added Tax Act 1994*	Financial Controller
Bank Statements	6 years	Value Added Tax Act 1994*	Financial Controller
Cancelled cheques	6 years	Value Added Tax Act 1994*	Financial Controller
Capital Asset Register - major items	Permanent	Limitation Act 1980	Financial Controller
Capital Asset Register - other items	12 years	Limitation Act 1980	Financial Controller
Asset Disposal Authorisation Forms	1 year		Financial Controller
Journal accounting transactions	1 year		Financial Controller
Monitoring of actual against planned expenditure	1 year		Financial Controller
Budget reports	1 year		Financial Controller
Acquisition / disposal of investments	Permanent / 6 years after disposal		Financial Controller

Type of document	Period of retention	Requirement / Reason	Responsible
Investment instructions	6 years	Limitation Act 1980	Financial Controller
Share Certificates	6 years	Limitation Act 1980	Financial Controller
Investment Portfolio Reports	6 Years		Financial Controller
Assessment of tax liabilities	6 years	Value Added Tax Act 1994	Financial Controller
VAT account	6 years	Value Added Tax Act 1994	Financial Controller
Submission of Tax Returns	6 years	Value Added Tax Act 1994	Financial Controller
VAT Return	6 years	Value Added Tax Act 1994	Financial Controller
Corporation Tax Returns	2 years	Income and Corporation Taxes Act 1988	Financial Controller
PAYE / NI / Returns	6 years	Taxes Management Act 1970, Income Tax (employment) Regulations.	Payroll Controller
Register of Gifts & Hospitality received	6 years		Group Director of Finance, Estates and IT.
Funding			
Compare ILR records (data dumps)	Current academic year + 7 years	Required for analysis and comparison. Timeframe reflective of Financial and student documentation retention period	Planning & Performance Manager
External Funding Submission reports	Current academic year + 7 years	Required for analysis and comparison. Timeframe reflective of Financial and student documentation retention period	NCG Data Manager

Type of document	Period of retention	Requirement / Reason	Responsible
ILR Funding Software outputs (MDB format)	Current academic year + 7 years	Required for analysis and comparison. Timeframe reflective of Financial and student documentation retention period	NCG Data Manager
ILR raw data files (XML or Flat File formats)	Current academic year + 7 years	Required for analysis and comparison. Timeframe reflective of Financial and student documentation retention period	NCG Data Manager
Planning tools	Current academic year + 7 years	Timeframe reflective of Financial documentation retention period	Planning & Performance Manager
Records relating to Planning and performance monitoring meetings.	Current academic year + 7 years	Timeframe reflective of Financial documentation retention period	Planning & Performance Manager
Records relating to the Annual Assurance Plan	Current academic year + 7 years	Timeframe reflective of learner documentation retention period	Group Funding Assurance Manager
Records relating to the carrying out and reporting of external audits	Current academic year + 7 years	Timeframe reflective of learner documentation retention period	Group Funding Assurance Manager
Records relating to the carrying out and reporting of internal audits	Current academic year + 7 years	Timeframe reflective of learner documentation retention period	Group Director of Quality and Standards, as appropriate
SMT reports	Current academic year + 7 years	Timeframe reflective of Financial documentation retention period	Planning & Performance Manager

Type of document	Period of retention	Requirement / Reason	Responsible
Health and Safety			
Accident records / reports (see below for accidents with potential to cause ill health under COSHH or Asbestos) (H&S)	6 Years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR)	Director of Group Property Services
Asbestos	Permanent	Control of Asbestos Regulations 2012	Divisional Head of Estates
Emergency Procedures	3 Years	HASAWA 1974	Head of Division
Fire appliances	Fire alarm and detection system test & maintenance records 3 years , Fire evacuation drills	fire Reform order 2005	Divisional Head of Estates
Fire Risk assessment	Permanent	Fire Reform order 2005	Divisional Head of Estates
H&S Audits and Inspections	Permanent - 6 years archive	HASAWA 1974	Director of Group Property Services (Group documents) Divisional Health and Safety Lead (Divisional documents)
Health and Safety Policy	Permanent - 6 years archive	HASAWA 1974	Group Director of Property Services
H&S Procedures, consultation	Permanent - 6 years archive	HASAWA 1974	Director of Group Property Services (Group documents) Divisional Health and Safety Lead (Divisional documents)

Type of document	Period of retention	Requirement / Reason	Responsible
H&S Training Records: all types of training	6 years	HASAWA 1974	Group Human Resources & Organisational Development Director
Health and Safety Meetings, Plans, Safety Committees and Groups (H&S)	6 Years	College Requirement HASAWA 1974	Divisional Health and Safety Lead
Medical records containing details of employees exposed to asbestos, noise medical examination certificates (HR)	40 years	The Control of Asbestos at Work Regulations and Noise at Work Regulations	Group Human Resources & Organisational Development Director
Medical / Health Surveillance records as specified by the Control of Substances Hazardous to Health Regulations (COSHH) (HR)	40 years	The Control of Substances Hazardous to Health Regulations (COSHH)	Group Human Resources & Organisational Development Director
RIDDOR Reports	10 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR)	Group Head of Safety, Health and Environment
Risk Assessments (H&S)	10 Years	College Requirement HASAWA 1974 and associated risk based legislation	Relevant operational managers or Divisional Health and Safety Lead
Statutory testing and inspection work equipment, systems records,	3, 5 10 years depending upon premises plant and equipment	Respective regulations LOLER, PUWER, Electricity at Work Regulations	Divisional Head of Estates
Stop Notices and other Court Orders	Originals to be kept permanently		Group Director of Property Services
Water Hygiene management	10 Years	The Control of Legionella	Divisional Head of Estates

Type of document	Period of retention	Requirement / Reason	Responsible
Quality and Standards			
Inspection Documents	10 Years	Review for archival value	Group Director of Quality and Standards (for Group) and Head of Division (for the Division)
Records documenting the development of the institution's quality management procedures.	Superseded + 3 years	Review for archival value.	Group Director of Quality & Standards
Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years	Review for archival value.	Divisional Quality Lead
Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	Review for archival value.	Head of Division
Group Complaints Policy	5 years	Review for archival value.	Group Director of Quality & Standards
Divisional Complaints Procedure and records of complaints	5 years	Review for archival value.	Divisional leads - Quality Managers
Records documenting the institution's internal audit strategy.	Superseded + 5 years	Review for archival value.	Group Director of Quality & Standards
Records documenting the development and establishment of the institution's internal audit policies.	Superseded + 5 years	Review for archival value.	Group Director of Quality & Standards
Records documenting the development of the institution's internal audit procedures.	Superseded + 3 years	Review for archival value.	Group Director of Quality & Standards

Type of document	Period of retention	Requirement / Reason	Responsible
Records documenting the conduct and results of internal audits, and action taken to address issues raised.	Completion of audit + 5 years	Review for archival value.	Group Director of Quality & Standards
Records documenting the development, overall delivery and assessment of induction programmes for new teaching employees.	Current year + 5 years		Head of Division
Records documenting the administration of induction programmes for new teaching staff.	Completion of programme + 1 year OR Termination of programme + 1 year		Head of Division
Records containing summary information on workforce training and development needs for new teachers.	Current year + 5 years		Head of Division
Records documenting individual employees' training and development needs in relation to the observation of teaching, learning and assessment	Current year + 5 years		Head of Division
Records documenting the development of training and development programmes to meet defined needs in relation to Observation of Learning and Assessment and Data and Information.	Completion of programme + 5 years		Head of Division
Records containing individual feedback on training and development programmes in relation to Observation of Learning and Assessment.	Completion of analysis of feedback		Head of Division

Type of document	Period of retention	Requirement / Reason	Responsible
Records documenting (anonymised) workforce feedback on training and development programmes in relation to Observation of Learning and Assessment	Current year + 5 years		Head of Division
Records documenting management analyses of the impact of training and development programmes in relation to Observation of Learning and Assessment.	Current year + 5 years		Head of Division
Records detailing information available about current courses, programmes, Departments, Schools, Facilities for Students	Superseded +2 years	Master copy of material to retained for Archive	Head of Division
Records documenting the development and establishment of the institution's teaching strategy.	Superseded + 10 years	Review for archival value.	Group Head of Teaching and Learning Excellence
Records documenting the development and establishment of the institution's teaching policies.	Superseded + 10 years	Review for archival value.	Group Head of Teaching and Learning Excellence
Records documenting the development and establishment of the institution's teaching procedures.	Superseded + 5 years	Review for archival value.	Divisional Teaching & Learning Manager
Records documenting the development of the institution's internal quality assurance processes.	While current	Review for archival value.	Group Director of Quality & Standards
Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.	Current academic year + 5 years	Review for archival value.	Group Head of Teaching and Learning Excellence

Type of document	Period of retention	Requirement / Reason	Responsible
Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	Next Review completed + 5 years	Review for archival value.	Group Head of Teaching and Learning Excellence
Records documenting the conduct and results of formal reviews of the institution's programmes and courses and responses to the results.	Current academic year + 10 years	Review for archival value.	Divisional leads - Quality Managers
Records documenting the monitoring of programme developments in other FE institutions in relation to Quality and Observation of Learning and Assessment	Current academic year + 1 year	Review for archival value.	Group Head of Teaching and Learning Excellence
Records documenting the process of obtaining approval and / or accreditation for taught programmes from professional, statutory or other accreditation bodies.	Life of programme	Review for archival value.	Divisional leads - Quality Managers
Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years	Review for archival value.	Divisional MIS Leads
Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	Review for archival value.	Divisional leads - Quality Managers
Records documenting the development of the institution's courses.	Life of course + 10 years	Review for archival value.	Divisional leads - Quality Managers
Working papers documenting the planning and conduct of teaching events.	Current academic year + 1 year		Group Head of Teaching and Learning Excellence
Records containing data on, and analyses of, student numbers and other taught course statistics.	Current academic year + 5 years		Divisional MIS Lead

Type of document	Period of retention	Requirement / Reason	Responsible
Records documenting routine solicited feedback on taught courses from students: individual feedback.	Completion of analysis of feedback		Divisional MIS Lead
Records containing (anonymised) summaries and analyses of routine solicited feedback on taught courses from staff and examiners	Current academic year + 5 years OR Life of course + 1 year	May be required as part of OFSTED review	Divisional leads - Quality Managers
Records containing reports of routine internal reviews of taught courses in relation to Observation of Learning and Assessment and performance	Current academic year + 5 years	Review for archival value.	Group Head of Teaching & Learning Excellence
Records documenting the conduct and results of formal reviews of taught courses in relation to Observation of Learning and Assessment and Quality, and the responses to the results.	Current academic year + 5 years	Review for archival value.	Group Head of Teaching & Learning Excellence
Staffing			
Contribution records	Permanently		Group Human Resources & Organisational Development Director
Expense accounts- Purchase invoices	Scanned - disposed of after 6 months		Group Human Resources & Organisational Development Director
Health insurance records	12 years after final cessation of benefit		Group Human Resources & Organisational Development Director

Type of document	Period of retention	Requirement / Reason	Responsible
Holiday records	2 years after audit	Due to time limits in the various claims	Group Human Resources & Organisational Development Director
Payroll records	6 years		Group Human Resources & Organisational Development Director
Pension Records	30 years		Group Human Resources & Organisational Development Director
Recruitment records	6 months	Due to time limits in the various discrimination Acts, minimum retention periods for records relating to advertising of vacancies and job applications	Group Human Resources & Organisational Development Director
Employee files and training records (including disciplinary records and working time records)	6 years after employment ceases	Due to time limits in the various claims	Group Human Resources & Organisational Development Director
Redundancy details, calculations of payments, refunds, notification to the Secretary of State	6 years from the date of redundancy	Due to time limits in the various claims	Group Human Resources & Organisational Development Director
Senior executives' records (that is, those on a senior management team or their equivalents)	Permanently for historical purposes	Local management	Group Human Resources & Organisational Development Director

Type of document	Period of retention	Requirement / Reason	Responsible
Statutory Sick Pay records, calculations, certificates, self-certificates	6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55) abolished the former obligation on employers to keep these records. Although there is no longer a specific statutory retention period, employers still have to keep sickness records to best suit their business needs. However if there were to be a contractual claim for breach of an employment contract it may be safer to keep records for 6 years after the employment ceases.	Group Human Resources & Organisational Development Director
Trade Union agreements	10 years after ceasing to be effective	Due to potential future reference that may be required	Group Human Resources & Organisational Development Director
Vehicles			
Rental and hire purchase agreements - Vehicles only	6 years after expiry		Group Human Resources & Organisational Development Director

Type of document	Period of retention	Requirement / Reason	Responsible
Vehicle registration records, MOT, Certificates and vehicle maintenance records	2 years after disposal of vehicle		Group Human Resources & Organisational Development Director