



DOCUMENT RETENTION POLICY AND ARCHIVING PROCEDURE

Review Date: 12.07.19

Next Review Date: 12.03.20

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.

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:

- EIF 2009-2010: matched by Hackney Learning Trust ESOL delivery.

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

Between 2000-2019 ELATT had income from the following EU programmes:

Asylum, Migration and Integration Fund (AMIF)

Our AMIF projects are:

- AMIF Refugee Community Makers 2018-2020
- AMIF Community Skills 2019-2022

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>

European Social Fund (ESF)

ESF is divided into 6 year programmes. Each programme has its own document retention date.

- 1994-1999
- 2000-2006
- 2007-2013
- 2014-2020

For the 2014-2020 European Funded Programmes, which includes ALL Education & Skills Funding Agency delivery from 2014 onwards, documentation relating to EU supported projects will be securely retained on file until at least 31 December 2030 at the earliest.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/731515/ESF_Document_Retention_Guidance.pdf

For the 2007-2013 European Funded Programmes, which includes ALL Skills Funding Agency delivery from 2007 onwards, documentation relating to EU supported projects will be securely retained on file until at least 31 December 2022 at the earliest.

<http://europeanfundingnetwork.eu/funding-advice/european-social-fund/record-keeping>

In all cases, a project might overlap these years. In this case, the retention requirement relates to the programme relevant to the first year of the project.

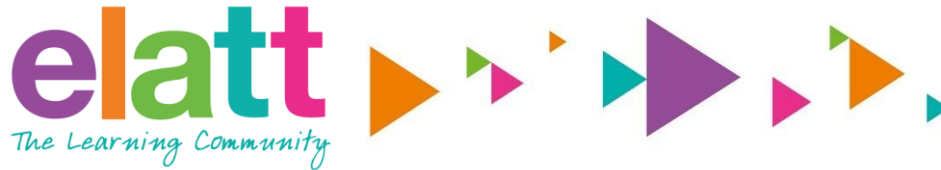
E.g:

A 3 year project commissioned in 2006 will finish in 2008. All 3 years of the project relate to the 2000-2006 programme. In this case the documentation can be destroyed on 15 January 2016.

Where to get updates on document retention for ESF projects:

ESF is managed by DWP as the Lead Managing Authority for England.

They post monthly Action Notes on ESF document retention.



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.

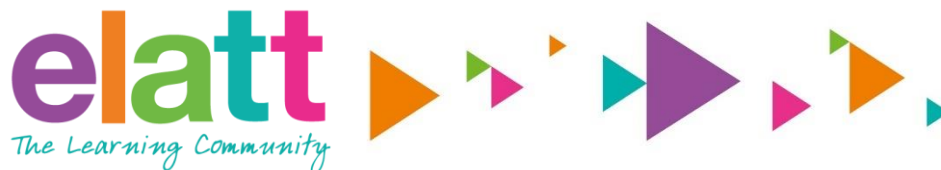
<http://europeanfundingnetwork.eu/funding-advice/european-social-fund/record-keeping>
<https://www.gov.uk/government/publications/esf-action-notes-2007-to-2013-programme>

Our ESF projects

1994-1999

All projects can be destroyed on 16th March 2012. **This means all records relating to work prior to 31 December 1999 is now destroyed.**

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/309572/action-note-072-12.pdf



2000-2006

London Objective 2 projects can be destroyed on 10 February 2015
England Objective 3 projects can be destroyed on 15 February 2016

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/309568/action-note-084-13.pdf

Therefore ALL projects 2000-2006 can be destroyed on 15 February 2016 **EXCEPT** LDA/ESF Citizenship and Work in the UK and LDA/ESF Business Speak (still awaiting confirmation re: destruction date as 12.03.19).

2007-2013

All documentation must be retained until 31 December 2022 at the earliest.

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/309570/action-note-074-12.pdf

2014-2020

All documentation must be retained until 31 December 2025 - 2030 at the earliest:

To minimise risks of miscalculation and support Grant Recipients and the Managing Authority in simplifying processes, all projects under the ESF 2014-2020 Programme must ensure they keep all documents for 10 years after their final ESF claim is paid by the ESF Managing Authority.

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/731515/ESF Document Retention Guidance.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/731515/ESF_Document_Retention_Guidance.pdf)

RETENTION POLICY FOR ASSESSMENT

Each awarding body may have their own policy for retention of documents, and this may be different to funding retention requirements. Also please note that as a general rule Ofsted will require at least three years' worth of student records and achievement evidence.

Please refer to the specific awarding body to ensure we maintain their standards. However, as a general rule:

- Life Skills (ESOL, Literacy, Numeracy): Retain awarding body assessment and verification records for three years.
- Vocational learning including Young People's programmes: Retain awarding body assessment and verification records for five years.

Always retain student work for portfolio and internal assessment for **at least** twelve months after certification. However, please remember that student portfolio and assessment evidence will nearly always be required by funders as proof of delivery, and therefore it is safer to assume that we must retain such records according to the retention guidelines set out above for EU and non-EU funded programmes.

A GUIDE TO ARCHIVING OF DIGITAL SCANS 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
2. **Education & Skills Funding Agency** (previously Learning and Skills Council)
 - a. ESF Skills for Jobs 2008-2011 (Learner evidence only)
3. **London Councils**
 - a. ESF Fast Track to Work 2007-2008
 - b. ESF Learn to Integrate 2008-2010
 - c. ESF STEP 2009
4. **London Development Agency**
 - a. ESF Citizenship and Work in the UK 2006-2009
 - b. ESF Business Speak 2006-2009
5. **European Regional Development Fund**
 - a. ERDF 2005-2008: **Disposed August 2018**

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

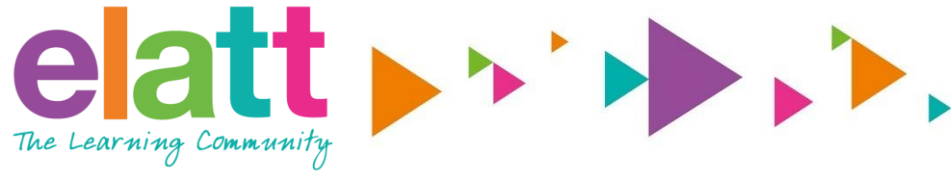
With the following content:

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)



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)
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	2010	NatWest	One pdf for each month of bank statements (January, February etc)
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		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)
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		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)
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	2013	NatWest	One pdf for each month of bank statements (January, February etc)
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		HBOS - HNCL	One pdf for each month of bank statements (January, February etc)
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	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)
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