



South
Lanarkshire
College

East Kilbride

SLC Document Retention Guide

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Quick Links

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General Introduction

The Document Retention Guide provides information and guidance relative to the retention of paper and electronic documentation for South Lanarkshire College and any wholly owned subsidiary companies.

It is anticipated that South Lanarkshire College will move towards full electronic storage, possibly using document management systems in the future. In the interim, both paper and electronic storage arrangements will be required. Electronic storage is encouraged wherever possible to reduce the physical space required for storage of documents, and to aid locating documents should they be required. Wherever possible, paper documents should not be retained where they are also available electronically, except where a paper copy must be retained for statutory requirements, for example where signatures are required (e.g. in relation to European projects or for legal reasons).

Appendix 1 of the Guide gives details of retention periods relevant to South Lanarkshire College. It is intended that Appendix 1 remains a working document and any errors or omissions should be notified to the Data Protection Team (dpo@slc.ac.uk) who will arrange for the Guide to be updated. Appendix 1 is based on guidance issued by JISC on retention periods for further education institutions - <https://www.jisc.ac.uk/guides/records-retention-management>

2 Responsibility for Document Retention

It is the responsibility of all managers to ensure that documentation is stored effectively and efficiently. This Guide is intended to give an indication of requirements, and managers should interpret these to ensure compliance and efficiency within their areas of responsibility.

Managers should bear in mind the requirement to retain documentation and ensure it is easily identifiable and can be retrieved (whether in paper or electronic format) in the event it is needed. Managers should also be mindful of health and safety and available space within workrooms, classrooms and storage areas. Documentation not required on a day-to-day basis should be stored in appropriate central spaces or electronically.

It is important that documentation is not duplicated. Therefore, the person named in Appendix 1 as having the responsibility for retaining a document is the only person who should retain it. If there is uncertainty about whether this person holds a particular document, this should be checked with them prior to archiving or destroying a document. It is also important to avoid holding both electronic and paper documents in order to maximise storage space, both electronic and physical.

The Data Protection Team (dpo@slc.ac.uk) is responsible for the updating and maintenance of this Guide. Anyone requiring advice in relation to retention timescales or interpretation of the Guide should seek guidance from the Data Protection Team (dpo@slc.ac.uk).

The Archive Co-ordinator, who is a member of the Facilities Team, is responsible for ensuring that any documentation submitted for storage in the centralised locations is appropriately logged and stored, and that deadlines for destruction are monitored. The Archive Co-ordinator will also ensure that any documentation destroyed from the centralised location is recorded. The procedure shown at Appendix 2 should be used when using the centralised system and Department Administrators may be able to provide advice and assistance.

Staff should also be mindful of any retention periods that may be specified in terms of contracts with third parties, e.g. Scottish Prison Service, Skills Development Scotland, lease of motor fleet, etc. Documentation should be retained either in accordance with the requirements of the contract or this Guide, whichever is later.

3 Copyright and Ownership of Documents

In accordance with the College's Copyright Policy, unless there is an agreement to the contrary, and which is preferably agreed prior to commencement of the creation of an original work, all copyright in materials created by a member of staff in the course of their work will belong to the College.

4 Reasons for Retaining a Document

Only documents created or owned by South Lanarkshire College should ordinarily be retained. Documents should not be retained unless there is a reason for doing so:

A) The document still has a use or business purpose

Where South Lanarkshire College still has a use for a document, it should be retained until no longer of use. This will normally be obvious but, if in doubt, check with the originator of the document, or with the Data Protection Team (dpo@slc.ac.uk).

B) There is an applicable Statutory Minimum Retention Period

In some cases, Parliament has set specific minimum time periods for retaining certain documents.

Where there is a special statutory minimum period, the document must be retained for at least this period. Some of the relevant statutory minimum retention periods are set out in Appendix 1. Any other statutory minimum retention periods that are relevant to the documents that South Lanarkshire College holds must be provided to the Data Protection Team (dpo@slc.ac.uk).

C) The document is relevant to an outstanding claim or current litigation, arbitration or investigation, or is subject to a specific legal destruction hold order

If a document is relevant to an outstanding or likely claim, arbitration or litigation, the document must be retained. Please contact the Data Protection Team (dpo@slc.ac.uk) before destroying any document that may be subject to such action.

D) The document has evidential value for a possible claim, litigation, arbitration or investigation

These prescriptive periods (the time limits within which a legal action must be brought) are relevant. Legal actions raised against South Lanarkshire College are a possibility. Therefore, the reviewer should consider whether any document could be used to support or oppose a position in an investigation, arbitration, or litigation. If so, the document should be retained until that possibility has expired. Advice on prescriptive periods can be sought from the Data Protection Team (dpo@slc.ac.uk).

E) The document could be relevant in an Audit

In some cases, external bodies have the right to audit the actions and decisions of South Lanarkshire College. For example, SFC has a right to audit use of funds provided by it up to three years after the funds were provided.

Where a document is or might be required for an audit, it must be retained until the audit right has expired. Where audits are likely to take place and records are required to be retained for longer periods, this should be notified to the Data Protection Team (dpo@slc.ac.uk).

F) If the document is a management document, or a policy or procedure, or standard terms and conditions (e.g. staff handbook, disciplinary procedures)

All high-level management documents evidencing decisions, and one copy of each version (together with the dates it was in use) of all policies and procedures, should be

retained. Authorisation prior to destruction should be sought from the Data Protection Team (dpo@slc.ac.uk).

5 Final Review

If questions 4(a) to (f) above do not apply, and there is no reason to retain a document, it should be destroyed under the provisions of this Guide. Where there is any doubt about the destruction of a document, advice should be sought from an appropriate Manager or the Data Protection Team (dpo@slc.ac.uk).

In the case of any document of potentially historical or other significance, South Lanarkshire College may apply to archive this at the Scottish Records Office.

6 Freedom of Information (Scotland) Act 2002

Under the Freedom of Information (Scotland) Act 2002, Scottish Ministers have issued a code of practice providing guidance to Scottish public authorities as to the practice which it would be desirable for the authorities to follow in connection with the keeping, management and destruction of records. Although not mandatory, following this code would provide a strong defence in the case of complaints. The Document Retention Guide will continue to be reviewed to ensure South Lanarkshire College complies as far as practicable with the guidance given in this code of practice.

Under the Freedom of Information (Scotland) Act 2002, members of the public are entitled to request copies of recorded information held by a public authority (requests for information). The time limit for responding to a request for information is 20 working days from receipt of the request.

7 Data Protection Legislation

The College is a registered Data Controller and must comply with the Data Protection Act 2018 and the General Data Protection Regulations. Individuals have the right to request a copy of any information held about them. In general, they are entitled to receive a copy of the information held about them as at the date of receipt by South Lanarkshire College of the request for information (Subject Access Request). However, the information that South Lanarkshire College provides in response to a Subject Access Request may take account of any amendment or deletion that would have been made regardless of the receipt of the request. Therefore, outstanding Subject Access Requests that have not yet been processed do not require to be taken into account before making a decision to destroy a document, provided that the decision to destroy is not based in any way on this Subject Access Request. The time limit for responding to Subject Access Requests is one month from the receipt of a valid request.

Personal Data (which means any data from which or through which a living individual can be identified) must be accurate and may only be retained if the data is strictly necessary for a specified purpose. The review of files containing Personal Data must take account of these provisions and the destruction of irrelevant and out of date Personal Data is a legal requirement.

8 Destruction of Documents

Under the Freedom of Information (Scotland) Act 2002, a permanent record must be kept of the destruction of all of documents listed in Appendix 1.

8.1 Paper Documents

The Manager responsible for retaining the record should approve the destruction of the document. Approval should also be sought from the Data Protection Team (dpo@slc.ac.uk) to ensure no potential litigation claims or other actions are outstanding.

The Archive Co-ordinator will be responsible for maintaining this record where documentation is stored centrally and appropriate for destruction. Managers will be responsible for maintaining this record where documentation is stored locally.

8.2 Electronic Documents

There is no central list of electronic documents held or due for destruction. Managers are responsible for retaining records of where electronic documentation is held in their areas and when documentation is destroyed. It is essential that we hold these records to demonstrate that the College is acting in accordance with this Guide and with the law. It is anticipated that if Document Management Systems are introduced in the future, recording of documents and their destruction may potentially be automated.

9 Records Prior to 2017

It is accepted that, as this Guide was introduced in May 2023, records prior to this date may already have been destroyed, or may not be in place. Should any requests for information or difficulties arise, advice should be sought from the Data Protection Team (dpo@slc.ac.uk).

10 Documentation Relating to European Projects (see Appendix 3)

Documentation relating to European Projects requires to be retained for a minimum of 6 years after the final payment has been received from the European Commission by the Scottish Government. This documentation therefore needs to be kept either for 6 years after this final payment has been received or the retention period specified in Appendix 1, whichever is the later date.

To accommodate European projects South Lanarkshire College will retain financial and MIS documentation from academic year 2007-08 onwards up to 20 years. The requirement for this will be reviewed on an annual basis.

SOUTH LANARKSHIRE COLLEGE

Document Retention Periods

Assessment and Examinations

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Definition of exam / assessment rules	Superseded + 10 years	Recommended	JISC	Head of Curriculum
Design of exam / assessment rules	Superseded + 10 years	Recommended	JISC	Head of Curriculum
Exam scripts / assignments	Current + 1 year	Recommended	JISC	Head of Curriculum
Assessment Evidence	October of year following resulting	Recommended	SLC	Head of Curriculum
Examiners' Marking Sheets	Current + 6 years	Recommended	JISC	Head of Curriculum
Examiners' Notes / Reports	Current + 6 years	Recommended	JISC	Head of Curriculum
External Moderation / Verification Reports	Current + 6 years	Recommended	JISC	Head of Curriculum and Head of Quality
Assignment of Invigilators	Current + 1 year	Recommended	JISC	Head of Curriculum
Pass lists / Assessment Results	Permanent Completion of programme + 10 years	Recommended	JISC	Head of Curriculum

Appendix 1

Complaints	6 years from date of settlement	Recommended	JISC	SLC Principalship
Appeals against exams	6 years from date of settlement	Recommended	JISC	Head of Curriculum
Appeals against assessments	3 years from date of settlement, or 5 years from date of settlement in the case of criminal investigation	Recommended	JISC	Head of Curriculum and Head of Quality

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Course Timetables	Current + 1 year	Recommended	JISC	Head of Curriculum and Head of Quality
Exam Timetables	Current + 1 year	Recommended	JISC	Head of Curriculum and Head of Quality
Internal Verification Sampling Records	Current + previous record (up to 3 years)	Recommended	SLC	Head of Curriculum and Head of Quality
Annual pre-delivery checklist	Current + 1 year	Recommended	SLC	Head of Curriculum and Head of Quality
IV standardisation meeting	Current + 1 year	Recommended	SLC	Head of Curriculum and Head of Quality
IV sampling meeting	Current + previous sampling	Recommended	SLC	Head of Curriculum and Head of Quality
Malpractice records and investigations	Current + 3 years following investigation or Current + 5 years following investigation	Recommended	SLC	Head of Curriculum and Head of Quality

	in the case of criminal proceedings			
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Service Bookings e.g. Restaurant or conference bookings

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Accommodation Booking Forms	Termination of agreement + 6 years	Statutory	Limitation Act 1980	Head of Facilities/Head of MIS
Hiring out conferencing facilities	Termination of agreement + 6 years	Statutory	Limitation Act 1980	Head of Facilities
Definition of catering requirements and evaluation of options for catering provision	Current + 5 years	Recommended	JISC	Head of Finance / Principalship
Design and delivery of catering services (menu plans / event plans)	Current + 2 years	Recommended	JISC	Head of Finance / Principalship

Contracts

Appendix 1

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Contract or agreement to supply training or services to third party	Termination of contract + 6 years	Statutory	Limitation Act 1980 c58	Head of Finance
Legal advice secured to negotiate / review / contracts and agreements	Termination of contract + 6 years	Statutory	Limitation Act 1980 c58	Head of Finance
Legal claim against breach of contract	Settlement/withdrawal of claim + 6 years	Statutory	Limitation Act 1980 c58	Head of Finance
Commercial Qualifications Quality Management Procedures	Current + 5 years	Contractual	ISO Requirement	Head of Quality and Depute Principal
SPS – Screening Tool	18 months	Contractual	SPS	Depute Principal
Skills Development Scotland (SDS) Modern Apprenticeship contract	At least 31.12 23 (as at 23.10.15)	Contractual	SDS	Head of Alternative Funding
Skills Development Scotland EF Funding Learn Direct CWP and MWP	Current + 10 years	Contractual	SDS	Head of Alternative Funding Learn Direct no longer in use
Cabinet Office Products <ul style="list-style-type: none"> • Terms and conditions • Qualification application forms • Exam booking forms • Exam confirmation • Confirmation of results • Feedback forms 	Current + 2 years	Contractual	APM Group	Head of Alternative Funding Not my responsibility

• Registers				
NDT Student Portfolios	Current + 11 years	Contractual	NDT	Head of Alternative Funding Not sure what this is
Leases – property and plant	Termination of contract + 6 years	Recommended	College	Head of Finance

Digital / ICT

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
ICT Strategy formulation, delivery and monitoring	Superseded + 5 years	Recommended	JISC	Head of MIS
ICT systems management policies and procedures	Superseded + 6 years	Recommended	JISC	Head of MIS
Design, development, monitoring and implementation of ICT systems	Decommissioning of system + 5 years	Recommended	JISC	Head of MIS
Maintaining project management records	Current year + 1 year	Recommended	JISC	Head of MIS
Helpdesk reporting	Current year + 1 year	Recommended	JISC	Head of MIS

Appendix 1

Data storage management records policies and procedures	Last action on request + 3 months	Recommended	JISC	Head of MIS
Software licence management	Issue of new licence + 3 years	Recommended	JISC	Head of MIS
Policies and procedures related to ICT security arrangements	Decommissioning of system + 5 years	Recommended	JISC	Head of MIS
ICT Change Control documentation	Decommissioning of system + 5 years	Recommended	JISC	Head of MIS
ICT systems user account management (this includes but not limited to the user profile, email, files, OneDrive and teams pages where they are the only author)	Closure of account + 1 year	Recommended	JISC	Head of MIS
ICT Waste Disposal Management Policies and Procedures	Disposal of equipment + 1 year	Recommended	JISC	Head of MIS
Specification of functional and technical requirements for IT hardware, software and networks	Current	Recommended	JISC	Head of MIS
Installation, testing and operation of hardware, software and networks	Current + 5 years	Recommended	JISC	Head of MIS
Operation of data backup and archiving routines	Current + 1 year	Recommended	JISC	Head of MIS

Appendix 1

Audit logging on systems for actions and changes based on system interactions. Include security-based logging for incident purposes	1 year maximum	Recommended	SLC	Head of MIS
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European Documentation (see Appendix 3)

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
European Regional Development Fund (ERDF) records and supporting documentation	20 years to reflect the life of the asset	Statutory	European Court of Auditors	Relevant Managers (see Appendix 3)
European Social Fund (ESF) records and supporting documentation	Anticipated to be 6 years after final payment of programme / project	Statutory	European Court of Auditors	Relevant Managers (see Appendix 3)
ESF Priority 5 2007-2013	Keep until 2032 or as otherwise advised by SFC	Contractual	European Court of Auditors	Relevant Managers (see Appendix 3)
ESF Priority 5 2014 onwards	Keep until 2032 or as otherwise advised by SFC	Contractual	European Court of Auditors	Relevant Managers (see Appendix 3)

Finance and Procurement

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Preparation of annual capital and revenue budgets (FFR)	Current financial year + 6 years	Recommended	JISC	Head of Finance
All financial transaction documents which would be required for annual audit purposes	Current Financial Year + 6 years	Statutory	Prescription and Limitation Act 1973	Head of Finance
Annual Accounts	Current financial year + 6 years	Recommended	JISC	Head of Finance
Management accounts – monthly	Current + 6 years	Recommended	JISC	Head of Finance
Fixed asset registers including disposal of asset authorisation forms	Current + 6 years	Recommended	JISC	Head of Finance
Formation and closure of subsidiary companies/joint ventures / arms length Foundation	Permanent	Recommended	JISC	Head of Finance
Reports on audits undertaken by the internal audit service providers (i.e. those appointed by the Board of Management) and any other external organisations.	Current contract and the full term of the previous contract or a minimum of 6 years, whatever is the higher.	Recommended	College	Head of Finance

Appendix 1

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Submission of tax returns / VAT return	Current + 6 years	Statutory	VAT Act 1994	Head of Finance
Contracts	6 years from end of contract	Statutory	National Archives	Head of Finance
Successful tenders	6 years after end of contract period	Statutory	National Archives	Head of Finance
Unsuccessful tenders	6 years from award of contract	Statutory	National Archives	Head of Finance
Contracts valued £5,000 and less (purchase orders)	2 years after end of contract (delivery date)	Statutory	National Archives	Head of Finance

Governance / Corporate Management / Compliance

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Establishment and development of College's legal framework	Life of institution	Statutory	F&HE(S) Act 1992 C13	SLC Principalship
Records documenting the establishment and development of the governance structure	Life of Institution (If document under this heading is superseded, the old version can be	Recommended	JISC	SLC Principalship

Appendix 1

	destroyed after 6 years)				
Records documenting appointment of Board members	Termination of Appointment + 6 years	Statutory	Limitation Act 1980 C58	SLC Principalship	
Training and Development records of Board Members	Current + 3 years	Recommended	JISC	SLC Principalship	
Register of Interests of Board members and Executive Team	Termination of appointment + 6 years	Recommended	JISC	SLC Principalship	
Board of Governors / Committee papers	Current + 20 years	Recommended	SLC	SLC Principalship	
Board of Governors / Committee Final Version minutes	Current + 20 years	Recommended	JISC	SLC Principalship	
Terms of Reference for Board Committees	Life of Institution (If document under this heading is superseded, the old version can be destroyed after 6 years)	Recommended	JISC	SLC Principalship	
Company Registers	Life of Company + 2 years from dissolution	Statutory	Companies Act 1985 S65	SLC Principalship	
Executive Team Meetings - papers and minutes	Current + 5 years	Recommended	SLC	SLC Principalship	
Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility	

Appendix 1

Internal Committee meetings – papers and minutes	Current + 5 years	Recommended	SLC	Chair of meeting
Team/Departmental meetings	Current + 2 years	Recommended	SLC	Chair of meeting
Strategic Plan / Regional Outcome Agreement	Permanent	Recommended	JISC	Depute Principal
Departmental Operational Plans	Current + 5 years	Recommended	College	Depute Principal
Risk register development and testing	Current + 10 years	Recommended	JISC	Head of Finance
Business continuity plans and testing	Current + 10 years	Recommended	JISC	Head of MIS
Freedom of Information Requests for Information / Appeals	Latest response to request + 6 years			SLC Principalship

Data Protection Policy	Superseded + 5 years	Recommended	JISC	Data Protection Team
Data Protection Procedures	Superseded +3 years	Recommended	JISC	Data Protection Team
Subject Access Requests / Data Protection Rights Requests	Latest correspondence + 3 years. Exceptionally, requests that are litigious in nature or involve legal representation will be stored until judicial	Recommended	South Lanarkshire College	Data Protection Team

Appendix 1

	right of appeal is exhausted.			
Privacy Notices	Conclusion of the activity to which the Privacy Notice relates + 6 years	Recommended	JISC	Data Protection Team
Notification of data controller details required by the Data Protection Act 2018	Current year + 1 year	Recommended	JISC	Data Protection Team
Record of Processing Activities	Permanent – update annually	Recommended	South Lanarkshire College	Data Protection Team & all department heads
Data Breach Register	Permanent – keep up-to-date	Recommended	South Lanarkshire College	Data Protection Team
Data Protection Impact Assessments	Superseded +3 years	Recommended	South Lanarkshire College	Data Protection Team & all department heads
Whistleblowing documents	6 months following the outcome (if a substantiated investigation). If unsubstantiated, personal data should be removed immediately	Statutory	Public Interest Disclosure Act 1998 and recommended IAPP practice	Clerk to the Board/Governance Professional

Health and Safety

Appendix 1

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Risk Assessment Reports	3 Years Assessment + 3 years	Statutory	Various	Head of Facilities
Monitoring of working environments Reports	Current + 40 years	Statutory	Various	Head of Facilities
COSHH Data Sheets	Current + 40 years	Statutory	Control of Substances Hazardous to Health Regulations 1994	Head of Facilities
Sick Pay, calculations, certificates, self-certificates, occupational health reports (including COVID-19 SSP claims)	Current + 6 years	Guidance (based on contractual claims, personal injury claim, HMRC guidance, etc)	Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 CIPD	Head of HR
Monitoring the health of employees / health surveillance reports	Current + years	Statutory	Various	Head of HR
Coronavirus job retention scheme	Current + 6 years	Statutory & Recommendation	Companies Act 1985 as modified by the Companies Acts 1989, 2006;	Head of Finance and Head of HR

Appendix 1

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
			Claim for Wages Through the Coronavirus Job Retention Scheme”	
Reporting and investigation of accidents and dangerous occurrences	Date of Accident + 40 years	Statutory	Limitation Act 1980	Head of Facilities
Electronic Accident records	Completion of electronic reporting system + 3 years	Statutory	Health and Safety at Work Act 1974	Head of Facilities
Accident Report – RIDDOR	Date of Entry + 3 years	Statutory	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	Head of Facilities
Accident reports	Date of occurrence + 3 years	Statutory	Health and Safety at Work Act 1974	Head of Facilities
Dangerous Occurrence Reports	Date of occurrence + 3 years	Statutory	Health and Safety at Work Act 1974	Head of Facilities

Intellectual Property Management

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
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Appendix 1

Registration of patents and trade marks	Permanent	Recommended	JISC	Data Protection Team
Control of disclosure of intellectual property / disclosure authorisation forms	Disclosure + 6 years	Statutory	Limitation Act 1980	Data Protection Team
Administration of intellectual property agreements	Termination of agreement + 6 years	Statutory	Limitation Act 1980	Data Protection Team
Agreements	Termination of agreement + 6 years	Statutory	Limitation Act 1980	Data Protection Team
Claims of infringement of intellectual property rights	Settlement of claim + 6 years	Statutory	Limitation Act 1980	Data Protection Team

Learning and Teaching

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Learning Teaching and Programme Reviews	Current + 2 years	Recommended	JISC	Head of Curriculum and Head of Quality
Learning and Teaching Assessment Materials	October the year following resulting	Recommended	JISC	Head of Curriculum
Student Destination Statistics	Permanent	Recommended	JISC	Head of Curriculum, Head of MIS and Head of Quality
SFC Annual Returns	Permanent	Recommended	SLC	Head of MIS

Library

Appendix 1

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Inter-library loan forms	Current + 6 years	Recommended	British Library	Head of Student Services
BLDSC Copyright Declaration forms	Current + 6 years	Recommended	British Library	Head of Student Services
Loan data/ reader data	Current + 3 years	Recommended	SLC	Head of Student Services
Outstanding loans records	Current + 6 years	Recommended	SLC (Financial Regulations)	Head of Student Services

Marketing / PR / Events / Alumni / Fundraising

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Marketing and Promotional Materials	Current + 5 years	Recommended	SLC	Head of Student Services and Head of Marketing
Press Cuttings / Coverage Statistics	Issue + 5 years	Recommended	SLC	Head of Student Services and Head of Marketing
Awards / Graduation Ceremony Programmes	Current + 5 years	Recommended	SLC	Head of Student Services and Head of Marketing
Competitor Information / Market Research	Current + 2 years	Recommended	JISC	Head of Student Services and Head of Marketing
Student / Staff Newsletters	Current + 5 years	Recommended	SLC	Head of Student Services and Head of Marketing

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
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Appendix 1

Identification of Fundraising Opportunities	Current + 20 years	Recommended	JISC	Director: Marketing and Communications
Personal data of individual Alumni	While current (or Likely to be current)	Recommended	JISC	Director: Marketing and Communications
Summary (anonymised) statistical records of alumni	Current Year + 10 years	Recommended	JISC	Director: Marketing and Communications
Results of alumni surveys and analysis of responses	Completion of survey + 3 years	Recommended	JISC	Director: Marketing and Communications
Records documenting the organisation and administration of alumni events	Completion of event + 1 year	Recommended	JISC	Director: Marketing and Communications
Fundraising Events / Campaigns (promotional material / guest lists / etc)	Current + 5 years	Recommended	SLC	Director: Marketing and Communications / Trust Fundraiser
Confirmation of scholarship and bursary support	Current + 20 years	Recommended	SLC	Director Business Development / Trust Fundraiser
Funding bids submitted	Current + 20 years	Recommended	SLC	Director Business Development / Trust Fundraiser
Donor / Sponsor summary records	Termination of Relationship + 20 years	Recommended	JISC	Director Business Development / Trust Fundraiser

Organisational Development / Human Resources

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
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Appendix 1

Recruitment and Selection (e.g. staffing requests, adverts, job application forms, interview notes, test results, references, for unsuccessful candidates)	12 months for unsuccessful candidates	Statutory	Various Discrimination legislation; and Limitation Act 1980	Head of HR
Right to work in the UK checks	2 years after employment ends	Recommendation	Home Office	Head of HR
Personal pension records	12 years after the benefit ceases	Recommendation	Pensions Regulator; and CIPD recommendation	Head of HR
Pension scheme investment policies	12 years from the ending of any benefit payable under the policy	Recommendation	CIPD	Head of HR
Retirement benefit schemes – records of notifiable events, for example relating to incapacity	6 years from the end of the scheme year in which the event took place	Statutory	Retirement Benefits Schemes (Information Powers) Regulations 1995	Head of HR
Money purchase details i.e. MPAA	6 years after transfer or value taken	Recommended	CIPD	Head of HR
Payroll and Wages Records (including SSP from 01.08.13)	Current + 6 years from the end of the tax year to which they relate;	Statutory	HM Revenues & Customs Taxes Management Act	Head of HR

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			1970; National Minimum Wage Act 1998.	
Statutory maternity pay records, calculations, certificates (Mat B1s) or other medical evidence (also shared parental, paternity and adoption pay records)	3 years after the end of the tax year in which the maternity period ends	Statutory	Statutory Maternity Pay (General) Regulations 1986 as amended Maternity & Parental Leave Regulations 1999	Head of HR
Parental Leave	18 years from the birth of the child	Recommended	CIPD	Head of HR
Inland Revenue / HMRC Approvals	Permanently	Recommended	HMRC and CIPD	Head of HR and Head of Finance
Income Tax and NI Returns, income tax records and correspondence with HMRC	Current + 3 years after end of financial year	Legislative	Income Tax (Employments) Regulations 1993 as amended 1996	Head of HR
First Aid training, Fire Warden training	6 years after employment	Statutory	Health & Safety (First Aid) Regulations (1981); Fire Precautions (Workplace) Regulations 1997	Head of Facilities and Head of HR

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Health & Safety representatives and employees' training	5 years after employment	Statutory	Health & Safety (Consultation with Employees) Regulations (1996); Health & Safety Information for Employees Regulations (1989)	Head of Facilities and Head of HR
Employee files and training records (including formal disciplinary records and working time records)	6 years after employment ceases (note: it may be unreasonable to refer to expired warnings after two years have elapsed)	Statutory and Recommendation	Limitation Act 1980; CIPD	Head of HR
Terms and conditions including offers, written particulars, and variations	6 years after employment ceases or the terms are superseded	Recommended	CIPD	Head of HR
National minimum wage records	3 years after the end of the pay reference period following the one that the records cover	Statutory	National Minimum Wage Act 1998	Head of HR

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Employment records relating to children and young adults	Until the child / young adult reaches the age of 21	Statutory	Limitation Act 1980	Head of HR
Working time records including overtime, annual holidays, jury service, time off for dependents etc.	Current + 2 years	Statutory	Working Time Regulations (1998)	Head of HR
Collective agreements	6 years after the agreement ends	Recommended	CIPD	Head of HR
COVID-19 vaccination records	Current + 6 years	Recommended	CIPD	Head of HR
Driving offences	Removed once the conviction is spent	Statutory	Rehabilitation of Offenders Act 1974	Head of HR
Flexible working requests	18 months following any appeal	Recommended	CIPD	Head of HR
Redundancy details, calculations of payments, refunds	6 years from the date of redundancy	Recommended	CIPD	Head of HR
Termination of employment e.g. early retirement, death in service, etc.	Until employee reaches age 100	Statutory	ICO	Head of HR
Timesheets	2 years after audit period	Recommended	CIPD	Head of HR
Trade Union agreements including local Recognition	10 years after ceasing to be effective	Recommended	CIPD	Head of HR

and Procedure Agreements (RPA)				
JNC / JCC papers (Consultations / negotiations with trades unions on specific issues)	Current + 5 years	Recommended	SLC	Head of HR

Plant and Equipment Maintenance

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Conduct of testing, maintenance and statutory inspections, and any necessary corrective action	Life of plant / equipment + 6 years	Statutory	Limitation Act 1980	Head of Facilities
Maintenance schedules	Current + 2 years	Recommended	JISC	Head of Facilities
Corrective action schedules	Current + 2 years	Recommended	JISC	Head of Facilities
Inspection certificates	Current + 6 years	Recommended	JISC	Head of Facilities
Maintenance certificates	Life of plant / equipment + 6 years	Statutory	Limitation Act 1980	Head of Facilities
Repair reports	Life of plant / equipment + 6 years	Statutory	Limitation Act 1980	Head of Facilities
Records relating to management of leased vehicle fleet	Current + 1 year	Recommended	SLC	Head of Facilities
Driver declarations	Current + 1 year	Recommended	SLC / Insurers	Head of Facilities

Minibus test records for staff	Current + 3 years	Recommended	SLC / Insurers	Head of Facilities
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Premises / Estates / Environmental

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Title deeds	Disposal of property	Recommended	JISC	Head of Finance
Leases	Disposal of property	Recommended	JISC	Head of Finance
Mortgage deeds	Termination of mortgage + 6 years	Recommended	JISC	Head of Finance
Planning applications	Disposal of property	Recommended	JISC	Head of Facilities
Documentation and certification for all aspects of Planned Maintenance Works	Current + 6 years	Statutory	CDM Regs	Head of Facilities

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Documentation and certification for all aspects of Reactive Maintenance Works	Current + 2 years	Recommended	College	Head of Facilities
Building plans / drawings for Project Works	Disposal of property	Recommended	JISC	Head of Facilities

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Removal of hazardous materials from properties	Disposal of Property + 6 years	Recommended	JISC	Head of Facilities
Conduct and results of security inspections of properties	Subsequent inspections	Recommended	JISC	Head of Facilities
Property access controls to secure areas	Creation + 2 years	Recommended	JISC	Head of Facilities
CCTV recordings	Creation + 1 month	Recommended	JISC	Head of Facilities
CCTV Incident recordings	Creation + 3.5 years	Recommended	College	Head of Facilities
Despatch and delivery of mail (courier logs/postage logs)	Current + 3 months	Recommended	College	Head of Student Services
Register of visitor badges	2 years	Recommended	College	Head of Student Services
Records of badges issued to staff, students and Board members	Expiry of badge + 1 year	Recommended	College	Head of Student Services
Conduct of routine security surveillance of properties	Creation + 1 month	Recommended	JISC	Head of Facilities
Security breaches or incidents and action taken	Last action on incident + 3 year	Recommended	JISC	Head of Facilities
Records documenting any pre- commissioning examinations and post-commissioning of lifting equipment and ancillaries	Issue of report + 2 years	Recommended	JISC	Head of Facilities

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Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Insurance Policies	Termination of Policy + 6 years	Statutory	Limitation Act 1980	Head of Finance
Filing of claims against insurance policies (claims / reports)	Settlement of claim + 6 years	Statutory	Limitation Act 1980	Head of Finance
Notification and reporting of reportable environmental incidents to enforcing authorities	Date of notification + 5 years	Statutory	Environmental Protection Act 1990	Head of Facilities
Monitoring use and consumption of energy	Current year + 5 years	Recommended	JISC	Head of Facilities
Classification, collection and storage of controlled waste prior to removal from the premises for disposal	Removal of waste + 2 years	Recommended	JISC	Head of Facilities
Classification, collection and storage of special waste prior to removal from the premises for disposal	Removal of waste + 3 years	Recommended	JISC	Head of Facilities
Room booking reports / database	Date of booking	Recommended	JISC	Head of Curriculum
Despatch and delivery of mail (courier logs / postage logs)	Current + 3 months	Recommended	JISC	Head of Student Services
Booking of vehicles (taxis)	Current + 3 months	Recommended	JISC	Head of Facilities
Provision of document production services (print / production requisitions)	Completion of job + 3 months	Recommended	JISC	Head of Student Services

Quality Management

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Quality Management policies and procedures	Superseded + 5 years	Recommended	JISC	Head of Quality
Internal Quality Audit Records	Current + 3 years	Recommended	TQS	Head of Quality (and Head of Finance for reports which are presented to the Board of Management)
External Quality Audit Records	Current + 3 years	Recommended	TQS	Head of Quality (and Head of Finance for reports which are presented to the Board of Management)
Attainment and maintenance of accreditation under independent quality management schemes and external approvals, eg ISO	Termination of accreditation + 1 year	Recommended	JISC	Head of Quality, Head of Finance and Head of MIS
Complaints	5 years	Recommended	JISC	SLC Principalship
Academic Approvals	Permanent	Recommended	JISC	Head of Quality and Head of Curriculum
Student Survey data (completed questionnaires)	Current + 1 year	Recommended	JISC	Head of Quality, Head of Curriculum and Head of MIS

Student Surveys – reports / statistics	Permanent	Recommended	JISC	Head of Quality, Head of Curriculum and Head of MIS
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Students / Students' Association

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Personal Learning Support Plans	Current + 10 years	Recommended	JISC	Head of Student Services Warning - Should be retained to 2035 as part of ESF retention rules – see below
Social Support Plan	Current + 10 years	Recommended	College	Head of Student Services
Student Hardship Assessments	Current + 10 years	Recommended	College	Head of Student Services
Student Files	Termination of relationship + 6 years	Recommended	JISC	Head of Student Services and Head of MIS
Student Attendance Registers (electronic only)	Current + 6 years	Recommended	SLC	Head of MIS

Document	Minimum Retention Period	Statutory / Recommended	Source	Responsibility
Provision of information to / about current / past students (eg reference requests, confirmation of attendance etc)	Completion of request + 1 year	Recommended	JISC	Head of MIS
Student disciplinary records	Termination of	Recommended	JISC	Head of Curriculum

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	Relationship + 6 years			
Formation, management and operation of Students' Association	life of the Institution (If document under this heading is superseded, the old version can be destroyed after 6 years)	Recommended	JISC	Head of Student Services
Organisation of student activities and events	Current + 5 years	Recommended	JISC	Head of Student Services
Student Handbooks / FCSA Alternative Handbook	Issue + 2 years	Recommended	College	Head of Student Services
Student medical documentation	Termination of relationship + 6 years	Recommended	JISC	Head of Student Services
Record of enquiries made by prospective students	Current academic year + 1 year	Recommended	JISC	Head of Student Services
Analysis of enquiries, recruitment, and retention data	Current academic year + 5 years	Recommended	JISC	Head of MIS
Successful applications and enrolment forms	Termination of relationship + 6 years	Recommended	JISC	Head of Student Services and Head of MIS
Successful transition forms	Termination of relationship + 6 years	Recommended	JISC	Head of MIS
Unsuccessful applications	Current academic year + 1 year	Recommended	JISC	Head of Student Services
Unsuccessful transition forms	Current academic year + 1 year	Recommended	JISC	Head of MIS

SOUTH LANARKSHIRE COLLEGE

Procedure for Archiving Documentation

To Store Materials

- A named person should be identified within each area (Designated Co-ordinator) to take responsibility for the operational aspects of archiving. This person will liaise with the Archive Co-ordinator in order to ensure that archiving is carried out in accordance with South Lanarkshire College policy. Advice should be sought on retention periods from the Director: Governance and Compliance where necessary.
- Identify records to be archived based on information contained within the Document Retention Guide.
- Obtain a supply of Archive Storage Boxes. These can be ordered from Lyreco.
- Pack records into archive boxes and ensure that **all** documents are removed from lever arch files and labelled accordingly. It is the responsibility of the Designated Co-ordinator to undertake this task and boxes will not be accepted for storage if this has not been done. Each box should be assigned a box number (see Box Code note on Archive Form). An Archive Form should be completed for each box and a copy of the Archive Form should be put into the box. **A copy of the Archive Form should also be sent to the Archive Coordinator so that details of the box can be added to the database of archive boxes.**
- Each area must keep a record of what is in each box. It is the responsibility of the Designated Co-ordinator to keep their own archive records and negotiate with the Archive Co-ordinator to set a date by which the materials can be destroyed, in line with the Document Retention Guide.
- The Designated Co-ordinator should email facilitieshelpdesk@slc.ac.uk to arrange a date and time that is suitable for the archiving to be uplifted and ensure that a copy of the Archive Form is inside the box.
- The Archive Co-ordinator will contact the Facilities department to arrange for the boxes to be uplifted and taken to the appropriate storage area. The box will be assigned a location number and the details of each box will be logged on a database held by the Archive Coordinator.

To Retrieve Materials

- Individual files cannot be returned from the archive store, only boxes.
- Each area should identify the boxes which need to be retrieved. From storage records, it should be easy to identify which box or boxes are required and also the box identifier number.
- The Designated Co-ordinator should email facilitieshelpdesk@slc.ac.uk stating which box numbers are to be retrieved.
- The Archive Co-ordinator will contact the Facilities department and provide the location number(s) of the box(es) required for retrieval.
- To return the box(es) to the archive store, follow the procedure for storage as stated above.

SOUTH LANARKSHIRE COLLEGE

European Documentation

The following documentation requires to be kept for the timescales outlined by the Head of Alternative Funding for European documentation:

In order to ensure all evidence relating to activity financed by European Structural Funds is safely retained, the Head of Alternative Funding should sign off destruction of archived materials

Student Information Management (Head of MIS)

- Enrolment forms
- Attendance registers – electronic
- Withdrawal forms
- Qualifications achieved
- Destination information

HR (Head of HR)

- Payroll records
- Job descriptions
- Contracts of employment

Finance (Head of Finance)

- Invoices
- Petty cash requests
- ITRs
- Expense claims
- Bank statements
- BACS payments (bursary, childcare, Discretionary)
-

- College account information proving apportioned cost calculations
- Procurement records
- Internal and external audit reports on EU funded activity or capital funding

Departments (Curriculum Manager)

- Guidance records
 - Details of qualifications and achievements
- PLSPs

Bursary/Childcare and Discretionary Funds

Applications

Supporting evidence

Bursary/childcare/discretionary award letters

Invoices from childcare providers

IT (Head of MIS)

- Student records systems
- Tokairo records
- Archived versions of what is held on the above systems

All student records and financial paperwork from academic year 2007-08 will be retained to cover outstanding payments for European projects. The requirement for this will be reviewed annually.

Board of Management / Executive Team (Depute Principal / Head of Finance / Head of Alternative Funding / Head of Human Resources)

- Minutes of meetings where approval of European projects is confirmed
- Copies of all tender documents
- tender procedures

- all competitive tendering documents
- list of tenders and values tendered
- minutes of meeting to appoint a particular contractor
- Legal agreements with partners



South
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College

East Kilbride