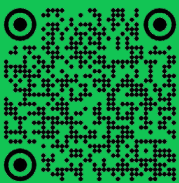


# Data Retention and Schedule Policy



This policy is available on our website:

<https://www.ngtc.co.uk/student-services/our-policies/> or scan the QR code

|                   |                                    |
|-------------------|------------------------------------|
| Author ID:        | LD                                 |
| Version:          | 3.4                                |
| Policy Title:     | Data Retention and Schedule Policy |
| Last Review Date: | December 2023                      |
| Next Review Date: | December 2024                      |

## Summary of Changes

[illegible]

## **1. POLICY**

- 1.1 New Generation Training and Consultancy (NGTC) must, in respect of its processing of personal data, comply with the Data Protection Act 2018, the General Data Protection Regulation 2016/679, and any relation legislation (together, "Data Protection Laws").
- 1.2 This Retention Schedule should be read in conjunction with NGTC General Data Protection Regulation policy statement, which sets out NGTC's overall approach to data protection matters and sets out the rationale for why a Retention Schedule is required for data.
- 1.3 NGTC is under a legal obligation only to keep personal data for as long as NGTC needs it. Once NGTC no longer needs personal data, NGTC must securely delete it. NGTC recognises that the correct and lawful treatment of data will maintain confidence in NGTC and will provide for a successful working environment. NGTC may store data for longer periods if the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes, subject to the implementation of appropriate technical and organisational measures to safeguard the rights and freedoms of the data subject.
- 1.4 NGTC shall not keep personal data in a form that permits identification of data subjects for a longer period than is necessary, in relation to the purpose(s) for which the data was originally collected.
- 1.5 This Schedule applies to NGTC employees, consultants, contractors and temporary personnel hired to work on behalf of NGTC Personnel.
- 1.6 NGTC Personnel with access to personal data must always comply with this Retention Schedule. If you have any queries regarding this Retention Schedule, please consult your manager and/or the Data Protection Officer. You are advised that any breach of this Retention Schedule will be treated seriously and may result in disciplinary action being taken against you.
- 1.7 NGTC Personnel will receive a copy of the Schedule when they start and may receive periodic revisions of this Schedule. This Schedule does not form part of any NGTC Personnel's contract of employer and NGTC reserves the right to change this Schedule at any time.

## **2. ABOUT THIS POLICY**

This Retention Schedule explains how NGTC complies with our legal obligation not to keep data for longer than we need it and sets out when different types of data will be deleted. In particular, it sets out details of NGTC policies for the retention of Special Category personal data.

## **3. DATA RETENTION PERIODS**

- 3.1 NGTC has assessed the types of data that it holds and the purposes it is used for. The table below sets out the retention periods that NGTC has set for the different departments within NGTC, and the different types of data that they each hold.
- 3.2 If any member of NGTC Personnel considers that a particular piece of personal data needs to be kept for more or less time than the period set out in this policy, please contact the Data Protection Officer for guidance.

#### 4. RETENTION PERIODS FOR DIFFERENT CATEGORIES OF DATA

| Type of data                                                                                                                                                                    | When will NGTC delete it ?                                                                                                                                                                                                  | Action following Retention |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|
| <b>Accidents and Insurance</b>                                                                                                                                                  |                                                                                                                                                                                                                             |                            |
| Accident reports and relevant correspondence                                                                                                                                    | 3 years after settlement Insurance schedules                                                                                                                                                                                | Destroy                    |
| Insurance Claims correspondence                                                                                                                                                 | 80 years                                                                                                                                                                                                                    | Destroy                    |
| <b>Contracting and Tenders</b>                                                                                                                                                  |                                                                                                                                                                                                                             |                            |
| Income Contracts - Contractual documentation including original contract and any contract variations, notices / correspondence, performance and notes of meetings               | Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF cofinanced - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy                    |
| Expenditure Contracts - Contractual documentation including original contract and any contract variations, notices / correspondence, supplier performance and notes of meetings | Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF cofinanced - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy                    |
| Service Level Agreements (non-monetary) - Original SLA and any contract variations, notices / correspondence, performance and notes of meetings                                 | Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF cofinanced - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy                    |
| Agents Contracts - Contractual documentation including original contract and any contract variations, notices / correspondence, supplier performance and notes of meetings      | Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF cofinanced - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy                    |
| Indemnities and guarantees                                                                                                                                                      | 6 years after expiry or longer as determined by the Contract                                                                                                                                                                | Destroy                    |
| Disputes and Litigation - Records documenting negotiation, establishment and settlement of dispute and / or claims                                                              | Settlement of claims + 6 years OR withdrawal of claim + 6 years                                                                                                                                                             | Destroy                    |
| Records as defined by the Contract - Documents required to be held in accordance with income, expenditure, agent contracts or SLAs, e.g. learner records                        | Termination of contract / financial year in which contract terminated + 6 years (unless a Deed and then + 10 years, or ESF cofinanced - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy                    |

|                                                                      |             |         |
|----------------------------------------------------------------------|-------------|---------|
| Intellectual Property - any copyright, patent and trade mark records | Permanently | Destroy |
| Tender documents                                                     | 7/15 years  | Destroy |

### **Corporate Governance**

|                                                                                                                                                                                                                                                                                                                              |                                  |         |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|---------|
| Policies and Procedures - Records documenting the development and establishment of policies and procedures                                                                                                                                                                                                                   | Superseded + 5 years             | Destroy |
| Statutory Records and Registers - memorandum and articles of association - certificate of incorporation - seal book/register - register of directors and secretaries, directors' interests, interests in voting shares, charges and members - Minutes of general and class meetings, directors' minutes, written resolutions | Originals to be kept permanently | Destroy |

### **Estates**

|                                         |                                         |         |
|-----------------------------------------|-----------------------------------------|---------|
| Agreements with architects builders etc | Six years after contract completion     | Destroy |
| Deeds of Title                          | Permanently                             | Destroy |
| Leases                                  | Twelve years after lease has terminated | Destroy |
| Licensing agreements                    | Six years after expiry                  | Destroy |
| CCTV recordings                         | 28 days                                 | Destroy |
| Security Information                    | Current academic year + 5 years         | Destroy |

### **Examinations**

|                                                                                                                                                              |          |         |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|---------|
| Records documenting & establishment of NGTC's assessment & examination including the control of examination papers & scripts and timetabling of examinations | 10 years | Destroy |
| Records documenting the organisation of examination facilities, including special arrangements for learners with special needs                               | 2 years  | Destroy |
| Arrangements for assessment & examinations                                                                                                                   | 7 years  | Destroy |
| Pass/Qualification/Award Lists                                                                                                                               | 10 years | Destroy |

### **Finance and Accounting**

|                                                                                                                                                                                                                                                                                  |                                                                                   |         |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|---------|
| Financial Forecasts                                                                                                                                                                                                                                                              | 3 years                                                                           | Destroy |
| Capital and Revenue Budgets                                                                                                                                                                                                                                                      | 3 years                                                                           | Destroy |
| European Funding - All original documentation including: - Application Form and approval letters - Claim forms - Audit Reports - Project closure report - Match Funding Certificates - All correspondence - Project records - Individual beneficiary records - Financial records | For a period of 6 years following final payment by the European Commission to DWP | Destroy |
| Accounting for income                                                                                                                                                                                                                                                            | 6 years                                                                           | Destroy |
| Sales ledgers, credit notes, till rolls, remittance advices                                                                                                                                                                                                                      | 6 years                                                                           | Destroy |
| Sales invoices                                                                                                                                                                                                                                                                   | 6 years                                                                           | Destroy |
| Statements                                                                                                                                                                                                                                                                       | 1 year                                                                            | Destroy |
| Accounting for expenditure                                                                                                                                                                                                                                                       | 6 years                                                                           | Destroy |
| Payment authorisations, credit notes, purchase ledgers, cheque authorisations, BACS reports, staff expense claims, petty cash authorisations, petty cash receipts, petty cash books, journal vouchers                                                                            | 6 years                                                                           | Destroy |
| Purchase invoices                                                                                                                                                                                                                                                                | 6 years                                                                           | Destroy |
| Financial analysis                                                                                                                                                                                                                                                               | Permanent                                                                         | Destroy |
| Annual Financial Statements                                                                                                                                                                                                                                                      | Permanent                                                                         | Destroy |
| Monthly Management Accounts                                                                                                                                                                                                                                                      | 1 year                                                                            | Destroy |
| Bank accounts                                                                                                                                                                                                                                                                    | 6 years                                                                           | Destroy |
| Pay-in slips                                                                                                                                                                                                                                                                     | 6 years                                                                           | Destroy |
| Cash receipt data                                                                                                                                                                                                                                                                | 6 years                                                                           | Destroy |
| Bank Statements                                                                                                                                                                                                                                                                  | 6 years                                                                           | Destroy |
| Cancelled cheques                                                                                                                                                                                                                                                                | 6 years                                                                           | Destroy |
| Capital Asset Register -major items                                                                                                                                                                                                                                              | Permanent                                                                         | Destroy |
| Capital Asset Register - other items                                                                                                                                                                                                                                             | 12 years                                                                          | Destroy |
| Asset Disposal Authorisation Forms                                                                                                                                                                                                                                               | 1 year                                                                            | Destroy |
| Journal accounting transactions                                                                                                                                                                                                                                                  | 1 year                                                                            | Destroy |
| Monitoring of actual against planned expenditure                                                                                                                                                                                                                                 | 1 year                                                                            | Destroy |
| Budget reports                                                                                                                                                                                                                                                                   | 1 year                                                                            | Destroy |
| Acquisition/disposal of investments                                                                                                                                                                                                                                              | Permanent/ 6 years after disposal                                                 | Destroy |
| Investment instructions                                                                                                                                                                                                                                                          | 6 years                                                                           | Destroy |
| Share Certificates                                                                                                                                                                                                                                                               | 6 years                                                                           | Destroy |
| Investment Portfolio Reports                                                                                                                                                                                                                                                     | 6 Years                                                                           | Destroy |
| Assessment of tax liabilities                                                                                                                                                                                                                                                    | 6 years                                                                           | Destroy |
| VAT account                                                                                                                                                                                                                                                                      | 6 years                                                                           | Destroy |
| Submission of Tax Returns                                                                                                                                                                                                                                                        | 6 years                                                                           | Destroy |
| VAT Return                                                                                                                                                                                                                                                                       | 6 years                                                                           | Destroy |
| Corporation Tax Returns                                                                                                                                                                                                                                                          | 2 years                                                                           | Destroy |
| PAYE/NI/Returns                                                                                                                                                                                                                                                                  | 6 years                                                                           | Destroy |

|                                          |         |         |
|------------------------------------------|---------|---------|
| Register of Gifts & Hospitality received | 6 years | Destroy |
|------------------------------------------|---------|---------|

| <b>Funding</b>                                                        |                                 |         |
|-----------------------------------------------------------------------|---------------------------------|---------|
| Compare ILR records (data dumps)                                      | Current academic year + 7 years | Destroy |
| External Funding Submission reports                                   | Current academic year + 7 years | Destroy |
| ILR Funding Software outputs (MDB format)                             | Current academic year + 7 years | Destroy |
| ILR raw data files (XML or Flat File formats)                         | Current academic year + 7 years | Destroy |
| Planning tools                                                        | Current academic year + 7 years | Destroy |
| Records relating to Planning and performance monitoring meetings.     | Current academic year + 7 years | Destroy |
| Records relating to the Annual Assurance Plan                         | Current academic year + 7 years | Destroy |
| Records relating to the carrying out and reporting of external audits | Current academic year + 7 years | Destroy |
| Records relating to the carrying out and reporting of internal audits | Current academic year + 7 years | Destroy |
| Exec reports                                                          | Current academic year + 7 years | Destroy |

| <b>Health and Safety</b>                                                                                            |                                                                                             |         |
|---------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|---------|
| Accident records/reports (see below for accidents with potential to cause ill health under COSHH or Asbestos) (H&S) | 6 Years                                                                                     | Archive |
| Asbestos                                                                                                            | Permanent                                                                                   | Archive |
| Emergency Procedures                                                                                                | 3 Years                                                                                     | Archive |
| Fire appliances                                                                                                     | Fire alarm and detection system test & maintenance records 3 years , Fire evacuation drills | Archive |
| Fire Risk assessment                                                                                                | Permanent                                                                                   | Archive |
| H&S Audits and Inspections                                                                                          | Permanent - 6 years archive                                                                 | Archive |
| Health and Safety Policy                                                                                            | Permanent - 6 years archive                                                                 | Archive |
| H&S Training Records: all types of training                                                                         | 6 years                                                                                     | Destroy |
| Health and Safety Meetings, Plans, Safety Committees and Groups (H&S)                                               | 6 Years                                                                                     | Destroy |
| Medical records containing details of employees exposed to asbestos, noise medical examination certificates (HR)    | 40 years                                                                                    | Archive |

|                                                                                                                            |                                                           |         |
|----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|---------|
| Medical/Health Surveillance records as specified by the Control of Substances Hazardous to Health Regulations (COSHH) (HR) | 40 years                                                  | Archive |
| RIDDOR Reports                                                                                                             | 10 years                                                  | Destroy |
| Risk Assessments (H&S)                                                                                                     | 10 Years                                                  | Destroy |
| Statutory testing and inspection work equipment, systems records,                                                          | 3, 5 10 years depending upon premises plant and equipment | Archive |
| Stop Notices and other Court Orders                                                                                        | Originals to be kept permanently                          | Archive |
| Water Hygiene management                                                                                                   | 10 Years                                                  | Destroy |

## Marketing

|                      |                           |         |
|----------------------|---------------------------|---------|
| Promotional Material | Current Academic Year + 3 | Archive |
| Press Cuttings       | Current Academic Year + 1 | Archive |
| Public Relations     | Current Academic Year + 1 | Archive |
| Prospectuses         | Current Academic Year + 1 | Archive |

## Quality and Standards

|                                                                                                                                                                                  |                                    |         |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------|
| Inspection Documents                                                                                                                                                             | 10 Years                           | Archive |
| Complaints Procedure and records of complaints                                                                                                                                   | 5 years                            | Destroy |
| Records documenting the development of training and development programmes to meet defined needs in relation to Observation of Learning and Assessment and Data and Information. | Completion of programme + 5 years  | Destroy |
| Records containing individual feedback on training and development programmes in relation to Observation of Learning and Assessment.                                             | Completion of analysis of feedback | Destroy |
| Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.                                                        | Current academic year + 5 years    | Destroy |
| Records documenting the conduct and results of external reviews and audits of teaching quality and standards.                                                                    | Next Review completed + 5 years    | Destroy |
| Records documenting the conduct and results of formal reviews of the institution's programmes and courses and responses to the results.                                          | Current academic year + 10 years   | Destroy |

|                                                                                                                                                                                      |                                 |         |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|---------|
| Records documenting the process of obtaining approval and/or accreditation for taught programmes from professional, statutory or other accreditation bodies.                         | Life of programme               | Destroy |
| Records containing reports of routine internal reviews of taught courses in relation to Observation of Learning and Assessment and performance                                       | Current academic year + 5 years | Destroy |
| Records documenting the conduct and results of formal reviews of taught courses in relation to Observation of Learning and Assessment and Quality, and the responses to the results. | Current academic year + 5 years | Destroy |

|                                                                                               |                                           |         |
|-----------------------------------------------------------------------------------------------|-------------------------------------------|---------|
| <b>Staffing</b>                                                                               |                                           |         |
| Expense accounts- Purchase invoices                                                           | Scanned – disposed of after 6 months      | Destroy |
| Health insurance records                                                                      | 12 years after final cessation of benefit | Destroy |
| Holiday records                                                                               | 7 years after employment ceases           | Destroy |
| Payroll records                                                                               | 6 tax years plus the current tax year     | Destroy |
| Pension Records                                                                               | 30 years after employment ceases          | Destroy |
| Recruitment records                                                                           | 6 months                                  | Destroy |
| Employee files and training records (including disciplinary records and working time records) | 7 years after employment ceases           | Destroy |
| Redundancy details, calculations of payments, refunds, notification to the Secretary of State | 7 years from the date of redundancy       | Destroy |
| Statutory Sick Pay records, calculations, certificates, self-certificates                     | 6 tax years plus the current tax year     | Destroy |
| Trade Union agreements                                                                        | 10 years after ceasing to be effective    | Destroy |
| References                                                                                    | 7 years after employment ceases           | Destroy |
| Occupational Health Records                                                                   | 7 years after employment ceases           | Destroy |
| Employment Tribunal Requests                                                                  | 7 years after employment ceases           | Destroy |
| Declaration of Outside Employment                                                             | 7 years after employment ceases           | Destroy |
| Performance Review & Development Information                                                  | 7 years after employment ceases           | Destroy |

|                                                                        |                                |         |
|------------------------------------------------------------------------|--------------------------------|---------|
| <b>Students</b>                                                        |                                |         |
| Records documenting the handling of enquires from prospective students | Current academic year + 1 year | Destroy |

|                                                                                                                                                                                                                                                       |                                                                                                                                                     |         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| Records containing summaries and analyses of enquiry, recruitment and retention data                                                                                                                                                                  | Current academic year + 1 years                                                                                                                     | Destroy |
| Records documenting the handling of applications: successful applications                                                                                                                                                                             | End of student relationship + 1 years                                                                                                               | Destroy |
| Records documenting the handling of applications for admission: unsuccessful applications                                                                                                                                                             | Current academic year + 1 year                                                                                                                      | Destroy |
| Records documenting the enrolment of individual students on courses                                                                                                                                                                                   | Termination of relationship + 6 years (unless ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy |
| Records containing personal data on individual students                                                                                                                                                                                               | Termination of relationship + 6 years (unless ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy |
| Records containing standard analyses of data from individual students' records. Records documenting the handling of requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions | Current academic year + 6 years                                                                                                                     | Destroy |
| Records documenting the progress of individual students and formal action taken by the institution to deal with unsatisfactory progress                                                                                                               | Termination of relationship + 6 years (unless ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy |
| Records documenting the conduct and results of disciplinary proceedings against individual students                                                                                                                                                   | Last action on case + 6 years                                                                                                                       | Destroy |
| Coursework (including projects & reports)                                                                                                                                                                                                             | Termination of relationship + 3 years                                                                                                               | Destroy |
| Examination certificates                                                                                                                                                                                                                              | Current academic year + 1 year                                                                                                                      | Destroy |
| Records documenting the attendance of individual students on courses                                                                                                                                                                                  | Termination of relationship + 6 years (unless ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy |
| Individual Learning Plans                                                                                                                                                                                                                             | Termination of relationship + 6 years (unless ESF co-financed - 2007/13 until at least 31 December 2022 or 2014/20 until at least 31 December 2030) | Destroy |

## **Vehicles**

|                                                     |                      |         |
|-----------------------------------------------------|----------------------|---------|
| Rental and hire purchase agreements - Vehicles only | 6 years after expiry | Destroy |
|-----------------------------------------------------|----------------------|---------|

|                                                                                 |                                   |         |
|---------------------------------------------------------------------------------|-----------------------------------|---------|
| Vehicle registration records, MOT, Certificates and vehicle maintenance records | 2 years after disposal of vehicle | Destroy |
|---------------------------------------------------------------------------------|-----------------------------------|---------|

**5. CHANGES TO THIS SCHEDULE**

NGTC reserves the right to change this schedule at any time