



DOCUMENT RETENTION POLICY AND ARCHIVING PROCEDURE

Review Date: 02.11.20

Next Review Date: 02.11.21

DOCUMENTATION TO KEEP ON FILE

The following source documentation must be retained on file:

- Funding application forms
- Offer letters
- Claims
- Remittance advice notes
- All related correspondence
- Records relating to agreed outputs
- Monitoring records, audit trail evidence
- Student portfolios and internal assessment
- Awarding body assessment and verification records
- Evaluations and feedback materials
- Workshop/publicity/promotion items
- Articles written or published
- All financial records including claim working papers invoices and payments, bank statements
- Apportionment methodology
- Any other relevant EU source documentation.

RETENTION POLICY FOR NON-EU PROGRAMMES

The Retention Policy for non-EU funded programmes can only be established on a case-by-case basis. The retention policy for each project will be set out in the contract or grant agreement for that particular programme. Retention periods typically range from 3 to 7 years, but please check the grant agreement for each project.

If there is no written information to the contrary, assume 7 years from the last day of the project.

IMPORTANT@ There is **every** chance that ELATT used non-EU programmes to match fund EU projects. Examples include:

Before destroying any non-EU documentation, please:

1. Verify the match funding list in this Appendix.
2. If the project was used as match-funding, follow the EU documentation retention rules below.
3. If the project was NOT used as match-funding for an EU project, follow the retention guidance set out in that project's Grant Agreement.

RETENTION POLICY FOR EU PROGRAMMES

Asylum, Migration and Integration Fund (AMIF)

Our AMIF projects are:

- **AMIF Refugee Community Makers 1 September 2018- 31 August 2020**

Documentation relating to EU supported projects will be securely retained on file until at least **31 December 2030** at the earliest.

<https://www.gov.uk/government/collections/asylum-migration-and-integration-fund>

- **AMIF Community Skills- 1 August 2019- 31 August 2020**

Documentation relating to EU supported projects will be securely retained on file until at least **31 December 2030** at the earliest.

<https://www.gov.uk/government/collections/asylum-migration-and-integration-fund>

- **AMIF Community Skills 2- 1 September 2020- 31 December 2022**

Documentation relating to EU supported projects will be securely retained on file until at least **31 December 2032** at the earliest.

<https://www.gov.uk/government/collections/asylum-migration-and-integration-fund>

Before destroying any projects, ALWAYS check this website first:

<https://www.gov.uk/government/publications/esf-action-notes-2007-to-2013-programme>

There are typically two Action Notes per month. Before destroying any documentation, ALWAYS double check as to whether there is a more up to date Action Note.

DWP cannot offer a service where they give written permission to destroy records. Instead:

- Record the decision to destroy on signed letter paper, detailing the project, years and values
- Attach the Action Note to that letter, and retain this letter on file

In all cases look out for direct updates from the funder themselves.

Note:

- London region and England region have different destroy dates.
- Follow the England date if the England date is later than the London date.
- Follow the London date if the London date is later than the England date.

Eg:



- If the England destroy date is 1 Feb 2015 and the London destroy date is 1 Feb 2016, follow the London date.
- If the London destroy date is 1 Feb 2015 and the England destroy date is 1 Feb 2016, follow the England date.

ALWAYS REMEMBER: IF IN DOUBT, DON'T THROW IT OUT

Where to get help:

Phone DWP in Sheffield on 0114 2408 919. In February 2015 my contact there was Richard Bould.

<http://europeanfundingnetwork.eu/funding-advice/european-social-fund/record-keeping>
<https://www.gov.uk/government/publications/esf-action-notes-2007-to-2013-programme>

A GUIDE TO ARCHIVING OF PAPER DOCUMENTS AND DIGITAL SCANS

LOCATION OF RETENTION FOR EU PROGRAMMES DOCUMENTS

The location of all digital and physical documents for EU projects are at ELATT's address: 260 Kingsland Road London E8 4DG, for both hard copies and electronic copies. The contact name is Anthony Harmer (anthony@elatt.org.uk).

The documents (hard and electronic) are to be archived in ELATT 260 Kingsland Road E8 4DG for the full time after the project ends. The contact name is Anthony Harmer (anthony@elatt.org.uk).

PROJECTS TO ARCHIVE

1. **Home Office** (previously UK Border Agency)
 - a. EIF Destination Integration 2010-2013
 - b. ERF Real World Learning 2010-2013
 - c. EIF Pathways to Professions 2011-2014
 - d. EIF The Welcome Club 2013-2015
 - e. AMIF Refugee Community Makers 2018-2020
 - f. AMIF Community Skills 2019-2022

CONTENTS FOR EACH PROJECT

LEARNER EVIDENCE

FILING SYSTEM FOR EACH PROJECT

All projects should follow this naming system in master folder: **European Project Archive**

- | | |
|-------------------|---------------------------|
| 1. Project funder | Home Office, SFA |
| 2. EU stream: | ESF, EIF, ERF, ERDF, AMIF |
| 3. Project name: | See above |
| 4. Project date: | See above |

Examples

Home Office EIF Pathways to Professions 2011-2014
SFA ESF Skill for Jobs 2008-2011

Each Project should contain the following folders:

1. Learners
 - a. Year 1
 - b. Year 2
 - c. Year 3
2. Finance
 - a. Year 1
 - b. Year 2
 - c. Year 3
3. Project Management

With the following content:

1. Learners

Filed by year of attendance, for each learner a **single** pdf file containing **in this order**:

- a. Application form
- b. Evidence of eligibility
- c. ILP
- d. Learner Diary
- e. Exit interview
- f. Certificates and/or other proof of outcomes (e.g Job Bonus form, progression form)

The file should be named **Surname, First name** i.e. **Smith John**, not John Smith



2. Support

- a. Year 1
 - i. Travel agreements
 - ii. Childcare agreements
- b. Year 2
 - i. Travel agreements
 - ii. Childcare agreements
- c. Year 3
 - i. Travel agreements
 - ii. Childcare agreements

3. Project Management

- a. As required by each funder (files already extant on Q Drive, Contract Management folder)

All digital folders to be stored on our archive drive quarterly after submission and audit. Located at ELATT 260 Kingsland Road E8 4DG.



FINANCE EVIDENCE

FILING SYSTEM BY YEAR

Finance records will not be scanned by project, but through the following methodology:

1. **Timesheets**
 - a. Year – Employee
2. **Bank statements**
 - a. Bank account - Year – Month
3. **Invoices received**
 - a. Year - Month



Finance Records

Timesheets	2006	By employee (one pdf per employee, with 12 months of timesheets)	
	2007	By employee (one pdf per employee, with 12 months of timesheets)	
	2008	By employee (one pdf per employee, with 12 months of timesheets)	
	2009	By employee (one pdf per employee, with 12 months of timesheets)	
	2010	By employee (one pdf per employee, with 12 months of timesheets)	
	2011	By employee (one pdf per employee, with 12 months of timesheets)	
	2012	By employee (one pdf per employee, with 12 months of timesheets)	
	2013	By employee (one pdf per employee, with 12 months of timesheets)	
	2014	By employee (one pdf per employee, with 12 months of timesheets)	
	Invoices	2006	One pdf for each month of invoices (January, February etc)
2007		One pdf for each month of invoices (January, February etc)	
2008		One pdf for each month of invoices (January, February etc)	
2009		One pdf for each month of invoices (January, February etc)	
2010		One pdf for each month of invoices (January, February etc)	
2011		One pdf for each month of invoices (January, February etc)	
2012		One pdf for each month of invoices (January, February etc)	
2013		One pdf for each month of invoices (January, February etc)	
Bank statements	2006	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2007	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2008	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2009	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2010	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2011	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2012	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2013	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)
	2014	NatWest	One pdf for each month of bank statements (January, February etc)
		HBOS - ELATT	One pdf for each month of bank statements (January, February etc)
		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
		Co-op	One pdf for each month of bank statements (January, February etc)