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## **1. PURPOSE OF THE POLICY**

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

## **2. SCOPE**

- 2.1 The policy applies to all records created, received or maintained by college staff in the course of carrying out their corporate functions. Records and documentation created in the course of research, whether internally or externally funded, are also subject to contractual record-keeping requirements.
- 2.2 Records are defined as all those documents which facilitate the business carried out by the college and which are thereafter retained to provide evidence of its transactions or activities. Records may be created, received and retained electronically or in hard copy.
- 2.3 Appendix 1 details retention periods as stipulated under the relevant legal framework. This will be reviewed on an annual basis. Other records may be kept by the department as required for internal reference. This will be held by the department.

## **3. RESPONSIBILITY AND AUTHORITY**

- 3.1 The college has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. The Vice Principal Finance & Corporate Services is the member of the College Management Team with overall responsibility for this policy.
- 3.2 Individual employees must ensure that records for which they are responsible are accurate and are maintained and disposed of in accordance with the college's Retention of Records Procedure.

Records must be:

- a. Processed lawfully and retained for a legitimate reason.
- b. Collected for specific and legitimate purposes.
- c. Adequate and stored in ways that other people can easily access them.
- d. Kept up to date and contain accurate information.

- e. Stored securely with controlled access and only kept for as long as necessary.
- f. Kept confidential.
- g. Securely destroyed at the end of retention schedule

#### **4. RELATED POLICIES, PROCEDURES, DOCUMENTS, DEFINITIONS**

- a. Document Management Procedure (Archiving and Destruction)
- b. Records of Processing and Lawful Basis (ROPA)<sup>1</sup>
- c. Data Protection Policy
- d. Section 46 of the Freedom of Information Act 2000<sup>2</sup>
- e. General Data Protection Regulation (EU) 2016/679
- f. Human Rights Act 1998 (Article 10 Right to Privacy)
- g. Acceptable Use of IT Policy
- h. Document Management -Archiving and Destruction Procedure

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<sup>1</sup> [Records of processing and lawful basis | ICO](#)

<sup>2</sup> [Section 46 of the Freedom of Information Act 2000](#)

**YEOVIL COLLEGE**  
**GUIDELINES FOR ARCHIVING DOCUMENTS AS REQUIRED BY LAW**

<b>DEPARTMENT: HUMAN RESOURCES</b>		
<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
HR Personnel files relating to staff, governors, associates, volunteers and agency staff	Six years from the end of employment	Provision of references and limitation period for litigation
Application forms and interview/assessment notes relating to unsuccessful applicants	Six months from the date of interviews	Limitation period for litigation
HR Personnel files and information where there was any substantiated safeguarding concern (ex-employee, governor, associate, volunteer, agency staff).	At least until the accused person has reached normal pension age, or for a period of 10 years from the date of the allegation if that is longer.	Safeguarding Duty (paragraphs 415 to 417 of the statutory safeguarding guidance, Keeping Children Safe in Education (KCSIE) 2023.)
Income Tax and NI returns: correspondence with Tax Office	Six years after the end of the financial year to which the records relate	Income Tax (Employment) Regulations 1993
Statutory Maternity Pay records and calculations	Three years from the end of the tax year they relate to.	Statutory Maternity Pay (General) Regulations 1986
Statutory Sick Pay records and calculations	Three years from the end of the tax year they relate to. Best practice to keep for 6 years from the end of employment in HR Personnel file.	Statutory Sick Pay Regulations 2014
Wages and salary records	Six years after end of financial year	Taxes Management Act 1970

**DEPARTMENT: HUMAN RESOURCES**

<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
Pension records	Indefinitely due to public records.	Provision of information for Pension Authorities
Direct Debit Mandates	Indefinitely (at least seven years)	Limitation period for refunds
Health Records where reason for termination of employment is concerned with health, including stress related illness	Six years in the Personnel file	Limitation period for personal injury claims
Health Records	Six years in the Personnel file	MHSWR Regulation 6 Health Surveillance

<b>DEPARTMENT: ESTATES &amp; FACILITIES inc HEALTH &amp; SAFETY</b>		
<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
Records and reports of accidents	Three years and one day after the date of last entry. For Learners, three years and one day after their 18 <sup>th</sup> birthday if this is longer than the time beyond the date of last entry	RIDDOR 2013
Risk assessments	Six years from the date of last entry	Management of Health and Safety at Work Regulations (MHSWR) Regulation 5 Accident Investigation
Medical Records kept by reason of the Control of Substances Hazardous to Health	From termination of employment plus 40 years or from closure of investigation plus 40 years.	COSHH 2002 (as amended)
Personal Health Surveillance and/or Personal Exposure Monitoring Records	Date of last entry plus 40 years	COSHH 2002 (as amended)
Legionella	5 years for results of inspections, tests & checks from date carried out	HSE guidelines
Pressure systems & equipment	Lifetime of equipment	Pressure systems and equipment JSP375 Vol1, chapter 29 V1.2
Ionising Radiation Records	Date of last entry plus 30 years	Ionising Radiation Regulations 2017
College Wide Insurance Certificates	Indefinitely	HSE Guidelines on limitation period for litigation
Details on buildings/plans etc	Lifetime of building	

**DEPARTMENT: IZONE/MIS**

<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
<p>Learner Records: Learner Enrolment Information:</p> <ul style="list-style-type: none"><li>• Personal Details</li><li>• Enrolment Details</li><li>• Attendance details</li><li>• Achievement details</li><li>• Examination details</li></ul>	<p>Current year plus six years, with the exception of the below.</p> <p>University of Gloucestershire - Completion of award plus 50 years</p> <p>Bournemouth University - Basic info (name, DOB, address, previous quals, fulfillment of admission criteria, overall grades, dates and name of programme, result of award) are indefinite.</p> <p>Open University – Student full name, date of birth, progression and award details. Date of birth plus 120 years.</p>	<p>Limitation period for negligence, and/or as per terms of University partnership contracts.</p>
<p>Learner Application Information:</p> <ul style="list-style-type: none"><li>• Personal details including contact details</li><li>• Courses applied for</li><li>• Interview outcomes</li></ul>	<p>Unsuccessful applications: Current year plus one year</p> <p>Successful applications: Current year plus six years or completion plus one year (whichever is the latest).</p> <p>With the exception of the below.</p>	<p>Limitation period for negligence and/or as per terms of Open partnership contracts.</p>

DEPARTMENT: IZONE/MIS		
Type of Data	Retention Period	Reason
	University of Gloucestershire - Successful applicants, completion of award plus six years Pearson Higher Nationals - successful applicants, completion plus three years Bournemouth University - Successful; completion of award plus six years	
Assessment Information: <ul style="list-style-type: none"> <li>• Assessor(s) name, what was assessed &amp; when</li> <li>• IQA(s) name</li> <li>• Date of registration</li> <li>• Enrolment number</li> <li>• Qualification title/level</li> <li>• Assessment methods used &amp; location of supporting evidence</li> <li>• Assessment decision</li> <li>• Progress records/unit accreditation/qualification completion dates</li> <li>• Assessed work remains the property of the learner and is therefore not retained.</li> </ul>	Current academic year plus three years, with the exception of the below.  All programmes at L4+, at least 5 years after the end date of the course. In addition: University of Gloucestershire - Completion of award plus 50 years (including Exam Board records) Bournemouth University - Completion plus six years	Regulatory compliance and/or as per terms of University partnership contracts.

**DEPARTMENT: IZONE/MIS**

<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
Quality Assurance: <ul style="list-style-type: none"><li>• Internal QA name, what was assessed &amp; when</li><li>• Details of sample selected/rationale</li><li>• Details of IQA standardisation meetings</li><li>• Assessor support meetings</li><li>• Assessor/IQA competence and monitoring of their progress towards achievement of required qualification</li></ul>	6 years	Regulatory compliance
Complaints: <ul style="list-style-type: none"><li>• Details of the complaint</li><li>• Complaint outcome</li><li>• Actions arising from the complaint</li></ul>	6 years after the resolution of a complaint	Regulatory compliance
Record of learner conduct, fitness to study and disciplinaries.	6 years plus the current year	Limitation period for negligence
Apprentice Learner Files <ul style="list-style-type: none"><li>• Agreements, e.g. Apprenticeship Training Services</li><li>• Written Agreement – Contract For Services</li><li>• Apprenticeship Agreement, Additional Payment Declaration</li><li>• Enrolment paperwork</li><li>• English &amp; Maths Initial Assessment results</li></ul>	6 years from Financial Year End after end of course	Regulatory compliance

<b>DEPARTMENT: IZONE/MIS</b>		
<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
<ul style="list-style-type: none"> <li>• Training Plan (which includes Commitment to Programme and ILP)</li> <li>• Evidence of in-learning (e.g. reviews, contact sheets)</li> <li>• Evidence of Achievements (Framework Evidence Pack including relevant certificate copies)</li> <li>• Change of circumstances etc e.g. change of employer, gaps in learning</li> <li>• Evidence showing additional support provided for issues etc.</li> </ul>		
Student Assignments	As per Awarding Body Guidelines	Awarding Body Requirement
ESF Match Funding Details <ul style="list-style-type: none"> <li>• Programmes 2006/7 – 2012/13</li> <li>• Programmes 2013/14 – 2019/20</li> </ul>	Until 31.12.2023 Until 31.12.2030	ESFA & ESF Requirement
Results of mandatory student surveys (NSS, DLHE)	Data is anonymised and kept Indefinitely	Used for various analyses
Student evidence of identity	Duration of programme	To ensure registered student information is reliable and valid
Change of name/gender documentation	From time of student registration to five years after graduation	To ensure registered student information is reliable and valid

<b>DEPARTMENT: HIGHER EDUCATION</b>		
<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
HE Portfolio	As per Awarding Body Guidelines	Awarding Body Requirement
HE Placement Information	Current academic year, plus five years	Awarding Body Requirement
HE Record of Extenuating Circumstances and Assessment Offences	Completion of Award plus six years or last action of case plus six years.	
HE student funding (Student Loan Company) – relevant information	From time of student registration to five years after graduation	Audit purposes

<b>DEPARTMENT: STUDENT SERVICES</b>		
<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
Safeguarding Records	<p>CP files need to be retained until the child is aged 25.</p> <p>There is a legal requirement to maintain records longer, and in some cases indefinitely, if there are disclosures held on file, or the child is looked after, adopted, in foster care, or in a residential children's home</p> <p>The College DSL should be consulted before destruction of any CP and safeguarding records</p>	Department for Education

<b>DEPARTMENT: GOVERNANCE</b>		
<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
Minutes from Corporation meetings and other committees	Indefinitely due to public interest Supporting papers 12 years	Clause 15 advisory note from Eversheds.

<b>DEPARTMENT: SEN</b>		
<b>Type of Data</b>	<b>Retention Period</b>	<b>Reason</b>
SENCO	25 years plus 6 years	

DEPARTMENT: ITS		
Type of Data	Retention Period	Reason
Summative Assessments (YCUC) - Moodle	10 years	<a href="#">OfS</a> requires work to be kept until 5 years after a student has completed a course. The longest YCUC courses equate to 5 years. This provides a maximum retention of 10 years.
Summative Assessments (FE) - Moodle	6 years	Agreed internally with Quality Manager to meet the longest AOB requirements.
Summative Assessments (FE/HE) - MS Class Teams	6 years	Agreed internally with Quality Manager to meet the longest AOB requirements.
Non formal online conversation - MS Teams Chat	TBC - Needs to be agreed at a senior level and cascaded via college method. Suggestion: remove yearly.	Teams chat should only contain non formalised discussion and should not be a place for formal record keeping. If information is relevant across academic years, this should be stored centrally.
IT Services Password Manager Database <ul style="list-style-type: none"> <li>• DOB</li> <li>• Personal Address</li> <li>• Personal Telephone</li> <li>• Personal Email</li> </ul>	Duration of enrolment at Yeovil College and 6 months after the end date of course completion	Required for security checks when resetting passwords over the phone.