

NORTHERN
Regional College



FE College Sector (NI)

Retention and Disposal Schedule



FE College Sector (NI) Disposal and Retention Schedule

A copy of the approved and signed version of this document is available from the Data Protection Officer'

Prepared as required by the Public Records Act (Northern Ireland), 1923 and in accordance with the Rules made pursuant thereto, approved by Order in Council dated 25th January 1925.

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INTRODUCTION

Further Education (FE) Colleges are the main providers of vocational and technical education and training in Northern Ireland (NI). The nature of College provision is diverse and broad based ranging from A Levels and GCSEs to BTECs, HNCs, HNDs, Apprenticeships, Foundation Degrees, Degrees and other specific training programmes. The FE Sector plays a central role in raising levels of literacy and numeracy, and in up-skilling and re-skilling the population through a broad range of courses leading to qualifications, particularly at Levels 2 and 3.

There are 6 FE Colleges within Northern Ireland; Belfast Metropolitan College (BMC), Northern Regional College (NRC), North West Regional College (NWRC), South Eastern Regional College (SERC), South West College (SWC) and Southern Regional College (SRC).

The Colleges have over 150,000 enrolments across their 40 campuses and 400 community outreach venues per year. The Colleges support 4,100 expert lecturers and professional staff. Colleges make an important contribution to social cohesion in the community, through the integrated approach taken to the delivery of the Entitlement Framework provision. Evidencing the success of creative and collaborative partnerships across the schools through Area Learning

Communities. Increasingly the Colleges are working directly with organisations in the private, public and community sectors to improve their performance and currently work with over 7,500 businesses across NI.

PURPOSE OF THE RETENTION AND DISPOSAL SCHEDULE

As Public Authorities and data controllers, the FE Sector is legally obliged to comply with both the Data Protection Act (2018) and the Freedom of Information Act (2000). The main principle behind both Acts is the public 'right to know'. This may be either in relation to their own personal information or that of the organisation therefore it is critical that the FE Sector manages its records in line with either statutory guidance or business need. The above mentioned Acts are enforced by the Information Commissioners Office and promote transparency and accountability of the authority. The schedule complies with the requirements in the Public Records Act (NI) 1923 and the Disposal of Documents Order (S.R. & O. 1925

No 167).

The FE Sector has collaborated on the development of a single Retention and Disposal Schedule for all the Colleges. The creation of the document has been supervised by the Public Record Office for Northern Ireland (PRONI). The purpose of this Retention and Disposal Schedule is to manage the life of records from their creation to their completion. The Retention and Disposal Schedule will identify records of historical value and determine whether they are to be preserved as archives, either by the Colleges or PRONI and records which are to be destroyed. It provides guidance on retention of the records which are generated by the Colleges in the course of carrying out their functions and managing the Colleges as corporate bodies.

The retention of unnecessary paper and electronic records consumes staff time and utilises space and equipment. Records management is ultimately a matter of risk management, and the Colleges must determine their own position on managing the risks associated with the retention and disposal of records. Decisions to preserve or destroy records may be informed by professional legal advice within the relevant departments, and should be authorised by appropriate officers who can commit the College to the potential consequences of the decisions.

WHAT IS COVERED BY THIS RETENTION AND DISPOSAL SCHEDULE

This schedule identifies the retention and disposal arrangements for all records created by Northern Ireland FE Colleges. A record is recorded information, in any form, created or received by the Colleges or individual members of staff to support and show evidence of College activities. For the purpose of this Retention and Disposal Schedule, records are defined as:

'Information captured in a reproducible format, including paper, e-mail and other documents in computer systems.'

Document Management

The 6 FE Colleges declare that they will take measures to ensure that the records which they create will be physically well maintained and cared

for while they are in their custody, i.e. until either destroyed or permanently preserved by the College or PRONI.

Electronic Documents/Material

Each College is responsible for ensuring systems and processes are in place to manager all formats of records held by the organisation.

The principles governing the retention of electronic documents are the same as those for paper records. In support of these principles, it is important that electronic folders should be organised in a similar way as paper records. In addition, ephemeral electronic documents of no enduring value, such as those of purely personal relevance, should be deleted from the system at the earliest opportunity.

In almost all cases, the disposal periods given in the schedule relate to master copies of records which form the official version retained for regulatory or business reasons. Where it is clear that a master copy is being retained elsewhere within the College, there is no requirement to keep such documents. In all cases, copies of records should not be retained any longer than the period stated for the master copy in the retention and disposal schedule.

Email

Emails potentially form part of the Colleges corporate record and, therefore, are subject to its records management policies and procedures. All staff, therefore, should review incoming and outgoing emails to decide whether the information they contain should be retained as part of the corporate record.

Where a member of staff wishes to keep an email message for administrative or reference purposes, it should be moved into a relevant area. These messages should be deleted when they have ceased to be of use for reference purposes. Ephemeral email messages, which are not required for either administrative or reference purposes, should be deleted immediately.

Incoming and outgoing emails are potentially covered by the Data Protection Act 2018 if one or other of the following criteria is met:

- The sender or recipient is identifiable, either through their email address or the text of the email; or
- The text of the email contains personal data, i.e. facts, opinions or intentions about identifiable living individuals.

The Data Protection Act 2018 specifically requires that personal data should not be kept for longer than necessary. Any emails containing personal information should therefore be deleted as soon as they are no longer of administrative value.

CATEGORIES OF RETENTION/DISPOSAL

Disposal does not just relate to destroy, but rather the 'final action' that should be applied to a record. There are five broad categories of retention/disposal.

Destroy

These are records which the College will retain for a defined period and which will be destroyed at the end of that period. The College will adhere to the Lord Chancellor's Code Of Practice On The Management Of Records Under Section 46 of the Freedom of Information Act 2000.

Permanent Retention by the College

There are likely to be few records in this category but these are records which the College needs to retain permanently for business administrative needs.

Public Record Office Permanent Preservation

These are files/records which PRONI has decided are of long-term historical research value. These records must be transferred to PRONI under the terms of the Public Records Act (NI) 1923, once they become a historical file (i.e. at 20 years old).

PRONI Appraisal

These are records requiring appraisal. They are reviewed by **FE Colleges** staff at specified periods to determine if there is a continuing business need for retention. Once there is no longer a continuing business need by the business area, PRONI staff will review the file at first review to determine if they are required for historical or research purposes.

College Appraisal

These records will be appraised by the College at the end of the term to assess any continued requirement for the record to be kept. Once the record has no further business/archived purpose, it will be destroyed.

OPERATION OF THIS RETENTION AND DISPOSAL SCHEDULE

Closing a file

In order for this retention and disposal schedule to operate effectively, it is important to maintain a streamlined filing system through regular and systematic closure of files. Closing a file does not mean that it has to be immediately removed from the filing system. What it does mean is that no additional papers should be added to the file and that it should be used only for reference.

If files are not closed on a formalised and regular basis the following problems are likely to occur:

- Files inevitably become untidy with resulting damage to documents;
- Older files cannot be moved to inactive storage;
- File fasteners and covers come under excessive strain from the weight of paper;
- Access to items on a file becomes difficult;
- Inactive information is held on current files.

Regular file closure has the following benefits:

- Files are kept to a manageable size;
- Files remain neat and tidy;
- Access to material on files is faster;
- The progressive disposal of records is made easier.

A file should be closed and a new one created if necessary when one of the following conditions are met:

- The file exceeds a thickness of 2.5 cm;

- No papers have been added for two years;
- The contents of the file span more than five years.

In addition, some files should be closed at:

- The end of the financial year;
- The end of a project;
- The end of a mandate.
- When a file is due to be closed the appropriate member of staff should consult the retention and disposal schedule and indicate on the file the date on which it can be destroyed, transferred to the Public Record Office of Northern Ireland, or whether it should be subject to the normal review procedures.

When archiving records, the following should be observed as a minimum:

- Each container relates to 1 disposal date. Records of varying disposal dates should not be archived together. This would result in unnecessary spent at disposal, separating records to be destroyed from those to be retained.
- Containers used for archiving hardcopy records are for the use of College records only. At no time should other materials be stored in archive.

Retention periods

Retention periods are based upon the specific business needs of the Colleges in addition to the regulatory environment within which the College operates. The retention period for each type of file is calculated from the point the file is closed.

Destruction

Destruction of files will take place on a planned basis in line with the retention and disposal schedule recommendations. Destruction will be conducted by staff responsible for the maintenance of registered file systems, in consultation with the relevant business area. A record of

destruction will be kept for audit purposes and all files will be destroyed in line with the arrangements for the destruction of confidential waste.

Commitment to Preserving Files/Records

The College declares that it will take measures to ensure that the records it creates will be physically well maintained and cared for while they are in its custody. These measures will include:

- Removing paper clips and pins from papers before filing with particular; attention being given to those records, which, according to the Retention and Disposal Schedule, are to be preserved permanently;
- Removing any CDs and other storage devices from paper files and converting its contents to hard copy;
- Using files with file covers as opposed to buff folders, which do not offer the same protection to the papers inside;
- Using continuation files if files get too bulky (i.e. more than 2.5 cm thick);
- Punching papers to be filed 25mm in and 25mm down from the edge to minimise the danger of detachment and resulting loss of information;
- Storing bulky or outsize items in a pocket or envelope inside the file cover on the left hand side.

CONTENT OF THE SCHEDULE

The Schedule is arranged in the following format:

Class/Activity:

- This describes the main function area for the record.
- Organisational Structures differ within each College. Relevant records may sit within different Functionality areas and staff should cross reference where appropriate.

Series:

- This provides examples of common records within this Activity category.

Retention Period:

- This provides the recommended retention period for the associated records.
- Retention periods may be prescribed within legislation and statutory instructions.
- Where there is no required retention period, a period is recommended based on business need.

Relevant Legislation

- This sections provides details of legal/statutory background to the decision surrounding the 'Retention Period'

Final Action:

- This describes the final action in the lifecycle of the associated record. See 'Categories of Retention and Disposal'

ROLES AND RESPONSIBILITIES

Chief Executive

The Chief Executive of each College is responsible for ensuring that the College complies with legislative requirements relating to records management, the Data Protection Act (2018) and the Freedom of Information Act (2000). His/her principal role is to ensure that the College policy is adhered to.

Directors

Each Director is responsible for the management of records within his/her Department and for the application of the policy within his/her operational units.

Heads of Departments and Senior Managers

All managers in the College are accountable to their supervising managers for ensuring that all information and records systems within their operational responsibilities comply with the policy statement and guidelines. They are also responsible for ensuring that guidelines and records management procedures are maintained for their operational units and communicated to employees. The College Information Officer can provide guidance and assistance on these issues.

Employees

All employees are accountable to their line managers for compliance with this schedule.

FE Sector Information Working Group

The role of this group, reporting to the Directors' Working Group, is to review generally the Sector Schedule and its obligations under the legislation.

FUNCTIONALITY:BUSINESS ENGAGEMENT

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|---|--|----------------------|--------------|
| Delivery plans/relevant documentation | | End of project/relationship + 1 year | | Destroy |
| Business proposals and relevant documentation | | End of project/relationship + 1 year | | Destroy |
| Business client information | <ul style="list-style-type: none"> • Correspondence • Contractual Information • Contact details • Company size/employees • Training needs analyses • Client audit documentation | End of project/relationship + 2 years | | Destroy |
| InnovateUS | | End of project/relationship + 10 years | | Destroy |
| Skills Focus | | End of project/relationship + 10 years | | Destroy |

FUNCTIONALITY:CURRICULUM

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|---|--|--|--------------|
| Candidate coursework | <ul style="list-style-type: none"> • Portfolios • Assignments • Examinations • Dissertations • Assessments completed as part of their evidence towards accreditation | Creation date + duration of the course | <p>Until External Verification has occurred, certification taken place and appeals period has expired (Unless superseded by Awarding Body regulations)</p> <p>Cover sheets to be securely kept where required.</p> <p>Updates should be kept with the original documentation</p> | Destroy |
| Identification of accreditation requirements for new courses, and obtaining accreditation | <ul style="list-style-type: none"> • Course accreditation submissions | Creation date + duration of the course | | Destroy |
| Details relating to grades / marks awarded to candidates during completion of a specific course | | Course duration + 1 year | | Destroy |
| Internal verification / moderation records relating to candidates undertaking a specific course / qualification | | Course duration + 1 year | Unless superseded by Awarding Body regulations | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|--|--|----------------------|--------------|
| Feedback reports from students, staff, employers and other stakeholders | | Course duration + 1 year | | Destroy |
| Monitoring of submission of assignments by students | <ul style="list-style-type: none"> Course assignment registers | Current Academic Year + 1 year | | Destroy |
| Monitoring and assessment of courses offered by other colleges | | Current Academic Year + 2 years | | Destroy |
| Curriculum Development and Performance Monitoring reports | | Current Academic Year + 5 years | | Destroy |
| Monitoring and analysis of enquiries about courses and qualifications | <ul style="list-style-type: none"> Collated data – reports / statistics | Current Academic Year + 5 years | | Destroy |
| Generic course information | <ul style="list-style-type: none"> Course specific information relating to coursework and assessment design | Current Academic Year + duration of the course | | Destroy |
| Individual Learner Record | | End of engagement with course + 2 years | | Destroy |
| Course handbook | | Record subject to on-going update and review | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|---|--|----------------------|--------------|
| Preparation and delivery of courses | <ul style="list-style-type: none"> ● Course notes ● Lecture notes ● Seminar notes ● Handouts ● Presentation Materials ● Reading Lists | Record subject to on-going update and review | | Destroy |
| Current course specifications and standard | | Record subject to on-going update and review | | Destroy |
| Design of new curricula | <ul style="list-style-type: none"> ● Reports & other key documents | Record subject to on-going update and review | | Destroy |
| Identification and analysis of market needs for new courses | <ul style="list-style-type: none"> ● Generic course information ● Course specific information relating to coursework and assessment design | Record subject to on-going update and review | | Destroy |

FUNCTIONALITY:ESTATES

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---------------------------------|---|-------------------------------|----------------------|--------------------------------|
| Buildings and Engineering Works | <ul style="list-style-type: none"> Minor works including interior decoration, relocation Planning Applications | Completion of works + 5 years | | Destroy |
| Inspections | <ul style="list-style-type: none"> Inspections and reports | Completion of works + 5 years | | Destroy |
| Environmental Management | <ul style="list-style-type: none"> Environmental management function records including reviews, audits, risk assessments, investigations Energy Consumption records | Creation date + 5 years | | Destroy |
| Fire records | <ul style="list-style-type: none"> Fire-fighting equipment and assessment Fire evacuation drill records | Creation date + 5 years | | Destroy |
| Health and Safety | <ul style="list-style-type: none"> Contract Health and Safety Files | Permanent | | Permanent retention by College |
| Property | <ul style="list-style-type: none"> Contract Documents (under seal) Signed Contract Documents (under hand) Tender Contracts, Building Works Property Acquisitions Dossiers | Creation date + 12 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|--|--|-------------------------------|--------------|
| Health and Safety | <ul style="list-style-type: none"> • Accident / incident report forms including associated administration • e.g. RIDDOR • Health and Safety Records including audits, reviews, communication • Accidents / dangerous occurrences, outbreaks of disease • Health and Safety Representative Records | Creation date + 9 years | Health and Safety Regulations | Destroy |
| Negotiations of properties not acquired | | End of negotiations | | Destroy |
| Estates Management | <ul style="list-style-type: none"> • CCTV Footage | 30 days or until completion of claim/investigation | | Destroy |
| Car parking | | Current Academic Year | | Destroy |
| External bookings | <ul style="list-style-type: none"> • Room/facility bookings for external parties | Current Academic Year | | Destroy |
| Property access controls | | Current Academic Year + 2 years | | Destroy |
| Property disposal dossiers | | Current Academic Year + 2 years | | Destroy |
| Stock | <ul style="list-style-type: none"> • Quantities and valuation | Current Academic Year + 2 years | | Destroy |
| Waste disposal records | <ul style="list-style-type: none"> • Controlled waste • Special waste | Current Academic Year + 3 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|---|--|----------------------|--------------------------------|
| Equipment and Consumable disposal including transfer of ownership | | Disposal + 1 year | | Destroy |
| Fire Inspection Reports | | Duration of insurance contract + 3 years | | Destroy |
| Equipment & Consumable Sanitation | | Disposal + 6 | | Destroy |
| Operation and Maintenance Manuals | | Lifespan of equipment | | Destroy |
| Servicing of equipment, machinery and property | | Lifespan of equipment + 5 years | | Destroy |
| Rental agreements | | End of contract + 5 years | | Destroy |
| Property | <ul style="list-style-type: none"> • Original Leases/Deeds | End of lease + 5 years | | Destroy |
| Equipment | <ul style="list-style-type: none"> • Maintenance Contracts and Schedules | Lifetime of contract | | Destroy |
| Fire Risk Assessments | | Lifespan of building | | Permanent retention by College |
| Project Files | <ul style="list-style-type: none"> • Capital building project files | Until building demolished | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---------------------------------|--|------------------|----------------------|--------------------------------|
| Buildings and Engineering Works | <ul style="list-style-type: none"> • Building Plans / Drawings • Buildings and Engineering Works, inclusive of major projects abandoned or deferred • Buildings Portfolio / CDM Files | Permanent | | Permanent retention by College |
| Property (Title Deeds) | <ul style="list-style-type: none"> • Copy Leases and Deeds • Schedules and Report on Title • Covenants • Licenses and other rights over property • Original Leases and Deeds • Property Acquisitions Dossiers | Permanent | | Permanent retention by College |
| Environmental Management | <ul style="list-style-type: none"> • Asbestos Register • Exposure to Group 3 or Group 4 biological agents and other • hazardous substances records including health documentation • Restoration of contaminated land • Testing, maintenance and statutory inspections | Permanent | | Permanent retention by College |

FUNCTIONALITY: EXAMINATIONS

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-----------------------------|---|---------------------------|--|--------------|
| JCQ Regulations | <ul style="list-style-type: none"> • Specific Awarding Body Regulations | Lifetime of Regulations | <ul style="list-style-type: none"> • JCQ Regulations • Awarding Body Regulations • Ofqual | Destroy |
| Student Records | <ul style="list-style-type: none"> • Access arrangement applications • Statements (Sensitive/Confidential) – lifelong learning • Special consideration applications • Cash ins • Amendments • EDI files • Certificates not collected by candidates | Current Academic Year + 1 | University Certificates retained as per instruction from University. | Destroy |
| Examination Session Records | <ul style="list-style-type: none"> • Examination timetables • Seating plans • Records of attendance • Invigilator reports • SLDD Exam timetables • Invigilators timesheets | Current Academic Year + 1 | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|---|---------------------------------|-----------------------------|---------------------|
| Examination Session Records | <ul style="list-style-type: none"> • Enquiries about results & outcomes • Access to scripts requests • Appeals administration & outcomes • Examinations materials | End of Appeals Process | | Destroy |
| Records of signature for collection of certificates | | Current Academic Year + 2 years | | Destroy |
| Entries/Registrations/Withdrawals | | End of Relationship + 1 year | | Destroy |
| Reports (Quality) | <ul style="list-style-type: none"> • Centre Inspection Reports • Moderation Visit Reports | Current Academic Year + 3 Years | JCQ Regulations | Destroy |
| Results | <ul style="list-style-type: none"> • Centre Results • University Broadsheets / Pass Lists • Online certificates postage records • Coursework mark submissions | Current Academic Year + 6 Years | | Destroy |
| Malpractice (Quality) | <ul style="list-style-type: none"> • Administration to include invigilator reports, interview records with all parties • Evidence • Awarding body correspondence • Outcome report | Settlement + 7 Years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|----------------------------|---|--|----------------------|--------------|
| Centre Approvals (Quality) | <ul style="list-style-type: none"> • Centre approval document • Course approval letters (online) • Managing changes in the external accreditation requirements of existing courses | Record subject to on-going update and review | | Destroy |

FUNCTIONALITY:FINANCE

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|---|--|---|--------------|
| Financial Accounting / Statutory Accounting * | <ul style="list-style-type: none"> Records documenting the issue of sales invoices and the processing of incoming payments (and corresponding receivables ledger). | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 Value Added Tax Act 1994 VAT Notice 700 | Destroy |
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Records documenting the receipt and payment of purchase invoices (and corresponding payables ledger). | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 Value Added Tax Act 1994 VAT Notice 700 | Destroy |
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Records documenting the payment and/or reimbursement of employee expenses. | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 | Destroy |
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Records documenting the handling of petty cash. | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 Value Added Tax Act 1994 VAT Notice 700 | Destroy |
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Records documenting the receipt of tuition fees and related charges. | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 Value Added Tax Act 1994 VAT Notice 700 | Destroy |
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Records documenting the receipt of capital and recurrent grants. | The longer of: Current Financial Year + 6 Years or Retention period stated by funder. | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Records documenting financial returns made to the Department for the Economy. | Current Financial Year + 6 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--|-------------------------------------|--|---------------------|
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Records documenting the preparation of annual financial statements. | Current Financial Year + 6 Years | The Limitation (Northern Ireland) Order 1989 VAT Notice 700 | Destroy |
| Financial Accounting / Statutory Accounting | <ul style="list-style-type: none"> Annual Report & Financial Statements | Current Financial Year + 6 Years | The Limitation (Northern Ireland) Order 1989 VAT Notice 700 | Destroy |
| Management Accounting / Internal Accounting | <ul style="list-style-type: none"> Records documenting the administration of income and expenditure (management resource accounts). | Current Financial Year + 6 Years | Non-Statutory Record Internal Recommendation | Destroy |
| Management Accounting / Internal Accounting | <ul style="list-style-type: none"> Records documenting the preparation of annual operating budgets. | Current Financial Year + 6 Years | Non-Statutory Record Internal Recommendation | Destroy |
| Management Accounting / Internal Accounting | <ul style="list-style-type: none"> Records documenting the monitoring of income and expenditure against annual operating budgets (forecasts). | Current Financial Year + 6 Years | Non-Statutory Record Internal Recommendation | Destroy |
| Payroll Administration (Staff, Workers, Pensioners) | <ul style="list-style-type: none"> Records documenting employees' authorisation for non-statutory payroll deductions | Termination of employment + 6 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Payroll Administration (Staff, Workers, Pensioners) | <ul style="list-style-type: none"> Records documenting calculating and payment of employees' salaries and other payments. | Termination of employment + 6 Years | The National Minimum Wage Regulations 1999 The Income Tax (Pay As You Earn) Regulations 2003 Taxes Management Act 1970 | Destroy |
| Payroll Administration (Staff, Workers, Pensioners) | <ul style="list-style-type: none"> Employer's PAYE records that are not required to be sent to HMRC | Termination of employment + 6 Years | The Income Tax (Pay As You Earn) Regulations 2003 | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|---|--------------------------------------|---|---------------------|
| Payroll Administration (Staff, Workers, Pensioners) | <ul style="list-style-type: none"> Records documenting the administration of payments made under Occupational and Statutory Sick Pay Schemes | Termination of employment + 6 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Payroll Administration (Staff, Workers, Pensioners) | <ul style="list-style-type: none"> Records documenting the administration of payments made under the Statutory Maternity Pay Scheme | Termination of employment + 6 Years | The Statutory Maternity Pay (General) Regulations 1986 The Limitation (Northern Ireland) Order 1989 | Destroy |
| Pension Contributions Administration | <ul style="list-style-type: none"> Total pensionable pay figures and any fluctuating emoluments paid to members | Termination of employment + 10 years | LGPS (Benefits, Membership and Contributions) Regulations (NI) 2009 | Destroy |
| Pension Contributions Administration | <ul style="list-style-type: none"> Jobholder's opt-out notice | Termination of employment + 4 years | Employers' Duties (Registration and Compliance) Regulations (NI) 2010 | Destroy |
| Pension Contributions Administration | <ul style="list-style-type: none"> Financial records including; <ul style="list-style-type: none"> - Date member joins scheme - Payment of pensions - Any movement or transfer of assets from trustees to any person - Payments made to members who leave scheme - Amounts received in respect of contribution payable in respect of active member of scheme - Payments to professional advisors (including name and address of recipient and reason for payment) - Payments to the employer - Other payments in/out of | Termination of employment + 6 years | Employers' Duties (Registration and Compliance) Regulations (NI) 2010 The Limitation (Northern Ireland) Order 1989 art.4 | Destroy |

| | | | | |
|--|---|--|--|--|
| | <p>scheme (including name and address of payer/recipient)</p> <ul style="list-style-type: none"> ● Any documentation relating to the following: <ul style="list-style-type: none"> - Monies received or owing to the scheme - Investments or assets held by the scheme - Payments made by the scheme - Contracts to purchase a lifetime annuity in respect of a member of the scheme; and - The administration of the scheme. ● Details of jobholders and workers who become members, including: <ul style="list-style-type: none"> - Name - NI number - Date of birth - Gross earnings in each relevant pay period by employer (and amount paid in different) - Date contributions paid to scheme - Date of automatic enrolment - Opt-in notice - Joining notice - Date of active membership - Contributions to which the jobholder is entitled under the scheme rules ● Details of defined contribution, defined benefit or hybrid scheme ● Details regarding any personal pension schemes | | | |
|--|---|--|--|--|

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|--|--|---|-------------------|
| Pension Contributions Administration | <ul style="list-style-type: none"> • Certificates of Protection issued to members. | Termination of employment + 13 years (NOTE - the latest a certificate of protection could have been issued was 31 March 2009, the latest the certificates will expire will be on 1 April 2022.) | LGPS Regulations (NI) 2002 | Destroy |
| Tax Management | <ul style="list-style-type: none"> • Records documenting the opening, closure and routine administration of bank accounts. | Closure of Account + 6 Years | The Limitation (Northern Ireland) Order 1989 VAT Notice 700 | Destroy |
| Tax Management | <ul style="list-style-type: none"> • Records documenting standing orders, direct debits, etc. | Current Financial Year + 6 Years | The Limitation (Northern Ireland) Order 1989 VAT Notice 700 | Destroy |
| Tax Management | <ul style="list-style-type: none"> • Records documenting routine bank account deposits, withdrawals, transfers. • (To include lodgement slips, transfer instructions, bank statements) | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 Value Added Tax Act 1994 VAT Notice 700 | Destroy |
| Asset Management | <ul style="list-style-type: none"> • Records documenting low level/value / insignificant expenditure appraisal (i.e. business cases / economic appraisals). (e.g. chairs, routine everyday purchases) | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 Value Added Tax Act 1994 VAT Notice 700 | College Appraisal |
| Asset Management | <ul style="list-style-type: none"> • Records documenting decisions (and authorisations) to purchase / dispose of capital assets. | Current Financial Year + 6 Years | Taxes Management Act 1970 The Limitation (Northern Ireland) Order 1989 Value Added Tax Act 1994 VAT Notice 700 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> • Original copies of all signed contracts <u>not</u> under seal. | Expiry of Contract + 6 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-------------------------|---|--|--|--------------------------------|
| Procurement / Contracts | <ul style="list-style-type: none"> Original copies of all signed contracts executed under seal. | Expiry of Contract + 12 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> Records documenting pre-procurement advice, specification and contract development document, PQQ and ITT. | Contracts <u>not</u> under seal: Expiry of Contact + 6 Years Contracts under seal: Expiry of Contact + 12 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> PQQ and ITT submissions and quotation from successful applicants/tenderers. | Contracts <u>not</u> under seal: Expiry of Contact + 6 Years Contracts under seal: Expiry of Contact + 12 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> PQQ and ITT submissions and quotations from <u>un</u>successful applicants/tenderers. | Commencement of Contract + 12 months | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> Records relating to amendments to contracts (including extensions and variations). | Contracts <u>not</u> under seal: Expiry of Contact + 6 Years Contracts under seal: Expiry of Contact + 12 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> Records documenting the monitoring of supplier performance and action taken. | Contracts <u>not</u> under seal: Expiry of Contact + 6 Years Contracts under seal: Expiry of Contact + 12 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> Records relating to purchase of goods and services (i.e. purchase orders) | Current Financial Year + 6 Years | The Limitation (Northern Ireland) Order 1989 | Destroy |
| Procurement / Contracts | <ul style="list-style-type: none"> Records documenting significant expenditure appraisal (i.e. business cases / economic appraisals). (e.g. land or buildings acquisition) | Current Financial Year + 6 Years | Non-Statutory Record Internal Recommendation | Permanent retention by College |

FUNCTIONALITY: GOVERNANCE / CORPORATE

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--|--|---------------------------------------|-------------------|
| Sector Plan | | Creation Date + 10 Years | | Transfer to PRONI |
| Corporate Plan | | Creation Date + 10 Years | | Transfer to PRONI |
| College Development Plan | | Creation Date + 10 Years | | Transfer to PRONI |
| Performance Reporting (Report cards and ERC) | | Creation Date + 10 Years | | Destroy |
| Governing Body | <ul style="list-style-type: none"> • Instrument of Government • Articles of Government | Record Subject to on-going update and review | The Further Education (NI) Order 1997 | Transfer to PRONI |
| Governing Body | <ul style="list-style-type: none"> • Annual signed register of interest forms • Governor Appraisal forms • Signed Code of Conduct • Signed ICT acceptable use • Signed HMRC and Bank details • Signed induction confirmation | End of Governor's Terms + 6 years | | Destroy |
| Governing Body / Sub Committee | <ul style="list-style-type: none"> • Minutes • Papers | Permanent | | Transfer to PRONI |
| Directorate Minutes | | Record Subject to on-going update and review | | Transfer to PRONI |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|---------------|--|-----------------------------|---------------------|
| Directorate Papers | | Record Subject to on-going update and review | | Transfer to PRONI |
| Directorate Correspondance | | Current Academic Year + 5 Years | | Destroy |
| College Departmental Minutes | | Current Academic Year + 2 Years | | Destroy |
| Planning and implementation of organisational and cultural change, and analysis of its impact | | Current Academic Year + 5 years | | PRONI Appraisal |
| College Organisation plans / structures/charts | | Record Subject to on-going update and review | | Transfer to PRONI |
| Identification, quantification and assessment of risks | | Current Academic Year + 5 years | | Destroy |
| Risk Assessment Reports and associated documentation | | Current Academic Year + 5 years | | Destroy |
| Business Recovery Plans | | Record Subject to on-going update and review | | Destroy |
| Development and testing of disaster prevention, response and recovery plans | | Record Subject to on-going update and review | | Destroy |
| Contingency plans | | Record Subject to on-going update and review | | Destroy |
| Disaster plans | | Record Subject to on-going update and review | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--|--|---|--------------|
| Emergency planning exercise documentation | | Record Subject to on-going update and review | | Destroy |
| Whistleblowing | <ul style="list-style-type: none"> Whistleblowing register Investigation/appeal documentation | End of Investigation/Appeal + 5 Years | | Destroy |
| Service Level Agreements with customers | | Date of Review + 6 Years | | Destroy |
| Service Level Agreements with suppliers | | Record Subject to on-going update and review | | Destroy |
| Departmental plans | | Record Subject to on-going update and review | | Destroy |
| Hardcopy diaries/notebooks | | Record Subject to on-going update and review | | Destroy |
| Asset Register and associated documentation (Data relating to 3 year rolling period) | | Record Subject to on-going update and review | | Destroy |
| Equality | <ul style="list-style-type: none"> Equality schemes Disability Action Plan (DAP) | Record Subject to on-going update and review | Section 75 (NI) Act 1998 Disability discrimination Action Section 49(a)(b) 1995 | Destroy |
| Equality | <ul style="list-style-type: none"> S75 Equality Monitoring Forms (staff) S75 Complaints and Investigations | Retain for current Academic year + 5 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--|---|----------------------|--------------|
| Equality | <ul style="list-style-type: none"> Documentation to support the development of Schemes / DAP / Reviews / Equality Screening / Equality Impact Assessment / Monitoring | Retain from last action on the case + 6 years | | Destroy |
| Documentation to support the development of Schemes / DAP / Reviews / Equality Screening / Equality Impact Assessment / Monitoring | | Retain from last action on the case + 6 years | | Destroy |
| Good Relations / Community Relations liaison and reports | | Retain for current Academic year + 5 years | | Destroy |
| 5 Year Scheme | | Retain until 5 Year Review is completed + 3 years | | Destroy |
| Reviews/Annual Reviews of Progress | | Retain until 5 Year Review is completed + 3 years | | Destroy |
| Equality Screening Forms/Equality Impact Assessments | | Retain until 5 Year Review is completed + 3 years | | Destroy |
| Policies and Procedures (Approved) | | Date of Review + 6 Years | | Destroy |
| Statistical Data used for monitoring policy decisions and access to services | | Retain until signed off or approved + 1 year | | Destroy |

FUNCTIONALITY:HUMAN RESOURCES

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-----------------------|---|--|--|--------------|
| Staff Recruitment | <ul style="list-style-type: none"> Staff approval (recruitment) Advertisement of vacancies Application forms / interview notes / files relating to recruitment activity (successful applicants only) | Fill of Vacancy + 3 Years | Fair Employment and Treatment(NI Order 1998) NI Act 1998, Section 75. | Destroy |
| Staff Recruitment | <ul style="list-style-type: none"> Application forms / interview notes / files relating to recruitment activity (unsuccessful applicants only) | Appointment to the post(s) + 1 year | | Destroy |
| Job Descriptions | <ul style="list-style-type: none"> Job descriptions Assessment of jobs in relation to established job evaluation criteria | Record Subject to on-going update and review | Job Descriptions subject to on- going update. Permanently on personnel file of post holder | Destroy |
| Staff Handbook/Manual | | Record Subject to on-going update and review | | Destroy |
| Access NI Disclosure | | Recruitment decision + 3 months | Access NI Code of Practice. (Function also applies to AccessNI for student placement activities) | Destroy |
| Staff Records | <ul style="list-style-type: none"> Records of Corporate working hours (flexi sheets) including applications to leave. | Creation + 1 Year | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-----------------------|---|---|---|--------------|
| Staff Records | <ul style="list-style-type: none"> ● Staff personal files (including training records) ● Appraising the performance of individual members of staff (annual performance appraisal reports) ● Probation Reports ● Staff Development ● Staff Exit Interviews | Termination of employment + 6 years (unless Health & Safety issue highlighted, see Medical Reports below) | | Destroy |
| Staff Payment Records | <ul style="list-style-type: none"> ● Information relating to redundancies ● Making payroll payments ● Payslips ● Payroll Calculation records ● BACS submission report ● Income tax and NI returns, including correspondence with Tax Office ● Statutory Maternity Pay records and calculations ● Statutory Sick Pay records and calculations ● Parental leave records and calculations | Termination of Employment + 6 Years | | Destroy |
| Medical Records | <ul style="list-style-type: none"> ● Health Records | Termination of Employment + 6 Years | Management of H&S at Work Regulations Limitation period for personal injury claims | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|---|-------------------------------------|--|--------------|
| Staff Payment Records | <ul style="list-style-type: none"> ● Wages and salary records ● Non-Teaching / Lecturer pay scales ● Claims for salary payment ● Statutory Returns and Notices <ul style="list-style-type: none"> - P46 - P45 - P60 - P11 - P11d - P35 | Termination of Employment + 6 Years | The National Minimum Wage Regulations 1999 The Income Tax (Pay As You Earn) Regulations 2003 Taxes Management Act 1970 | Destroy |
| Medical Records | <ul style="list-style-type: none"> ● Health Records | Termination of Employment + 6 Years | Management of H&S at Work Regulations Limitation period for personal injury claims | Destroy |
| Medical Records | <ul style="list-style-type: none"> ● Medical records kept by reason of the Control of Substances ● Hazardous to Health Regulations 1994 | COSHHR 1994 + 40 years | COSHHR 1994 | Destroy |
| Dispute Resolution | <ul style="list-style-type: none"> ● Files relating to disciplinary, grievance, harassment hearings | Termination of Employment + 6 Years | | Destroy |
| Dispute Resolution | <ul style="list-style-type: none"> ● Industrial Tribunal Papers | End of tribunal case + 6 years | | Destroy |
| EU funded project – project related recruitment documents | | Current Financial Year + 7 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-----------------|---|-------------------------|----------------------|--------------|
| Surveys Reports | <ul style="list-style-type: none"> • Staff surveys • Exit interview Reports | Creation date + 3 years | | Destroy |

FUNCTIONALITY:ICT

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|---|--------|---|----------------------|--------------|
| Software Licences | | Lifetime of Licence + 1 Year | | Destroy |
| Software / Hardware – Lease / Purchase / Maintenance Agreements / Contracts | | Lifetime of Lease / Purchase / Contract + 1 Year | | Destroy |
| User account log-on audits | | Creation date + up to 1 Year | | Destroy |
| Web filtering / firewall logs | | Creation date + 1 Year | | Destroy |
| Operation of data back-up logs and archiving routines | | Record subject to on-going update and review | | Destroy |
| Design, development and implementation of IT systems including source code and configurations | | Record subject to on-going update and review | | Destroy |
| Active Directory Accounts / VLE Accounts for Staff | | Duration of employment or study + 6 months | | Destroy |
| Exchange Mailboxes | | Duration of employment or study + 6 months | | Destroy |
| Staff and student home drive data | | Staff – duration of employment + 6 months Students – duration of study + no longer than 6 months | | Destroy |

FUNCTIONALITY:INSURANCE

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|---|--------------------------|----------------------|--------------------------------|
| Fruitless Payments | | Creation Date + 3 years | | Destroy |
| Insurance documentation / Schedule | | Creation Date + 6 years | | Destroy |
| Claims History | | Creation Date + 6 years | | Destroy |
| Renewal Documentation | | Creation Date + 6 years | | Destroy |
| Insurance – Inspectors | | Creation Date + 6 years | | Destroy |
| Insurance Broker Payments | | Creation Date + 6 years | | Destroy |
| Insurance Correspondence | | Creation Date + 6 years | | Destroy |
| Insurance Premium Payments | | Creation Date + 6 years | | Destroy |
| Insurance Reports | | Creation Date + 6 years | | Destroy |
| Indemnities and Guarantees | | Creation Date + 10 years | | Destroy |
| Claims | <ul style="list-style-type: none"> • Files • Correspondence | Creation Date + 10 years | | Destroy |
| Certificates of Employers and Public Liability | | Permanent | | Permanent retention by College |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--------|---------------------------------|----------------------|--------------|
| Records documenting all student placement data including name, address, contact details, DOB, next of kin details, health data, placement job description company details, all insurance details | | Current Academic Year + 6 years | | Destroy |

FUNCTIONALITY:MARKETING

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-------------------------|---|---------------------------------|----------------------|-------------------|
| External Links | <ul style="list-style-type: none"> Applicant details from on-line enquiries FT and PT (including e-mail and mobile number) | Current Academic Year | | Destroy |
| External Links | <ul style="list-style-type: none"> Enquiry cards data Local community events: <ul style="list-style-type: none"> Organisation and administration Risk Management and Assessment Stakeholder Communication | Current Academic Year + 1 year | | Destroy |
| Marketing Management | Identification and exploitation of promotional opportunities | Current Academic Year | | Destroy |
| Marketing Management | <ul style="list-style-type: none"> Marketing campaigns and assessment of their impact: <ul style="list-style-type: none"> Marketing plans Market Research Reports Quality Assurance | Current Academic Year + 1 year | | Destroy |
| Local Community Events | <ul style="list-style-type: none"> Schedules Risk management and assessment | Current Academic Year + 2 years | | Destroy |
| Promotional Information | <ul style="list-style-type: none"> College Prospectus] | Permanent | | Transfer to PRONI |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|------------------------------|---|---|----------------------|--------------------------------|
| Records Relating to Students | <ul style="list-style-type: none"> • Student recruitment information and materials | Current Academic Year + 4 years | | Destroy |
| Promotional Information | <ul style="list-style-type: none"> • Photography / Films / Videos/ Footage | Permanent | | PRONI Appraisal |
| Promotional Information | <ul style="list-style-type: none"> • College Newsletter | Permanent | | Permanent Retention by College |
| Promotional Information | <ul style="list-style-type: none"> • Design and control of College corporate identity: <ul style="list-style-type: none"> - Brand guideline - Publicity material • Design and distribution of promotional materials • Direct Marketing • Prospectus fulltime/parttime database | Record Subject to ongoing update and review | | Destroy |
| Promotional Information | <ul style="list-style-type: none"> • Media coverage/queries • Press releases/media briefings | Permanent | | PRONI Appraisal |
| Consent Forms | <ul style="list-style-type: none"> • Photographs, video and audio | End of consent form timeframe + 1 Year | | Destroy |
| Alumni | <ul style="list-style-type: none"> • Database • Statistical information • Communications • Events | Permanent | | Permanent retention by College |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|------------------------|---|--|-----------------------------|--------------------------------|
| Student Profiles | <ul style="list-style-type: none"> • Testimonies | Permanent | | Permanent retention by College |
| Staff Communications | | Creation + 6 | | College Appraisal |
| Marketing database | | Record subject to on-going update and review | | Destroy |
| External Links | <ul style="list-style-type: none"> • Applicant details from on-line enquiries FT and PT (including e-mail and mobile number) | Current Academic Year | | Destroy |
| External Links | <ul style="list-style-type: none"> • Enquiry cards data • Local community events: <ul style="list-style-type: none"> - Organisation and administration - Risk Management and Assessment • Stakeholder Communication | Current Academic Year + 1 year | | Destroy |
| Marketing Management | <ul style="list-style-type: none"> • Identification and exploitation of promotional opportunities | Current Academic Year | | Destroy |
| Local Community Events | <ul style="list-style-type: none"> • Schedules • Risk management and assessment | Current Academic Year + 2 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|------------------------------|---|---------------------------------|-----------------------------|--------------------------------|
| Marketing Management | <ul style="list-style-type: none"> • Marketing campaigns and assessment of their impact: <ul style="list-style-type: none"> - Marketing plans - Market Research - Reports • Quality Assurance | Current Academic Year + 1 year | | Destroy |
| Records Relating to Students | <ul style="list-style-type: none"> • Student recruitment information and materials | Current Academic Year + 4 years | | Destroy |
| Promotional Information | <ul style="list-style-type: none"> • College Prospectus | Permanent | | Transfer to PRONI |
| Promotional Information | <ul style="list-style-type: none"> • Photography / Films / Videos/ Footage | Permanent | | PRONI Appraisal |
| Alumni | <ul style="list-style-type: none"> • Database • Statistical information • Communications • Events | Permanent | | Permanent retention by College |
| Student Profiles | <ul style="list-style-type: none"> • Testimonies | Permanent | | Permanent retention by College |

FUNCTIONALITY:MIS

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|---|---|----------------------|--------------|
| Timetables | | Current Academic Year + 2 years | | Destroy |
| Enrolment Records (full time and part time) including authorisation to changes of student details | | Current Academic Year + 7 years | | Destroy |
| Registers (hard copy or electronic) | | Current Academic Year + 7 years | | Destroy |
| Course Set-up | <ul style="list-style-type: none"> • Authorised course set-up documentation • Authorised course amendment documentation • Authorised course cancellation documentation | Retain until external audit complete (or up to 3 years, whichever is shorter) | | Destroy |
| Withdrawal forms / transfer forms / amendments | | Creation Date + 3 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|---------------|--------------------------------|-----------------------------|---------------------|
| Student Database e.g. QLS, QLP, LMS | | End of relationship + 10 years | | Destroy |

FUNCTIONALITY:QUALITY

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--|---|---|--------------|
| Current student examination and assessment evidence | | Current Academic Year + 12 weeks post certification | Retain for the duration of the course, until External Verification has occurred, certificates claimed and appeals period has expired | Destroy |
| Teaching / Lesson Observation Reports completed as part of the CIT and PGCE (FE) | | Current Academic Year + 1 year | Unless superseded by Awarding Body instructions e.g. in perpetuity requirements Until candidate has successfully completed qualification | Destroy |
| Awarding Organisation course quality review records – systems visit (i.e. external examiner report / subject partnership manager report) | | Current Academic Year + 1 year | | Destroy |
| Self-Evaluation Reports | <ul style="list-style-type: none"> Course Review – Self Evaluation Reports Team / Unit reviews | Current Academic Year + 2 years | | Destroy |
| Competitions and Awards records | | Current Academic Year + 2 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--------|----------------------------------|----------------------|--------------|
| Records documenting the Customer Feedback Policy including all complaints and compliments feedback, refund requests and the College response | | Current Academic Year + 2 years | | Destroy |
| Teaching lesson and observation report and Performance Improvement report for performance enhancement programme | | Current Academic Year + 2 years | | Destroy |
| Internal College Quality Review / Audit Records | | Current Academic Year + 2 years | | Destroy |
| Higher Education Achievement Record (HEAR) | | Current academic Year + 50 years | | Destroy |
| Assessment feedback, internal verification and student grades | | Current Academic Year + 4 years | | Destroy |
| Case Conference Records i.e. student progress analysis and review | | Current Academic Year + 4 years | | Destroy |
| Academic complaint / Appeal and associated evidence (Awarding Body/Academic Investigations) | | Settlement + 6 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--|--|-----------------------------|---------------------|
| ETI and QAA | <ul style="list-style-type: none"> • Inspection Reports • Survey Reports • Action plans | Record subject to on-going update and review | Available from DE/QAA | Destroy |
| Current Awarding Body examination / assessment rules and regulations | | Record subject to on-going update and review | | Destroy |
| Awarding Organisation approval documents and curriculum investigations | | Record subject to on-going update and review | | Destroy |
| Accredited prior learning records | | Record subject to on-going update and review | | Destroy |

FUNCTIONALITY:RECORDS MANAGEMENT

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--|--|------------------------------------|----------------------|--------------------------------|
| DPA/FOI/EIR | <ul style="list-style-type: none"> • Requests • Responses • Refusal Notices • Internal Review Requests/Responses • Responses to ICO investigations • Requests Database | Response/Appeal Response + 3 Years | | Destroy |
| Data Breach records | | End of Investigation + 3 Years | | Destroy |
| Investigations of allegations | | End of Investigation + 3 Years | | Destroy |
| Shredding Certification | | Current Academic Year + 1 Year | | Permanent retention by College |
| Retention and Disposal Schedule | | Date of Review + 6 Years | | Destroy |
| Publication Scheme | | Date of Review + 6 Years | | Destroy |
| Record of Processing Activities | | Date of Review + 6 Years | | Destroy |
| ICO Data Controller Registration Certificate | | Date of Review + 6 Years | | Destroy |
| Data Privacy Impact Assessments | | Date of Review + 6 Years | | Destroy |
| Data Sharing Agreements | | Date of Review + 6 Years | | Destroy |

FUNCTIONALITY:STUDENT SERVICES

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-----------------------------|--|--|--|--------------|
| Student Union | <ul style="list-style-type: none"> Records documenting details of Student Union Executive and SU Election activities | Record subject to on-going update and review | | Destroy |
| Student Union | <ul style="list-style-type: none"> Records documenting name and contact details of organisations affiliated with SU e.g. those who participate in Freshers' week, conduct information talks | | | |
| Careers | <ul style="list-style-type: none"> Advice documentation Statistical analysis e.g. drop in, talks | Current Academic Year + 2 Years | | Destroy |
| International Students | <ul style="list-style-type: none"> College administration Individual student administration | Current Academic Year + 3 Years | UK/VI / British Council Policies and accreditation | Destroy |
| Student Application Process | <ul style="list-style-type: none"> Application form Acknowledgements Correspondence Interview records including offers made (conditional/unconditional) | Current Academic Year + 3 Years | Refer to MIS Curriculum for Enrolment records | Destroy |
| Student Retention | <ul style="list-style-type: none"> Records documenting students 'at risk' of withdrawal, intervention made and final outcome Records of correspondence sent to parents / students in relation to factors affecting attendance / progress | Current Academic Year + 7 years | | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|-------------------------------|---|---------------------------------|--|--------------|
| Learning Support | <ul style="list-style-type: none"> • Records documenting all Learning Support provision to each student, including: <ul style="list-style-type: none"> - student contact / course details - DEL Coding - Evidence - Support worker details - Equipment costs - Total cost of support - Records documenting support needs recommendations • Records documenting equipment and its allocation | Current Academic Year + 7 Years | | Destroy |
| Learning Support | <ul style="list-style-type: none"> • ASF • Records documenting Disabled Student Allowance assessment for HE students | Current Academic Year + 3 Years | | Destroy |
| Learner Access and Engagement | <ul style="list-style-type: none"> • Claims • Expenditure • Course provisions • Audit • Evaluation of tenders | 30 th June 2022 | DfE Circular FE 04/14 Learner Access and Engagement Programme | Destroy |

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|--------------------------------|--|---------------------------------|----------------------|--------------|
| Pastoral Care and Safeguarding | <ul style="list-style-type: none"> Records documenting Cause for Concern submitted including nature of concerns and actions taken Records documenting information requests made to professional organisations and advice received e.g. PSNI, Gateway Records documenting all risk assessment forms, discussions and recommendations i.e. those who have disclosed convictions in relation to drug use or those of a sexual nature | Current Academic Year + 7 Years | | Destroy |
| Student Finance | <ul style="list-style-type: none"> Student Loan Company documentation FE Awards documentation EMA documentation Hardship Funds documentation Care to Learn documentation Dinner / meal ticket documentation Travel Pass documentation | Current Academic Year + 7 Years | DfE Guidelines | Destroy |

FUNCTIONALITY: TRAINING ORGANISATION

| Class/Activity | Series | Retention Period | Relevant Legislation | Final Action |
|----------------------------|--|--|----------------------|--------------|
| Steps to Work/New Deal | | Termination of relationship + 7 years | | Destroy |
| Training for Success (TfS) | | Termination of relationship + 16 years | | Destroy |
| AppNI | <ul style="list-style-type: none"> Apprenticeships NI 2013 Apprenticeships NI 2017 | 31 st December 2030 | | Destroy |