Reference Number: *P31*

RETENTION OF RECORDS POLICY

Policy Review					
Author/Owner	**Position**	**Approved by:**	**Approval Date**	**Review Cycle Review Date**	**Published on Website Y/N**
Katie Lister	Senior Executive Support & Compliance Manager	SLT: VP Finance & Corporate Services 	24.09.26	Annually Sept	Y

Document Control – Revision History (Policies only)					
Author	**Summary of Changes**	**Date**	**Version**	**Date last reviewed by SED**	**Recommend to SED Y/N**
E Cox	New Policy	06.03.17		-	Yes
E Cox	Small update for GDPR impact & clarification of retention periods	25.10.18		27.03.17	No
E Cox				27.03.17	No
E Cox	Additional HE retention periods added	May 21		27.03.17	No
E Cox	Retention periods updated	Aug 22	v1		
E Cox	Retention periods updated and updated in line with OU Recommendations	Aug 23	v2		
K Foster	Organised into departments, changed title	Sep 24	v3		
K. Lister	Update retentions for Safeguarding, SEND, UoG, added Bootcamp and correspondence and other minor change to titles and depts	Sept 25	v.4		
K Lister	Annual Review –updated retention schedules; added missing Retention Rational and updated responsibilities to HOFs	Sept 26	v4.1		

Initial Equality Impact Screening
Has anyone else been consulted on this policy and/or procedure?
What evidence has been used for this impact screening (e.g. related policies, publications)?
Declaration (please tick one statement and indicate any negative impacts)

X I am satisfied that an initial screening has been carried out on this Policy and/or Procedure and a full Equality Impact Assessment is not required. There are no specific negative impacts on any of the Protected Characteristics groups.

X I recommend that an Equality Impact Assessment is required by the Equality and Diversity group, as possible negative impacts have been identified for one or more of the Protected Characteristics groups as follows:

- ☐ Age
- ☐ Disability
- ☐ Gender Reassignment
- ☐ Race
- ☐ Religion or belief
- ☐ Sex
- ☐ Sexual orientation
- ☐ Marriage & civil partnership
- ☐ Pregnancy & maternity

Completed by:	James Pill-Waring	**Position:**	VP Finance & Corporate Services	**Date:**	3/10/24

Reviewed by Equality & Diversity Group: NO If Yes: Date:

I confirm that any recommended amendments have been made

Summary of Comments including Recommendations from Equality & Diversity Group Review:

Amended by Author:	James Pill-Waring	**Position:**	Vice Principal – Finance & CS	**Date:**	03-10-24

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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 all 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 Retention periods are determined based on legal obligations, contractual requirements, legitimate interests, and statutory limitation periods, as recorded in the College's Record of Processing Activities (ROPA). Appendix 1 details retention periods in line with all applicable legislation and institutional policy. This will be reviewed on an annual basis. Where other additional records are retained for internal reference, this will be for a defined operational purpose and for no longer than 2 years, after which they will be securely disposed of.

3. RESPONSIBILITY AND AUTHORITY

3.1 The college has a corporate responsibility to maintain its records and record-keeping systems and indexed in a manner that supports timely retrieval 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. Follow Document Management -Archiving and Destruction Procedure
h. Securely destroyed at the end of retention schedule

3.3 Each Head of Department, service manager or other designated record owner is accountable for ensuring that records created or held within their area are correctly identified, stored, archived, retrievable and disposed of in accordance with this policy, the relevant retention schedule and the Document Management Procedure (Archiving and Destruction). This accountability includes ensuring that records are transferred to the appropriate College system or archive location at the correct point in their lifecycle, that archive boxes and electronic folders are clearly labelled and indexed, and that destruction dates are accurately recorded.

3.4 Managers must ensure that local record-keeping arrangements are actively monitored and that staff within their area understand and follow the required archiving and destruction process. Informal storage locations, including individual email accounts, Teams chats, personal drives, local folders or unmanaged SharePoint areas, must not be used as the primary record-keeping location for formal College records. Where a communication or document forms part of an official College record, the relevant manager must ensure it is moved to the appropriate approved system or archive location without undue delay.

3.5 Failure to manage records correctly may expose the College to legal, regulatory, audit, funding, safeguarding, information governance and operational risks. Managers are therefore responsible for taking reasonable steps to evidence compliance, including maintaining local checks, responding to audit or compliance requests, and addressing any identified gaps or non-compliance within their area. Persistent or serious failure to follow this policy may be escalated through the relevant management or compliance route.

3.6 All digital communications (including Emails, Teams chats, collaborative documents and messaging platforms) that contain personal data or official College information fall within the scope of this policy. Such communications will be retained for a maximum of 2 years unless they are required to be formally recorded elsewhere in line with business, legal, or regulatory

requirements. Where digital communications constitute a formal record (e.g. decisions, agreements, safeguarding concerns, complaints, or operational actions), they must be transferred to an appropriate College system (e.g. SharePoint, Pro, iTrent) and retained in accordance with the relevant retention schedule. Emails and Teams chats and informal communications must not be used as a primary record-keeping system. All digital communications will be securely deleted in accordance with the College's retention and disposal procedures.

3.7 Once records reach the end of their retention period and are securely deleted, they will not be recoverable and therefore will not form part of any future Data Subject Access Request. All destruction of records will be documented, including record type, date of destruction, method, and authorising officer. Disposal logs must be retained for audit purposes.

3.8 Where records are subject to legal proceedings, investigation, audit, or complaint, scheduled destruction must be suspended until the matter is fully resolved.

3.9 Video recordings will be retained for a maximum of 90 days, unless they are required to be retained as a formal College record for business, legal, regulatory, safeguarding, complaint, investigation, or audit purposes, in which case they must be transferred to the appropriate College system and retained in accordance with the relevant retention schedule.

4. RELATED POLICIES, PROCEDURES, DOCUMENTS, DEFINITIONS

a. Document Management Procedure (Archiving and Destruction)
b. Records of Processing and Lawful Basis (ROPA)[1]
c. Data Protection Policy
d. Freedom of Information Act 2000[2]
e. **Data Protection Act 2018[3]**
f. UK General Data Protection Regulation [4]
g. Human Rights Act 1998 (Article 10 Right to Privacy)[5]
h. Acceptable Use of IT Policy
i. **Jisc Guidelines[6]**
j. **Public Records Act 1958 - historical corporation records[7]**

[1] Records of processing and lawful basis | ICO
[2] Section 46 of the Freedom of Information Act 2000
[3] Data Protection Act 2018
[4] Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (United Kingdom General Data Protection Regulation) (Text with EEA relevance)
[5] Human Rights Act 1998
[6] Records retention management - Jisc
[7] Public Records Act 1958

APPENDIX 1

YEOVIL COLLEGE

GUIDELINES FOR ARCHIVING DOCUMENTS AS REQUIRED BY LAW

DEPARTMENT: FINANCE
Retention of our finance records is set out in section 13 of Financial Procedures[8]

DEPARTMENT: HUMAN RESOURCES		
Type of Data	**Retention Period**	**Retention Rational**
HR Personnel files relating to staff, governors, associates, volunteers and agency staff including training record	Six years from the end of employment	Provision of references and Limitation Act 1980 (Section 2)
Application forms and interview/assessment notes relating to unsuccessful applicants	Six months from the date of interviews	Limitation Act 1980 (Section 2)
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.) Information Commissioner Code of Practice: Employment Records 2002, Child Protection Procedures for Managing Allegations Against

8 https://yeovilacuk.sharepoint.com/:b:/r/sites/SLT/Shared%20Documents/Policies%20Procedures%20%26%20Workflows/Policies%20%26%20Procedures/Digital%20%26%20Compliance/Financial%20Procedures%20inc%20Procurement%20Policy%20v1.2.pdf?csf=1&web=1&e=RKaKg1

DEPARTMENT: HUMAN RESOURCES		
Type of Data	**Retention Period**	**Retention Rational**
		Staff within Schools and Education Services (September 2008) p17
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
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
Occupational Health	Health Surveillance/Medical Reports, Closed occupational health confidential clinical records pre- August 2014 - 40 years	Limitation Act 1980

DEPARTMENT: HUMAN RESOURCES		
Type of Data	**Retention Period**	**Retention Rational**
	Occupational Health referrals and reports plus confidential clinical records post-August 2014 & Staff pre-employment completed short questionnaires– persons not involved in an asbestos, COSHH or PPE related incident Occupational health referrals pre-August 2014 - 100 years	

DEPARTMENT: ESTATES & FACILITIES inc HEALTH & SAFETY		
Type of Data	**Retention Period**	**Retention Rational**
Records and reports of accidents, incidents and occurrence	Reportable injuries/incidents Persons over 18 6 years Reportable injuries/incidents forthose under 18, 25 years Riddor reportable 40 years Reports of Dangerous Occurrences to HSE 6 years	Reporting of Injuries, Diseases and DangerousOccurrences Regulations 2013Limitation Act 1980 (Section 11)
Risk assessments – general, individual, DSE, fire & Legionella	Six years from the date of last entry Hazardous and dangeroussubstances risks - 40 years from the date of last entry	Management of Health and Safety at Work Regulations (MHSWR) Regulation 5 Accident Investigation Limitation Act 1980 (Section 2) The Regulatory Reform (Fire Safety) Order 2005 Control of Substances Hazardous to Health Regulations 1997/2002; Control of Lead at Work Regulations 1980; Controlof Asbestos at Work Regulations 1987;
Medical Records kept by reason of the Control of Substances Hazardous to Health	General exposure 6 years	COSHH 2002 (as amended)

DEPARTMENT: ESTATES & FACILITIES inc HEALTH & SAFETY		
Type of Data	**Retention Period**	**Retention Rational**
	Personal exposure of identifiable employee from termination of employment plus 40 years or from closure of investigation plus 40 years which ever is longer.	Reporting of Injuries, Diseases and Dangerous OccurrencesRegulations 2013
Air monitoring records performed for COSHH/CAW compliance	40 years	Approved Code of Practice L8 & COSHH Regulations 2002
Personal Health Surveillance and/or Personal Exposure Monitoring Records	Date of last entry plus 40 years	COSHH 2002 (as amended)
Legionella & Scalding monitoring (water temperature, shower head cleaning etc)	5 years for results of inspections, tests & checks from date carried out	HSE guidelines Approved Code of Practice L8 & COSHH Regulations 2002
Asbestos register	40 years	Asbestos at Work Act & RIDDOR
Pressure systems & equipment	Lifetime of equipment	Pressure systems and equipment JSP375 Vol1, chapter 29 V1.2
Ionising Radiation Records (Radon)	Date of last entry plus 40 years	Ionising Radiation Regulations 2017
College Wide Insurance Certificates	Indefinitely	HSE Guidelines on limitation period for litigation
Inspection, maintenance and repairs of property and premises and all equipment (including Inspections of ExhaustVentilation, all fire req	6 years	Limitation Act 1980 (Section 2)

DEPARTMENT: ESTATES & FACILITIES inc HEALTH & SAFETY		
Type of Data	**Retention Period**	**Retention Rational**
		Provision and Use of Work Equipment Regulations (PUWER)1999
Details on buildings/plans etc	Retained for the lifetime of the asset and for 6 years after disposal to meet legal and insurance requirements	CDM 2015
Inspection andTesting (PAT testing) & Electrical Formal Visual Testing records	4 years - There must always be 3 consecutive records including the latest one	Limitation Act 1980 (Section 2)
H&S Advice, information and training, including courseadministration	6 years	Limitation Act 1980 (Section 2)

DEPARTMENT: IZONE/MIS/HE Office		
Type of Data	**Retention Period**	**Retention Rational**
Learner Records: Learner Enrolment Information: • Personal Details • Enrolment Details • Attendance details • Achievement details • Examination details • GCSE Invigilation details	Current year plus six years, with the exception of the below: University of Gloucestershire - Completion of award plus 50 years 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. Open University permanent record of student registration, progression, assessment and awards External examiners' reports for a minimum period of 7 years.	Limitation period for negligence, and/or as per terms of University partnership contracts.
Learner Application Information: • Personal details including contact details • Courses applied for • Interview outcomes	Unsuccessful applications: Current year plus one year Successful applications: Current year plus six years or completion plus one year (whichever is the latest).	Limitation period for negligence and/or as per terms of Open partnership contracts.

DEPARTMENT: IZONE/MIS/HE Office		
Type of Data	**Retention Period**	**Retention Rational**
	With the exception of the below. 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 Open University permanent record of student registration	
Assessment Information: • Assessor(s) name, what was assessed & when • IQA(s) name • Date of registration • Enrolment number • Qualification title/level • Assessment methods used & location of supporting evidence • Assessment decision	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/HE Office		
Type of Data	**Retention Period**	**Retention Rational**
• Progress records/unit accreditation/ qualification completion dates • Assessed work remains the property of the learner and is therefore not retained unless needed as evidence as per awarding body requirements.	Open University permanent record of student assessment and awards and copies of transcripts issued to all Students for a minimum period of 12 months.	
Quality Assurance: • Internal QA name, what was assessed & when • Details of sample selected/rationale • Details of IQA standardisation meetings • Assessor support meetings • Assessor/IQA competence and monitoring of their progress towards achievement of required qualification	6 years	Regulatory compliance
Complaints: • Details of the complaint • Complaint outcome • Actions arising from the complaint	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	6 years from Financial Year End after end of course	Regulatory compliance

DEPARTMENT: IZONE/MIS/HE Office		
Type of Data	**Retention Period**	**Retention Rational**
• Agreements, e.g. Apprenticeship Training Services • Written Agreement – Contract For Services • Apprenticeship Agreement, Additional Payment Declaration • Enrolment paperwork • English & Maths Initial Assessment results • Training Plan (which includes Commitment to Programme and ILP) • Evidence of in-learning (e.g. reviews, contact sheets) • Evidence of Achievements (Framework Evidence Pack including relevant certificate copies) • Change of circumstances etc e.g. change of employer, gaps in learning • Evidence showing additional learning support provided for issues (including DSA)		
ESF Match Funding Details • Programmes 2006/7 – 2012/13 • Programmes 2013/14 – 2019/20	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

DEPARTMENT: IZONE/MIS/HE Office		
Type of Data	**Retention Period**	**Retention Rational**
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

DEPARTMENT: HIGHER EDUCATION		
Type of Data	**Retention Period**	**Retention Rational**
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
Evidence of HE Learning Support (including DSA)	Completion of Award plus six years or last action of case plus six years.	
OU Validation Monitoring/Reporting	Annual Validated Programme monitoring reports and any reports on or about the Institution by the Institution or any third party for a minimum period of 7 years. Minutes and reports on the evaluation of Validated Programme monitoring within its academic committees for a minimum period of 7 years. Any written evidence of student feedback relevant to Validated Programme monitoring for a minimum period of 7 years.	Awarding Body Requirement

DEPARTMENT: HIGHER EDUCATION		
Type of Data	**Retention Period**	**Retention Rational**
	Copies of all self-evaluation documents and action plans arising from external quality assurance, inspection, accreditation or other approved agencies' institutional or programme or subject reviews related to Validated Programmes or the Institution for a minimum period of 7 years. Copies of all publicity material relating to Validated Programmes for a period not less than the maximum period of student registration on each Validated Programme. a record of any information necessary to meet requirements of the Quality Assurance Agency OU Validated Programmes.	

DEPARTMENT: STUDENT SERVICES		
Type of Data	**Retention Period**	**Retention Rational**
Safeguarding Records	Pupil safeguarding records to be retained by the final setting for DOB +25, and DOB + 31 if the child has an EHCP or other support plan. For cases of known child abuse, the	Department for Education & Local authority

DEPARTMENT: STUDENT SERVICES		
Type of Data	**Retention Period**	**Retention Rational**
	retention period is DOB + 75 years. The College DSL should be consulted before destruction of any CP and safeguarding records	

DEPARTMENT: GOVERNANCE		
Type of Data	**Retention Period**	**Retention Rational**
Minutes from Corporation meetings and other committees	Indefinitely due to public interest Supporting papers 12 years	Clause 15 advisory note from Eversheds.
Policies & Procedures	10years	Limitation Act 1980, H&S
FOI requests, responses, and associated case records and Data Protection Subject Access Request (DSAR) Records	Search data results will be kept 6 months but may be kept for the extension period below as relevant. three (3) years from the date of closure. Extend to **6 years** where: • Complaint to ICO • Legal dispute (e.g. tribunal, safeguarding challenge) • High-risk sensitivity (HR, safeguarding)	UK GDPR principles

DEPARTMENT: SEN		
Type of Data	**Retention Period**	**Retention Rational**
SENCO	SEND records for Somerset learners until 34 years of age for SEND case files and this includes pupil records where it contains SEND records and cannot be exported We will observe other counties guidelines for high needs/` learners from their area as required.	Local authority recommendation - 25 years of age is the legal requirement. Extended to aged 34 years of age align with Somerset Council.

DEPARTMENT: ITS		
Type of Data	**Retention Period**	**Retention Rational**
Summative Assessments (YCUC) - Moodle	10 years	OfS requires all programmes at L4+, 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	7 years	Agreed internally with Quality Manager to meet the longest AOB requirements.
Summative Assessments (FE/HE) - MS Class Teams	7 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 • DOB • Personal Address • Personal Telephone • Personal Email	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.

DEPARTMENT: EMPLOYEE ENGAGEMENT		
Type of Data	**Retention Period**	**Retention Rational**
Bootcamp registration records	6 years	Align with funding stream retention of records