



## **Record Retention Schedule Introduction**

The University's Records Retention Schedule documents the minimum length of time University records should be retained to comply with legal, regulatory and operational requirements including the UK General Data Protection Regulations and Data Protection Act 2018.

This Records Retention Schedule should be used to ensure that records are destroyed in a planned way to enable documents required as a source of evidence or information to be retained as long as necessary and records no longer needed are identified and destroyed securely, freeing up space and ensuring that the University complies with information management legislation.

Retention periods within this schedule are applied to records in whatever medium they are held (paper, electronic, etc).

This schedule identifies the relevant functions of the University and categories of records that each function holds.

Each section has a Document list down the left-hand side and describes the type of records, the Owner, the minimum retention period, the Owner, business need supporting the retention period and recommended disposal action.

Retention periods are minimum retention periods which means that records may be retained for a longer period should they be required but must not be disposed of before the period set out in this schedule. The schedule may identify records which are required to be retained for a number of years or permanently (even though they may no longer be referenced on a regular basis).

Such records where retained in a paper form need to be stored in a safe environment and this may include off-site storage.

At the end of the retention period the appropriate action should be taken against each record:

Destroy: the record can be destroyed using a safe and appropriate method depending upon the type of record.

For electronic records, this will be 'deleted' and for paper records this should be disposal/recycling or confidential shredding.

For all confidential records and records containing personal data or financial information, the record should be disposed of using confidential waste disposal and a record of the destruction should be retained.

Review: records marked for review may be retained for a longer period and their status should be checked before any action is taken. Following review some records may be retained, others may be identified for destruction.

Transfer: the record is transferred to a new owner.

Owner: is the area of the University responsible for holding, managing, retaining and subsequent destruction (where applicable) of the record irrespective of where the record is stored.

Directorate & Heads of Faculties of the relevant areas are responsible for ensuring this schedule is adhered to with nominated representatives in each area. All members of staff have a responsibility to identify obsolete records and ensuring the appropriate destruction and where necessary audit requirement.

This schedule is a live document and where a member of staff identifies a record which is not identified within this schedule, please seek guidance from the Information Compliance Team. Any suggestions for change in working practices for records listed within this schedule should be discussed with the responsible department and full details must be sent to the Information Compliance Team for updating.

## A. Administration

**Approved by:**

University Leadership Team (ULT)/Registrar & Secretary (R&S)

**What this section covers:**

Records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**Other related sections:**

**B. Committee Records**

**C. Course/ Program Records** covers records relating to courses and programmes, including their design and development, their delivery including assessments, the results and graduation records as well as feedback, review, and audit processes.

**D. Facilities Management**

**E. Financial Management**

**G. People Management**

**I. Legal and Compliance** covers records relating to legal matters, including deeds contracts, insurance, compliance, and intellectual property rights.

**J. Medical, Health & other specialist services**

**K. Procurement**

**L. Public Relations, Fundraising and Events Management**

**M. Research**

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
A1	Correspondence files, subject files and other filing systems containing a mixture of record types	Office administration	Academic & Professional Services Departments	Weed regularly (at least annually) and keep up to date in line with the relevant recommendations in this schedule. Notify Information Compliance about records of potential historic value.	Data Protection legislation; Freedom of Information Act 2000; Potential historic value
A2	Personal files pertaining to individual staff members	Office administration	Academic & Professional Services Departments	Weed regularly (at least annually) If the files are inherited from another department do an initial review using the schedule and review the remainder again after 6 years. Notify Information compliance about records of potential historic value.	Data Protection legislation; Freedom of Information Act 2000; Potential historic value
A3	Project files	Various	Academic & Professional Services Departments	Normally review after a minimum of 6 years but it depends on the type of project.	Data Protection legislation; Freedom of

				Notify Information compliance about records of potential historic value. .	Information Act 2000; Potential historic value
A4	Publications, including annual reports	Publishing	Academic & Professional Services Departments	If external, destroy when no longer needed. If internal, review after publication date + 10 years. Notify Information Compliance about records of potential historic value.e.g. public interest, research.	Best practice; Potential historic value.
A5	References provided by University staff for current or previous staff or students	Office administration	Academic & Professional Services Departments	Destroy after provision of reference + 6 years.	Data Protection legislation
A6	Records documenting the formulation, testing and maintenance of disaster response and recovery, and business continuity plans	Office administration	Academic & Professional Services Departments	Review once superseded + 1 year.	Best Practice
A7	General bulk emails or mailings to internal and external audiences	Office administration	Academic & Professional Services Departments	Review once sent + 6 year	Best Practice

A8	Office diaries (paper or electronic, e.g. Outlook entries)	Office administration	Academic & Professional Services Departments	Destroy after current year + 6 year.	Data Protection Legislation; Best Practice
A9	Document templates	Office administration	Academic & Professional Services Departments	Review after superseded + 1 year	Best practice
A10	Recorded delivery post receipts	Office administration	Academic & Professional Services Departments	Destroy after current year + 1 year minimum. If required to hold on file as evidence of delivery normally retain for a maximum of 6 years	Best practice
A11	Records documenting authorisation for the disposal of equipment, consumables, and the evaluation of alternative methods of disposal	Office administration	Academic & Professional Services Departments	Destroy after disposal of item + 1 year.	Best practice

## A. Committee Records

**Approved by:**

University Leadership Team (ULT)/Registrar & Secretary (R&S)

**What this section covers:**

Records relating to committee administration; this includes committee minutes, agendas, supporting papers and other associated documentation. There will be committees relating to topics covered elsewhere in the retention schedule and, where necessary, these will be cross-referenced.

**Other related sections:**

**A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
B1	<p>All records, including:</p> <ul style="list-style-type: none"> <li>• Minutes</li> <li>• Papers and agendas</li> <li>• Development and establishment papers including constitutions, terms of reference, rules, procedures</li> </ul> <p>of these key central University committees and their successors:</p> <ul style="list-style-type: none"> <li>• Council</li> <li>• Senate</li> </ul>	Committee Administration	Governance & Compliance Directorate (GAC) & Vice Chancellor's Office (VCO)	<p>Transfer the master electronic version to the University Archives for permanent retention as soon as possible after the record has been captured as the master version.</p> <p>Transfer any paper records as soon as they are no longer required in the office.</p>	Data Protection legislation Freedom of Information Act 2000; Limitation Act 1980; Potential historic value

	<ul style="list-style-type: none"> <li>• University Leadership Team</li> <li>• Finance and Investment Committee</li> <li>• Audit Committee</li> <li>• Remuneration Committee</li> <li>• Ethics Committee</li> <li>• Nominations Committee</li> <li>• Honorary Awards Committee</li> </ul>				
B2	Records documenting the development and establishment of central University level committees not listed in B.1 above, including constitutions, terms of reference, rules, procedures, and any subsequent changes to these	Committee Administration	Governance & Compliance Directorate (GAC) & Vice Chancellor's Office (VCO)	Review after end of life of committee + 6 years. Notify Information Compliance about records of potential historic value.	Data Protection Legislation Freedom of Information Act 2000; Limitation Act 1980; Potential historic value
B3	Minutes, papers, and agendas of other Professional Services committees plus papers	Committee Administration	Governance & Compliance Directorate (GAC) & Vice	Review after current year + 6 years. Notify Information Compliance about records of potential historic value.	Data Protection legislation;



	and agendas of the other central committees not referenced in B.1		Chancellor's Office (VCO)	Note that boards set up to hear individual student cases such as Board of Appeal or Board of Discipline should not be treated as committee records under section B.	Freedom of Information Act 2000; Limitation Act 1980; Potential historic value
B4	Minutes, papers and agendas of faculty, school and departmental committees including -Module Review Boards -Mitigating Circumstances Committees -Final Boards of Examiners -Local Health & Safety meetings	Committee Administration	Administration & Service Managers.	Review after current year + 6 years. Notify Information Compliance about records of potential historic value.	Data Protection Legislation; Freedom of Information Act 2000; Limitation Act 1980; Potential historic value
B5	Minutes, papers and agendas of committees, boards or other groups set up specifically to manage a project	Committee administration Project management	Academic Schools & Directorate	Review full set of records after the project completion date + 6 years. Notify Information Compliance about records of potential historic value.	Data Protection Legislation; Freedom of Information Act 2000; Limitation Act 1980; Potential historic value
B6	Working papers, action sheets, correspondence, and personal notes	Committee administration	Academic Schools & Directorate	Destroy once no longer required for reference	Data Protection Legislation;

					Freedom of Information Act 2000; Limitation Act 1980; Potential historic value
B7	Register of interests of members of the institution's governing body	Committee administration	Governance & Compliance Directorate (GAC)	Destroy/Review after termination of appointment + 6 years.	Data Protection Legislation; Freedom of Information Act 2000; Limitation Act 1980; Potential historic value

University Records Retention Schedule (Version 2.0)

## B. Course and Programme Records

**Approved by:**

Director of Student Administration & Support

**What this section covers:**

Records relating to courses and programmes including their design and development; their delivery including assessments, the results and graduation records; feedback, review, and audit processes. If academic departments have the same information as that held on the central student record, then it can be destroyed. If the information is more detailed however then it should be treated as part of O.2 and managed accordingly.

**Other related sections:**

**A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**B. Committee Records**

**M. Research**

**O. Student Administration and Services** covers records relating to the students, including processes around application, registration, progression, assessment, and support.

**N. Strategy, Policy, Audit and Review** All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure.

Many of the records will also have historic value.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
C1	Design and development of taught programmes and modules including module specifications and assessments	Academic administration	Teaching Excellence Academy (TEA)	Review after life of the programme + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice

				Note that there are increasing numbers of graduates requiring detailed information about modules.	
C2	Records documenting the process of obtaining approval and/ or accreditation for (modules of) taught programmes from professional, statutory, or other accreditation bodies	Academic administration	Academic Schools & TEA.	Review after life of programme + 6 years.	Best practice
C3	Administration of programmes, timetabling, room allocation, class assessments, work placements, scheduling for submission and return of assessed work	Academic administration	Administration & Service Managers	Review after current academic year + 3 years. (This task is to be undertaken by the relevant School Support Officer)	Best practice
C4	Delivery of taught programmes, including teaching and assessment materials	Academic administration	Academic Schools	Review after life of the programme.	Best practice
C5	Assessment submission records	Academic administration	Academic Schools	Destroy after student leaves the University/ graduates + 1 year.	Best practice
C6	Examination papers (i.e. the blank question papers) For examination scripts see O.24	Student Assessment	Academic Schools	Destroy after examination + 6 years. A copy of every examination paper is deposited with the University Archives.	Best practice; Potential historic value

C7	Records documenting the selection and appointment of internal and external examiners and independent chairs, including the design and delivery of training	Academic administration	Academic Schools	For those dealing with PGR students destroy after student leaves the University/ graduates + 6 years. For others destroy after the end of appointment + 10 years.	Best practice
C8	Examination timetables, records documenting liaison with examiners on administrative matters, records documenting the selection and appointment of examination invigilators and records concerning the control of examination papers and scripts	Academic administration	Academic Schools	Destroy after current academic year + 6 years.	Best practice
C9	Records documenting individual students' attendance at examinations	Academic administration	Academic Schools	Destroy after current academic year + 6 years.	Best practice
C10	Records documenting the handling of reports of mitigating circumstances including submission of mitigating circumstances	Academic administration	Academic Schools	Destroy after current academic year + 1 year. For the mitigating circumstances records themselves see O.19.	Best practice
C11	Signed Board of Examiners pass lists and Committee for The Award of Degrees, Diplomas & Certificates (CADDAC) award lists	Academic administration	Academic Schools	Review after issue of list +10 years	Best practice

C12	Marks/ grades/ classifications awarded to students including reviews in response to notifications of mitigating circumstances or academic appeals	Academic administration	Academic Schools & Student Services	Core student record is retained permanently, including assessment and module marks and classifications. If University departments have more detailed information than that on the central electronic record it should be treated as part of the student file, particularly for postgraduate students (see section O)	Data Protection Act legislation; Freedom of Information Act 2000; Limitation Act 1980
C13	Prize nomination and recipient records including scholarship/ bursary awards records	Academic administration	Academic Schools & Student Services	Review after current financial/ academic year + 6 years. Notify Information Compliance about records of potential historic value. Some information will be added to the core student record which is retained permanently (see section O).	Data Protection Legislation Freedom of Information Act 2000; Limitation Act 1980; Potential historic value
C14	List of prize winners	Academic administration	Academic Schools & Student Services	Review after prize stops being awarded. Notify Information Compliance about records of potential historic value.	Data Protection Act legislation; Freedom of Information Act 2000; Potential historic value; Best practice
C15	Formal record of degree ceremonies	Academic administration	Academic Schools & Student Services	Retain permanently. A copy should be sent to the University Archives.	Data Protection Act legislation; Freedom of Information Act 2000; Potential historic value

C16	Records relating to graduation ceremonies including: the process of inviting, receiving, and considering nominations for honorary awards, production of certificates, responses to offers, organisation of award ceremonies and mailing of certificates to students who did not attend	Academic administration	Academic Schools & Student Services	Destroy after conferment of award OR completion of ceremony + 1 year.	Data Protection Legislation; Freedom of Information Act 2000; Best practice
C17	Taught programme feedback records from students, staff, and examiners	Academic administration	Academic Schools	Review after current academic year + 6 years OR life of course + 1 year.	Data Protection Legislation; Freedom of Information Act 2000; Best practice
C18	Teaching standard and quality review and audit records – internal and external	Academic administration	Academic Schools	Review after current academic year + 6 years. For other audit records see section N.	Data Protection Legislation; Freedom of Information Act 2000; Audit and/ or review requirements; Best practice
C19	Summaries and standard analyses of enquiry, and retention and registration data	Student recruitment	Marketing and Communications Academic Departments	Review after analysis + 7 years. For ad-hoc analyses of data from individual student records review after graduation + 1 year.	Data Protection Legislation; Freedom of Information Act 2000; Best practice

C20	Lists of students who have graduated which are sent to the various registrable bodies	Academic administration	Academic Schools	Review after graduation + 6 years.	Data Protection Legislation; Freedom of Information Act 2000; Limitation Act 1980;
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## D. Facilities Management

**Approved by:**

Chief Finance Officer

**What this section covers:**

Records relating to buildings, facilities, and equipment, including some health and safety records plus records relating to security, sustainability, and transport.

**Other related sections:**

**A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**E. Financial Management**

**F. Health and Safety**

**I. Legal and Compliance** covers records relating to legal matters, including deeds contracts, insurance, compliance, and intellectual property rights.

**K. Procurement**

**N. Strategy, Policy, Audit and Review** covers policy records, for example the University Travel Plan, car park management strategy, vehicle parking policy, space management policy, electrical works policy and sustainability policies.



Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
D1	Property title deeds and lease agreements	Capital projects and estates strategy	Facilities, Residential & Commercial Services	Review after life of lease/ disposal of property + 15 years. Notify Information Compliance about records of potential historic value.	Limitation Act 1980; Potential historic value
D2	Property purchase and sale of investment records	Capital projects and estates strategy	Facilities, Residential & Commercial Services	Review after current financial year (of transaction) + 6 years.	Taxes Management Act 1970 c.9 s34 Limitation Act 1980; Potential historic value
D3	Property files containing correspondence, administration of leases, tenancies, property inspections, valuations, disposal of properties by sale, transfer or donation, land registry information, planning, negotiation of leases and original lease agreements, other deeds, or properties where the property was not acquired	Capital projects and estates strategy	Facilities, Residential & Commercial Services	Review after life of lease/ disposal of property + 15 years. Notify Information Compliance about records of potential historic value.	
D4	FM Project Works Folders including the following: -Planning permission -Building Regulations approval -Contract (building) documents	Capital projects and estates strategy	Facilities, Residential & Commercial Services	Relating to major works (under seal): destroy after completion of works + 15 years. Relating to minor works (under hand): destroy after completion of works + 6 years.	Limitation Act 1980; Best practice; 17th Ed IEE regulations; Gas Safety (Installation and Use) Regulations 1998 Approved Code of Practice and guidance

	<ul style="list-style-type: none"> <li>-Disabled access survey design schemes</li> <li>-Deeds of appointments</li> <li>-Design supporting notes</li> <li>-Building design specifications</li> <li>-Mechanical design specifications</li> <li>-Design correspondence</li> <li>-Design drawings</li> <li>-Scheme project reports</li> <li>-Drawings schedule\register</li> <li>-Bill of quantities</li> <li>-Fee information</li> <li>-Maintenance and construction correspondence</li> <li>-Responsive repairs records</li> <li>-Works completion reports</li> <li>-Air conditioning inspection records and reports</li> <li>-Decoration and fitting out works records</li> <li>-Electrical design specifications</li> </ul>				
D5	Operations and Maintenance (O&M) Manuals/ Health & Safety Files	Estates management	Facilities, Residential & Commercial Services	<p>Destroy after disposal of property/ life of lease</p> <p>SI 1994/3140, Regulation 14(d) does not prescribe a retention period for these records. However, Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers. This implies that the</p>	<p>Construction (Design and Management) Regulations 2015 (from 6<sup>th</sup> April 2015, prior to that the 2012 Regulations apply);</p> <p>Best practice</p>

				Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. These are generally captured as scanned documents wherever possible.	
D6	Building records such as: -Planning and building regulations -Floor plans, master copies -Drawings, copies of floor plans -Enhancement records -Asbestos location plans and register -High voltage maintenance records -Legionella location plans, reports, and risk assessments	Capital projects and estates strategy; Estates management	Facilities, Residential & Commercial Services	Destroy after disposal of property OR hand over with property as appropriate. Records should be offered to HSE, or the individual concerned should the business cease trading. N.B. Asbestos and CoSHH records need to be retained for 40 years.	Control of Asbestos Regulations 2012; Electricity at Work Regulations 1989; Control of Substances Hazardous to Health Regulations (CoSHH) 2012; Evidential purposes; Best practice
D7	Building surveys	Capital projects and estates strategy; Estates management	Facilities, Residential & Commercial Services	Destroy after disposal of property + 6 years.	Limitation Act 1980
D8	Records documenting routine inspections of facilities	Estates management	Facilities, Residential & Commercial Services	Destroy after completion of two subsequent inspections.	Best practice - retaining inspection records provides evidence of effective property management over time

<b>D9</b>	CAD standards	Capital projects and estates strategy	Facilities, Residential & Commercial Services	Once replaced by new standard retain permanently, transfer to archive folder.	Best Practice
<b>D10</b>	Maintenance planning records and works records	Estates management	Facilities, Residential & Commercial Services	Destroy after completion of works + 5 years.	Limitation Act 1980; Best practice
<b>D11</b>	Work orders	Estates management	Facilities, Residential & Commercial Services	Destroy when no longer current + 2 years.	Best practice
<b>D12</b>	Permits to work	Estates management	Facilities, Residential & Commercial Services	Destroy when no longer current + 3 years.	Management of Health and Safety at Work Regulations 1999
<b>D13</b>	Air conditioning inspection certificates and CHPQA reports (and certification CRC Energy Efficiency Scheme)	Estates management	Facilities, Residential & Commercial Services	Review after completion of two subsequent inspections or reports.	Provision and Use of Work Equipment Regulations 1998; Best practice
<b>D14</b>	Asbestos Records including remediation works records and reports, asbestos works framework, Asbestos Abatement work, Completion/ Air Monitoring Certification, writing plans of work, and notifications to enforcing authorities	Estates management	Facilities, Residential & Commercial Services	Destroy after completion of work to which the monitoring relates +40 years OR removal of asbestos + 40 years OR subsequent inspection + 40 years OR disposal of building OR abatement + 40 years. Records should be offered to HSE, or the individual concerned should the business cease trading. See also D.6.	Limitation Act 1980; Control of Asbestos Regulations 2012); Best practice
<b>D15</b>	European Emissions Trading Scheme (EU ETS)	Estates management	Facilities, Residential &	Destroy after current year + 5 years.	Best practice

			Commercial Services		
<b>D16</b>	Meter readings	Estates management	Facilities, Residential & Commercial Services	Destroy after current year + 5 years.	Best practice
<b>D17</b>	Electrical certificates	Estates management	Facilities, Residential & Commercial Services	Destroy once superseded + 5 years.	17th Ed IEE regulations; Best practice
<b>D18</b>	Gas safety asset register	Estates management	Facilities, Residential & Commercial Services	Retain permanently.	Gas appliances, Building Regulations Compliance Certificate; Gas Safety (Installation and Use) Regulations 1998 Approved Code of Practice and guidance
<b>D19</b>	Gas safety inspection report	Estates management	Facilities, Residential & Commercial Services	Destroy after completion of inspection + 5 years.	Gas appliances, Building Regulations Compliance Certificate; Gas Safety (Installation and Use) Regulations 1998 Approved Code of Practice and guidance
<b>D20</b>	Gas safety testing certificates	Estates management	Facilities, Residential & Commercial Services	Destroy once superseded + 5 years.	Gas appliances, Building Regulations Compliance Certificate; Gas Safety (Installation and Use) Regulations 1998 Approved Code of Practice and guidance
<b>D21</b>	Legionella maintenance records, planned	Estates management	Facilities, Residential &	Review after creation of records + 7 years.	Best practice;

	preventative maintenance works and temperature reading records		Commercial Services		Control of Substances Hazardous to Health Regulations (CoSHH) 2012; Legionnaires' disease: The control of legionella bacteria in water systems Approved Code of Practice and guidance
<b>D22</b>	Lift inspection records	Estates management	Facilities, Residential & Commercial Services	Destroy after inspection + 6 years.	Lifting Operations and Lifting Equipment Regulations (LOLER) 1998; Limitation Act 1980
<b>D23</b>	Pest control records	Estates management	Facilities, Residential & Commercial Services	Destroy after current year + 2 years.	Prevention of Damage by Pests Act 1949
<b>D24</b>	Pressure system inspection records	Estates management	Facilities, Residential & Commercial Services	Destroy after completion of two subsequent inspections.	Best practice
<b>D25</b>	Fire safety equipment maintenance checks and fire safety suppression systems records	Estates management	Facilities, Residential & Commercial Services	Review after current year + 5 years.	Required by the Regulatory Reform (Fire Safety) Order (2005)
<b>D26</b>	Educational Maintenance Statistics reports	Estates management	Facilities, Residential & Commercial Services	Destroy after collation + 1 year.	Best practice
<b>D27</b>	Inspection and maintenance records for equipment inside	Estates management	Facilities, Residential &	Destroy after disposal of equipment + 6 years.	Electricity at Work Regulations 1998 and

	buildings including microwave ovens and PAT testing		Commercial Services; Radiation Protection Office		17 <sup>th</sup> Edition Wiring Regulations; Radiation regulations; Regulatory Reform (Fire Safety) Order (2005); Limitation Act 1980
<b>D28</b>	Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations	Estates management	Facilities, Residential & Commercial Services	Review after decommissioning/ disposal + 15 years. The Regulatory Reform Order requires the maintenance of fire detection and fire-fighting equipment but does not prescribe a retention period for records in relation to this activity. Retaining a maintenance history provides evidence of compliance and effective management of health and safety over time.	Regulatory Reform (Fire Safety) Order (2005); Limitation Act 1980;
<b>D29</b>	Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations	Estates management; Health and safety management	Facilities, Residential & Commercial Services	Review after decommissioning/ removal of equipment + 40 years.	Control of Substances Hazardous to Health Regulations (CoSHH) 2012; Best practice
<b>D30</b>	Records documenting the cleaning/ sanitisation of equipment/ consumables prior to disposal: items used in connection with operations involving substances hazardous to health	Estates management; Health and safety management	Facilities, Residential & Commercial Services	Review after disposal of item + 40 years.	Control of Substances Hazardous to Health Regulations (CoSHH) 2012; Limitation Act 1980
<b>D31</b>	Records documenting the cleaning/ sanitisation of	Estates management	Facilities, Residential &	Review after disposal of item + 6 years.	Control of Substances Hazardous to Health (CoSHH) 2012;

	equipment/ consumables prior to disposal: other items		Commercial Services		Limitation Act 1980
<b>D32</b>	Security Industry Authority license records	Estates management	Facilities, Residential & Commercial Services	Destroy after renewal.	Best practice
<b>D33</b>	Emergency procedures	Estates management	Facilities, Residential & Commercial Services	Review after superseded + 10 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
<b>D34</b>	Building alarm records	Estates management	Facilities, Residential & Commercial Services	Destroy once equipment is removed.	Best practice
<b>D35</b>	Records documenting the conduct of routine security surveillance of properties	Estates management	Facilities, Residential & Commercial Services, Academic & Professional Services Departments	Destroy after creation + 1 year.	Best practice
<b>D36</b>	Records documenting security breaches or incidents, and action taken	Estates management	Facilities, Residential & Commercial Services, Academic & Professional Services Departments	Retain live accessible record for 3 months. Review archived record after last action on incident + 6 years.	Best practice
<b>D37</b>	Crime reports	Estates management	Facilities, Residential &	Review after current year + 1 year.	Best practice



			Commercial Services		
<b>D38</b>	Crime logs	Estates management	Facilities, Residential & Commercial Services	Review after last action on incident + 1 year.	Best practice
<b>D39</b>	Security occurrence investigation records and reports	Estates management	Facilities, Residential & Commercial Services	Review after last action on incident + 1 year.	Best practice
<b>D40</b>	Facilities security insecure reports	Estates management	Facilities, Residential & Commercial Services	Review after completion + 1 year.	Best practice
<b>D41</b>	Security risk assessments and security occurrence reports	Estates management	Facilities, Residential & Commercial Services	Review after superseded + 6 years. For health and safety risk assessments see F.13-15 and for risk assessments relating to specific events see L.16. There are also some very specific types of risk assessment in Sections D and F.	Best practice
<b>D42</b>	Monthly security reports	Estates management	Facilities, Residential & Commercial Services	Review after current year + 6 years.	Best practice
<b>D43</b>	Final space project reports Space data and audit records	Capital Projects & Estates Strategy	Facilities, Residential & Commercial Services	Review after completion of subsequent audit + 5 years.	Best practice
<b>D44</b>	Project schematics and room data sheets	Capital Projects & Estates Strategy	Facilities, Residential & Commercial Services	Destroy after completion of project + 1 year.	Best practice

<b>D45</b>	Space management requests from departments	Capital Projects & Estates Strategy	Facilities, Residential & Commercial Services	Destroy once superseded + 6 years.	Best practice
<b>D46</b>	Sustainability and environmental management procedures	Sustainability	Facilities, Residential & Commercial Services, Academic & Professional Services Departments	Review once superseded + 10 years.	Best practice
<b>D47</b>	Accreditation by environmental management schemes	Sustainability	Facilities, Residential & Commercial Services	Destroy after termination of accreditation + 1 year.	Best practice
<b>D48</b>	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff, and students	Sustainability	Facilities, Residential & Commercial Services	Review after current year + 5 years.	Best practice
<b>D49</b>	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations	Sustainability	Facilities, Residential & Commercial Services	Review after last action on incident + 40 years.	Best practice
<b>D50</b>	Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities	Sustainability	Facilities, Residential & Commercial Services	Review after date of notification + 5 years.	Best practice

<b>D51</b>	Car parking/ fixed penalty ticket records	Estates management	Facilities, Residential & Commercial Services	Destroy after last action on incident + 2 years.	Best practice
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## E. Financial Management

**Approved by:** Director of Finance and Director of Human Resources

**What this section covers:** Records relating to financial transactions. Many of these will be held in Finance but original financial documentation and copies of the originals are widely held in other areas of the University. If copies are held it is important to make sure that they are also managed in line with the schedule. This section also includes some payroll and pension records plus records relating to the payment of tuition fees and of funding. For records relating to tuition fee applications see Section O. Student Administration and Support.

**The official retention for many finance records is current year (financial or tax) plus 6 years. In practice, especially as the University's financial year is different to the standard financial year, it often makes practical sense to round this up to 7 years, as indicated below.**

**Other related sections:**

- A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.
- G. People Management**

**K. Procurement**

**M. Research**

**N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.

**O. Student Administration and Services** covers records relating to the students, including processes around application, registration, progression, assessment, and support.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
<b>E1</b>	Finance management procedures	Finance management	Finance	Review after superseded + 10 years (note that this is longer than the standard retention suggested for procedural records in section N).	Best practice
<b>E2</b>	Finance management procedures development and supporting records	Finance management	Finance	Destroy after issue of procedures + 1 year.	Best practice
<b>E3</b>	Capital/ Investment Plan	Finance management	Finance, Facilities Management	Review after current financial year + 6 years (round up to 7). Notify Information Compliance about records of potential historic value.	Taxes Management Act 1970 c.9 s34; Potential historic value
<b>E4</b>	Records documenting the value and disposal of capital assets	Asset management	Finance	Review after current financial year + 6 years (round up to 7).	Limitation Act 1980
<b>E5</b>	Financial investment portfolio overall management records	Investment management	Finance	Destroy after divestment + 6 years.	Limitation Act 1980
<b>E6</b>	Purchase/ sale of investment records	Investment management	Finance	Review after current financial year (of transaction) + 6 years (round up to 7).	Limitation Act 1980
<b>E7</b>	Tax returns, preparation and filing records	Tax management	Finance	Destroy after current tax year + 6 years (round up to 7).	Taxes Management Act 1970 c.9 s34

<b>E8</b>	VAT accounting records	Tax management	Finance	Destroy after current tax year + 6 years (round up to 7).	Value Added Tax Act 1994 c. 23 s 58 and Schedule 11, para. 6(3); Value Added Tax Regulations 1995 s 31; HM Revenue and Customs 700/21 para. 5.2
<b>E9</b>	Annual Accounts, Statutory Accounts, and Management Accounts, and the preparation of Annual and Statutory Accounts records including drafts and discussions	Finance administration	Finance	Destroy after current financial year + 6 years (round up to 7).	Limitation Act 1980
<b>E10</b>	Sales and Purchase Invoices	Finance administration	Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Taxes Management Act 1970 c. 9 s 34; Limitation Act 1980; Value Added Tax Act 1994 c. 23; HM Revenue and Customs 700/21 para. 5.2
<b>E11</b>	Purchase orders	Finance administration	Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Limitation Act 1980; HM Revenue and Customs 700/21 para. 5.2
<b>E12</b>	Goods received notes	Finance administration	Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Limitation Act 1980; HM Revenue and Customs 700/21 para. 5.2

<b>E13</b>	Utility and other bills	Finance administration	Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Limitation Act 1980
<b>E14</b>	Payment certificates	Finance administration	Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Best practice
<b>E15</b>	Departmental and divisional budget records	Finance administration	Finance, Academic & Professional Services Departments	Review after current financial year + 6 years (round up to 7).	Best practice; University budget cycle
<b>E16</b>	Purchasing authorisation limit records	Finance administration	Finance, Academic & Professional Services Departments	Destroy after superseded + 1 year.	Best practice
<b>E17</b>	Purchase card statements, receipts, and other evidence of purchases (this category covers both incoming and outgoing transactions)	Finance administration	Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Limitation Act 1980; Value Added Tax Act 1994 c.23; HM Revenue and Customs 700/21 para. 5.2
<b>E18</b>	Petty cash records	Finance administration	Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Limitation Act 1980; Value Added Tax Act 1994 c.23; HM Revenue and Customs 700/21 para. 5.2

<b>E19</b>	Journals including Internal Supply Forms (ISF) and Intra-Departmental Journals (IDJ)	Finance administration	Academic & Professional Services Departments, Finance	Destroy after current financial year + 6 years (round up to 7).	Audit purposes
<b>E20</b>	Bank account administration, including opening, closure, standing orders, direct debits, deposits, withdrawals, and account statements	Finance administration	Finance	Destroy after closure of account + 6 years OR life of instruction + 6 years (round up to 7).	Limitation Act 1980; Taxes Management Act 1970 c.9 s34
<b>E21</b>	Records of employee authorisation for non-statutory payroll deductions	Payroll administration	Human Resources/ Payroll/Finance	Destroy after current tax year + 6 years (round up to 7).	Limitation Act 1980
<b>E22</b>	Employee salary payment calculations	Payroll administration	Human Resources/ Payroll	Destroy after current tax year + 7 years.	The National Minimum Wage Regulations 1999, Regulation 38(7); The Income Tax (Pay As You Earn) Regulations Regulation 97(8); Taxes Management Act 1970 c.9 s34
<b>E23</b>	Employer's PAYE records which are not required to be sent to the Inland Revenue under the provisions of the Income Tax (Pay As You Earn) Regulations 2003	Payroll administration	Human Resources/ Payroll	Destroy after current tax year + 6 years (round up to 7).	The Income Tax (Pay As You Earn); Regulations Regulation 97(8)
<b>E24</b>	Statutory sick pay scheme administration records	Payroll administration	Human Resources/ Payroll	Destroy after current tax year + 6 years (round up to 7).	Statutory Sick Pay (General); Regulations 1982 Regulation 13

<b>E25</b>	Statutory maternity pay scheme administration records	Payroll administration	Human Resources/ Payroll	Destroy after current tax year + 6 years (round up to 7).	Statutory Maternity Pay (General); Regulations 1986 Regulation 26
<b>E26</b>	Employer and Employee contribution to pension scheme records for employees records	Human resources administration	Human Resources/ Payroll	Review after termination of employment + 75 years.	Limitation Act 1980
<b>E27</b>	Employee and Third party (e.g. Honorary appointees) expenses payment and reimbursement records	Human resources administration	Human Resources, Finance, Academic & Professional Services Departments	Destroy after current financial year + 6 years (round up to 7).	Taxes Management Act 1970 c.9 s34; Limitation Act 1980
<b>E28</b>	Tuition fees administration	Finance administration	Student Administration & Support	Destroy after student leaves the University/ graduates + 6 years.	Taxes Management Act 1970 c.9 s34; Limitation Act 1980
<b>E29</b>	Scholarship fund administration	Funding administration	Student Administration & Support, Academic Departments	Destroy after current financial year + 6 years (round up to 7).	Limitation Act 1980
<b>E30</b>	Endowed Funds: Chairs, prizes, scholarships, fellowships, medals, bequests, lectureships, labs and departments, donated awards	Investment/ Funding administration	Finance, Academic & Professional Services Departments	Minimum recommendation is to review after current tax year + 6 years. Some records may need to be retained longer, for example for the lifetime of the fund. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
<b>E31</b>	Annual funding allocation administration records	Funding administration	Finance	Review after current financial year + 10 years (round up to 11).	Best practice
<b>E32</b>	European structural funding administration	Funding administration	Research Support Office; Academic	Depends on project. Be particularly careful of EU funded projects which may	EC No. 1260/1999 Article 38;



			& Professional Services Department	require longer retention periods and/or insist on original hard copies. Note that dates may be changed so it is advisable to double check before destroying ESF records. Minimum recommendation: review at the end of grant + 6 years.	Stated or implied requirements of UK Research Councils and other research sponsors
<b>E33</b>	Research grant administration records	Funding administration	Finance, Research Support Office, Academic & Professional Services Departments	Depends on Research Project. Be particularly careful of EU funded projects which may require longer retention periods and/ or insist on original hard copies. Minimum recommendation: review at the end of grant + 6 years.	Limitation Act 1980; Stated or implied requirements of UK Research Councils and other research sponsors
E34	Pension policies	Pension administration	Finance/Pensions	Review after termination of employment + 75 years. Finance office	Limitation Act 1980
E35	Record of personnel not involved in pension scheme	Pension administration	Finance/Pensions	There is a permanent record that states the person was employed. Staff file states that the person was not in pension and is kept after end of employment + 7 years. Finance office	Social Security Contributions & Benefits Act 1992; Statutory Sick Pay Manual for employers CA30
E36	Pension scheme information and correspondence	Pension administration	Finance/Pensions	Review after current year + 6 years. Finance office	Limitation Act 1980; Best practice
E37	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs	Pension administration	Finance	Review after termination of relationship + 6 years. Finance office	Limitation Act 1980; Best practice

E38	Certificates of Liability	Insurance management	Finance	Destroy after renewal of policy + 40 years.	Employers' Liability (Compulsory Insurance) Regulations 1998
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## F. Health and Safety

**Approved by:** University Health and Safety Officer

**What this section covers:** Records relating to health and safety. Please note that many health and safety records require a longer retention than others of the same type for example: policies, procedures, and committee minutes.

**Other related sections:**

- B. Committee Records**
- D. Facilities Management** covers records relating to buildings, facilities, and equipment, including some health and safety records plus records relating to security, sustainability, and transport.
- G. People Management**
- I. Legal and Compliance** covers records relating to legal matters, including deeds contracts, insurance, compliance, and intellectual property rights.
- N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
<b>F1</b>	University Health and Safety policy including records relating to its development and supporting records	Health and safety management	Safety Adviser's Office	Review once superseded + 50 years. Notify Information Compliance about records of potential historic value.	Required by the Management of Health and Safety at Work Regulations (1999), regulation 5(2); Potential historic value; Best practice
<b>F2</b>	University Health and safety codes of practice master copy	Health and safety management	Safety Adviser's Office	Review once superseded + 50 years.	Required by the Management of Health and Safety at Work Regulations (1999), regulation 5(2); Best practice
<b>F3</b>	Records documenting the establishment of a safety committee including the objectives, role, functions, composition, and administration of the committee	Health and safety management	Safety Adviser's Office	Review after dissolution of committee + 50 years.	2(7) of the Health and Safety at Work etc. Act 1974 (c.37); Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500); Best practice
<b>F4</b>	Records documenting the election of members of a safety committee	Health and safety management	Safety Adviser's Office	Review after completion of election + 1 year.	Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500); Best practice

<b>F5</b>	Records documenting the proceedings and decisions of a safety committee	Health and safety management	Safety Adviser's Office	Review after current year + 50 years.	Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500); Best practice
<b>F6</b>	University safety committee minutes	Health and safety management	Safety Adviser's Office	Review after current year + 40 years. Notify Information Compliance about records of potential historic value.	Best practice; Potential historic value
<b>F7</b>	Records documenting notifications of appointments of safety representatives by trade unions	Health and safety management	Trade Unions	Review after termination of appointment + 1 year.	Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500)
<b>F8</b>	Records documenting the provision of time off, and other facilities and assistance, for safety representatives	Health and safety management	Trade Unions	Review after current year + 5 years.	Safety Representatives and Safety Committees Regulations 1977 SI 1977/500); Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513)
<b>F9</b>	Records documenting consultations and other communications with safety representatives	Health and safety management	Trade Unions	Review after current year + 50 years.	Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500)
<b>F10</b>	Records documenting the election of representatives for employee safety	Health and safety management	Trade Unions	Review after current year + 50 years.	Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513)
<b>F11</b>	Safety Circulars/ guidance documents/ ONUS documents	Health and safety management	Safety Adviser's Office	Review after current year + 40 years. Notify Information Compliance about records of potential historic value.	Best practice; Potential historic value

<b>F12</b>	Local safety records including: Codes of Practice; Local hazard inventories; Local safety plans and progress reports (annual); Annual safety review minutes (meetings between head of department and departmental safety coordinator); six monthly safety inspection reports	Health and safety management	Academic & Professional Services Departments <i>Safety Adviser's Office</i>	Review after current year + 10 years. Note that a copy of the six-monthly inspection reports should be sent to the Safety Adviser's Office.	Best practice
<b>F13</b>	General Risk assessments	Health and safety management	Academic & Professional Services Departments	Destroy after elimination of risk + 6 years OR updating of risk assessment + 6 years. See D.51 for security risk assessments and L.16 for risk assessments relating to specific events. There are also some very specific types of risk assessment in Sections D and F.	Best practice
<b>F14</b>	Equipment Risk assessments	Health and safety management	Academic & Professional Services Departments	Destroy once superseded + 10 years.	Management of Health & Safety at work regulations 1999
<b>F15</b>	Fire safety risk assessments	Health and safety management	Safety Adviser's Office	Destroy once superseded + 5 years.	Required by the Regulatory Reform (Fire Safety) Order (2005), article 9
<b>F16</b>	Specific health related risk assessments e.g. lead, ionising and non-ionising radiation, chemicals (carcinogens, teratogens, mutagens), asbestos, noise,	Health and safety management	Academic & Professional Services Departments, Safety Adviser's Office,	Review after current year + 40 years. Note that personal identifiable employee records need to be kept from termination of employment + 6 years.	Ionising Radiations Regulations (1999), regulation 7; Control of Artificial Optical Radiation at Work Regulations (2010),

	vibration, display screen equipment, nanomaterials		Facilities Management, Radiation Protection		regulation 3(7); Control of Lead at Work Regulations (2002), regulation 5; Health & Safety (Display Screen) Equipment Regulations 1992
<b>F17</b>	Fire safety arrangements including conduct and review of fire safety drills	Health and safety management	Academic & Professional Services Departments	Destroy after current year + 5 years OR superseded + 5 years.	Regulatory Reform (Fire safety) Order (2005), article 15
<b>F18</b>	Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, firefighting, and rescue services	Health and safety management	Safety Adviser's Office	Review after current year + 5 years OR superseded + 5 years.	Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541)
<b>F19</b>	Notification of deficiencies and other enforcement letters from the fire service	Health and safety management	Safety Adviser's Office	Review after current year + 40 years	Regulatory Reform (Fire Safety) Order 2005
<b>F20</b>	Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994	Health and safety management	Facilities, Residential & Commercial Services,	Review after decommissioning/ removal of plant. SI 1994/3140 does not prescribe for these records but implies that the Health and Safety File for a structure should be retained for the life of the structure. A Health and Safety File is transferred to the new owner when a structure is sold.	SI 1994/3140 Regulation 12
<b>F21</b>	Reports of pre-commissioning examinations of lifting equipment	Health and safety management	Facilities, Residential & Commercial Services,	Review after decommissioning.	Lifting Operations and Lifting Equipment Regulations 1998, SI 1998/2307 Regulations

			Safety Adviser's Office, Academic & Professional Services Departments		9(1), 9(2), 11(2)(a)(i) and 11(2)(a)(iii)
<b>F22</b>	Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998	Health and safety management	Facilities, Residential & Commercial Services, Safety Adviser's Office, Academic & Professional Services Departments	Review after date of report + 2 years.	Lifting Operations and Lifting Equipment Regulations 1998, SI 1998/2307 Regulation 11(2)(a)(ii)
<b>F23</b>	Reports of inspection and 'thorough examination' of lifting equipment	Health and safety management	Facilities, Residential & Commercial Services, Safety Advisers Office, Academic & Professional Services Departments	Review after date of subsequent report OR date of report + 2 years, whichever is the later.	Lifting Operations and Lifting Equipment Regulations 1998, SI 1998/2307 Regulation 9
<b>F24</b>	Health and safety training records	Health and safety management	Academic & Professional Services Departments	Destroy after current year + 5 years OR superseded + 5 years.	Best practice
<b>F25</b>	Training in use of display screen equipment	Health and safety management	Academic & Professional	Destroy once superseded + 5 years.	Health & Safety (Display Screen) Equipment

			Services Departments		Regulations (1992), regulations 6 and 7
<b>F26</b>	Firefighting training records	Health and safety management	Academic & Professional Services Departments	Destroy after current year + 5 years OR superseded + 5 years.	Regulatory Reform (Fire Safety) Order (2005), article 13
<b>F27</b>	Safety training records - general induction and specific task/ activity training records	Health and safety management	Academic & Professional Services Departments, Safety Advisers Office	Destroy after current year + 5 years OR superseded + 5 years.	Best practice
<b>F28</b>	First aid training records	Health and safety management	Academic & Professional Services Departments	Destroy after current year + 3 years OR superseded + 3 years.	Required by Health and Safety (First Aid) Regulations (1981) Regulation 3
<b>F29</b>	First aid competency certificates	Health and safety management	Academic & Professional Services Departments	Destroy once superseded + 3 years.	Best practice
<b>F30</b>	Training records for employees exposed to noise, substances hazardous to health, lead, ionising/ non- ionising radiation, or asbestos	Health and safety management	Academic & Professional Services Departments	Destroy once superseded + 10 years.	Control of Substances Hazardous to Health Regulations (2002), Regulations 12, 7(10) and Schedule 3, para. 4(3); Ionising Radiations Regulations (1999), Part III, regulation 14; The Control of Artificial Optical Radiation at Work Regulations 2010, regulation 5(1)



<b>F31</b>	Health and safety monitoring and inspection records	Health and safety management	Safety Adviser's Office, Academic & Professional Services Departments	Review after current year + 5 years OR superseded + 1 year.	Best practice
<b>F32</b>	Records of injuries, dangerous occurrences, and outbreaks of notifiable diseases on the institution's premises	Health and safety management	Safety Adviser's Office	Review after date of recording + 3 years. The contents of records to be kept are specified in Schedule 4 of SI 1995/3163.	Regulations 2 and 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163)
<b>F33</b>	Accident/incident forms and subsequent investigation	Health and safety management	Safety Adviser's Office	Review after closure of investigation + 40 years.	Required by the Management of Health and Safety at Work Regulations (1999); Best practice
<b>F34</b>	Response to accident/incident	Health and safety management	Safety Adviser's Office	Review after last action on response + 10 years.	Best practice
<b>F35</b>	Letters from enforcing authorities about non-compliance issues	Health and safety management	Safety Adviser's Office	Review after current year + 40 years.	Best practice
<b>F36</b>	Records documenting the examination, testing and repair of plant and equipment (including personal equipment) provided to control exposure to substances hazardous to health, asbestos, lead, and noise	Health and safety management	Facilities, Residential & Commercial Services, Safety Adviser's Office, Academic & Professional Services Departments	Review after date of examination/ test/ repair + 5 years.	Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677); Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739);

					Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676)
<b>F37</b>	Exposure to hazardous substances at the workplace including carcinogens and nanoparticles	Health and safety management	Safety Adviser's Office, Academic & Professional Services Departments	Review personal identifiable employee records after last entry + 40 years. Review general records after current year + 5 years.	Control of Substances Hazardous to Health Regulations 1997, Regulation 10
<b>F38</b>	Hazardous and 'special' waste disposal records	Health and safety management	Academic & Professional Services Departments	Destroy after removal of waste consignment + 3 years.	Special Waste Regulations (1996), Regulation 15 (4); Hazardous Waste (England and Wales) Regulations (2005), Regulation 49
<b>F39</b>	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents	Health and safety management	Safety Adviser's Office	Review after current year + 40 years.	Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Regulation 7(10) and Schedule 3, para. 4
<b>F40</b>	Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant	Health and safety management	Radiation Protection	Review after date of assessment + 50 years OR when the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Regulation 21.3a of the Ionising Radiations Regulations 1999 (SI 1999/3232)
<b>F41</b>	Summaries of dose records	Health and safety management	Radiation Protection	Review after end of current year to which the summary relates + 2 years from end of calendar year to which the summary relates.	Regulation 21.7 of the Ionising Radiations Regulations 1999 (SI 1999/3232)

				Dose records are usually made and maintained by a dosimetry service on behalf of an employer; a dosimetry service provides summaries of dose records to an employer on whose behalf it makes and maintains the records.	
<b>F42</b>	Records documenting investigations relating to estimated dose	Health and safety management	Radiation Protection	Review after date of investigation report + 2 years.	Regulation 22.4, 25.2 and 32.7 of the Ionising Radiations Regulations 1999 (SI 1999/3232)
<b>F43</b>	Records documenting assessments of individual doses of ionising radiation received because of a radiation accident	Health and safety management	Radiation Protection	Review after date of accident + 50 years OR when the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Regulation 23.2b, 25.2 and 32.7 of the Ionising Radiations Regulations 1999 (SI 1999/3232)
<b>F44</b>	Records documenting medical surveillance of individual employees who are exposed to ionising and non-ionising radiation and are required to be under medical surveillance	Health and safety management	Radiation Protection	Review after date of last entry + 50 years OR when the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Regulation 24.3 of the Ionising Radiations Regulations 1999 (SI 1999/3232); The control of Artificial Optical Radiation at Work Regulations 2010, regulation 6(3)
<b>F45</b>	Reports of investigations into occurrences of overexposure to ionising radiation	Health and safety management	Radiation Protection	Review after date of report + 50 years OR when the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Regulation 25.2b, 32.7 of the Ionising Radiations Regulations 1999 (SI 1999/3232)
<b>F46</b>	Investigation report into possible overexposure to ionising radiation or doses above the 'investigation level'	Health and safety management	Radiation Protection	Review after date of report of investigation + 2 years.	Regulation 8.7 and 25.7 of the Ionising Radiations Regulations 1999 (SI 1999/3232)

<b>F47</b>	Records documenting tests to detect leakage from articles containing or embodying radioactive substances	Health and safety management	Radiation Protection	Review after completion of subsequent test on article OR disposal of article + 2 years.	Regulation 27.3 of the Ionising Radiations Regulations 1999 (SI 1999/3232)
<b>F48</b>	Accounting for radioactive substances: general	Health and safety management	Radiation Protection	Review after date of disposal or removal + 5 years.	The Environmental Permitting (England and Wales) Regulations 2010
<b>F49</b>	Disposal of long-lived radionuclides to drains (except H-3 and C-14)	Health and safety management	Radiation Protection	Review after disposal + 50 years.	The Environmental Permitting (England and Wales) Regulations 2010
<b>F50</b>	Disposal of low-level waste to landfill for 'burial at a specified location'	Health and safety management	Radiation Protection	Review after disposal + 50 years.	The Environmental Permitting (England and Wales) Regulations 2010
<b>F51</b>	Disposal of any radionuclides to incineration	Health and safety management	Radiation Protection	Review after disposal + 50 years.	The Environmental Permitting (England and Wales) Regulations 2010
<b>F52</b>	Transfer of any radioactive sources or waste to third parties	Health and safety management	Radiation Protection	Review after transfer + 50 years.	The Environmental Permitting (England and Wales) Regulations 2010
<b>F53</b>	Records documenting immediate investigations into possible spillages or accidental release or theft of radioactive substances, where accidental release or theft was found to have occurred	Health and safety management	Radiation Protection	Review after date of report + 50 years.	The Environmental Permitting (England and Wales) Regulations 2010; Regulation 30.5 of the Ionising Radiations Regulations 1999 (SI 1999/3232)

<b>F53</b>	Records documenting the examination, testing and repair of plant and equipment (including personal equipment) provided to control exposure to ionising radiation	Health and safety management	Radiation Protection	Review after date of examination/ test/ repair + 2 years.	Regulation 10.1 and 10.2 of the Ionising Radiations Regulations 1999 (SI 1999/3232)
<b>F55</b>	Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation	Health and safety management	Radiation Protection	Review after date of maintenance/ testing + 2 years.	Regulation 19.2 and 19.4 of the Ionising Radiations Regulations 1999 (SI 1999/3232)
<b>F56</b>	Records relating to monitoring of designated areas	Health and safety management	Radiation Protection	Review after monitoring + 2 years.	Regulation 18.5 and 19.4 of the Ionising Radiations Regulations 1999 (SI 1999/3232)
F57	Records of accidents resulting in major injuries in the workplace	Health and Safety Services	Safety Adviser's Office, Occupational Health	Review after termination of employment + 40 years. Held by H&S services not HR	Limitation Act 1980; Health & Safety Legislation
<b>F58</b>	Records of the quantity and location of radioactive substances including monitoring records and records of transportation	Health and safety management	Radiation Protection	Review after disposal of radioactive substance + 2 years OR date of record + 2 years, whichever is the later.	Regulation 28, 19.4 and 18.5 of the Ionising Radiations Regulations 1999 (SI 1999/3232); The Environmental Permitting (England and Wales) Regulations 2010 CDG Regulations 2009

## G. People Management

**Approved by:**

Human Resources Director

**What this section covers:**

Records relating to the management of staff. Although many of these records will be held by the Human Resources department, original personnel documentation and copies of the originals are widely held in other areas of the University. If copies are held it is important to make sure that they are also managed in line with the schedule.

**Other related sections:**

**A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**E. Financial Management** covers financial records including records relating to pay schemes.

**N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
G1	Human Resources management procedures plus any relevant supporting documentation	Human resources strategy and audit	Human Resources	Previous versions kept on SIMS and X: Drive minimum retention should be superseded + 6 years.	Best practice
G2	Management succession plans	Human resources strategy and audit	Academic & Professional Services Departments	Review after superseded + 5 years.	Best practice
G3	Role Evaluation and evaluation records	Recruitment	Human Resources <i>Academic &amp; Professional Services Departments</i>	Destroy paper files after current year + 5 years.	Best practice
G4	Job specifications	Recruitment	Human Resources <i>Academic &amp; Professional Services Departments</i>	Review after termination of employment + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
G5	Records documenting the advertising of vacancies	Recruitment	Human Resources	Destroy after completion of recruitment process + 1	Sex Discrimination Act 1975 c.65; Race Relations Act 1976 c.74;56 Disability Discrimination Act 1995 c.50; Employment Equality (age)

					<p>Regulations 2006, Regulations 7, 36 and 42; Employment Equality (religion or belief) Regulations 2003, Regulations 6, 28 and 34; Employment Equality (sexual orientation) Regulations 2003, Regulations 6, 28 and 34; Employment Practices Code, Section 1.7.1 (Information Commissioner's Office, 2005)</p>
G6	Records documenting enquiries about vacancies, requests for application forms and unsolicited applications	Recruitment	Human Resources <i>Academic &amp; Professional Services Departments</i>	Destroy after completion of recruitment process OR receipt of application + 1 year. People's details may be kept on file longer than this to consider for future vacancies but only with their permission.	Data Protection Legislation; Best practice
G7	Successful applications	Recruitment	Human Resources	Destroy after termination of employment + 7 years (as part of employee contract	Data Protection Legislation;



			<i>Academic &amp; Professional Services Departments</i>	records), except information which is not relevant to the ongoing employment relationship.	Limitation Act 1980; Linked to financial records (see Section E)
G8	Unsuccessful applications	Recruitment	<i>Academic &amp; Professional Services Departments Human Resources</i>	Destroy after completion of recruitment process + 1 year. People's details may be kept on file longer than this to consider for future vacancies but only with their permission.	Data Protection Legislation Sex Discrimination Act 1975 c.65; Race Relations Act 1976 c.74; 56 Disability Discrimination Act 1995 c.50; Employment Equality (age) Regulations 2006, Regulations 7, 36 and 42; Employment Equality (religion or belief) Regulations 2003, 13 Regulations 6, 28 and 34; Employment Equality (sexual orientation)

					Regulations 2003, Regulations 6, 28 and 34; Employment Practices Code
G9	Interview records	Recruitment	Academic & Professional Services Departments <i>Human Resources</i>	Destroy after completion of recruitment process + 1 year.	Data Protection Legislation Best practice
G10	Incoming references provided in support of applications	Recruitment	Human Resources, Academic & Professional Services Departments	If successful, add to staff file (see G.21). If unsuccessful destroy after provision of reference + 1 year.	Data Protection Legislation Best practice
G11	Records relating to DBS (Disclosure and Barring Service) checks and certificates (previously known as CRB)	Recruitment	Human Resources	Destroy within 6 months of creation/ receipt. Paperwork on filestream destroyed but limited details such as dates retained on MyHR.	Data Protection Act 2018
G12	Requests and approvals for occasional workers	Recruitment	Human Resources, Academic & Professional Services Departments	Destroy after termination of employment + 7 years.	Best practice
G13	Records documenting the appointment/ designation of the institution's senior officers	Human resources administration	Human Resources/ Payroll	Review after termination of appointment + 6 years.	Limitation Act 1980

				N.B. E-recruitment is currently being developed so further information on how these records will be kept is to follow.	
G14	Statutory/ regulatory required training records	Staff training and development	Human Resources, Academic & Professional Services Departments	Destroy after termination of employment + 7 years. Inc MyHR	Limitation Act 1980
G15	Analysis of staff performance assessments and workforce training and development needs	Staff training and development	Academic & Professional Services Departments	Review after current year + 6 years.	Best practice
G16	Development and assessment of induction and staff training programme records (i.e. records relating to the training itself, how and why it was created, content etc.)	Staff training and development	Human Resources, Academic & Professional Services Departments	Review after current year + 6 years.	Best practice
G17	Delivery of employee induction programme records	Staff training and development	Academic & Professional Services Departments	Destroy after completion of programme + 1 year. A copy of each individual's induction programme may be added to their staff file (see G.21).	Best practice
G18	Staff training and development records (i.e. records relating to the delivery of the training, who attended etc.)	Staff training and development	Academic & Professional Services Departments	Destroy after completion of actions + 6 years.	Best practice

G19	Staff Appraisal record including individual staff member training and development needs, pay reviews, staff feedback on training and development processes	Performance management	Human Resources	Appraisals on electronic system destroyed after termination of employment + 7 years;	Best practice
G20	Staff rotas Timesheets Clocking on/ off records Overtime records Authorisation and administration of leave including special leave	Human resources administration	Academic & Professional Services Departments	Destroy after current year + 1 year OR + 7 years if data affects the payroll. Information added to the Human Resources pay system and/ or staff files may be kept longer.	Working Time Regulations 1998;
G21	Personnel/ staff file for all staff including occasional workers, volunteers etc are retained on Filestream. Examples of what may be included in a staff file are: -contract of employment -terms and conditions -authorisation for recruitment -references -induction and training records	Human resources administration	Human Resources, Facilities Management, Academic & Professional Services Departments	Review after termination of employment + 7 years. When making decisions about files relating to staff who may have been working with children (which includes any students under 18) and/or vulnerable adults consider Section 59 of the Safeguarding Vulnerable Groups Act 2006. Also consider if suitable for retention by Archives under the archiving in the Public Interest in accordance with HR Policy. Cross Ref H	Limitation Act 1980; Data Protection Legislation; Linked to financial records; Safeguarding Vulnerable Groups Act 2006
G22	Overtime reports	Human resources administration	Human Resources, Professional Services	Destroy after current year + 7 years.	Best practice

G23	Authorisation and administration of statutory leave (e.g. Maternity and Paternity leave)	Human resources administration	Human Resources, Professional Services	Destroy after termination of employment + 7 years. Filestream and MyHR	The Maternity & Parental Leave etc. Regulations
G24	Administration and calculation of leave entitlements	Human resources administration	Human Resources, Academic & Professional Services Departments	Once all holidays recorded on MyHR destroy after termination of employment + 7 years. Paper based records in local area will move to MyHR in 2018	The Statutory Maternity Pay (General) Regulations 1986 Regulation 26
G25	Staff remuneration and rewards (e.g. long service awards)	Human resources administration	Human Resources, Academic & Professional Services Departments	Destroy after termination of employment + 7 years.	Limitation Act 1980; Minimum: The Income Tax (Pay As You Earn) Regulations 97(8); The National Minimum Wage Regulation 38(7) Recommended: Taxes Management Act 1970 c.9 s34
G26	Health assessments including reports from Occupational Health See section J Medical, Health and Other Specialist Services for the health assessments themselves	Human resources administration	Human Resources, Occupational Health Service	Human Resources records should only contain referral letters and reports from the Occupational Health team, which are a form of advice to management; these should be destroyed 6 years after cessation of employment. Medical reports from treating doctors should be destroyed immediately, if there	Working Time Regulations 1998

				is no purpose for management to process these or should be forwarded to the Occupational Health service for interpretation and then stored in the Occupational Health records.	
G27	Sickness and absence records (NHS fit notes or Occupational Health reports should be kept by Human Resources (Filestream); full health assessments are held by Occupational Health; external medical reports should be destroyed immediately or forwarded to Occupational Health for interpretation and storage)	Human resources administration	Academic & Professional Services Departments	The record showing someone was sick is part of their employment record – reason code (major, minor, and other groupings) and is also held electronically as part of Human Resources pay system. Destroy after termination of employment + 7 years.	Statutory Sick Pay Manual for employers CA30; Best practice
G28	Sickness and absence reports (no personally identifiable information)	Human resources administration	Human Resources, Academic & Professional Services Departments	Destroy after current year + 5 years.	Best practice
G29	Staff grievance records	Human resources administration	Human Resources, Professional Services	Destroy after termination of employment + 7 years. Separate case file and basics on MyHR	Limitation Act 1980
G30	Formal complaints	Human resources administration	Human Resources, Professional Services	Destroy after termination of employment + 7 years. Separate case file and basics on MyHR	Best practice

G31	Staff disciplinary records	Human resources administration	Human Resources, Professional Services	Destroy after termination of employment + 7 years. Separate case file and basics on MyHR	Best practice
G32	Termination of employment records including exit interviews	Human resources administration	Human Resources <i>Academic &amp; Professional Services Departments</i>	Destroy after termination of employment + 7 years. Prior to 2012 (implementation of Filestream personal records) hard copy exit questionnaire responses were held on personal files – so they have/will be destroyed after 10 years. (This will have to be changed to 7 should the draft document be finalised and implemented.  Exit questionnaire data held on spreadsheets on the services directory will be deleted after the agreed period.  Will need editing before publication	Limitation Act 1980
G33	Employment/ Trade Union agreements	Human resources administration	Human Resources	Review after termination of relationship + 10 years.	Chartered Institute of Personnel and Development, Retention of personnel and other related records 2006
G34	Consultations and negotiations with trade/ employment unions on specific issues, routine	Human resources administration	Human Resources	Review after last action on issue + 10 years.	Best practice

	correspondence, and minutes of meetings				
G35	Employment union correspondence	Human resources administration	Human Resources	Review after current year + 10 years.	Best practice

## H. Information and Collections Management

**Approved by:**

University Librarian/Archivist/Head of Service Assurance/Director of Compliance

**What this section covers:**

Records relating to information management, including records management, archive management and computing services and collections management, including art collections and the library.

**Other related sections:**

**A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**I. Legal and Compliance** covers records relating to legal matters, including deeds contracts, insurance, compliance, and intellectual property rights.

**N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.



Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
H1	Records documenting storage locations of records	Records management	Information Compliance	Destroy once superseded.	Best practice
H2	Records documenting the movement of records to storage	Records management	Information Compliance, Academic & Professional Services Departments	Destroy after return of records + 1 year.	Best practice
H3	Records documenting the determination of retention periods for records	Records management	Information Compliance	Review after completion of revised Records Retention Schedule + 6 years.	Best practice
H4	Final versions of Records Retention Schedules	Records management	Information Compliance	Move to University Archives once superseded.	Potential historic value; Best practice
H5	Publication Scheme	Records management	Information Compliance	Retain permanently. Notify Information Compliance about records of potential historic value.	Potential historic value
H6	Records documenting the development and maintenance of the institution's Publication Scheme	Records management	Information Compliance	Review after completion of revision of Publication Scheme + 6 years.	Required by the Freedom of Information Act 2000 (c.36)
H7	Records documenting the handling of requests for information held by the institution, made under the Data Protection Legislation, the Freedom of Information Act 2000 (c. 36) or the	Records management	Information Compliance	Review after completion of request handling process 2 + 1 years to ensure 2-year period. A request handling process is completed when the request has been fulfilled or when all complaints and/or appeals (against non-disclosure of information or methods of handling the	Environmental Information Regulations 2004 (SI 2004/3391); Data Protection Legislation;

	Environmental Information Regulations 2004			request) have been determined. Records (or information extracted from them) relating to cases which set legal precedents, or which establish principles for handling requests for certain types of information should be kept for longer, or requests which resulted in complaints or appeals.	Freedom of Information Act 2000; The National Archives best practice
H8	Selection criteria for archives including the development and establishment of this criteria	Archives management	Special Collections and Archives	Review after life of archives. Appraise records of potential historic value.	Potential historic value; Best practice
H9	Accessioning and acquisition of records and objects acquired for art collections and archives	Archives & collections management	Special Collections and Archives, Art Collections	Review after life of archives. Appraise records of potential historic value.	Potential historic value; Best practice
H10	Scheme of arrangement for the archives	Archives management	Special Collections and Archives	Review after life of records arranged according to the scheme.	Best practice
H11	Standard descriptive model for the archives and the development of this model	Archives management	Special Collections and Archives	Review after life of records described using the model.	Best practice
H12	Descriptions of the archives and key information about objects in the art collections	Archives & collections management	Special Collections and Archives, Art Collections	Review after life of records. Appraise records of potential historic value.	Potential historic value; Best practice
H13	Records documenting the monitoring and control of the storage of archives	Archives management	Special Collections and Archives	Review after current year + 6 years.	Best practice
H14	Records documenting the movement of archives from/ to storage	Archives management	Special Collections and Archives	Review after return of items + 6 years.	Best practice

H15	Records documenting requests for access to archives	Archives management	Special Collections and Archives	Review after last action on request + 6 years.	Best practice
H16	Records documenting conservation work undertaken on items in the archives or publications held in the University Library	Archives & collections management	Special Collections and Archives, Library	Review after life of records.	Best practice
H17	Records documenting authorisation for the disposal of de-accessioned records	Archives management	Special Collections and Archives	Review after completion of disposal process + 6 years.	Limitation Act 1980; Best practice
H18	Records documenting the selection, use, and loan of items from the archives by institutional staff and third parties (e.g. for teaching events, publications, exhibitions)	Archives management	Special Collections and Archives	Review after last action on project + 6 years OR termination of loan + 6 years.	Limitation Act 1980; Best practice
H19	ICT system records: -Development -Post-implementation -Modification -Maintenance	Information technology management	ICT	Destroy after decommissioning of system + 5 years OR after last action on development + 5 years if implementation of system abandoned.	Best practice
H20	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance	Information technology management	ICT	Destroy after current year + 1 year.	Best practice
H21	Records documenting the management of system data storage, including the	Information technology management	ICT	Destroy after current year + 1 year.	Best practice

	operation of routine data backup, archiving and deletion routines				
H22	Records documenting user requests to recover data from backup or archive stores, and action taken	Information technology management	ICT	Retained within Service Desk IT Service Management tool and subject to retention policy of that service.	Best practice
H23	Records documenting the maintenance of appropriate software licences for live ICT systems	Information technology management	ICT	Destroy after issue of new licence.	Best practice
H24	Records documenting the security arrangements for ICT systems	Information technology management	ICT	Review after decommissioning of system + 6 years.	Best practice
H25	Records documenting the opening, maintenance, and closure of user accounts for ICT systems	Information technology management	ICT	Destroy after closure of account + 6 years.	Best practice
H26	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies	Information technology management	ICT	Destroy after current year + 1 year.	Best practice
H27	Requests for, and authorisation of, connections of third-party equipment to the institution's networks, either on institutional premises or via remote communications links	Information technology management	ICT	Retained within Service Desk IT Service Management tool and subject to retention policy of that service.?	Best practice

H28	Records documenting the removal/ return of mobile ICT systems hardware and software from/ to the institution's premises	Information technology management	ICT	Destroy after return of equipment + 3 months.	Best practice
H29	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal	Information technology management	ICT	Destroy after disposal of equipment + 1 year.	Best practice
H32	Records documenting the process of selecting publications to purchase	Collections management	Library	Review after completion of purchase.	Best practice
H33	Records documenting decisions to (dis)continue purchase of publications	Collections management	Library	Review after last action on issue + 1 year.	Best practice
H34	Records documenting the institution's scheme(s) for classifying and cataloguing publications	Collections management	Library	Destroy once all catalogues based on the scheme are superseded.	Best practice
H35	Catalogues of publications	Collections management	Library	Weed regularly (at least annually) and keep up to date in line with the relevant recommendations in this schedule. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice

# I. Legal and Compliance

**Approved by:**

Director of Legal, Risk & Compliance

**What this section covers:**

Records relating to legal matters, including deeds contracts, insurance, compliance, and intellectual property rights.

**Other related sections:**

**D. Facilities Management** covers records relating to buildings, facilities, and equipment, including some health and safety records plus records relating to security, sustainability, and transport.

**K. Procurement**

**N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
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11	Records documenting legal advice requested by, and provided to, the institution concerning, for example: - interpretation of legislation affecting the institution's legal framework, governance, responsibilities, or operations - proposals for new legislation affecting the institution's legal framework, governance, responsibilities, or operations - the institution's relationships with government bodies and HE regulators - industrial relations issues - health, safety, and environmental issues	Legal affairs management	Legal	Retain for life of institution.	Best practice
12	Records documenting legal advice on other matters requested by, and provided to, the institution	Legal affairs management	Legal	Review once superseded + 7 years.	Best practice
13	Litigation records involving the university where legal precedents are set	Legal affairs management	Legal	Review once superseded + 7 years.	Best practice
14	Litigation records involving the university where precedents not set	Legal affairs management	Legal	Review once superseded + 7 years.	Limitation Act 1980

15	Records concerning legal claims settled by agreement or withdrawn	Legal affairs management	Legal	Review after settlement + 6 years OR withdrawal of claim + 6 years.	Limitation Act 1980
16	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure	Legal affairs management	Legal	Review after closure of case + 6 years.	Limitation Act 1980
17	Arrangement and renewal of insurance policy records	Insurance management	Legal, Academic & Professional Services Departments	Review after expiry of policy + 6 years.	Limitation Act 1980
18	Claims against insurance policies records	Insurance administration	Legal, Academic & Professional Services Departments	Review after settlement of claim + 6 years.	Limitation Act 1980
19	Deeds contracts (under hand)	Contract and agreements management	Legal, Academic & Professional Services Departments	Retain for life of contract	Limitation Act 1980
110	Deeds contracts (under seal)	Contract and agreements management	Legal, Academic & Professional Services Departments	Retain for life of contract	Limitation Act 1980
111	Records documenting the negotiation and agreement of contracts, the terms and conditions and subsequent	Contract and agreements management	Legal Procurement Academic &	Retain for life of contract	Limitation Act 1980



	variations to contracts: key records		<i>Professional Services Departments</i>		
I12	Records documenting the negotiation and agreement of contracts, the terms and conditions and subsequent variations to contracts: working papers	Contract and agreements management	Legal Procurement <i>Academic &amp; Professional Services Departments</i>	Retain for life of contract	Best practice
I13	Subsidiary/ related company records	Contract and agreements management	Legal <i>Academic &amp; Professional Services Departments</i>	Review after end of company + 10 years. Notify Information Compliance about records of potential historic value.	Potential Historic Value
I14	Records documenting the institution's applications for patents and patent certificates	Intellectual property rights management	Legal <i>Academic &amp; Professional Services Departments</i>	Review after life of patent + 50 years.	Legal opinion
I15	Records documenting routine monitoring of third-party activity to detect infringements of the institution's IPR	Intellectual property rights management	Business Gateway <i>Academic Departments</i>	Review after current year + 6 years.	Best practice
I16	Records documenting identified infringements of the institution's IPR, and action taken other than litigation	Intellectual property rights management	Legal <i>Academic &amp; Professional Services Departments</i>	Destroy after last action on case + 7 years.	Limitation Act 1980
I17	Records documenting applications for permission to copy from published works which are not covered	Intellectual property rights management	Legal	Review after last action on application + 100 years.	Best practice

	by Copyright Licensing Agency licences, where permission is not granted				
118	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted	Intellectual property rights management	Legal	Review after period for which permission is granted + 100 years.	Limitation Act 1980
119	Records documenting the institution's participation in formal government/ parliamentary or public inquiries	Legal	Vice-Chancellor's Office	Review after last action on inquiry + 7years.	Best practice
120	Formal reports/ responses to consultation requests e.g. government or parliamentary bodies	Legal	Vice-Chancellor's Office	Review after end of consultation/ inquiry + 7 years.	Best practice

## J. Medical, Health and Other Specialist Services

**Approved by:**

Director Occupational Health and Faculty Academic Manager

**What this section covers:**

Records relating to medical and health information, particularly those held by Occupational Health. Health information is processed by various areas of the University, including the Disability Support Team, Human Resources, Payroll, Legal, Risk & Compliance and research committees. This section should be read in conjunction with the other relevant sections to ensure all considerations are considered. The section also includes the records of specialist services such as the Counselling Service and the Law Clinic. There are also many such records already included in staff and student records listed in other sections and the footnotes and cross-references should be read in full alongside the main entries. Veterinary records are also covered by this section.

**Other related sections:**

**F. Health and Safety**  
**G. People Management**  
**M. Research**  
**O. Student Administration and Services**

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
J1	Occupational Health Medical Records (Staff and Students)	Occupational health services	Occupational Health	<p>These records are held by the Occupational Health Department. Supplementary guidance issued by the Information Commissioner has clarified that it would be illegal for lay Human Resources departments to hold medical records without the explicit informed consent of the individual. The Nursing and Midwifery Council and General Medical Council would treat any unconsented release of staff or student medical information as a breach of medical confidentiality by the registered practitioner.</p> <p>Student OH medical records held for 1 year after ceasing studies or the longer period below where specific health surveillance or statutory medical surveillance has taken place during the students studies</p> <p>Staff OH medical records held for 7 years after ceasing employment or the longer period specified below where specific health surveillance or statutory medical surveillance has taken place with the staff member during their employment.</p> <p><b>Statutory medical surveillance:</b></p> <ul style="list-style-type: none"> <li>The Control of Asbestos Regulations 2006 – ACOP/guidance, 40 years after date of last entry</li> </ul>	<p>Limitation Act 1980</p> <p>Data Protection Legislation</p> <p>Best Practice</p> <p>Control of Substances Hazardous to Health Regulations 2002 (amended)</p> <p>The Control of Noise at Work Regulations 2005</p> <p>Control of Vibration at Work Regulations 2005</p> <p>The Control of Asbestos Regulations 2006</p> <p>The control of Lead at Work Regulations 2002</p>

				<ul style="list-style-type: none"> <li>• The control of Lead at Work Regulations 2002 – ACOP/guidance, 40 years after date of last entry</li> <li>• Control of Substances Hazardous to Health Regulations 2002 (amended) – ACOP/guidance, 40 years after date of last entry</li> <li>• Compressed Air Regulations 1996 – ACOP/guidance, 40 years after date of last entry</li> <li>• Ionising Radiation Regulations 1999 – ACOP/guidance, until reach age 75 but at least 50 + years</li> </ul> <p><b>Health surveillance:</b></p> <ul style="list-style-type: none"> <li>• The Control of Noise at Work Regulations 2005 – ACOP/guidance, 40 years after last entry</li> <li>• Control of Substances Hazardous to Health Regulations 2002 (amended) – ACOP/guidance, 40 years after date of last entry</li> <li>• Control of Vibration at Work Regulations 2005 – ACOP/guidance, 40 years after date of last entry</li> </ul> <p>Carefully consider the issues in the right-hand column before authorising destruction.</p>	<p>Compressed Air Regulations 1996 Ionising Radiation Regulations 1999</p>
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J2	Client case files for Student Services	Student services	Student Support Services and Academic Schools.	Destroy after the academic year when contact last took place + 6 years OR after the student leaves the University + 6 years	Limitation Act 1980; British Association for Counselling & Psychotherapy; Health Professionals Society; British Psychological Society; Best practice
J3	Client case files for the Psychological Support Service for Student Practitioners	Specialist services	Institute of Learning and Teaching	Destroy after the academic year when contact last took place + 6 years.	Limitation Act 1980; Health Professionals Society; British Psychological Society; Best practice
J4	Other client case files not covered elsewhere, for example Sports Centre case files	Specialist services	Academic & Professional Services Departments	Destroy after the academic year when contact last took place + 6 years OR after end of project + 6 years	Limitation Act 1980; Best practice

## K. Procurement

**Approved by:**

Head of Procurement

**What this section covers:**

Records relating to the procurement of equipment and services for the University. Note that K.3 to K.4 relate to tenders received by the University whereas K.15 to K.17 relate to tenders made by the University.

**Other related sections:**

**A. Administration** covers records relating to project files including consultancy project files and other general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**D. Facilities Management** covers records relating to buildings, facilities, and equipment, including some health and safety records plus records relating to security, sustainability, and transport.

**I. Legal and Compliance** covers records relating to legal matters, including deeds contracts, insurance, compliance, and intellectual property rights.

**N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
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K1	Approved supplier records	Procurement	Procurement <i>Academic &amp; Professional Services Departments</i>	Maintain accurate, up-to-date records of current suppliers	Limitation Act 1980
K2	Rejected supplier records	Procurement	Procurement <i>Academic &amp; Professional Services Departments</i>	Destroy after rejection + 1 year.	Best practice
K3	Tender negotiation and evaluation records	Procurement	Procurement <i>Academic &amp; Professional Services Departments</i>	Destroy after termination of contract + 10 years.	Limitation Act 1980; Extended from 6 to 10 years to cover EU funded expenditure
K4	Letters of intent	Procurement	Procurement <i>Academic &amp; Professional Services Departments</i>	Destroy after termination of contract + 6 years.	Limitation Act 1980
K5	Summary records documenting contracts awarded containing the information specified as per issues relevant to the decision (see right hand column)	Procurement	Procurement <i>Academic &amp; Professional Services Departments</i>	Review after termination of contract + 10 years. SI2006/5 does not prescribe a retention period for these records However, as these are summary records of each contract awarded, retention of these for a longer period than the complete contract 'files' provides evidence of effective and compliant procurement practice over time This also covers EU funded expenditure which requires a longer retention period.	Public Contracts Regulations, SI 2006/5 information specified in Regulation 32 (14); Limitation Act 1980



K8	Contract award notices sent to the Official Journal	Procurement	Procurement	Review after termination of contract + 6 years.	Limitation Act 1980; Public Contracts Regulations 2006
K14	Internal authorisations for purchases	Procurement	Procurement <i>Academic &amp; Professional Services Departments</i>	Destroy after current financial year + 1 year.	Best practice
K15	Records documenting the preparation and submission of consultancy proposals/ tenders by the University of Hull where the proposal/ tender is successful (i.e. results in a contract): key records	Contract bids management	Academic & Professional Services Departments	Destroy after termination of contract + 6 years.	Limitation Act 1980
K17	Records documenting the preparation and submission of consultancy proposals/ tenders by the University of Hull, where the proposal/ tender is accepted (i.e. results in a contract): working papers	Contract bids management	Academic & Professional Services Departments	Destroy after agreement of contract.	Best practice

## L. Public Relations, Fundraising and Events Management

**Approved by:** Director of Communications

**What this section covers:** Records relating to public relations management, fundraising and events management.

**Other related sections:**

**A. Administration** covers records relating to project files including consultancy project files and other general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**E. Financial Management**

**N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
L1	Records documenting the design of the institution's corporate identity marks (logos etc.)	Public relations management	Marketing & Communications	Review once superseded. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
L2	Records documenting the development of corporate style guides for official use of corporate identity marks	Public relations management	Marketing & Communications	Review once superseded. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice

L3	Records documenting the design, implementation, and review of marketing/ recruitment campaigns	Public relations management	Marketing & Communications	Review after completion of campaign + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
L4	Records documenting the development, placement, and impact of advertisements	Public relations management	Marketing & Communications	Review after current year + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
L5	Records documenting the institution's media contacts	Public relations management	Marketing & Communications	Destroy once superseded.	Best practice
L6	Records documenting media enquiries, the internal handling of these enquiries and responses provided	Public relations Management	Marketing & Communications	Review after last action on enquiry + 3 years. For general enquiries see A.4.	Best practice
L7	Transcripts of media interviews	Public relations management	Marketing & Communications	Review after date of interview + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
L8	Press Releases	Public relations management	Marketing & Communications	Review after current year + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
L9	Press clippings	Public relations management	Marketing & Communications Academic Departments	Review after creation + 1 year. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
L10	Records documenting the monitoring and analysis of media coverage of the institution	Public relations management	Marketing & Communications	Review after current year + 5 years.	Best practice
L11	Records documenting arrangements for corporate	Public relations management	Marketing & Communications	Destroy after termination of sponsorship + 6 years.	Limitation Act 1980; Best practice

	sponsorship of public events by the institution				
L12	Records documenting donations to and from the institution and the process of making donations to third parties	Public relations management	Development and Alumni Teams	Destroy after last action on donation + 6 years.	Limitation Act 1980; Best practice
L13	Fundraising campaigns	Fundraising	Development and Alumni Teams	Review after end of campaign + 6 years.	Best practice
L14	Patron/donor files	Fundraising	Development and Alumni Teams	Review after end of relationship + 6 years.	Data Protection Legislation; Limitation Act 1980; Best practice
L16	Files relating to specific events including design, planning, organisation, and impact/ results, also files relating to any risk assessment carried out	Event management	Development and Alumni Teams	Review after event + 6 years – if a repeated event review after next occurrence. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice

## M. Research

**Approved by:**

Dr Danielle Smith

**What this section covers:**

Records relating to research projects – for records relating to research students see Section O. Student Administration and Services.

**Other related sections:**

**A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**C. Course and Program Records** covers records relating to courses and programmes, including their design and development, their delivery including assessments, the results and graduation records as well as feedback, review, and audit processes.

**E. Financial Management** covers financial records including European structural funding administration.

**N. Strategy, Policy, Audit and Review** covers records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. Many of the records will also have historic value.

**O. Student Administration and Services** covers records relating to the students, including processes around application, registration, progression, assessment, and support.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
M1	Institutional procedures relating to research	Research administration	Academic Schools	Review after superseded + 10 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
M2	Development of institutional research programme records	Research administration	Academic Schools	Review after life of programme + 10 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
M3	Routine monitoring of external developments and trends to inform the development of the institution's research programmes	Research administration	Academic Schools	Review after current academic year + 1 year.	Best practice
M4	Records identifying and exploring new research opportunities which lead to research projects	Research administration	Academic Schools	Destroy after completion of project + 6 years.	Best practice
M5	Records identifying and exploring new research opportunities which do not lead to research projects	Research administration	Academic Schools	Destroy after last action + 6 years.	Best practice
M6	Abandoned research project records	Research administration	Academic Schools	Review after abandonment of plan + 6 years.	Best practice
M7	Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities	Research administration	Academic Schools	Review after current academic year + 6 years.	Best practice

M8	Formation of collaborative partnerships to undertake research records	Research administration	Academic Schools	Review after life of partnership + 6 years. Notify Information Compliance about records of potential historic value.	Limitation Act 1980; Potential historic value
M9	Research project design and planning, key records	Research administration	Academic Schools	Review after completion of project + 10 years.	Best practice
M10	Research project design and planning, working papers	Research administration	Academic Schools	Destroy after end of project.	Best practice
M11	Research Grant documentation – standard requirements (see M.12 for special requirements)	Research administration	Research Support Office, Academic Departments	Review after completion of project + 6 years.	Stated or implied requirements of UK Research Councils and other research sponsors; Best practice
M12	Research Grant documentation – special requirements (see M.11 for standard requirements)	Research administration	Research Support Office, Academic Departments	Review after completion of application process + the amount of time required by the funders – this will vary on a case-by-case basis.	Stated or implied requirements of UK Research Councils and other research sponsors; Best practice
M13	Management of internally funded research projects records	Research project management	Academic Schools	Review after completion of project + 3 years.	Best practice; Common internal audit requirement
M14	Management of externally funded research projects records	Research project management	Academic Schools	Review after completion of project + 6 years unless any other requirements imposed by the funders.	Limitation Act 1980
M15	Records documenting the conduct of research projects, including things such as protocol, consent procedure, participants,	Research/ Research administration and reporting	Academic Schools <i>Research Support Office</i>	Retention decisions need to be made on a case-by-case basis, bearing in mind the considerations listed in the adjacent column.	Stated or implied requirements of UK Research Councils and other

	adverse effects, and data management plans.			Review after completion of project + a minimum of 6 years. Notify Information Compliance about records of potential historic value.	research sponsors; Potential historic value
M16	Research data: defined as 'any recorded information necessary to support or validate a research project's observations, findings or outputs, regardless of format' (note that in the case of postgraduate research students and contract researchers, the responsibility for managing the data lies with the Supervisors and Principal Investigators)	Research administration	Academic & Professional Services Departments	Review after last access + 10 years OR period specified by funder, making open and accessible in a timely manner where possible. Note that this is a complex area and funder agreements should take precedence.	Stated or implied requirements of UK Research Councils, ERDF, and other significant research sponsors:
M17	Final Report of Research Project	Research	Academic Schools	Review after last access + 10 years OR period specified by funder, making open and accessible in a timely manner where possible. Note that this is a complex area and funder agreements should take precedence.	Potential historic value; Best practice
M18	Working papers for publications on and presentations of research	Research reporting	Academic Schools	Retain indefinitely	Best practice



M19	Final versions of material intended for research publications/ presentations	Research reporting	Academic Schools	Review after publication/ delivery + 5 years. For publications see A.4.	Best practice
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## N. Strategy, Governance, Policy, Audit and Review

**Approved by:** Director Strategic Development Unit & Director Governance & Compliance

**What this section covers:** Records relating to strategy, policy, audit, and review. All areas will have these types of records, and many will be of value for the lifetime of the University, for example its legal framework and governance structure. As well as this many of the records will have historic value.

**Other related sections:**

- A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.
- O. Student Administration and Services** for UKVI audits. Some sections have detailed recommendations on their policies and procedures, including audits:
- C. Course and Programme Records**
- E. Financial Management**
- G. People Management**
- M. Research**
- F. Health and Safety**

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
N1	University strategy and major supporting and development records	Strategic planning	Vice-Chancellor's Office	Review after superseded + 10 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice

N2	Working papers for university strategies	Strategic planning	Vice-Chancellor's Office	Destroy after issue of strategy + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
N3	Local strategy papers, for example three-year plans and working papers	Strategic planning	Strategic Development Unit	Review after superseded + 6 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
N4	University Policy and supporting and development records	Governance	Governance and Compliance	Review after superseded + 10 years. Notify Information Compliance about records of potential historic value.	Potential historic value; Best practice
N5	Working papers for University policies	Governance	Governance and Compliance	Destroy after issue of policy + 1 year.	Best practice
N6	Codes of Practice & Codes of Conduct	Governance	Governance and Compliance	Review once superseded + 6 years.	Best practice
N7	Development of procedures and working papers	Governance	Governance and Compliance	Review after issue of procedure + 1 year.	Best practice
N8	Records assessing the impact of policies/ procedures	Governance, Audit and review	Governance and Compliance	Review once superseded + 6 years.	Best practice
N9	Statutory/ external returns (for example to HESA, HEFCE) and the data used to compile these	Audit and review	Finance HR SDU TEA Estates Careers	Review after current academic year + 6 years.	Best practice
N10	External audits	Audit and review	Business Improvement & Assurance	Review after current academic year + 6 years.	Best practice
N11	Audit and review records relating to strategic planning and performance management including the	Audit and review	SDU Faculties & Professional Services	Review after current academic year + 12 years.	Best practice

	conduct, data, results, analyses, responses, and action taken to address issues raised				
N12	Performance monitoring and analysis records including records documenting benchmarking exercises with other comparable institutions	Audit and review	SDU Faculties & Professional Services	Review after current year + 12 years.	Best practice
N13	Management Information and bespoke reports for a range of purposes.	Various, including FOI requests	SDU	Review after current academic year +6 years	Best practice

## O. Student Administration and Services

**Approved by:**

Registrar and Secretary

**What this section covers:**

Records relating to the students, including processes around application, registration, progression, assessment, and support. JISC has produced some guidance on managing student records which divides the records into three categories:

1. Records documenting the contractual relationship between the student and the institution.
2. Records documenting the student as a learner.
3. Records documenting the student as an individual and consumer of services provided by the institution.

**Other related sections:**

**A. Administration** covers records relating to general office administrative tasks including correspondence, subject, project and personal files, mailings, surveys, booking forms, stock ordering and enquiries and complaints.

**B. Committee Records**

**C. Course and Program Records** covers records relating to courses and programmes, including their design and development, their delivery including assessments, the results and graduation records as well as feedback, review, and audit processes.

**E. Financial Management** covers records relating to tuition fees and scholarships.

**J. Medical, Health and Other Specialist Services** covers records relating to medical and health records, particularly those held by Occupational Health, but also those relating to wellbeing services such as the Counselling Service and advisory services such as the Law Clinic.

Reference	Document(s)	Business need	Owner	Recommended Action	Action based upon
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O1	Student admissions criteria development records	Student administration	Marketing and Communications <i>Academic and Professional Services Departments</i>	Review after superseded + 10 years.	Best practice
O2	Applications for admission: successful	Student administration	Marketing and Communications, Student Administration & Support <i>Academic Departments</i>	Review after the student leaves the University/ graduates + 6 years.	Limitation Act 1980
O3	Applications for admission: unsuccessful	Student administration	Marketing and Communications, Student Administration & Support <i>Academic Departments</i>	Destroy after completion of admissions process + a minimum of 1 year or a maximum of 6 years if there is a valid administrative reason.	Employment Equality Act regulations: SI 2006/1031 Regulations 23, 39 and 42 SI 2003/1660 Regulations 20, 31 and 34 SI 2003/1661 Regulations 20, 31 and 34
O4	Applications for admission withdrawn	Student administration	Marketing and Communications, Student Administration & Support <i>Academic Departments</i>	Marketing and Communications: destroy after application withdrawn + 6 years. Academic departments: destroy after application withdrawn + 1 year but may be kept for up to + 6 years if there is a valid administrative reason. N.B. Records on international 'no shows' need to be retained longer for audit purposes so check before disposal.	Best practice UKVI requirements

O5	Records documenting the clearing process	Student administration	Marketing and Communications	Review after current year + 6 year.	Best practice
O6	Records relating to DBS (Disclosure and Barring Service) checks and certificates (previously known as CRB)	Student administration	Marketing and Communications, Student Administration & Support <i>Academic Departments</i>	Destroy within 6 months.	Data Protection Legislation
O7	Copy of passports and visas of registered international students	Student administration	Student Services	Review after the student leaves the University/ graduates + 6 years. Once paper copies have been scanned, they should be destroyed.	UK Home Office regulations; Best practice
O8	Fees status assessment: those who do not become registered students	Student administration	Student Administration & Support	Destroy after current academic year + 6 year.	Best practice
O9	Fees status assessment: registered students	Student administration	Student Administration & Support	Electronically added to student file. Any paper copies can then be destroyed.	Best practice
O10	Records documenting the handling of applications for remission of tuition fees: successful applications	Student administration	Student Administration & Support	Destroy after student leaves the University + 6 years If they do not register to go onto the programme destroy after application + 5 year.	Limitation Act 1980
O11	Records of enrolment and registration for modules	Student administration	Student Administration & Support <i>Academic Departments</i>	Destroy after the student leaves the University/ graduates + 6 years Some information is held on permanent central record.	Limitation Act 1980
O12	Student induction programme, creation, and review records	Student administration	Academic Departments	Destroy after completion of induction programme + 6 years.	Best practice

O13	Class lists, records of overall student numbers	Student administration	Academic Departments	Destroy after current academic year + 1 year. Collated information may be used for strategic planning (see section N).	Limitation Act 1980; Data Protection Legislation 2018
O14	Attendance records	Student administration	Academic Departments	Destroy after the student leaves the University/ graduates + 6 years.	UK Home Office requirements; Best practice
O15	Appointment of supervisors for research students	Research administration	Academic Departments	Destroy after the student leaves the University/ graduates + 1 year. Some information is held on permanent central record.	Best practice
O16	Records documenting academic advice and guidance to individual students on the selection of research subjects, the progress and standard of their work, the conduct of research students' formal assessments, and examination reports	Research administration	Academic Departments, Student Administration & Support, Centre for Lifelong Learning	Destroy the student leaves the University/ graduates + 6 years. Some information held on permanent central record.	Limitation Act 1980
O17	Feedback on academic progress, supervision meetings	Academic administration	Academic Departments, Student Administration & Support, Centre for Lifelong Learning	Destroy after the student leaves the University/ graduates + 6 years.	Limitation Act 1980
O18	Mitigating circumstances (see also C.10): OIA complaints Student appeals	Student administration	Academic Departments	Destroy after student leaves the University/ graduates or last contact with student whichever is later + 6 years. Unless it is felt that the retention can be justified for a longer	Limitation Act 1980; Data Protection Legislation 2018



	<p>Stage 1 and Stage 2 complaints from students Student disciplinary records Academic Integrity</p> <p>Fitness to practice (FTP) records for students who are registered on programmes leading to professional qualifications or entry in to professions e.g. teaching, social work, health. medical students FTP Cases referred for informal warning and action plan Cases investigated resulting in no further action Cases referred to FTP committee where no action is taken</p> <p>FTP cases referred to FTP committee resulting in written warning and other sanctions e.g suspension, expulsion, conditions. FTP impairment is proven or partially proven and</p>			<p>period i.e exclusion order in place or serious sexual offences that were not reported to the police or public interest.</p> <p>End of relationship +70 years.</p> <p>*In cases involving serious misconduct or public interest</p>	
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	warning/sanctions imposed.			records maybe retained permanently.  For staff complaints see G. For general complaints see A.	
O19	Evidence to support mitigating circumstances, including special circumstances records, NHS fit notes, correspondence provided by students, reports from external bodies e.g. GPs or external counsellors See also Section J (Medical, Health and Other Specialist Services)	Student administration	Academic Departments,	Destroy after student leaves the University/ graduates + 6 years. NB Process these records in accordance with the Code of Practice on Assessment (Appendix M).	Data Protection Legislation; Best Practice
O20	Examination scripts (i.e. the students' completed answers) For examination papers see C.6	Student assessment	Academic Departments	Destroy after the student has left the University/ graduates + 1 year. In practice these records may need to be retained slightly longer to allow for students deferring, failing, or repeating years of study.	Data Protection Legislation; Best Practice
O21	Other assessed work, including dissertations, that counts towards the final award	Student assessment	Academic Departments	Destroy after the student has left the University/ graduates + 1 year. In practice these records may need to be retained slightly longer to allow for students deferring, failing, or repeating years of study.	Data Protection Legislation; Best Practice
O22	PhD theses	Student assessment	Library	Retain permanently via e-only storage system	Best practice

O23	International Student Applications	Student Administration	International Office	Destroy after the student has left the University/ graduates + 6 years	Data Protection Legislation; Best Practice
O24	Agent Authorisation Forms	Student Administration	International Office	Destroy after the student has left the University/ graduates + 6 years	Data Protection Legislation2018; Best Practice
O25	Commission payments	Student Administration	International Office	Destroy after the student has left the University/ graduates + 6 years	Data Protection Legislation; Best Practice
O26	Sponsorship Reports	Student Administration	International Office	Destroy after the student has left the University/ graduates + 6 years	Data Protection Legislation; Best Practice
O27	Commonwealth Shared and Cheevening Scholarship Applications	Student Administration	International Office	Destroy after the student has left the University/ graduates + 6 years	Data Protection Legislation; Best Practice
O28	Student applications from Kaplan	Student Administration	International Office	Destroy after the student has left the University/ graduates + 6 years	Data Protection Legislation; Best Practice
O29	Travel Booking	Student Administration	International Office	Destroy after 1 year	Data Protection Legislation;
O30	Travel Itineraries	Student Administration	International Office	Destroy after 6 years	Data Protection Legislation; Best Practice
O31	Student Ambassador Programme	Student Administration	International Office	Destroy after the student has left the University/ graduates + 6 years	Data Protection Legislation;
O32	Mission Reports	Student Administration	International Office	Destroy after 6 years	Data Protection Legislation; Best Practice

**Version Control**

<b>Version</b>	<b>Author</b>	<b>Date approved</b>	<b>Relevant sections</b>
V.2	A Clement	22/10/2024	Addition of Introduction, Ref to data Protection legislation from DPA 1998, A4 addition public interest, Q18 Fitness to practice