

 <p><i>Inspiring learning to achieve success</i></p>	<p>Policy Number: PP-CD- 05</p> <p>Version: 1</p> <p>Issue Date: January 2016</p> <p>Review Date: January 2018</p>
<p>Policy title: Record Retention and Destruction Policy</p>	
<p>Policy author:</p>	<p>Heath Rawles</p>
<p>Policy Owner:</p>	<p>Heath Rawles</p>
<p>Impact assessment status:</p>	<p><input checked="" type="checkbox"/> Initial screening complete, no adverse impact/potential for adverse impact</p> <p><input type="checkbox"/> Full impact assessment required</p>
<p>Approved by: SLT</p>	<p>Date: January 2016</p>
<p>If you need help reading this document, or require it in a different format, please call 01794 523857</p> <p>Chief Executive Officer: Elizabeth Young</p>	
	

1. Introduction

This document outlines the policy that relate to retaining and destroying of records for FNTC Training and Consultancy.

The purpose of this policy is to ensure that necessary records and documents of FNTC Training are adequately protected and maintained and that any records that are no longer needed or are of no value are appropriately discarded or destroyed.

This policy will also support employees to understand their obligations in retaining electronic documents including email, web files, sound and movie files, PDF documents and all Microsoft office or other formatted files.

2. Scope

This policy applies to all physical records and electronic documents (described above) generated in the course of FNTC Training's operation, including both original documents and reproductions.

This policy is intended for all staff

3. Objectives

Appendix A, is a record retention schedule that is approved as the initial maintenance, retention and disposal schedule for physical records of FNTC Training and Consultancy and the retention and disposal of electronic documents. The Office Manager (OM) is responsible for the administration of this policy and the implementation of the process and procedures, to ensure that the record retention schedule is followed. The administrator is also authorized to make modifications to the record retention schedule from time to time, to ensure that it is in compliance with governing bodies and includes the appropriate document and records for FNTC Training and Consultancy.

90% of FNTC income is generated from government bodies including the Skills Funding Agency, Education Funding Agency and the Student Loans Company. Monies awarded by the aforementioned bodies are co-financed by the European Social Fund (ESF). It is a requirement of the ESF programme, that all documents necessary to verify the Co-financed provision are retained for 3 years from the final payment from the EU to the Government which is expected to be 31 December 2022.

Storage locations for documents will either be in one of FNTC offices or a secure unit.

4. Responsibilities

CD- Responsible for the policy

OM- Responsible for the implementation

Suspension of record disposal in event of litigation or claims

In the event that FNTC Training is served with any request for documents or any employee becomes aware of an audit concerning FNTC Training, such employee shall inform the administrator and any further disposal of documents shall be suspended until the request or audit is completed. The

administrator shall take such steps as is necessary to promptly inform all staff in the further disposal of documents.

5. Implementation/procedures

Record Retention Schedule

5a. Accounting and finance

Record type	Retention Period
Accounts payable ledgers and schedules	7 years
Accounts receivable ledgers and schedules	7 years
Annual audit reports and financial statements	permanent
Annual audit records, including work papers And other documents that relate to the audit	7 years after completion of audit
Annual plans and budgets	2 years
Bank statements and cancelled cheques	7 years
Employee expense reports	7 years

Record type	Retention Period
Interim financial statements	7 years
Notes receivable ledgers and schedules	7 years
Investment records	7 years after sale of investment
Credit card records (documents showing Customer credit card number)	2 years

5b. Credit card record retention and destruction

A credit card may be used to pay certain FNTC Trainings products and services pertaining to the business of FNTC.

All records showing customer credit card numbers should be locked in a desk drawer or a file cabinet when not in immediate use by staff.

If it is determined that information on a document, which contains credit card information is necessary for retention beyond 2 years, then the credit card number will be cut out of the document.

5c. Contracts

Record type

Retention Period

Government Contracts and related correspondence for workings with the SFA, EFA, and SLC

31 December 2022 or 7 years after expiration or termination which ever is the later

5d. Corporate records

Record type

Retention Period

Corporate records including minutes

permanent

Licenses and permits

Permanent

Learner Records

31 December 2022 or 7 years after expiration or termination which ever is the later

Blue learner files

31 December 2022 or 7 years after expiration or termination which ever is the later

5e. Personnel Records

Record Type

Employee personnel records

7 years

Employee contract

7 years

5f. Property Records

Record Type

Correspondence, property deeds, assessments, licenses

permanent

Original Purchase/Sales/Lease agreements

permanent

5g. Correspondence and internal memoranda

General principle:

Most correspondence and internal memoranda should be retained for the same period as the document they pertain to or support. For instance, a letter pertaining to a particular contract would be retained as long as the contact (7 years after expiration). It is recommended that records that support a particular project be kept with the project and take on the retention time of the particular project file.

Correspondence or memoranda that do not pertain to documents having a prescribed retention period should be generally discarded sooner. These may be divided into two general categories:

Those pertaining to routine matters and having no significant, lasting consequences should be discarded within two years. Some examples may include:

- Routine letters and notes that require no acknowledgement or follow, such as notes of appreciation, congratulations, letter of transmittal and plans for meetings.
- Form letters that require no follow up.
- Letters of general inquiry and replies that complete a cycle of correspondence.
- Letters of complaints requesting specific action that have no further value after changes are made or action taken (such as name or address change)
- Other letters of inconsequential subject matter or that definitely close correspondence to which no further reference will be necessary
- Chronological correspondence files.

Please note that copies of interoffice correspondence and documents where a copy will be in the originating department file should be read and destroyed, unless that information provides reference to or direction to other documents and must be kept for project traceability.

5h. Electronic documents

- Electronic Mail; Not all email needs to be retained, depending on the subject matter
- All email- from internal or external sources - is to be deleted after 12 months.
- Staff will strive to keep all but insignificant minority of their email related to business issues.
- All FNTC Training business related email should be downloaded to a service centre or user directory on the server.
- Staff will not store or transfer FNTC Training related email on non-work related computers except as necessary or appropriate for FNTC Training purposes.

- Staff will take care not to send confidential/proprietary FNTC Training's information to outside sources.
- Any email staff deems vital to the performance of their job should be copied to the staff's specific folder, and printed and stored in the employee's workspace.

Electronic documents: including Microsoft office suite and PDF files. Retention also depends on the subject matter.

- **PDF Documents-** The length of time that a PDF file should be retained should be based upon the content of the file and the category under the various sections of this policy. The maximum period that a PDF file should be retained is 6 years. PDF files the employee deems vital to the performance of his or her job should be printed and stored in the employee's workspace.
- **Text/ formatted files-** staff will conduct annual reviews of all text/formatted files (e.g. Microsoft word documents) and will delete all those they consider unnecessary or outdated. After five years, all text files will be deleted from the network and the staff's desktop/laptop. Text/ formatted files the staff vital to the performance of their job should be printed and stored in the staff's workspace.
- **Web page files: internet cookies-** all work stations: internet explorer should be scheduled to delete internet cookies once per month.

FNTC Training does not automatically delete electronic files beyond the dates specified in this policy; it is the responsibility of all staff to adhere to the guidelines specified in this policy.

FNTC now has use of 'the cloud (a remote server)' and all electronic information stored through 'the cloud' is backed up. All information on FNTC's cloud server is saved in the UK. FNTC use the Providers Integrated Client System (PICS) which electronically stores all information regarding learners Individual Learning Record.

In certain cases a document will be maintained in both paper and electronic form. In such cases the official document will be the electronic document.

6. Communication

Once approved this policy and procedure will be shared via all staff email and stored in [Cross Centre\Policies and Procedures](#) . The policy and procedure will be discussed at team meetings as well as being added to the office files for all staff to have reference.

7. Monitoring and Evaluation

The Record Retention and Destruction policy to be checked and reviewed on a quarterly basis.

8. Associated information, Guidance and related Policies

Management of Data and Information Policy & Procedure	- PP-CD-03
Accounts Policy	- PP-CD- 04
Whistle blowing Policy	- PP-HRO-05

Initial Equality Impact Assessment	
Audit Prompt	Response
Name of document: Record, Retention and Destruction Policy	
Author of document: Heath Rawles	
Initial screening questions	
1. What is the aim or purpose of the document?	The aim of this policy is to ensure that necessary records and documents of FNTC Training are adequately protected and maintained and that any records that are no longer needed or are of no value are appropriately discarded or destroyed.
2. Who is affected by the document? <ul style="list-style-type: none"> • Staff • Learners (please indicate which groups) • Members of the general public (please specify who) 	All stakeholders including <ol style="list-style-type: none"> 1. Staff 2. Learners 3. Suppliers 4. Partners
3. Has anyone complained about the document? (if yes, give details)	No
4. Does the document have the potential to cause adverse impact or discriminate against different groups of people?	No
5. Does the document make a positive contribution to equality & diversity in the Centre?	Yes

A full impact assessment will be needed if this initial screening reveals an adverse impact, or potential for adverse impact on people with protected characteristics.

Refer to full Impact Assessment (Yes/No) and reasons why	
If yes, Priority Level (High, Medium, Low)	

Signed:



Name: Heath Rawles

Date: 08/03/2016

