

RECORDS RETENTION SCHEDULE

Introduction

This Records Retention Schedule (“Retention Schedule”) documents the retention periods for Keele University records. The Retention Schedule is an important element in the ‘whole life’ management of University Records. Defining the length of time records should be retained assists in the process of determining the most efficient and appropriate methods of creating, storing and disseminating them.

The retention periods given within the Retention Schedule are based largely on the JISC Records Retention Schedule, which was developed in line with legislative requirements, professional, statutory and regulatory bodies and sector best-practice.

Purpose of Retention Schedule

A Retention Schedule documents the length of time records should be retained in order to comply with legal and regulatory requirements, balanced with the operational requirements of the University. The Retention Schedule describes:

- Business function
- Business activity type
- Examples or descriptions of what makes the record
- The retention period
- The supporting justification for the retention period

Retention periods are independent of format and therefore can be applied to any medium whether paper or electronic. Only one copy of each record needs to be kept for the full length of the retention period. Duplicate and secondary copies should be destroyed as soon as they are no longer of immediate operational use.

Records must not be disposed of prior to the end of the retention period, however, there may be instances where a longer period is required. Where such longer retention is identified, staff must document this and provide relevant justification.

Storage of Records

Email should not be used for storing University records. Emails that constitute a record which needs to be retained, including those containing personal data, must be stored in an appropriate filing system relevant to their confidentiality or criticality. Shared drives or other unstructured information storage solutions (including cloud-based storage) used to store any University record should be managed and retained in accordance with the Retention Schedule

Paper records should be kept securely both on and off campus, ideally in lockable filing cabinets or drawers and disposed of in accordance with this schedule.

Long-Term Storage of Records

The Retention Schedule identifies some records that are required to be retained for several years although they may no longer be referenced on a regular basis. These records are to be stored in a safe environment and would normally be stored in the Campus Library building or on a physical on-campus server.

The Retention Schedule is owned and maintained by Legal and Information Compliance, who should be contacted in the first instance if you have any questions regarding the schedule and its contents.

Disposal of Records

At the end of a designated retention period, appropriate action should be taken against the record as outlined in the Retention Schedule. These will be:

- **Dispose** – The record can be disposed of using an appropriate method. This may be ‘delete’ for electronic records, or ‘disposed of’ in the appropriate waste-bin for non- confidential paper records. **All confidential records**, including those containing personal or financial information should be disposed of via the University’s confidential waste system. A record should be kept of the disposal. (Please see guidance on the records management web-pages).
- **Review** – Documents marked for review at the end of their retention period may be required for a longer period. Therefore, their status should be checked before any action is taken, with advice from the Legal and Information Compliance team where necessary
- **Archive** – Documents identified as needing to be retained for longer periods should be transferred to physical or digital archives.

Implementation

Implementation of the measures set out within the Retention Schedule should be at a local level within Faculties/Research Institutes/Directorates. A nominated individual, in consultation with the Legal & Information Compliance team, should ensure that suitable methods are in place to store records in an appropriate manner (electronic or hard copy), enabling the identification of records as they reach the end of their defined retention period; as well as overseeing their disposal.

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1. Academic Administration

A. Function: Student Support and Welfare Management

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.A.1	Student Administration Policy Development	Records documenting the development and establishment of the institution's student administration policies: key records.	Superseded + 10 years	Institutional business requirements.
1.A.2	Student Administration Policy and Procedures Development	Records documenting the development and establishment of the institution's student administration policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
1.A.3	Student Administration and Support	Records containing personal data on individual students.	Minimum requirement varies for different types of personal data Recommended maximum retention: End of 'registered student' relationship with institution + 6 years.	Limitation Act, 1980. If the information forms part of the core record/transcript the retention may be longer (see 1.A.4. below). Please note that this Retention Schedule applies to records from 01/08/2019 onwards, users must observe any separate funding rules handed down by ESFA/appropriate funding bodies or any separate contract providers. More stringent safeguards are needed for special category data which includes information about an individual's: race; ethnic origin; politics; religion; trade union membership; genetics; biometrics (where used for ID purposes); health; sex life; or sexual orientation.
1.A.4	Student Administration and Support	The core record of a student as a learner	This is the minimal record kept to provide references for former students and may be retained for the lifetime of the student (80 years). A core (minimal) transcript may be retained indefinitely after this time and transferred to the archive if the institution has one. This depends on the requirements of the individual institution and their archival facilities/policies. The core record may vary according to the policy of each institution but is likely to contain name and dates of study, modules studied, and the qualifications conferred.	Sector norms/Institutional business requirements/Institutional charter/Institutional memory and archival requirements. <i>For details on what may constitute the core student record see:</i> <i>The European Credit Transfer and Accumulation System (ECTS) User Guide 2015</i> <i>What Is a Student Record? A Case Study by King's College London, Appendix IV</i> <i>For more details on the HEAR, see the HEAR website and 'Beyond the Honours Degree – the Burgess Group Final Report' (October 2007)</i> <i>Guidelines for HE Progress Files, QAA (2001)</i> <i>Guide to the Diploma Supplement, UK HE Europe Unit (2006)</i>
1.A.5	Student Administration and Support	Records documenting the initial assessment of students including: 1. Student Qualifications on Entry 2. Key Skills Assessments 3. Care Student Assessments	Termination of student relationship + 6 years	Limitation Act 1980 c.58 1973 Prescription and Limitation (Scotland) Act 1973
1.A.6	Student Progress Administration	Individualised Student Record (ISRS). Individualised Learner Records.	Termination of student relationship + 6 years	Institutional business requirements.
1.A.7	Student Progress Administration	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	Institutional business requirements.
1.A.8	Student Progress Administration	Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year	Institutional business requirements.

1.A.9	Student Progress Administration	Records documenting the handling of individual students'/employers' requests for statements of results/transcripts and requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request + 1 year	Institutional business requirements.
1.A.10	Student Progress Administration	Records documenting the design and conduct of Graduate Outcomes Surveys and (anonymised) summaries and analyses of the results of First Destination Surveys.	Current academic year + 5 years	Institutional business requirements.
1.A.11	Student Progress Administration	Graduate Outcomes Surveys: individual responses	Completion of analysis of responses	<i>These should not be kept longer than necessary, and this should be stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.</i>
1.A.12	Student Progress Administration	Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress, the transfer of individual students to new programmes or to new courses within programmes, the withdrawal of individual students from the institution, and the termination of individual students' programmes	Termination of relationship with student + 6 years	Limitation Act 1980 c. 58 s 5
1.A.13	Student Disciplinary and Appeals Case Handling	Records documenting the conduct and results of disciplinary proceedings against individual students and academic appeals.	Last action on case + 6 years	Limitation Act 1980 c. 58 s 5
1.A.14	Student Complaint Handling	Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years	Institutional business requirements.
1.A.15	Student Complaint Handling	Records documenting the handling of formal complaints made by individual students against the institution.	Last action on case + 6 years	Limitation Act 1980, c.58
1.A.16	Student Services Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's student services strategy and policies: key records.	Superseded + 3 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
1.A.17	Student Services Strategy, Policy and Procedures	Records documenting the development and establishment of the institution's student services strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
B. Function: Student Administration and Progress				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period

1.B.1	Student Support and Welfare Management	Student counselling services: case notes, letters to doctors etc.	<p>Varies</p> <p><i>Sector Overview 003, University and College Counselling Services (BACP) says:</i></p> <p><i>In making decisions as to how long to retain client records, services should take account of the sometimes conflicting considerations listed below:</i></p> <ul style="list-style-type: none"> • <i>the Data Protection Act, which states that sensitive data should not be kept for longer than is necessary</i> • <i>the policy of the institution</i> • <i>the ability of the service to store confidential records safely and securely over time</i> • <i>the likelihood that a client's records could be needed in the future, for example, for a criminal case or civil suit, in a claim for compensation, or for an internal university or college procedure such as an academic appeal or formal complaint. The length of time needed to retain records in such scenarios is extremely difficult to predict.</i> <p><i>Each service will need to decide a realistic timescale that can best accommodate these considerations and what best practice would be in their context. An alternative position would be to shred all session notes, keeping minimal factual information for a limited amount of time. What is important is that a service has a stated policy on the length of time notes are retained, that clients are aware of it, and that this policy is adhered to.</i></p>	<p>Limitation Act, 1980.</p> <p>British Association for Counselling and Psychotherapy (BACP) recommendations.</p> <p><i>The BACP Ethical Framework 2018 does not mandate the keeping of records but advises “keeping accurate and appropriate records”, you should balance this against the requirements of data protection legislation which state that personal information should be kept no longer than necessary.</i></p> <p><i>Counselling files contain Sensitive Information and are confidential.</i></p>
1.B.2	Student Support and Welfare Management	Records relating to the provision of Sports and Recreational facilities.	Current Year +3	Institutional business requirements.
1.B.3	Student Support and Welfare Management	Records relating to careers advice.	Duration of enrolment +3 years	The Equality Act 2010.
C. Function: Student Recruitment				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.C.1	Student Recruitment Schemes and Campaigns	Records documenting the design, operation and summary results of student recruitment schemes and campaigns.	Current academic year + 5 years OR Termination of scheme/campaign + 5 years	Institutional business requirements.
1.C.2	Student Recruitment	Records documenting the design, organisation and summary results of student recruitment events.	Completion of event + 5 years	<p>Institutional business requirements.</p> <p><i>If any personal data is involved, this should not be kept longer than needed to administer the event. Data can be anonymised afterwards in order to provide summaries.</i></p>
1.C.3	Student Recruitment	Records documenting the issue of student recruitment materials in bulk to schools and other organisations.	Current academic year	Institutional business requirements.
1.C.4	Student Recruitment	Records documenting the handling of enquiries from prospective students (subsequently registered as student).	<p>Current academic year + 5 years</p> <p>Where students did not subsequently enrol at the institutional, the records can be retained current academic year + 1 year.</p>	Competitive Market Authority
1.C.5	Student Recruitment	Summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	Institutional business requirements.
D. Function: Student Admission, Registration and Induction				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.D.1	Student Admission	Records documenting the development and establishment of the institution's admission criteria and policies.	Superseded + 10 years	Institutional business requirements.

1.D.2	Student Admission	Records documenting the handling of applications for admission: successful applications.	End of student relationship + 6 years	Limitation Act 1980 c. 58 s 5
1.D.3	Student Admission	Records documenting the handling of applications for admission: unsuccessful applications.	Minimum: Completion of admissions process + 6 months. Recommended: Completion of admissions process + 1 year.	The Equality Act 2010 <i>Minimum: Actions under discrimination legislation must usually be brought within 6 months.</i>
1.D.4	Student Admission	Records documenting the administration of the clearing process.	Current academic year + 1 year	Institutional business requirements.
1.D.5	Student Admission	Records containing data on overall student numbers.	Current academic year + 1 year	Institutional business requirements.
1.D.6	Immigration Advice and Compliance	Records documenting immigration casework/compliance for students, including the retention of immigration permission from students.	6 years from last interaction relating to casework or 6 years after permanent withdrawal relating to immigration permission.	OISC Code of Standards: 2016
1.D.7	Student Registration	Records documenting the registration of individual students on programmes.	Termination of student relationship + 6 years	Limitation Act 1980 c. 58 s 5
1.D.8	Student Registration	Records containing summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	Institutional business requirements.
1.D.9	Student Induction	Records documenting the design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	Institutional business requirements.
1.D.10	Student Induction	Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	Institutional business requirements.
E. Function: Teaching				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.E.1	Teaching Strategy and Policy Development	Records documenting the development and establishment of the institution's teaching strategy and policies: key records.	Superseded + 10 years	Institutional business requirements.
1.E.2	Teaching Strategy, Policy, and Procedures Development	Records documenting the development and establishment of the institution's teaching strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
1.E.3	Teaching Procedure Development	Master copies of procedures relating to teaching.	Superseded + 5 years	Institutional business requirements.
1.E.4	Teaching Quality & Standards Management	Records documenting the development of the institution's internal quality assurance processes.	While current	Institutional business requirements.
1.E.5	Teaching Quality & Standards Management	Records documenting the conduct and results of formal internal and external reviews of teaching quality and standards, and responses to the results.	Current academic year + 5 years	Institutional business requirements.
1.E.6	Taught Programme Development	Records documenting the design and development of (modules of) taught programmes.	Life of programme + 10 years	Institutional business requirements.

1.E.7	Taught Programme Development	Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Life of programme	Institutional business requirements.
1.E.8	Taught Programme Review	Data on, and analyses of, student numbers and other taught programme statistics.	Current academic year + 5 years	Institutional business requirements.
1.E.9	Taught Programme Review	Routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	Institutional business requirements.
1.E.10	Taught Programme Review	Routine solicited feedback on taught programmes from students: individual feedback	Completion of analysis of feedback	Institutional business requirements
1.E.11	Taught Programme Review	(Anonymised) summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year	Institutional business requirements.
1.E.12	Taught Programme Review	Reports of routine internal reviews of taught programmes and documentation of formal independent reviews of taught programmes, and the responses to the results.	Current academic year + 5 years	Institutional business requirements.
1.E.13	Taught Programme Delivery	Records documenting the preparation of teaching and learning materials, the planning and conduct of teaching and learning events.	Current academic year + 1 year	Institutional business requirements.
1.E.14	Taught Student Assessment	Records documenting the design and development of assessments.	Life of programme	Institutional business requirements.
1.E.15	Taught Student Assessment	Submitted/completed assessments (formative and summative assessments) and marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	Limitation Act 1980 c. 58 s 5
1.E.16	Taught Student Monitoring & Support	Feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years	Limitation Act 1980 c. 58 s 5
F. Function: Learning Support				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.F.1	Learning Support Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's learning support strategy, policies and procedures: key records.	Superseded + 10 years	Institutional business requirements.
1.F.2	Learning Support Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's learning support strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
1.F.3	Learning Support Procedure Development	Master copies of procedures relating to learning support.	Superseded + 5 years	Institutional business requirements.

1.F.4	Learning Support Resource Development	The types of records produced will depend on the type of resource being developed.	Life of resource + 2 years OR Current year + 1 year	Institutional business requirements.
1.F.5	Learning Support Administration	Records relating to Learning Support for Students with specific needs.	Current year + 7 years	The Equality Act 2010
G. Function: Student Relations				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.G.1	Student Relations Strategy and Policy Development	Records documenting the development and establishment of the institution's student relations strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
1.G.2	Student Relations Strategy Development	Records documenting the development and establishment of the institution's student relations strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
1.G.3	Student Relations Procedure Development	Master copies of procedures relating to student relations.	Superseded + 3 years	Institutional business requirements.
1.G.4	Student Communications Management	Records documenting the establishment and operation of staff-student liaison committees.	Life of committee + 3 years	Institutional business requirements.
1.G.5	Student Communications Management	Records documenting the operation of staff-student liaison committees.	Current academic year + 3 years	Institutional business requirements.
1.G.6	Student Communications Management	Records documenting the design and conduct of student surveys.	Completion of survey + 5 years	Institutional business requirements.
1.G.7	Student Communications Management	Results of student surveys: individual responses	Completion of analysis of survey responses	<i>The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.</i>
1.G.8	Student Communications Management	Results of student surveys: summaries and analyses of responses	Completion of survey + 5 years	Institutional business requirements.
1.G.9	Student Communications Management	Records documenting the design of, and overall response to, student suggestion schemes.	Closure of scheme + 5 years	Institutional business requirements.
1.G.10	Student Communications Management	Records documenting the handling of suggestions from individual students.	Last action on suggestion + 1 year	Institutional business requirements.
H. Function: Academic Programme Administration and Awards				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.H.1	Academic Programme Administration Policy and Procedure Development	Records documenting the development and establishment of the institution's academic programme administration policies, policies and procedures: key records.	Superseded + 5 years	Institutional business requirements.
1.H.2	Academic Programme Administration Policy and Procedure Development	Records documenting the development and establishment of the institution's academic programme administration policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
1.H.3	Academic Programme Co-ordination	Records documenting the administration of academic programmes.	Current academic year + 3 years	Institutional business requirements.

1.H.4	Academic Award Administration Policy and Procedures Development	Records documenting the development and establishment of the institution's academic award administration policies and procedures (and master copies): key records.	Superseded + 5 years	Institutional business requirements.
1.H.5	Academic Award Administration Policy and Procedure Development	Records documenting the development and establishment of the institution's academic award administration policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
1.H.6	Academic Award Conferment	Records documenting the notification of awards to students and the issue of awards certificates.	Conferment of award + 1 year	Institutional business requirements.
1.H.7	Academic Award Conferment	Records documenting the process of inviting, receiving and considering nominations for honorary awards.	Conferment of award + 1 year	Institutional business requirements.
1.H.8	Academic Award Conferment	Records documenting offers of honorary awards and responses received.	Conferment of award + 1 year	Institutional business requirements.
1.H.9	Award Ceremony Administration	Records documenting the organisation of award ceremonies.	Completion of ceremony + 1 year	Institutional business requirements.
1.H.10	Award Ceremony Administration	Records documenting the production of award certificates.	Completion of ceremony + 1 year	Institutional business requirements.
1.H.11	Award Ceremony Administration	Records documenting the mailing of award certificates to students who do not attend ceremonies.	Completion of ceremony + 1 year	Institutional business requirements.
1.H.12	Prizes Administration	Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.	Current academic year + 5 years	Institutional business requirements.
1.H.13	Prizes Administration	List of prize winners	While prize is awarded	Institutional business requirements.
I. Function: Assessment and Examination				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.1.1	Academic Assessment Administration Policy Development	Records documenting the development and establishment of the institution's academic assessment administration policies: key records.	Superseded + 10 years	Institutional business requirements.
1.1.2	Academic Assessment Administration Policy Development	Records documenting the development and establishment of the institution's academic assessment administration policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
1.1.3	Academic Assessment Administration Procedure Development	Records documenting the development of the institution's procedures relating to academic assessment administration.	Issue of procedures + 1 year	Institutional business requirements.
1.1.4	Academic Assessment Administration Procedure Development	Master copies of procedures relating to academic assessment administration.	Superseded + 10 years	Institutional business requirements.
1.1.5	External Examiner Administration	Records documenting the selection and appointment of external examiners.	Termination of appointment + 1 year	Institutional business requirements.

1.1.6	External Examiner Administration	Records documenting liaison with external examiners on administrative matters.	Current academic year + 1 year	Institutional business requirements.
1.1.7	Assessment Administration	Records documenting the selection and appointment of examination invigilators.	Current academic year + 1 year	Institutional business requirements.
1.1.8	Assessment Administration	Records documenting the design and delivery of training for examination invigilators.	Current academic year + 1 year	Institutional business requirements.
1.1.9	Assessment Administration	Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year	Institutional business requirements.
1.1.10	Assessment Administration	Records documenting the timetabling of examinations.	Current academic year + 1 year	Institutional business requirements.
1.1.11	Assessment Administration	Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 1 year	Institutional business requirements.
1.1.12	Assessment Administration	Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances.	Current academic year + 1 year (minimum)	Institutional business requirements.
1.1.13	Assessment Administration	Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.	Current academic year + 1 year	Institutional business requirements.
1.1.14	Assessment Administration	Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.	Current academic year + 1 year	Institutional business requirements.
1.1.15	Assessment Administration	Records documenting the issue of awards lists and individual notifications of awards.	Current academic year + 1 year	Institutional business requirements.
1.1.16	Assessment Administration	Qualification Lists/Pass Lists/Awards lists.	Issue of list + 10 years	Institutional business requirements.
1.1.17	Dissertations	Certain specified examples of past dissertations made available as examples to students of an excellent display of academic rigor.	Preserve in relevant University department once student consent for ongoing storage and access by third parties is received	Institutional business requirements.
1.1.18	Examination Board Administration	Records documenting the arrangements for meetings of a Board.	Current year + 1 year	Institutional business requirements.
1.1.19	Examination Board Administration	Records documenting the conduct of the business of a committee: agenda, minutes and papers.	Current academic year + 6 years	Institutional business requirements.
1.1.20	Examination Board Administration	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current academic year + 6 years	Institutional business requirements.

1.1.21	Student Academic Work	Undergraduate Coursework (including projects & reports) Year One	Not retained – coursework should be returned to student (Unless note 1 or 2 applies)	NOTES: 1) Samples of coursework, dissertations, theses etc should be retained in schools for external audit requirements. 2) Samples of coursework, dissertations, theses etc may be retained indefinitely in Schools/Research Institutes as exemplars only with the consent of the author. Supervisors wishing to retain copies of Research Theses must also seek the consent of the author.
1.1.22	Student Academic Work	Undergraduate Coursework (including projects & reports) Year Two onwards	Current academic year + 3 years	
1.1.23	Student Academic Work	Postgraduate Taught Coursework (including projects & reports, dissertations, all years)	Current academic year + 3 years	
1.1.24	Student Academic Work	Research Theses	Maximum of 2 copies to be retained indefinitely (unless note 1 or 2 applies)	NOTES: 1) Samples of coursework, dissertations, theses etc should be retained in schools for external audit requirements. 2) Samples of coursework, dissertations, theses etc may be retained indefinitely in Schools/Research Institutes as exemplars only with the consent of the author. Supervisors wishing to retain copies of Research Theses must also seek the consent of the author.
1.1.25	Student Academic Work	Undergraduate Examination Scripts from year One	Can be disposed of at the end of year two	
1.1.26	Student Academic Work	Undergraduate Examination Scripts from Year Two onwards and Postgraduate Examination Scripts	Current academic year + 3 years	
1.1.27	Student Academic Work	Examination Scripts for students who have withdrawn or had their studies terminated	6 months from the date of termination/withdrawal	

J. Function: Tuition Fees

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.J.1	Tuition Fees Administration Policy Development	Records documenting the development and establishment of the institution's tuition fees policies: key records.	Superseded + 10 years	Institutional business requirements.
1.J.2	Tuition Fees Administration Policy and Procedures Development	Records documenting the development and establishment of the institution's tuition fees policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
1.J.3	Tuition Fees Administration Procedure Development	Master copies of procedures relating to tuition fees administration.	Superseded + 10 years	Institutional business requirements.
1.J.4	Tuition Fee Remission	Records documenting the handling of applications for remission of tuition fees: successful applications.	Determination of application + 6 years	Limitation Act 1980 c. 58 s 5
1.J.5	Tuition Fee Remission	Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.	Determination of application + 1 year	Institutional business requirements.
1.J.6	Tuition Fee Collection	Records documenting the collection of tuition fees.	Current academic year + 1 year	Institutional business requirements.

K. Function: Student Financial Support

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
1.K.1	Student Financial Support Administration Policy Development	Records documenting the development and establishment of the institution's student financial support policies: key records.	Superseded + 5 years	Institutional business requirements.

1.K.2	Student Financial Support Administration Policy Development	Records documenting the development and establishment of the institution's student financial support policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
1.K.3	Student Financial Support Administration Procedure Development	Records documenting the development of the institution's procedures relating to student financial support.	Issue of procedures + 1 year	Institutional business requirements.
1.K.4	Student Financial Support Administration Procedure Development	Master copies of procedures relating to student financial support.	Superseded + 5 years	Institutional business requirements.
1.K.5	Financial Aid Funds Administration	Records documenting the provision of financial aid funds to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
1.K.6	Crisis/Hardship Funds Administration	Records documenting the provision of crisis/hardship payments to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
1.K.7	Bursaries Administration	Records documenting the award of bursaries to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
1.K.8	Scholarships and Fellowships Administration	Records documenting the award of scholarships and fellowships to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
1.K.9	Student Financial and Employment Support	Records of administration of Student Financial and employment support such as: -New Deal Records -Modern Apprenticeship Records -Access Fund Applications.	Current year + 6 years	Institutional business requirements.

2. Research

A. Function: Policy and Planning

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
2.A.1	Research Strategy and Policy Development	Records documenting the development and establishment of the institution's research strategy and policies: key records.	Superseded + 10 years	Institutional business requirements.
2.A.2	Research Strategy, Policy, and Procedures Development	Records documenting the development and establishment of the institution's research strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
2.A.3	Research Procedure Development	Master copies of procedures relating to research.	Superseded + 10 years	Institutional business requirements.
2.A.4	Research Programme Development	Records documenting the development of the institution's research programmes.	Life of programme + 10 years	Institutional business requirements.
2.A.5	Research Programme Development	Routine monitoring of external developments and trends to inform the development of the institution's research programmes.	Current academic year + 1 year	Institutional business requirements.
2.A.6	Research Business Development	Liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	Current academic year + 5 years	Institutional business requirements.
2.A.7	Research Business Development	Records documenting the identification and exploration of new research opportunities which lead to research projects.	Completion of project	Institutional business requirements.
2.A.8	Research Business Development	Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	Institutional business requirements.
2.A.9	Research Business Development	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	Limitation Act 1980 c. 58 s 5
2.A.10	Research Design & Planning	Records documenting the design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year	<i>Retention for a longer period may be advisable, depending on the reasons for abandoning the project.</i>
2.A.11	Research Design & Planning	Records documenting the design and planning of research projects which are undertaken: key records.	Completion of project + 10 years	<i>This recommended retention period is in line with retention period for records documenting the conduct of research.</i>
2.A.12	Research Design & Planning	Records documenting the design and planning of European Union (EU) funded research projects which are undertaken: key records.	Minimum retention: Date of last funding payment + 10 years	See ERDF website and individual project agreements with funding bodies. Interreg Europe Programme Manual, 19 December 2018 (version 6) <i>Page 28 suggests 10 years to demonstrate state aid (or lack of), however this may vary according to the national archiving laws (see page 105).</i>
2.A.13	Research Funding Administration	Preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award).	Receipt of notification that application was unsuccessful + 1 year	Institutional business requirements.

2.A.14	Research Funding Administration	Preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).	Completion of project (i.e. termination of award) + 6 years (or period stated by funder/s)	Limitation Act 1980 c. 58 s 5 <i>Check the individual funder/s requirements as the retention period may differ.</i>
B. Conduct and Monitoring				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
2.B.1	Research Quality & Standards Management	Records documenting the development of the institution's internal quality assurance processes.	While current	Institutional business requirements.
2.B.2	Research Quality & Standards Management	Conduct and results of formal internal and external reviews of research quality, and responses to the results.	Current academic year + 5 years	Institutional business requirements.
2.B.3	Research Project Management	Records documenting the management of internally-funded research projects.	Completion of project + 3 years	Common internal audit requirement.
2.B.4	Research Project Management	Records documenting the management of externally-funded research projects.	Completion of project + 6 years	Limitation Act 1980 c. 58 s 5 <i>A longer retention period for these records may be required by a research sponsor.</i>
2.B.5	Research Conduct	Records documenting the conduct of research funded by the Medical Research Council, except where other requirements are specified (see citations).	Completion of project + 10 years	Medical Research Council, Good Research Practice, section 5.2 <i>Minimum requirement.</i> <i>The Medical Research Council requirement is specifically for primary research data. However, retaining full records of research studies is recommended.</i>
2.B.6	Research Conduct	Records documenting the conduct of clinical or public health studies funded by the Medical Research Council, except specific categories of records in studies for which consent was obtained.	Completion of project + 20 years	Medical Research Council, Good Research Practice, section 5.2 Medical Research Council, Personal Information in Medical Research, section 7.1.2 <i>The Medical Research Council requires full records of these studies to be retained for this minimum period and advises that retention for a longer period may be required where studies were of historical importance, where novel clinical interventions were first used, where studies have proved controversial or where research is ongoing.</i>
2.B.7	Research Conduct	Records documenting the protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the Medical Research Council.	Completion of project + 30 years	Medical Research Council, Personal Information in Medical Research, section 7.1.2
2.B.8	Research Conduct	Records documenting the conduct of all other research funded by all other organisations.	Completion of project + 10 years (date of last funding payment + 10 years for projects funded by the European Union)	Stated or implied requirements of UK Research Councils and other significant research sponsors. See Guidance on Managing Research Records, Jisc (2007). <i>A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor.</i>
C. Function: Reporting and Review				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
2.C.1	Research Reporting	Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 1 year	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.
2.C.2	Research Reporting	Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 3 years	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.
2.C.3	Research Programme Review	Data on, and analyses of, student numbers and other programme statistics.	Current academic year + 3 years	Institutional business requirements.

2.C.4	Research Programme Review	Reports of routine internal and independent reviews of research programmes.	Current academic year + 5 years	Institutional business requirements.
2.C.5	Research Programme Assessment	Records documenting the conduct of formal assessments of work undertaken by research students.	Completion of student's programme + 6 years	Limitation Act 1980 c.58 s 5
2.C.6	Research Programme Assessment	Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.	Current academic year + 6 years	Limitation Act 1980 c.58 s 5
2.C.7	Research Supervisor Appointment & Training	Records documenting the appointment of supervisors for research students.	Termination of appointment + 1 year	Institutional business requirements.
2.C.8	Research Student Monitoring & Support	Academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	Completion of student's programme + 6 years	Limitation Act 1980 c.58 s 5

3. Corporate Management and Compliance

A. Function: Planning and Operation

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
3.A.1	Corporate Planning & Performance Management and Strategy	Records documenting the development and establishment of the institution's corporate planning and performance management policies and strategy: key records.	Superseded + 10 years	Institutional business requirements.
3.A.2	Corporate Planning & Performance Management, Strategy, and Procedures	Records documenting the development and establishment of the institution's corporate planning and performance management policies, strategy, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
3.A.3	Corporate Planning & Performance Management Procedure Development	Master copies of procedures relating to corporate planning and performance management.	Superseded + 5 years	Institutional business requirements.
3.A.4	Strategic Performance Management	Data on, and analyses of, the institution's performance against its strategic plan.	Current academic year + 5 years	Institutional business requirements.
3.A.5	Strategic Performance Management	Reports on the institution's performance against its strategic plan.	Current academic year + 10 years	Institutional business requirements.
3.A.6	Strategic Performance Management	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Current academic year + 5 years	Institutional business requirements.
3.A.7	Operational Planning	Records documenting the development of the institution's annual operating plans: key records.	Current year + 5 years	Institutional business requirements.
3.A.8	Operational Planning	Records documenting the development of the institution's annual operating plans: working papers.	Current year + 1 year	Institutional business requirements.
3.A.9	Operational Performance Management	Records documenting the development of the institution's key performance indicators.	Superseded	Institutional business requirements.
3.A.10	Operational Performance Management	Records documenting benchmarking exercises with other comparable institutions.	Current + 1 year	Institutional business requirements.
3.A.11	Operational Performance Management	Records documenting performance monitoring and analysis.	Current year + 1 year	Institutional business requirements.

B. Function: Legal and Governance

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
3.B.1	Governance Strategy Development	Records documenting the development and establishment of the institution's governance strategy: key records.	Superseded + 10 years	Institutional business requirements.

3.B.2	Governance Strategy Development	Records documenting the development and establishment of the institution's governance strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.B.3	Governance Framework Development	Records documenting the establishment and development institution's governance structure and rules.	Life of institution	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.B.4	Legal Framework Development	Records documenting the establishment and development of the institution's legal framework.	Life of institution	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.B.5	Senior Officers' Appointments Administration	Records documenting the appointment/election/designation of the institution's senior officers.	Termination of appointment + 6 years	Limitation Act 1980 c. 58 s 5 <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.B.6	Public Interest Disclosure (Whistle Blowing) Investigation	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998 (c.23).	Closure of case + 6 years	Limitation Act 1980 c. 58 ss 2 and 5
3.B.7	Official External Representation	Records documenting the appointment/designation of staff to officially represent the institution.	Termination of representation	Institutional business requirements.
3.B.8	Legal Affairs Management Policy Development	Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records.	Superseded + 5 years	Institutional business requirements.
3.B.9	Legal Affairs Management Policy and Procedures Development	Records documenting the development and establishment of the institution's policies and procedures on the management of legal affairs: working papers.	Issue of document + 1 year	Institutional business requirements.
3.B.10	Legal Affairs Management Procedure Development	Master copies of procedures relating to the management of legal affairs.	Superseded + 5 years	Institutional business requirements.
3.B.11	Contracts & Agreements Management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: agreements and contracts under seal (by deed).	Termination of contract + 12 years	Limitation Act 1980 c. 58 s 8
3.B.12	Contracts & Agreements Management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: other contracts and agreements.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
3.B.13	Legal Claims Management	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	Limitation Act 1980 c. 58 ss 2 and 5

3.B.14	Litigation Management	Records documenting litigation between the institution and third parties where legal precedents are set.	Life of institution	Institutional business requirements.
3.B.15	Litigation Management	Records documenting litigation between the institution and third parties which does not set legal precedents.	Settlement of case + 6 years	Limitation Act 1980 c. 58 ss 2 and 5
3.B.16	Legal Advice	Legal advice requested by, and provided to, the institution concerning e.g.: - 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	Life of institution	Institutional business requirements.
3.B.17	Legal Advice	Legal advice on other matters requested by, and provided to, the institution.	Superseded + 5 years	Institutional business requirements.

C. Function: Committees

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
3.C.1	Statutory/Non-Statutory Committee Administration	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of institution	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.C.2	Statutory/Non-Statutory Committee Administration	Records documenting the appointment/election/designation of members of a committee, training undertaken by individual members of a statutory committee and register of interests of members of the institution's governing body.	Termination of appointment + 6 years	Limitation Act 1980 c. 58 s 5 <i>Retaining previous versions of training programmes provides evidence of effective induction and training over time.</i>
3.C.3	Statutory/Non-Statutory Committee Administration	Records documenting the development of induction and training programmes for members of a committee.	Superseded + 5 years	<i>Retaining previous versions provides evidence of effective induction and training over time.</i>
3.C.4	Statutory/Non-Statutory Committee Administration	Records documenting the arrangements for meetings of a committee.	Current year + 1 year	Institutional business requirements.
3.C.5	Statutory/Non-Statutory Committee Administration	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of institution	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>

3.C.6	Statutory/Non-Statutory Committee Administration	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current year + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.C.7	Statutory/Non-Statutory Committee Administration	Records documenting the conduct of reviews of the effectiveness and performance of a committee.	Completion of two subsequent reviews	<i>Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews.</i>

D. Function: Risk and Quality

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
3.D.1	Risk Management Strategy and Policy Development	Records documenting the development and establishment of the institution's risk management strategy and policies: key records.	Superseded + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.D.2	Risk Management Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's risk management strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
3.D.3	Risk Management Procedure Development	Master copies of procedures relating to risk management.	Superseded + 3 years	Institutional business requirements.
3.D.4	Risk Identification & Assessment	Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year	Institutional business requirements.
3.D.5	Business Continuity Planning	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	Institutional business requirements.
3.D.6	Quality Strategy Development	Records documenting the development and establishment of the institution's quality management strategy: key records.	Superseded + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.D.7	Quality Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's quality management strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
3.D.8	Quality Management Policy Development	Records documenting the development and establishment of the institution's quality management policies: key records.	Superseded + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
3.D.9	Quality Management Procedure Development	Master copies of procedures relating to quality management.	Superseded + 3 years	Institutional business requirements.
3.D.10	Quality Audit	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years	Institutional business requirements.
3.D.11	Quality Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	Institutional business requirements.

3.D.12	Audit Strategy Development	Records documenting the development and establishment of the institution's audit strategy: key records.	Superseded + 5 years	Institutional business requirements.
3.D.13	Audit Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's audit strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
3.D.14	Audit Policy Development	Records documenting the development and establishment of the institution's audit policies: key records.	Superseded + 5 years	Institutional business requirements.
3.D.15	Audit Procedure Development	Master copies of procedures relating to audit management.	Superseded + 3 years	Institutional business requirements.
3.D.16	Audit Management	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years	Institutional business requirements.

E. Function: Equality and Diversity

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
3.E.1	Equality & Diversity Strategy Development	Records documenting the development and establishment of the institution's equality and diversity strategy: key records.	Superseded + 5 years	Institutional business requirements.
3.E.2	Equality & Diversity Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's equality and diversity strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
3.E.3	Equality & Diversity Policy Development	Records documenting the development and establishment of the institution's policies on equality and diversity: key records.	Superseded + 5 years	Institutional business requirements.
3.E.4	Equality & Diversity Procedure Development	Master copies of procedures relating to the management of equality and diversity.	Superseded + 3 years	Institutional business requirements.
3.E.5	Equality & Diversity Monitoring	Summary statistical information resulting from equality monitoring.	Current year + 5 years	Institutional business requirements.
3.E.6	Equality & Diversity Training	Records documenting the development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	Institutional business requirements.
3.E.7	Discrimination Complaints Handling	Records documenting the handling of formal complaints about discrimination by or within the institution.	Last action on case + 6 years	Limitation Act 1980 c. 58 s 2
3.E.8	Ethnic Minority Mentoring Scheme Co-ordination	Records documenting the handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes.	Completion of the Scheme + 1 year	Institutional business requirements.
3.E.9	Disability Equality Compliance	Records documenting the preparation/revision of the institution's Disability Equality Scheme.	Superseded + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>

3.E.10	Disability Equality Compliance	Records documenting the preparation of annual reports on the implementation of the institution's Disability Equality Scheme.	Current year + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
3.E.11	Disability Equality Compliance	Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons.	Superseded + 5 years	<i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
3.E.12	Race Equality Compliance	Records documenting the preparation of the institution's race equality policy.	Superseded + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
3.E.13	Race Equality Compliance	Records documenting assessments of the impact of the institution's policies on equality between different racial groups.	Superseded + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
3.E.14	Race Equality Compliance	Records documenting the monitoring, by racial group, of student admission and progress.	Current year + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
3.E.15	Race Equality Compliance	Records documenting the monitoring, by racial group, of employee recruitment and career progress.	Current year + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
3.E.16	Gender Equality Compliance	Records documenting the preparation/revision of the institution's Gender Equality Scheme.	Superseded + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provide evidence of compliance and effective management of equality over time.</i>
3.E.17	Gender Equality Compliance	Records documenting the preparation of annual reports on the implementation of the institution's Gender Equality Scheme.	Current year + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
3.E.18	Gender Equality Compliance	Records documenting assessments of the impact of the institution's policies and practices on equality for men and women.	Superseded + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. <i>Retaining previous versions provides evidence of compliance and effective management of equality over time.</i>
F. Function: Health and Safety				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
3.F.1	Health & Safety Strategy Development	Records documenting the development and establishment of the institution's health and safety strategy: key records.	Superseded + 10 years	Institutional business requirements.
3.F.2	Health & Safety Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's health and safety strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.

3.F.3	Health & Safety Management Policy Development	Records documenting the development and establishment of the institution's policies on health and safety: key records.	Superseded + 50 years	<p><i>The Health and Safety at Work etc. Act 1974 (c.37), s 2(3) requires every employer to have '... a written statement of his general policy with respect to the health and safety at work of his employees and the organisation and arrangements for ... carrying out that policy ...'.</i></p> <p><i>These records also meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).</i></p> <p><i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.4	Health & Safety Management Procedure Development	Master copies of procedures relating to the management of health and safety.	Superseded + 50 years	<p><i>These records meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).</i></p> <p><i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.5	Health & Safety Inspection	Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.	Date of inspection + 5 years OR Superseded + 1 year	<p><i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.6	Health & Safety Audit	Records documenting the conduct and results of health and safety audits.	Completion of audit + 5 years	<p><i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.7	Health & Safety Consultation	Notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Termination of appointment + 1 year	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996/1513) does not prescribe a retention period for these records.</i></p>
3.F.8	Health & Safety Audit	Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500).	Current year + 5 years	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>
3.F.9	Health & Safety Consultation	Consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>

3.F.10	Health & Safety Consultation	Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at Work etc. Act 1974 (c. 37) and in accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.	Dissolution of committee + 50 years	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>
3.F.11	Health & Safety Consultation	Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Completion of election + 1 year	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>
3.F.12	Health & Safety Consultation	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>
3.F.13	Health & Safety Consultation	Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Completion of election + 1 year	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>
3.F.14	Health & Safety Consultation	Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly.	Current year + 50 years	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>
3.F.15	Health & Safety Consultation	Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Current year + 5 years	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</i></p>
3.F.16	Health & Safety Consultation	Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Current year + 5 years	<p><i>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</i></p> <p><i>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records .</i></p>

3.F.17	Health & Safety Information, Instruction & Training Provision	Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	Current year + 5 years or Superseded + 5 years	<p>The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity:</p> <p><i>The Electricity at Work Regulations (SI 1989/635)</i> <i>Health and Safety Information for Employees Regulations (SI 1990/606)</i> <i>The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792)</i> <i>The Manual Handling Operations Regulations (SI 1992/2793)</i> <i>The Health and Safety (Safety Signs and Signals) Regulations (SI 1996/341)</i> <i>The Provision and Use of Work Equipment Regulations (SI 1998/2306)</i> <i>The Management of Health and Safety at Work Regulations (SI 1999/3242)</i></p>
3.F.18	Health & Safety Hazard Identification & Risk Assessment	Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule.	Superseded + 5 years	<p><i>The Management of Health and Safety at Work Regulations (SI 1999/3242)</i> does not prescribe a retention period for these records.</p> <p>As a minimum, risk assessments should be retained until they are superseded.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>
3.F.19	Health & Safety Hazard Exposure Control - Display Screen Equipment	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 10 years	<p><i>The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792)</i> does not prescribe a retention period for these records.</p> <p>As a minimum, risk assessments should be retained until they are superseded.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>
3.F.20	Health & Safety Hazard Exposure Control - Display Screen Equipment	Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 5 years	<p><i>The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792)</i> does not prescribe a retention period for these records.</p>
3.F.21	Health & Safety Hazard Exposure Control - Noise	Records documenting the conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Superseded + 10 years	<p><i>Control of Noise at Work Regulations (SI 2005/1643)</i> does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>
3.F.22	Health & Safety Hazard Exposure Control - Noise	Records documenting the provision of personal protective equipment to employees, to fulfil the institution's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Return of issued equipment + 1 year	<p>Common audit requirement</p> <p>A record of the issue of personal protective equipment should be included in an employee's staff record. See HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT.</p>
3.F.23	Health & Safety Hazard Exposure Control - Noise	Records documenting the maintenance of equipment provided to control exposure to noise, to fulfil the institution's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of examination/test/repair + 5 years	<p><i>Control of Noise at Work Regulations (SI 2005/1643)</i> does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>

3.F.24	Health & Safety Hazard Exposure Control - Noise	Records documenting health surveillance of employees who are exposed to noise, carried out to fulfil the institution's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of last entry in record + 40 years	<i>Control of Noise at Work Regulations (SI 2005/1643) does not specify a retention period for these records.</i>
3.F.25	Health & Safety Hazard Exposure Control - Noise	Records documenting the provision of information, instruction and training for employees who are exposed to noise, to fulfil the institution's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Superseded + 10 years	<i>Control of Noise at Work Regulations (SI 2005/1643) does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>
3.F.26	Health & Safety Hazard Exposure Control - Hazardous Substances	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents, required by Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4.	Current + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3)
3.F.27	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, to fulfil the institution's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.28	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting the maintenance of equipment provided to control exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of examination/test/repair + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4)
3.F.29	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last entry + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(a)
3.F.30	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting the conduct and results of monitoring employees' general exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last entry + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(b)

3.F.31	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting health surveillance of individual employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 11 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of last entry in record + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 11(3)
3.F.32	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.33	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>
3.F.34	Health & Safety Hazard Exposure Control - Hazardous Substances	Records documenting the institution's response to accidents, incidents and emergencies involving substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last action on event + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records.</i> <i>Retaining records for a long period provides evidence of effective management of emergency situations.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.35	Health & Safety Hazard Exposure Control (Non-Ionising Radiation)	Records documenting controlling and investigating exposure, assessing the risks to health, providing and maintain equipment to control exposure following ICNiRP guidelines, providing information, instruction and training for employees who are exposed to non-ionising radiation, monitoring levels of non-ionising radiation, testing to detect leakage from articles or equipment transmitting non-ionising radiations.	Date of inspection/test/repair/training + 5 years	EC Directives 2013/35/EC + ICNiRP guidelines
3.F.36	Health & Safety Hazard Exposure Control - Lead	Records documenting the conduct, review and revision of assessments of the risks to health created by work involving lead, to fulfil the institution's duties under Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 5 implies that the records should be retained until the risk assessment is superseded.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>

3.F.37	Health & Safety Hazard Exposure Control - Lead	Records documenting the maintenance of equipment provided to control exposure to lead, to fulfil the institution's duties under Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of examination/test/repair + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 8(4)
3.F.38	Health & Safety Hazard Exposure Control - Lead	Records documenting the conduct and results of monitoring employees' general exposure to lead (in air), to fulfil the institution's duties under Regulation 9 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last entry + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 9(4)
3.F.39	Health & Safety Hazard Exposure Control - Lead	Records documenting medical surveillance of individual employees who are exposed to lead, to fulfil the institution's duties under Regulation 10 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of last entry on record + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 10(5)
3.F.40	Health & Safety Hazard Exposure Control - Lead	Records documenting the provision of information, instruction and training for employees who are exposed to lead, to fulfil the institution's duties under Regulation 11 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2676) does not prescribe a retention period for these records.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.41	Health & Safety Hazard Exposure Control - Lead	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2676) does not prescribe a retention period for these records.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>
3.F.42	Health & Safety Hazard Exposure Control - Lead	Records documenting the institution's response to accidents, incidents and emergencies involving lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last action on event + 10 years	<i>The Control of Substances Hazardous to Health Regulations (SI 2002/2676) does not prescribe a retention period for these records.</i> <i>Retaining records for a long period provides evidence of effective management of emergency situations.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.43	Health & Safety Hazard Exposure Control - Asbestos	Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Completion of work to which the assessment relates + 10 years	<i>Control of Asbestos Regulations (SI 2012/632) does not prescribe a retention period for these records.</i> <i>Retaining assessments provides evidence of effective management of risks over time.</i>
3.F.44	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the conduct, review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 10 years	<i>Control of Asbestos Regulations (SI 2012/632) does not specify a retention period for these records.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>

3.F.45	Health & Safety Hazard Exposure Control – Asbestos	Plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Completion of work to which plan relates.	Control of Asbestos Regulations (SI 2012/632) Regulation 7(2)
3.F.46	Health & Safety Hazard Exposure Control - Asbestos	Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Duration of work + 10 years	<i>Control of Asbestos Regulations (SI 2012/632) Regulation 9 does not prescribe a retention period for these records.</i> <i>Retaining assessments provides evidence of effective management of risks associated with works carried out.</i>
3.F.47	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the provision of information, instruction and training for employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 10 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 10 years	<i>Control of Asbestos Regulations (SI 2012/632) Regulation 10 does not prescribe a retention period for these records.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.48	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the maintenance of equipment provided to control exposure to asbestos, to fulfil the institution's duties under Regulation 13 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of examination/test/repair + 5 years	Control of Asbestos Regulations (SI 2012/632) Regulation 13(3)
3.F.49	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, to fulfil the institution's duties under Regulation 15 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 10 years	<i>Control of Asbestos Regulations (SI 2012/632) Regulation 15 does not prescribe a retention period for these records.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>
3.F.50	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the institution's response to accidents, incidents and emergencies involving asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Last action on event + 10 years	<i>Control of Asbestos Regulations (SI 2012/632) Regulation 15 does not prescribe a retention period for these records.</i> <i>Retaining records for a long period provides evidence of effective management of emergency situations.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.51	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of monitoring + 40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(a)

3.F.52	Health & Safety Hazard Exposure Control - Asbestos	Records documenting the conduct and results of monitoring employees' general exposure to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of monitoring + 5 years	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(b)
3.F.53	Health & Safety Hazard Exposure Control - Asbestos	Records documenting medical surveillance of individual employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 22 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of last entry on record + 40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 22(1)(b)
3.F.54	Health & Safety Hazard Exposure Control – Asbestos	Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos, as required by Regulation 22 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of certificate + 4 years	Control of Asbestos Regulations (SI 2012/632) Regulation 22(4) <i>In practice, these are likely to be retained as part of the health records required by Regulation 22 of SI 2012/632.</i>
3.F.55	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the conduct, review and revision of assessments of the risks to health created by work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded + 10 years	<i>Ionising Radiations Regulations (SI 2017/1075) Regulation 7 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>
3.F.56	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the maintenance of personal protective equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of examination/test/repair + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 10(2)
3.F.57	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the maintenance of other equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of examination/test/repair + 5 years	<i>Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records.</i>
3.F.58	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the preparation of contingency plans to deal with radiation accidents, to fulfil the institution's duties under Regulation 12 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded	<i>Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records.</i>

3.F.59	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the provision of information, instruction and training for employees who are exposed to ionising radiation, to fulfil the institution's duties under Regulation 14 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded + 10 years	<p><i>SI 1999/3232 does not prescribe a retention period for these records.</i></p> <p><i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i></p> <p><i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i></p>
3.F.60	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of maintenance/testing + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)
3.F.61	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the monitoring of levels of ionising radiation in designated controlled areas, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of monitoring + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)
3.F.62	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant, to fulfil the institution's duties under Regulation 21 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of assessment + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	<p>Ionising Radiations Regulations (SI 2017/1075) Regulation 21(3)(a)</p> <p><i>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.</i></p>
3.F.63	Health & Safety Hazard Exposure Control - Ionising Radiation	Summaries of dose records, as required by Regulation 21 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Current year + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7)
3.F.64	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting investigations into the exposure of 'classified persons' to ionising radiation, to fulfil the institution's duties under Regulation 22 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report of investigation + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 22(4)
3.F.65	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting assessments of individual doses of ionising radiation received as a result of a radiation accident, to fulfil the institution's duties under Regulation 23 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of accident + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 23(2)(b)
3.F.66	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance, to fulfil the institution's duties under Regulation 24 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of last entry + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 24(3)

3.F.67	Health & Safety Hazard Exposure Control - Ionising Radiation	Reports of immediate investigations into possible overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report of investigation + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(a)
3.F.68	Health & Safety Hazard Exposure Control - Ionising Radiation	Reports of investigations into occurrences of overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(b)
3.F.69	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting tests to detect leakage from articles containing or embodying radioactive substances, to fulfil the institution's duties under Regulation 27 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Completion of subsequent test on article OR Disposal of article + 2 years.	Ionising Radiations Regulations (SI 2017/1075) Regulation 27(3)
3.F.70	Health & Safety Hazard Exposure Control - Ionising Radiation	Records of the quantity and location of radioactive substances, to fulfil the institution's duties under Regulation 28 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Disposal of radioactive substance + 2 years OR Date of record + 2 years, whichever is the longer.	Ionising Radiations Regulations (SI 2017/1075) Regulation 28
3.F.71	Health & Safety Incident Recording, Reporting & Investigation	Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiations Regulations 2012 (SI 2012/632).	Date of report + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 30
3.F.72	Health & Safety Incident Recording, Reporting & Investigation	Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where accidental release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiations Regulations 2012 (SI 2012/632).	Date of report + 50 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 30
3.F.73	Health & Safety Incident Recording, Reporting & Investigation	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises, to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (SI 2013/1471).	Date of recording + 3 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3) The Social Security (Claims and Payments) Amendment (No. 3) Regulations (SI 1993/2113) Regulation 2 <i>The contents of records to be kept are specified in Schedule 4 of (SI 2013/1471).</i>
3.F.74	Health & Safety Incident Recording, Reporting & Investigation	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years	Limitation Act 1980 c. 58 s 11

3.F.75	Health & Safety Incident Recording, Reporting & Investigation	Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification + 3 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3)
3.F.76	Health & Safety Incident Management	Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5).	Superseded + 5 years	<i>Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>
3.F.77	Health & Safety Incident Management	Records documenting fire safety arrangements made to fulfil the institution's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Superseded + 5 years	<i>SI 2005/1541 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>
3.F.78	Health & Safety Incident Management	Records documenting the nomination of 'competent persons' to implement fire-fighting measures to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person'	<i>SI 2005/1541 does not prescribe a retention period for these records. Retention of these records must comply with the provisions of the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679. 'Competent persons' in this context are often referred to as 'fire wardens' or similar.</i>
3.F.79	Health & Safety Incident Management	Records documenting the provision of role-specific training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	<i>SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i>
3.F.80	Health & Safety Incident Management	Records documenting the conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Review of assessment + 5 years	<i>SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous assessments provides evidence of compliance and effective management of health and safety over time.</i>
3.F.81	Health & Safety Incident Management	Records documenting the maintenance of premises, facilities and equipment to fulfil the institution's duties under Article 17 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years	<i>SI 2005/1541 does not prescribe a retention period for these records. Retaining maintenance history provides evidence of compliance and effective management of health and safety over time. Also see: ESTATE MANAGEMENT - PREMISES MAINTENANCE; FACILITIES MANAGEMENT - FACILITIES MAINTENANCE; EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT MAINTENANCE.</i>
3.F.82	Health & Safety Incident Management	Records documenting the appointment of 'competent persons' to assist in implementing fire safety measures to fulfil the institution's duties under Article 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person'	<i>SI 2005/1541 does not prescribe a retention period for these records. 'Competent persons' in this context are often referred to as 'fire wardens' or similar.</i>

3.F.83	Health & Safety Incident Management	Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	<p><i>SI 2005/1541 does not prescribe a retention period for these records.</i></p> <p><i>Retaining information about previous drills etc. provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.84	Health & Safety Incident Management	Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on the institution's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	<p><i>SI 2005/1541 does not prescribe a retention period for these records.</i></p> <p><i>Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.85	Health & Safety Incident Management	Records documenting the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years	<p><i>SI 2005/1541 does not prescribe a retention period for these records.</i></p> <p><i>Retaining maintenance history provides evidence of compliance and effective management of health and safety over time.</i></p> <p><i>Also see: ESTATE MANAGEMENT - PREMISES MAINTENANCE; FACILITIES MANAGEMENT - FACILITIES MAINTENANCE; EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT MAINTENANCE.</i></p>
3.F.86	Health & Safety Incident Management	Records documenting the provision of fire safety training to employees to fulfil the institution's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	<p><i>SI 2005/1541 does not prescribe a retention period for these records.</i></p> <p><i>Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.87	Health & Safety Incident Management	Records documenting the appointment of first aiders.	Termination of appointment	Institutional business requirements.
3.F.88	Health & Safety Incident Management	Records documenting the provision of approved training for first aiders to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Current year + 3 years OR Superseded + 3 years	<p><i>SI 1981/917 does not prescribe a retention period for these records.</i></p> <p><i>Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.89	Health & Safety Incident Management	Records documenting the provision of information about first aid arrangements to employees, to fulfil the institution's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years	<p><i>SI 1981/917 does not prescribe a retention period for these records.</i></p> <p><i>Retaining previous information provides evidence of compliance and effective management of health and safety over time.</i></p>
3.F.90	Health & Safety Incident Management	Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years	<p><i>SI 1981/917 does not prescribe a retention period for these records.</i></p> <p><i>Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.</i></p>

G. Function: Environmental				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period

3.G.1	Environmental Strategy and Policy Development	Records documenting the development and establishment of the institution's environmental management strategy, and policies: key records.	Superseded + 10 years	Institutional business requirements.
3.G.2	Environmental Strategy Development	Records documenting the development and establishment of the institution's environmental management strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
3.G.3	Environmental Management Procedure Development	Master copies of procedures relating to environmental management.	Superseded + 10 years	Institutional business requirements.
3.G.4	Environmental Audit	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	Institutional business requirements.
3.G.5	Environmental Hazard Identification & Risk Assessment	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	Institutional business requirements.
3.G.6	Environmental Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year	Institutional business requirements.
3.G.7	Environmental Awareness Promotion	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current + 5 years	Institutional business requirements.
3.G.8	Environmental Incident Recording, Reporting & Investigation	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years	Institutional business requirements.
3.G.9	Environmental Incident Recording, Reporting & Investigation	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years	Institutional business requirements.
3.G.10	Environmental Incident Recording, Reporting & Investigation	Notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	Institutional business requirements.
3.G.11	Energy Management	Routine monitoring of the institution's use and consumption of energy.	Current year + 5 years	Institutional business requirements.
3.G.12	Energy Management	Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.	Completion of review + 5 years	Institutional business requirements.

3.G.13	Waste Management	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).	Removal of waste consignment + 3 years	<p>The Special Waste Regulations (SI 1996/972) Regulation 15(4)</p> <p><i>The Hazardous Waste (England and Wales) Regulations (SI 2005/894) repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here .</i></p>
3.G.14	Waste Management	Records documenting hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).	Removal of waste + 3 years	<p>SI 2005/894 Regulation 49(3)</p> <p><i>The Hazardous Waste (England and Wales) Regulations (SI 2005/894) Regulation 49(1) specifies the content of these records.</i></p>

4. Human Resources

A. Function: Strategy and Planning

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
4.A.1	Human Resources Strategy and Policy Development	Records documenting the development and establishment of the institution's human resources strategy, and policies: key records.	Superseded + 10 years	Institutional business requirements.
4.A.2	Human Resources Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's human resources strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
4.A.3	Human Resources Management Procedure Development	Master copies of procedures relating to human resources management.	Superseded + 10 years	Institutional business requirements.
4.A.4	Workforce Planning	Assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	Institutional business requirements.
4.A.5	Workforce Planning	Records documenting management succession plans.	Superseded + 5 years	Institutional business requirements.
4.A.6	Workforce Planning	Records documenting the development and evaluation of job specifications.	Superseded + 5 years	Institutional business requirements.

B. Function: Recruitment and Selection

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
4.B.1	Recruitment and Selection	Records documenting internal authorisation for recruitment.	Current year + 1 year	Institutional business requirements.
4.B.2	Recruitment and Selection	Records documenting job evaluation information.	While employment continues and up to 7 years after employment ceases	Limitation Act 1980
4.B.3	Recruitment and Selection	Records documenting the advertising of vacancies including screenshots of adverts and any further particulars taken on first day advertised by HR showing URL and date	Completion of recruitment process + 9 months unless post holder recruited is a Tier 2 visa holder, in which case the life of the sponsorship plus 1 year (7 years max)	Immigration, Asylum and Nationality Act 2006, Limitation Act 1980, The Equality Act 2010. <i>Employment Practices Code</i> , Section 1.7.1 (Information Commissioner's Office, 2011) <i>A recruitment process is completed when an offer of employment has been made and has been accepted, AND when all unsuccessful applicants have been notified.</i>
4.B.4	Recruitment and Selection	Management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	Institutional business requirements.
4.B.5	Recruitment and Selection	Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process	Institutional business requirements. <i>A recruitment process is completed when an offer of employment has been made and has been accepted, AND when all unsuccessful applicants have been notified.</i>
4.B.6	Recruitment and Selection	Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	<i>See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).</i>
4.B.7	Recruitment and Selection	Records of application forms (for all appointed applicants).	While employment continues and up to 7 years after employment ceases	Limitation Act 1980
4.B.8	Recruitment and Selection	Records documenting the handling of applications for vacancies: successful applications.	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Limitation Act 1980 c. 58 s 5 <i>See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).</i> <i>For employment records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT).</i>

4.B.9	Recruitment and Selection	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process + 1 year.	<p>The Equality Act 2010.</p> <p><i>See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).</i></p> <p><i>Actions under discrimination legislation must generally be brought within 6 months.</i></p> <p><i>The Chartered Institute of Personnel and Development recommends '1 year'. See the factsheet Retention of personnel and other related records (2006).</i></p> <p><i>Anonymised data may be held for a longer period (e.g. for equality monitoring purposes).</i></p>
4.B.10	Recruitment and Selection	Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process	Institutional business requirements.
4.B.11	Recruitment and Selection	Records of application forms for unsuccessful applicants where no Tier 2 sponsored person was appointed.	6 months after notifying unsuccessful candidates	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
4.B.12	Recruitment and Selection	Records of application forms for unsuccessful applicants in the medium received where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
4.B.13	Recruitment and Selection	Records documenting shortlisting information where no Tier 2 sponsored person was appointed.	6 months after the offer has been accepted by successful candidate	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
4.B.14	Recruitment and Selection	Records documenting shortlisting information for a role where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
4.B.15	Recruitment and Selection	Records of interview notes, interview summary outcomes and any tests (appointee and unsuccessful interviewees) where no Tier 2 sponsored person was appointed.	6 months	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
4.B.16	Recruitment and Selection	Records of interview notes, interview summary outcomes and any tests for all interviewed candidates (appointee and unsuccessful interviewees) where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
4.B.17	Recruitment and Selection	Copy of job description and person specification for a role where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
4.B.18	Recruitment and Selection	Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process	Institutional business requirements.
4.B.19	Recruitment and Selection	Any references obtained for unsuccessful candidates.	6 months after the offer has been accepted by successful candidate	Institutional business requirements.
4.B.20	Recruitment and Selection	Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	Institutional business requirements.

4.B.21	Workforce Induction	Records documenting the development, overall delivery and assessment of induction programmes for new employees. For records documenting individual employees' induction programmes, see Employee Contract Management.	Current year + 6 years	Institutional business requirements.
4.B.22	Workforce Induction	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	Institutional business requirements.
4.B.23	Workforce Training & Development	Summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see E. Function: Employee Contract Management.	Current year + 6 years	Institutional business requirements.
4.B.24	Workforce Training & Development	Records documenting the development of training and development programmes to meet defined needs.	Completion of programme + 5 years	Institutional business requirements.
4.B.25	Workforce Training & Development	Individual feedback on training and development programmes.	Completion of analysis of feedback	Institutional business requirements.
4.B.26	Workforce Training & Development	(Anonymised) workforce feedback on training and development programmes.	Current year + 5 years	Institutional business requirements.
4.B.27	Workforce Training & Development	Management analyses of the impact of training and development programmes.	Current year + 5 years	Institutional business requirements.
4.B.28	Workforce Performance Management	Records documenting the development of workforce performance assessment systems.	Life of system + 5 years	Institutional business requirements.
4.B.29	Workforce Performance Management	Summary (anonymised) results of employees' performance assessments.	Current year + 5 years	Institutional business requirements.
4.B.30	Workforce Performance Management	Management analyses of the impact of workforce performance assessment systems.	Current year + 5 years	Institutional business requirements.
4.B.31	Workforce Remuneration & Reward Management	Records documenting the development of the institution's remuneration structure.	Current year + 10 years	Institutional business requirements.
4.B.32	Workforce Remuneration & Reward Management	Pay reviews.	Current year + 6 years	Institutional business requirements.
4.B.33	Workforce Remuneration & Reward Management	Records documenting special reward schemes (e.g. Merit Reviews).	Termination of scheme + 6 years	Institutional business requirements.

C. Function: Welfare and Relations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
4.C.1	Workforce Welfare Management	Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Working Time Regulations (SI 1998/1833) Regulations 5 and 9

4.C.2	Workforce Welfare Management	Health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Working Time Regulations (SI 1998/1833) Regulations 5 and 9
4.C.3	Workforce Relations Management	Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation + 5 years	Institutional business requirements.
4.C.4	Workforce Relations Management	(Identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	<i>The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.</i>
4.C.5	Workforce Relations Management	Summary (anonymised) results of workforce surveys and consultations.	Completion of survey + 5 years	Institutional business requirements.
4.C.6	Workforce Relations Management	Grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.	Last action on case + 6 years	Limitation Act 1980 c. 58 s 5

D. Function: Industrial Relations and Pensions

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
4.D.1	Industrial Relations Management	Records documenting institutional recognition/derecognition of trades unions.	Derecognition + 6 years	Limitation Act 1980 c. 58 s 5
4.D.2	Industrial Relations Management	Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	Institutional business requirements.
4.D.3	Industrial Relations Management	Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	Institutional business requirements.
4.D.4	Pension Schemes Administration	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs.	Termination of relationship + 5 years	Institutional business requirements.
4.D.5	Pension Schemes Administration	Records documenting routine communications with the pension schemes.	Current year + 5 years	Institutional business requirements.

E. Function: Employee Contract Management

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
4.E.1	Employee Contract Management	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Disclosure and Barring Service (DBS) checks).	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Limitation Act 1980 c. 58 s 5 <i>See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).</i> <i>For employee contract records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT.</i>
4.E.2	Employee Contract Management	Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of job + 1 year	Institutional business requirements.
4.E.3	Employee Contract Management	Records documenting the employee's contract(s) of employment with the institution.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
4.E.4	Employee Contract Management	Records documenting changes to the employee's terms and conditions of employment.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
4.E.5	Employee Contract Management	Job descriptions of positions held by the employee within the institution.	Duration of job + 1 year	Institutional business requirements.

4.E.6	Employee Contract Management	Records documenting induction programmes attended by the employee.	Completion of induction + 1 year	Institutional business requirements.
4.E.7	Employee Contract Management	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	Institutional business requirements.
4.E.8	Employee Contract Management	Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	Limitation Act 1980 c. 58 s 5
4.E.9	Employee Contract Management	Routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	Institutional business requirements.
4.E.10	Employee Contract Management	Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	Common HR practice <i>Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (Chartered Institution of Personnel and Development, 2018).</i>
4.E.11	Employee Contract Management	Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case + 6 years	Common HR practice <i>Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (Chartered Institute of Personnel and Development, 2018).</i>
4.E.12	Employee Contract Management	Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	Limitation Act 1980 c. 58 s 5 Minimum: The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8) The National Minimum Wage Regulations 2015 (Part 7) Recommended: Taxes Management Act 1970 c. 9 s 34 <i>For payroll records, see FINANCE MANAGEMENT - PAYROLL ADMINISTRATION.</i>
4.E.13	Employee Contract Management	Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	Institutional business requirements.
4.E.14	Employee Contract Management	Records documenting the employee's absence due to sickness.	End of employment + 6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55). Limitation Act, 1980. <i>SI 2014/55 abolished the former obligation on employers to keep these records. Although there is no longer a specific statutory retention period, employers still have to keep sickness records to best suit their business needs. It is advisable to keep records for at least 3 months after the end of the period of sick leave in case of a disability discrimination claim. However, if there were to be a contractual claim for breach of an employment contract it may be safer to keep records for 6 years after the employment ceases.</i>
4.E.15	Employee Contract Management	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	Institutional business requirements.

4.E.16	Employee Contract Management	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	The Maternity and Parental Leave etc. Regulations 1999 (SI 1999/3312)
4.E.17	Employee Contract Management	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960 Regulation 26)
4.E.18	Employee Contract Management	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	Institutional business requirements.
4.E.19	Employee Contract Management	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.	Institutional business requirements.
4.E.20	Employee Contract Management	Records documenting pre-employment health screening of an employee: other employees.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
4.E.21	Employee Contract Management	Records documenting the issue of personal protective equipment/other special equipment to an employee.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
4.E.22	Employee Contract Management	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	Health and Safety Regulations.
4.E.23	Employee Contract Management	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
4.E.24	Employee Contract Management	Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	Institutional business requirements.
4.E.25	Employee Contract Management	Records documenting right to work and immigration information	2 years after the termination of employment	Immigration, Asylum and Nationality Act 2006 and Limitation Act 1980

F. Function: Payroll

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
4.F.1	Payroll Administration	Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	Limitation Act 1980 c. 58 s 5
4.F.2	Payroll Administration	Records documenting calculation and payment of employees' salaries and other payments.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	Minimum: The National Minimum Wage Regulations (SI 2015/621) Regulation 59(8) The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8) Recommended: Taxes Management Act 1970 c. 9 s 34
4.F.3	Payroll Administration	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.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8) <i>'PAYE records' are defined in Regulation 97(2) of the Income Tax (Pay As You Earn) Regulations 2003 (SI 2003/2682).</i>
4.F.4	Payroll Administration	Records documenting the administration of payments made under the Statutory Sick Pay scheme.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55).

4.F.5	Payroll Administration	Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960) Regulation 26
4.F.6	Payroll Administration	Record of P45's	While employment continues and up to 7 years after employment ceases	Limitation Act, 1980
4.F.7	Pension Contributions Administration	Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.	Death of last known beneficiary of member + 6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)
4.F.8	Pension Contributions Administration	Records documenting payments of the institution's employees' contributions to pension schemes.	Death of last known beneficiary of member + 6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)

5. Corporate Resources

A. Function: Estates

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.A.1	Estate Strategy and Policies Development	Records documenting the development and establishment of the institution's estate strategy and policies: key records.	Superseded + 10 years	Institutional business requirements.
5.A.2	Estate Strategy, Policy, and Procedures Development	Records documenting the development and establishment of the institution's estate strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.A.3	Estate Management Procedure Development	Master copies of procedures relating to estate management.	Superseded + 10 years	Institutional business requirements.
5.A.4	Property Acquisition	Records documenting the acquisition of ownership of properties.	Disposal of property + 12 years	Limitation Act 1980 c. 58 s 8 <i>This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.</i>
5.A.5	Property Acquisition	Deeds of title for properties owned by the institution.	Disposal of property	<i>Deeds of title for a property are transferred to the new owner when the property is sold.</i>
5.A.6	Property Acquisition	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	Limitation Act 1980 c. 58 s 2
5.A.7	Property Acquisition	Records documenting the negotiation of leases and original lease agreements.	Expiry of lease + 15 years	Limitation Act 1980 c. 58 s 14B
5.A.8	Property Development	Records documenting the development of properties.	Disposal of property	Institutional business requirements. <i>Some of these records may be transferred to the new owner when property is sold.</i>
5.A.9	Property Development	Health and Safety File for a structure, as required by Regulation 12 of the Construction (Design and Management) Regulations 2015 (SI 2015/51).	Demolition of property OR Disposal of interest in property	The Construction (Design and Management) Regulations (SI 2015/51) Regulation 12 <i>SI 2015/51 does not prescribe a retention period for these records, but Regulation 12 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.</i>
5.A.10	Property Development	Applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent.	Planning consents which are valid when a property is sold are transferred to the new owner.
5.A.11	Property Maintenance	Records documenting routine inspections of property.	Date of inspection + 5 years OR Superseded + 1 year	Retaining inspection records provides evidence of effective property management.
5.A.12	Property Maintenance	Records documenting major maintenance works on property.	Disposal of property	Some of these records may be transferred to new owners when land is sold.
5.A.13	Property Maintenance	Records documenting minor maintenance works on property.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14B
5.A.14	Property Maintenance	Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2012 (SI 2012/632).	Review of assessment + 10 years	Institutional business requirements. <i>Control of Asbestos Regulations (SI 2012/632) does not prescribe a retention period for these records.</i> <i>Retaining assessments provides evidence of effective management of risks associated with works carried out.</i>

5.A.15	Property Maintenance	Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Removal of asbestos + 10 years OR Subsequent inspection + 10 years	<i>Retaining these records provides evidence of compliance with SI 2012/632.</i>
5.A.16	Property Disposal	Records documenting the disposal of properties by sale, transfer or donation.	Disposal of property + 12 years	Limitation Act 1980 c. 58 s 8 <i>This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.</i>
5.A.17	Property Security Management	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.	Date of inspection + 5 years OR Superseded + 1 year	Institutional business requirements.
5.A.18	Property Security Management	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	Institutional business requirements.
5.A.19	Property Security Management	Records of security passes issued to visitors	Expiry of pass + 1 month	Institutional business requirements.
5.A.20	Property Security Management	Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year	Institutional business requirements.
5.A.21	Property Security Management	Records documenting the conduct of routine security surveillance of properties.	Creation + 1 month	Institutional business requirements.
5.A.22	Property Security Management	Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year	Institutional business requirements.
5.A.23	Property Leasing-out	Records documenting leasing-out arrangements for properties.	Expiry of lease + 12 years	Limitation Act 1980 c. 58 s 8 <i>This retention period assumes that leases are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.</i>
5.A.24	Space Management	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	Institutional business requirements.
B. Function: Staff and student accommodation				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.B.1	Accommodation Contract	Records documenting the establishment of formal contractual relationship between institutional accommodation and student.	Termination of contract + 6 years	Limitation Act 1980
5.B.2	Allocation Plan and Policy	Records documenting the development and establishment of the institution's accommodation allocation plan and policy for the corresponding year.	Superseded + 10 years	Institutional business requirements.
5.B.3	Accommodation Application	Records documenting the student's application to accommodation provided by institution's accommodation: Successful applications.	Superseded by the contract if accepted (see contracts)	Limitation Act 1980
5.B.4	Accommodation Application	Records documenting the student's application to accommodation provided by institution's accommodation: Unsuccessful applications.	Start of current academic year + 1 year	Institutional business requirements.

5.B.5	Accommodation Application	Records documenting the students application to accommodation provided by institution's accommodation: Specific requirements – supporting evidence.	Decision + 3 months	Institutional business requirements.
5.B.6	Accommodation Enquires	Records documenting the handling of enquiries from prospective and current students.	Current academic year + 2 years	Institutional business requirements.
5.B.7	Inventories	Records documenting the room facilities associated with the contracted room and common areas.	End of academic year + 6 years	Limitation Act 1980
5.B.8	Rents	Records documenting the development and establishment of institution's accommodation rents for the corresponding year.	Superseded + 10 years	Institutional business requirements.
5.B.9	Students Lists	Records documenting the collation of students in list format for information purposes: Business need.	Superseded or end of academic year	Institutional business requirements.
5.B.10	Transfer Requests Form	Records documenting the request to alter student allocation.	End of current academic year	Institutional business requirements.
5.B.11	Incident Reports	Incidence reports relating to student accommodation (unless covered under HEALTH AND SAFETY section).	Last action + 1 year	Institutional business requirements.
5.B.12	Academic Withdrawal Requests	Record documenting student's withdrawal request that may result in termination of accommodation licence: [Institution] accommodation resident.	End of licence + 1 year	Institutional business requirements.
5.B.13	Off-Campus Accommodation	Records documenting enquiries from current and prospective landlords (Head Leasing Scheme enquiries).	Last action + 1 year	Institutional business requirements.
5.B.14	Off-Campus Accommodation	Rent assessments-records documenting the development and establishment of proposed rents offered to landlords for the corresponding year	Superseded + 1 year	Institutional business requirements.
5.B.15	Off-Campus Accommodation	Records documenting the landlord's application to Head Leasing Scheme (HLS) provided by [Institution] Accommodation: Successful applications.	Superseded by the contract if accepted (see contracts)	Institutional business requirements.
5.B.16	Off-Campus Accommodation	Records documenting the landlord's application to HLS provided by [Institution] Accommodation: Unsuccessful applications (institution rejects property).	Start of current academic year	Institutional business requirements.
5.B.17	Off-Campus Accommodation	Records documenting the landlord's application to HLS provided by [Institution] Accommodation: Unsuccessful applications (landlord rejects offer).	Start of current academic year + 1 year	Institutional business requirements.
5.B.18	Off-Campus Accommodation	Records documenting the establishment of formal contractual relationship between institution and landlord.	Termination of contract + 6 years	Limitation Act 1980

5.B.19	Off-Campus Accommodation	Records documenting landlord property ownership for information purposes: Business need.	While current + 1 year	Institutional business requirements.
5.B.20	Off-Campus Accommodation	Records documenting the landlord/company landlord name and address; contact details, in list format for information purposes: Business need (landlord lists).	Superseded or end of academic year	Institutional business requirements.
5.B.21	Off-Campus Accommodation	Landlord Invoices-records documenting remedial and compliance work.	End of licence + 6 years	Institutional business requirements.
5.B.22	Off-Campus Accommodation	Landlord bank details.	End of licence + 6 years	Institutional business requirements.
5.B.23	Off-Campus Accommodation	Records documenting landlord's proposed contractual arrangement: Agreed.	End of licence + 6 years	Institutional business requirements.
5.B.24	Off-Campus Accommodation	Records documenting landlord's proposed contractual arrangement: Not agreed.	Current + 1 year	Institutional business requirements.
5.B.25	Staff and Family Housing	Assured shorthold tenancy agreement.	Termination of contract + 6 years	Housing Act 1988 and Limitation Act 1980
5.B.26	Staff and Family Housing	Staff and family accommodation applications: Successful.	Superseded by the contract if accepted	Limitation Act 1980
5.B.27	Staff and Family Housing	Staff and family accommodation applications: Unsuccessful.	End of decision process or add to waiting list	Institutional business requirements.
5.B.28	Staff and Family Housing	Waiting lists.	End of academic year if unsuccessful	Institutional business requirements.
5.B.29	Staff and Family Housing	Records documenting the individual's occupation of staff and family housing and the activities that facilitate the occupancy: Council tax, Utility Bills, rent collection etc.	Termination of tenancy + 1 year	Institutional business requirements.
5.B.30	Staff and Family Housing	Records documenting the landlord's application to lodgings list provided by staff and family housing; Successful applications.	Current year + 1 (annually reviewed)	Institutional business requirements.
5.B.31	Staff and Family Housing	Records documenting the landlord's application to lodgings list provided by staff and family housing: Unsuccessful applications.	End of decision process	Institutional business requirements.
5.B.32	Staff and Family Housing	Right to rent check-records documenting checks are carried out to confirm that a tenant or lodger can legally rent a residential property in England.	End of tenancy + 1 year	Section 22 of the Immigration Act 2014
5.B.33	Staff and Family Housing	Relocation service-records documenting the individuals enquiry for assistance when relocating to the institution and processes associated.	End of enquiry and annually reviewed	Institutional business requirements.

C. Function: Facilities

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.C.1	Facilities Strategy and Policy Development	Records documenting the development and establishment of the institution's facilities strategy and policies: key records.	Superseded + 10 years	Institutional business requirements.

5.C.2	Facilities Strategy Development	Records documenting the development and establishment of the institution's facilities strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.C.3	Facilities Management Procedure Development	Master copies of procedures relating to facilities management.	Superseded + 10 years	Institutional business requirements.
5.C.4	Facilities Development	Records documenting the specification of requirements for facilities.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14
5.C.5	Facilities Development	Records documenting the development of interior design and fit-out schemes.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14
5.C.6	Facilities Development	Records documenting the carrying out of interior decoration and fitting-out works.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14
5.C.7	Facilities Maintenance	Records documenting routine inspections of facilities.	Completion of two subsequent inspections	<i>Retaining inspection records provides evidence of effective property management over time.</i>
5.C.8	Facilities Maintenance	Records documenting the carrying out of major maintenance works within facilities.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14B
5.C.9	Facilities Maintenance	Records documenting the carrying out of minor maintenance works within facilities.	Current year + 5 years	Institutional business requirements.
5.C.10	Facilities Security Management	Records documenting the conduct and outcomes of security inspections of facilities.	Completion of two subsequent inspections	<i>Retaining inspection records provides evidence of effective property management over time.</i>
5.C.11	Facilities Security Management	Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month	Institutional business requirements.
5.C.12	Facilities Security Management	Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident + 1 year	Institutional business requirements.
5.C.13	Facilities Compliance Management	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection	<i>A longer retention period may be advisable for particular types of facilities (e.g. where there are significant health and safety risks) in order to maintain evidence of effective management over time.</i>
5.C.14	Facilities Compliance Management	Original licences and certificates	Superseded	Institutional business requirements.
D. Function: Finance				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.D.1	Finance Strategy and Policy Development	Records documenting the development and establishment of the institution's finance strategy and policies: key records.	Superseded + 10 years	Institutional business requirements.
5.D.2	Finance Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's finance strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.D.3	Finance Management Procedure Development	Master copies of procedures relating to finance management.	Superseded + 10 years	Institutional business requirements.
5.D.4	Financial Accounting	Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2

5.D.5	Financial Accounting	Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2
5.D.6	Financial Accounting	Records documenting the payment and/or reimbursement of employees' expenses.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
5.D.7	Financial Accounting	Records documenting the payment of honoraria to third parties.* *Unless honoraria are administered through the payroll.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
5.D.8	Financial Accounting	Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
5.D.9	Financial Accounting	Records documenting the handling of petty cash.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2
5.D.10	Financial Accounting	Records documenting the receipt and processing of tuition fees.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
5.D.11	Financial Accounting	Apprenticeship levy records	Current financial year + 3 years	Income Tax (Pay As You Earn) (Amendment) Regulations 2017, 147N.
5.D.12	Financial Accounting	Records documenting the preparation of annual accounts	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5.
5.D.13	Financial Accounting	Annual Accounts	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5.
5.D.14	Management Accounting	Analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year	Institutional business requirements.
5.D.15	Statutory Accounting	Records documenting the preparation of the institution's statutory accounts.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5.
5.D.16	Internal Accounting	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	Institutional business requirements.
5.D.17	Internal Accounting	Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	Institutional business requirements.
5.D.18	Funding Management	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	Institutional business requirements.
5.D.19	Funding Management	Records documenting the administration of research grants provided by research councils or corporate sponsors.	Termination of grant + 6 years	Limitation Act 1980 c. 58 s 5.
5.D.20	Funding Management	Records documenting the administration of funding from European Structural Funds.	Final payment on the programme to the UK + 3 years from 31 December following the submission of the accounts in which the expenditure of the operation is included (see note).	Council Regulation (EC) No. 1303/2013 Article 140. <i>Documents relating to the implementation and financing of ESF funded projects must be retained until 3 years after the European Commission makes the final payment for the programme to the UK.</i> <i>The dates may be changed so it is advisable to retain all documents relating to ESF funded projects until a Government Office advises that they may be destroyed.</i>

5.D.21	Funding Management	Records documenting the administration of scholarship funds.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
5.D.22	Financial Planning & Budgeting	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	Institutional business requirements.
5.D.23	Financial Planning & Budgeting	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 1 year	Institutional business requirements.
5.D.24	Investment Management	Records documenting the overall management of the institution's financial investment portfolio.	Divestment + 6 years	Limitation Act 1980 c. 58 s 5.
5.D.25	Investment Management	Records documenting the purchase/sale of investments.	Current financial year (of transaction) + 6 years	Taxes Management Act 1970 c. 9 s 34.
5.D.26	Asset Management	Records documenting the value of the institution's capital assets.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34.
5.D.27	Asset Management	Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 ss 2 and 5.

E. Function: Tax and cash

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.E.1	Tax Management	Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years	Taxes Management Act 1970 c. 9 s 34.
5.E.2	Tax Management	Records documenting the institution's accounting for VAT.	Current tax year + 6 years	Value Added Tax Act 1994 c. 23 s 58 and Schedule 11, para. 6(3) The Value Added Tax Regulations (SI 1995/2518) s 31 HMRC VAT Notice 700/21 para. 5.2.
5.E.3	Cash Management	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	Limitation Act 1980 c. 58 s 5.
5.E.4	Cash Management	Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	Limitation Act 1980 c. 58 s 5.
5.E.5	Cash Management	Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5.

F. Function: Publications

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.F.1	Publications Strategy and Policy Development	Records documenting the development and establishment of the institution's publications strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
5.F.2	Publications Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's publications strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.F.3	Publications Management Procedure Development	Master copies of procedures relating to publications management.	Superseded + 3 years	Institutional business requirements.
5.F.4	Publications Acquisition	Records documenting the process of selecting publications to purchase.	Completion of purchase	Institutional business requirements.
5.F.5	Publications Acquisition	Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	Institutional business requirements.

5.F.6	Publications Organisation	Records documenting the institution's scheme(s) for classifying and cataloguing publications.	Until all catalogues based on the scheme are superseded	Institutional business requirements.
5.F.7	Publications Organisation	Catalogues/indexes	Superseded	Institutional business requirements.
5.F.8	Publications Storage & Handling	Records documenting the monitoring and control of storage conditions.	Current year + 1 year	Institutional business requirements.
5.F.9	Publications Storage & Handling	Records documenting the movement of items from/to storage.	Return of items + 1 year	Institutional business requirements.
5.F.10	Publications Conservation	Records documenting conservation work undertaken on publications.	Life of items	Institutional business requirements.
5.F.11	Publications Disposal	Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications + 1 year	Institutional business requirements.
5.F.12	Publishing Strategy	Records documenting the development and establishment of the institution's publishing strategy: key records.	Superseded + 5 years	Institutional business requirements.
5.F.13	Publishing Strategy	Records documenting the development and establishment of the institution's publishing strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
5.F.14	Publishing Policy	Records documenting the development and establishment of the institution's publishing policies: key records.	Superseded + 5 years	Institutional business requirements.
5.F.15	Publishing Policy	Records documenting the development and establishment of the institution's publishing policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
5.F.16	Publishing Procedure	Records documenting the development of the institution's procedures relating to the management of publishing.	Issue of procedures + 1 year	Institutional business requirements.
5.F.17	Publishing Procedure	Master copies of procedures relating to the management of publishing.	Superseded + 3 years	Institutional business requirements.
5.F.18	Publication Production	Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	Institutional business requirements.
5.F.19	Publication Distribution	Records documenting the distribution of publications.	Current year + 1 year	Institutional business requirements.
5.F.20	Publication Marketing	Records documenting the development of marketing plans for publications.	Life of publication	Institutional business requirements.
5.F.21	Management Information Collection	Dataset specifications and protocols for submission and collation of data.	Superseded	If datasets are archived, dataset specifications and protocols should be archived with them.
5.F.22	Management Information Analysis & Reporting	Management information reports	Current year + 3 years	Institutional business requirements.

G. Function: Copyright

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.G.1	Copyright Compliance Administration	Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	Last action on application + 1 year	Institutional business requirements.

5.G.2	Copyright Compliance Administration	Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.	Period for which permission is granted + 6 years	Limitation Act 1980 c. 58 s 5.
5.G.3	Copyright Compliance Administration	Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	Current year + 1 year	Institutional business requirements.
5.G.4	Copyright Compliance Administration	Records documenting the institution's participation in surveys / audits undertaken by the Copyright Licensing Agency.	Completion of survey/audit	Institutional business requirements.
5.G.5	Copyright Compliance Administration	Results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	Current + 5 years	Institutional business requirements.
5.G.6	Copyright Compliance Administration	Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements.	Last action on case + 1 year	Institutional business requirements.

H. Function: Intellectual property rights (IPR)

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.H.1	IPR Management Policy and Procedures Development	Records documenting the development and establishment of the institution's IPR management policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.H.2	IPR Management Procedure Development	Master copies of procedures relating to IPR management.	Superseded + 3 years	Institutional business requirements.
5.H.3	IPR Protection	Records documenting the institution's applications for patents and patent certificates.	Life of patent + 50 years	Legal opinion.
5.H.4	IPR Protection	Records documenting the institution's applications for other forms of IPR protection (registered trademarks, registered designs) and certificates of registration	End of registration + 6 years	Limitation Act 1980 c. 58 s 5.
5.H.5	IPR Protection	Applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration	Institutional business requirements.
5.H.6	IPR Protection	Routine monitoring of third-party activity to detect infringements of the institution's IPR.	Current year + 5 years	Institutional business requirements.
5.H.7	IPR Protection	Records documenting identified infringements of the institution's IPR, and action taken other than litigation.	Last action on case + 6 years	Limitation Act 1980 c.58 s 5.
5.H.8	IPR Exploitation Strategy and Policy Development	Records documenting the development and establishment of the institution's IPR exploitation strategy and policies: key records.	Superseded + 10 years	Institutional business requirements.

5.H.9	IPR Exploitation Strategy, Policy, and Procedures Development	Records documenting the development and establishment of the institution's IPR exploitation strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.H.10	IPR Exploitation Procedure Development	Master copies of procedures relating to IPR exploitation.	Superseded + 5 years	Institutional business requirements.
5.H.11	IPR Assignment	Records documenting the negotiation and completion of IPR assignments to third parties.	Life of IPR + 6 years	Limitation Act 1980 c. 58 s 5.
5.H.12	IPR Licensing	Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence + 6 years	Limitation Act 1980 c. 58 s 5.

I. Function: Information communication technology (ICT)

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.1.1	ICT Systems Strategy and Policy Development	Records documenting the development and establishment of the institution's ICT systems strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
5.1.2	ICT Systems Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's ICT systems strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.1.3	ICT Systems Management Procedure Development	Master copies of procedures relating to the management of ICT systems.	Superseded + 3 years	Institutional business requirements.
5.1.4	ICT Systems Development	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years	Institutional business requirements.
5.1.5	ICT Systems Development	Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years	Institutional business requirements.
5.1.6	ICT Systems Development	Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	Institutional business requirements.
5.1.7	ICT Systems Operations Management	Routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	Institutional business requirements.
5.1.8	ICT Systems Operations Management	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	Institutional business requirements.
5.1.9	ICT Systems Operations Management	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	Institutional business requirements.
5.1.10	ICT Systems Operations Management	User requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	Institutional business requirements.

5.1.11	ICT Systems Operations Management	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	Institutional business requirements.
5.1.12	ICT Systems Security Management	Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years	Institutional business requirements.
5.1.13	ICT Systems Security Management	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	Institutional business requirements.
5.1.14	ICT Systems Security Management	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year	Institutional business requirements.
5.1.15	ICT Systems Security Management	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year	Institutional business requirements.
5.1.16	ICT Systems Security Management	Requests for, and authorisation of, connections of third-party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year	Institutional business requirements.
5.1.17	ICT Systems Security Management	Records documenting the removal/return of mobile ICT systems hardware and software from/to the institution's premises.	Return of equipment + 3 months	Institutional business requirements.
5.1.18	ICT Systems Security Management	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	Institutional business requirements.
5.1.19	ICT Systems Training	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	Institutional business requirements.

J. Function: Equipment

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.J.1	Equipment & Consumables Strategy and Policy Development	Records documenting the development and establishment of the institution's equipment and consumables strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
5.J.2	Equipment & Consumables Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's equipment and consumables strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.J.3	Equipment & Consumables Management Procedure Development	Master copies of procedures relating to the management of equipment and consumables.	Superseded + 3 years	Institutional business requirements.
5.J.4	Equipment & Consumables Selection	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items	Life of item + 6 years	Limitation Act 1980 c.58 s 5.

5.J.5	Equipment & Consumables Selection	Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations	Life of item + 40 years	<i>Retaining these records for a long period is in line with requirements/recommendations for retention of Health & Safety records.</i>
5.J.6	Equipment & Consumables Selection	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items	Life of item	Institutional business requirements.
5.J.7	Equipment & Consumables Storage	Monitoring of the condition of stored equipment/consumables.	Current year + 1 year	Institutional business requirements.
5.J.8	Equipment & Consumables Storage	Stock inventory for equipment/consumables.	Superseded	Institutional business requirements.
5.J.9	Equipment & Consumables Storage	Routine stocktaking and stock checking.	Current year + 1 year	Institutional business requirements.
5.J.10	Equipment & Consumables Storage	Records documenting the movement of stock into and from storage.	Current year + 1 year	Institutional business requirements.
5.J.11	Equipment Installation/Commissioning	Records documenting the installation of equipment: major items.	Decommissioning/removal + 6 years	Limitation Act 1980 c. 58 s 5.
5.J.12	Equipment Installation/Commissioning	Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal + 40 years	Institutional business requirements.
5.J.13	Equipment Installation/Commissioning	Records documenting the installation of equipment: other items.	Decommissioning/removal	Institutional business requirements.
5.J.14	Equipment Installation/Commissioning	Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994 (SI 1994/3140).	Decommissioning/removal of plant	<i>Construction (Design and Management Regulations 2015</i> <i>http://www.legislation.gov.uk/ukxi/2015/51/pdfs/ukxi_20150051_en.pdf</i> <i>does not prescribe a retention period for these records but implies that the Health and Safety File for a structure should be retained for the life of the structure.</i> <i>A Health and Safety File is transferred to the new owner when a structure is sold.</i>
5.J.15	Equipment Installation/Commissioning	Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Decommissioning	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(i) and 11(2)(a)(iii).
5.J.16	Equipment Installation/Commissioning	Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(ii).
5.J.17	Equipment Inspection, Testing & Maintenance	Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item + 1 year	Institutional business requirements.
5.J.18	Equipment Inspection, Testing & Maintenance	Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/Removal + 6 years	Limitation Act 1980 c.58 s 5

5.J.19	Equipment Inspection, Testing & Maintenance	Maintenance logs for equipment	Life of equipment + 6 years	The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 5(2) Limitation Act 1980 c. 58 s 5.
5.J.20	Equipment Inspection, Testing & Maintenance	Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 6(3).
5.J.21	Equipment Inspection, Testing & Maintenance	Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Decommissioning/Disposal + 15 years	Limitation Act 1980 c.58 s 14 <i>The Fire Precautions (Workplace) Regulations (SI 1997/1840) Regulation 6 requires the maintenance of fire detection and fire-fighting equipment but does not prescribe a retention period for records in relation to this activity.</i> <i>Retaining a maintenance history provides evidence of compliance and effective management of health and safety over time.</i>
5.J.22	Equipment Inspection, Testing & Maintenance	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health, as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of examination/test/repair + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4).
5.J.23	Equipment Inspection, Testing & Maintenance	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of examination/test/repair + 5 years	The Control of Asbestos Regulations (SI 2012/632) Regulation 13(3).
5.J.24	Equipment Inspection, Testing & Maintenance	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead, as required by Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of examination/test/repair + 5 years	The Control of Lead at Work Regulations (SI 2002/2676) Regulation 8(4).
5.J.25	Equipment Inspection, Testing & Maintenance	Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation, as required by Regulation 10(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 2 years	The Ionising Radiations Regulations (SI 2017/1075) Regulation 11(2)(b).
5.J.26	Equipment Inspection, Testing & Maintenance	Records documenting the examination, testing and repair of other equipment provided to control exposure to ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 5 years	The Ionising Radiations Regulations (SI 2017/1075) <i>does not prescribe a retention period for these records.</i>

5.J.27	Equipment Inspection, Testing & Maintenance	Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, as required by Regulation 19(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of maintenance/testing + 2 years	The Ionising Radiations Regulations (SI 1999/3232) Regulation 19(4)(c)
5.J.28	Equipment Inspection, Testing & Maintenance	Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of subsequent report OR Date of report + 2 years, whichever is the later	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(iv).
5.J.29	Equipment & Consumables Disposal	Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	Institutional business requirements.
5.J.30	Equipment & Consumables Disposal	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: items used in connection with operations involving substances hazardous to health.	Disposal of item + 15 years	Limitation Act 1980 c.58 s 14
5.J.31	Equipment & Consumables Disposal	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal if item + 6 year	Limitation Act 1980 c. 58 s 5
5.J.32	Equipment & Consumables Disposal	Records documenting the transfer of ownership of equipment/consumables.	Disposal of item + 1 year	Institutional business requirements.

K. Function: Insurance

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.K.1	Insurance Strategy and Policy Development	Records documenting the development and establishment of the institution's insurance strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
5.K.2	Insurance Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's insurance strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.K.3	Insurance Management Procedure Development	Master copies of procedures relating to the management of insurance cover and claims.	Superseded + 3 years	Institutional business requirements.
5.K.4	Insurance Policy Management	Records documenting the arrangement and renewal of insurance policies: employers' liability insurance. See also Employers' Liability Insurance Certificates.	Expiry of policy + 6 years	Limitation Act 1980 c.58 s 5
5.K.5	Insurance Policy Management	Employers' Liability Insurance Certificates	Commencement/Renewal of policy + 40 years	The Employers' Liability (Compulsory Insurance) Regulations (SI 1998/2573) Regulation 4(4)

5.K.6	Insurance Policy Management	Records documenting the arrangement and renewal of insurance policies: all other insurance.	Expiry of policy + 6 years	Limitation Act 1980 c.58 s 5
5.K.7	Insurance Claim Administration	Records documenting claims, and the outcomes of claims, against insurance policies.	Settlement of claim + 6 years	Limitation Act 1980 c.58 s 5
L. Function: Procurement				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.L.1	Procurement Strategy and Policy Development	Records documenting the development and establishment of the institution's procurement strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
5.L.2	Procurement Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's procurement strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.L.3	Procurement Procedure Development	Master copies of procedures relating to the management of procurement.	Superseded + 3 years	Institutional business requirements.
5.L.4	Supplier Approval	Records documenting supplier evaluation criteria.	Superseded + 5 years	Institutional business requirements.
5.L.5	Supplier Approval	Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval	Institutional business requirements.
5.L.6	Supplier Approval	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers.	Termination of approval	Institutional business requirements.
5.L.7	Supplier Approval	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection + 1 year	Institutional business requirements.
5.L.8	Supplier Approval	Supplier database	While current	Institutional business requirements.
5.L.9	Contract Tendering	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	Institutional business requirements.
5.L.10	Contract Tendering	Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years	Limitation Act 1980 c. 58 s 5
5.L.11	Contract Tendering	Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year	Institutional business requirements.
5.L.12	Contract Tendering	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders.	Award of supply contract + 1 year	Institutional business requirements.

5.L.13	Contract Tendering	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
5.L.14	Contract Tendering	Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 31 of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5 <i>The Public Contracts Regulations (SI 2015/102) does not prescribe a retention period for these records.</i> <i>SSI 2006/1 does not prescribe a retention period for these records.</i>
5.L.15	Contract Tendering	Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 32(14) of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract + 10 years	Limitation Act 1980 c. 58 s 5 <i>The Public Contracts Regulations (SI 2015/102) does not prescribe a retention period for these records.</i> <i>The Public Contracts (Scotland) Regulations (SSI 2015/446) states that “documentation must be kept for a period of at least 3 years from the date of award of the contract”.</i> <i>These are summary records of each contract awarded and retention of these for a longer period than the complete contract ‘files’ provides evidence of effective and compliant procurement practice over time.</i>
5.L.16	Contract Tendering	Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2015 (SI 2015/102) or for the Scottish Ministers, as required by the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Current year + 3 years	<i>SI 2015/102 does not prescribe a retention period for these records.</i> <i>The Public Contracts (Scotland) Regulations (SSI 2015/446) states that “documentation must be kept for a period of at least 3 years from the date of award of the contract”.</i>
5.L.17	Purchasing	Records documenting purchasing authorisation limits.	Superseded + 1 year	Institutional business requirements.
5.L.18				
5.L.19	Purchasing	Records documenting internal authorisation for procurement.	Current financial year + 1 year	Institutional business requirements.
5.L.20	Purchasing	Purchase orders	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5 HMRC 700/21 para. 5.2
5.L.21	Purchasing	Goods received notes/goods inwards notes	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2
5.L.22	Contract Management	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
5.L.23	Contract Management	Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
M. Function: Education and training				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.M.1	Education & Training Strategy and Policy Development	Records documenting the development and establishment of the institution's education and training strategy and policies: key records.	Superseded + 10 years	Superseded + 10 years

5.M.2	Education & Training Strategy and Policy Development	Records documenting the development and establishment of the institution's education and training strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.M.3	Education & Training Procedure Development	Master copies of procedures relating to education and training.	Superseded + 5 years	Institutional business requirements.
5.M.4	Education & Training Programme Development	Records documenting the development of education and training programmes.	Life of programme + 5 years	Institutional business requirements.
5.M.5	Education & Training Programme Review	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years	Institutional business requirements.
5.M.6	Education & Training Programme Delivery	Records documenting the preparation of teaching and learning materials.	Current academic year + 1 year	Institutional business requirements.
5.M.7	Education & Training Programme Delivery	Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	Institutional business requirements.
5.M.8	Education & Training Programme Assessment	Records documenting the design and development of assessments.	Life of programme	Institutional business requirements.
5.M.9	Education & Training Programme Assessment	Records documenting submitted/completed assessments: formative assessments.	Current academic year	Institutional business requirements.
5.M.10	Education & Training Programme Assessment	Records documenting submitted/completed assessments: summative assessments.	Confirmation of marks/grades + 6 months.	Institutional business requirements.
5.M.11	Education & Training Programme Assessment	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	Limitation Act, 1980 c. 58 s 5
5.M.12	Education & Training Contract Management	Records documenting the negotiation and establishment of contracts.	Termination of contract + 6 years	Limitation Act, 1980 c. 58 s 5
N. Function: Consultancy				
Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.N.1	Consultancy Strategy and Policy Development	Records documenting the development and establishment of the institution's consultancy strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
5.N.2	Consultancy Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's consultancy strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.N.3	Consultancy Procedure Development	Master copies of procedures relating to consultancy.	Superseded + 3 years	Institutional business requirements.
5.N.4	Consultancy Promotion	Directories of expertise	Current	<i>Retention of these records must comply with the provisions of current data protection laws (the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679).</i>
5.N.5	Consultancy Prospect Management	Records documenting the handling of enquiries about consultancy, where no further action is taken.	Last action on enquiry + 1 year	Institutional business requirements.

5.N.6	Consultancy Prospect Management	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	Receipt of notification that proposal/tender was unsuccessful + 1 year	Institutional business requirements.
5.N.7	Consultancy Prospect Management	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
5.N.8	Consultancy Contract Management	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key records.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
5.N.9	Consultancy Contract Management	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: working papers.	Agreement of contract	Institutional business requirements.
5.N.10	Consultancy Project Management	Records documenting the management of consultancy projects: key records.	Termination of contract + 3 years	Common audit requirement
5.N.11	Consultancy Project Management and Delivery	Records documenting the management of consultancy projects, scheduling of meetings, interviews, deliverables/outcomes, draft versions and other project work: working papers.	Termination of contract	Institutional business requirements.
5.N.12	Consultancy Project Delivery	Records documenting substantive project work.	Termination of contract + 3 years	Common audit requirement <i>Information/records provided by clients may be returned to them at the end of projects.</i>
5.N.13	Consultancy Project Delivery	Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5

O. Function: Related companies

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.O.1	Related Companies Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's related companies strategy, policies and procedures: key records.	Superseded + 10 years	Institutional business requirements.
5.O.2	Related Companies Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's related companies strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.

P. Function: Commercial Services Management

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
5.P.1	Commercial Services Strategy and Policy Development	Records documenting the development and establishment of the institution's commercial services strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.

5.P.2	Commercial Services Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's commercial services strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
5.P.3	Commercial Services Procedure Development	Master copies of procedures relating to the management of commercial services.	Superseded + 3 years	Institutional business requirements.

6. Information Compliance

A. Function: Information Strategy and Data Protection

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
6.A.1	Information Compliance Strategy and Policy Development	Records documenting the development and establishment of the institution's information compliance strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
6.A.2	Information Compliance Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's information compliance strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
6.A.3	Information Compliance Management Procedure Development	Master copies of procedures relating to information compliance.	Superseded + 3 years	Institutional business requirements.
6.A.4	Data Protection Compliance	The institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by the Data Protection Act 2018.	Current year + 1 year	<i>Notification must be renewed annually to maintain an entry in the public register of data controllers.</i>
6.A.5	Data Protection Compliance	Records documenting the handling of requests for access to personal information held by the institution under the General Data Protection Regulation (GDPR).	Last action on request + 1 year	Common practice <i>GDPR does not prescribe a retention period for these records and the ICO does not advise a specific retention period.</i> <i>A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals.</i>
6.A.6	Data Protection Compliance	(Anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under current data protection laws (the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679).	Current year + 10 years	Institutional business requirements.
6.A.7	Data Protection Compliance	Privacy notices.	Conclusion of the activity to which the privacy notice relates + 6 years	GDPR 5(1) (e) Limitation Act 1980.

B. Function: Freedom of Information & Environmental Information

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
6.B.1	Freedom of Information Compliance	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36) and the Freedom of Information (Scotland) Act 2002 (asp 13).	Completion of revision of Publication Scheme + 5 years	Freedom of Information Act 2000 See: <i>'Model publication scheme Freedom of Information Act' 2015 (ICO).</i> <i>'Definition document for universities and other higher education institutions' and 'Definition document for colleges of further education' ICO (2013).</i>

6.B.2	Freedom of Information Compliance	Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Completion of request handling process + 3 years	<p>Freedom of Information Act 2000</p> <p><i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).</i></p> <p>The National Archives recommends '3 Years after date of creation'. See Model Retention Schedule for Records Created by a Public Body Fulfilling FOI obligations (The National Archives).</p> <p><i>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, possibly as part of policy development records (see INFORMATION COMPLIANCE MANAGEMENT - INFORMATION COMPLIANCE POLICY DEVELOPMENT).</i></p> <p><i>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 request) have been determined.</i></p> <p><i>See 'Definition document for universities and other higher education institutions' and 'Definition document for colleges of further education' ICO (2013).</i></p>
6.B.3	Freedom of Information Compliance	(Anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Current year + 10 years	<p>Freedom of Information Act 2000</p> <p><i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).</i></p> <p><i>See 'Definition document for universities and other higher education institutions' and 'Definition document for colleges of further education' ICO (2013).</i></p>
6.B.4	Freedom of Information Compliance	(Anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Current year + 10 years	<p>Freedom of Information Act 2000</p> <p><i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).</i></p> <p><i>See 'Definition document for universities and other higher education institutions' and 'Definition document for colleges of further education' ICO (2013).</i></p>
6.B.5	Environmental Information Compliance	Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Completion of request handling process + 3 years	<p><i>This recommended retention period is in line with the period recommended by The National Archives for retention of records relating to the handling of requests for information under the Freedom of Information Act 2000. See Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).</i></p> <p><i>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, possibly as part of policy development records (see INFORMATION COMPLIANCE MANAGEMENT - INFORMATION COMPLIANCE POLICY DEVELOPMENT).</i></p>
6.B.6	Environmental Information Compliance	(Anonymised) management statistics, analyses and reports of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Current year + 10 years	<p><i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).</i></p>

C. Function: Records management

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
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6.C.1	Records Management Strategy Development	Records documenting the development and establishment of the institution's records management strategy: key records.	Superseded + 5 years	Institutional business requirements.
6.C.2	Records Management Strategy Development	Records documenting the development and establishment of the institution's records management strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
6.C.3	Records Management Policy Development	Records documenting the development and establishment of the institution's records management policies: key records.	Superseded + 5 years	Institutional business requirements.
6.C.4	Records Management Policy Development	Records documenting the development and establishment of the institution's records management policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
6.C.5	Records Management Procedure Development	Records documenting the development of the institution's procedures relating to records management.	Issue of procedures + 1 year	Institutional business requirements.
6.C.6	Records Management Procedure Development	Master copies of procedures relating to records management.	Superseded + 3 years	Institutional business requirements.
6.C.7	Records Creation & Capture	Records documenting recordkeeping requirements for specific business activities and processes.	Superseded	Institutional business requirements.
6.C.8	Records Organisation & Description	Records documenting classification and indexing schemes for records.	Superseded + 5 years	Institutional business requirements.
6.C.9	Records Storage & Handling	Records documenting storage locations of records.	Superseded	Institutional business requirements.
6.C.10	Records Storage & Handling	Records documenting the movement of records to/from storage.	Return of records + 1 year	Institutional business requirements.
6.C.11	Records Access Control	Records documenting the provision of access to records.	Date of access + 1 year	Institutional business requirements.
6.C.12	Records Retention	Records documenting the determination of retention periods for records.	Completion of revised Records Retention Schedule + 1 year	Institutional business requirements.
6.C.13	Records Retention	Final versions of Records Retention Schedules	Permanent	<i>Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.</i>
6.C.14	Records Retention	Review of individual records to determine requirements for ongoing retention, where records are disposed of.	Life of records + 25 years	Institutional business requirements.
6.C.15	Records Maintenance	Records documenting conservation work undertaken on records.	Disposal of records	Institutional business requirements.
6.C.16	Records Disposal	Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	Institutional business requirements.
6.C.17	Records Survey/Audit	Records documenting the conduct and results of records surveys/audits.	Completion of subsequent survey/audit	<i>This retention period assumes that the purpose and scope of the subsequent audit is comparable. If it is not, a longer retention period may be appropriate.</i>

D. Function: Archives and collections

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
6.D.1	Archives Strategy and Policy Development	Records documenting the development and establishment of the institution's archives strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.

6.D.2	Archives Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's archives strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
6.D.3	Archives Management Procedure Development	Master copies of procedures relating to archives management.	Superseded + 3 years	Institutional business requirements.
6.D.4	Archives Acquisition	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	Institutional business requirements.
6.D.5	Archives Acquisition	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	Institutional business requirements.
6.D.6	Archives Acquisition	Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	Institutional business requirements.
6.D.7	Archives Organisation & Description	Records documenting the institution's scheme of arrangement for its archives.	Life of records arranged according to the scheme	Institutional business requirements.
6.D.8	Archives Organisation & Description	Records documenting the development of the institution's standard descriptive model for its archives.	Life of records described using the model	Institutional business requirements.
6.D.9	Archives Organisation & Description	Records containing the descriptions of the records held as archives.	Life of records	Institutional business requirements.
6.D.10	Archives Storage & Handling	Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	Institutional business requirements.
6.D.11	Archives Storage & Handling	Records documenting the movement of archives from/to storage.	Return of items + 1 year	Institutional business requirements.
6.D.12	Archives Access Control	Requests for access to archives.	Last action on request + 1 year	Institutional business requirements.
6.D.13	Archives Conservation	Records documenting conservation work undertaken on items in the archives.	Life of records	Institutional business requirements.
6.D.14	Archives Disposal	Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process + 6 years	Limitation Act 1980 c. 58 s 5
6.D.15	Archives Promotion & Exploitation	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Superseded	Institutional business requirements.
6.D.16	Archives Promotion & Exploitation	Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	Superseded	Institutional business requirements.

6.D.17	Archives Promotion & Exploitation	Records documenting enquiries about (items in) the archives, and the responses provided. Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.	Last action on enquiry + 1 year	Institutional business requirements.
6.D.18	Archives Promotion & Exploitation	Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	Current + 5 years	Institutional business requirements.
6.D.19	Archives Promotion & Exploitation	Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).	Last action on project + 5 years	Institutional business requirements.
6.D.20	Archives Promotion & Exploitation	Records documenting loans of items from the archives to third parties.	Termination of loan + 6 years	Limitation Act 1980 c.58 s 5
6.D.21	Collections Strategy Development	Records documenting the development and establishment of the institution's collections strategy: key records.	Superseded + 5 years	Institutional business requirements.
6.D.22	Collections Strategy Development	Records documenting the development and establishment of the institution's collections strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
6.D.23	Collections Management Policy Development	Records documenting the development and establishment of the institution's collections management policies: key records.	Superseded + 5 years	Institutional business requirements.
6.D.24	Collections Management Policy Development	Records documenting the development and establishment of the institution's collections management policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
6.D.25	Collections Management Procedure Development	Records documenting the development of the institution's procedures relating to collections management.	Issue of procedures + 1 year	Institutional business requirements.
6.D.26	Collections Management Procedure Development	Master copies of procedures relating to collections management.	Superseded + 3 years	Institutional business requirements.
6.D.27	Collections Promotion	Records documenting the design and development of promotional materials.	While materials are current	<i>Select significant materials for permanent retention.</i>
6.D.28	Collections Promotion	Records documenting the design and implementation of promotional events.	Last action on event + 5 years	<i>Select key records of significant events for permanent retention.</i>
6.D.29	Collections Promotion	Enquiries about collections and the responses given.	Last action on enquiry + 1 year	<i>Key information from substantive enquiries may be extracted and indexed to avoid repetitive research.</i>
6.D.30	Collections Use	Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are rejected.	Last action on request / proposal + 1 year.	Institutional business requirements.

6.D.31	Collections Use	Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are authorised.	Completion of use + 5 years.	Institutional business requirements.
6.D.32	Collections Use	Records documenting the authorised use of collections or objects, and actions taken to facilitate, monitor or control use (e.g. checking environmental conditions, handling / operating objects; taking samples from objects).	Completion of use + 5 years.	<i>Information about actions which have a direct impact on the condition of objects should be recorded in the object's catalogue record.</i>
6.D.33	Object Receipt	Records documenting the receipt of objects which are not currently part of the institution's collections. SPECTRUM: Object Entry records	Current year + 10 years	Institutional business requirements.
6.D.34	Object Borrowing	Records documenting loans of objects to the institution by other organisations or by individuals. SPECTRUM: Loan In records.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/09/Loans-in-spectrum-factsheet-2015.pdf Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 6.
6.D.35	Object Acquisition	Records documenting the acquisition of objects for the institution's collections. SPECTRUM: Accession records.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.
6.D.36	Object Location & Movement Control	Records documenting the location and movement of objects within the institution's premises. SPECTRUM: Location and Movement Records.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.
6.D.37	Object Cataloguing	Records documenting key information about objects in the institution's collections. SPECTRUM: Catalogue records.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.
6.D.38	Object Dispatch	Records documenting objects which have left the institution's premises. SPECTRUM: Object Exit Records.	Return of item + 10 years	Institutional business requirements.
6.D.39	Object Lending	Records documenting loans of objects to other organisations or to individuals. SPECTRUM: Loan Out records.	Return of loaned item + 10 years	Institutional business requirements.

7. Communications

A. Function: Policy and Planning

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.A.1	Public Relations Strategy and Policies Development	Records documenting the development and establishment of the institution's public relations strategy and policies: key records.	Superseded + 5 years	Institutional business requirements.
7.A.2	Public Relations Strategy, Policy, and Procedures Development	Records documenting the development and establishment of the institution's public relations strategy, policies, and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
7.A.3	Public Relations Procedure Development	Master copies of procedures relating to public relations.	Superseded + 3 years	Institutional business requirements.
7.A.4	Public Communications Management	Enquiries from members of the public and the responses provided.	Last action on enquiry + 1 year	Institutional business requirements.
7.A.5	Public Communications Management	Unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Institutional business requirements.
7.A.6	Public Communications Management	Records documenting the design and conduct of public surveys.	Completion of survey + 3 years	Institutional business requirements.
7.A.7	Public Communications Management	Results of public surveys: individual responses.	Completion of analysis of survey responses	<i>The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.</i>
7.A.8	Public Communications Management	Results of public surveys: summaries and analyses of responses	Completion of survey + 3 years	Institutional business requirements.
7.A.9	Public Communications Management	Complaints from members of the public, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	Institutional business requirements.
7.A.10	Public Events Management	Records documenting the planning and impact/results of public events.	Completion of event + 3 years	Institutional business requirements.
7.A.11	Public Events Management	Records documenting the organisation and administration of public events.	Completion of event + 1 year	Institutional business requirements.
7.A.12	Official Visits Management	Records documenting the organisation and administration of official visits.	Completion of visit + 1 year	Institutional business requirements.
7.A.13	Sponsorship Management	Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship + 6 years	Limitation Act 1980 c. 58 s 5
7.A.14	Welsh and Gaelic Language	Records documenting the development of the institution's language policy for example Welsh Language Schemes.	Permanent (review for archival value)	Gaelic Language (Scotland) Act 2005 Welsh Language Act 1993 Northern Ireland Act 1998.
7.A.15	Welsh and Gaelic Language	Records documenting the implementation of the institution's language policy.	Current year + 6 years	Limitation Act, 1980

7.A.16	Welsh and Gaelic Language	Records monitoring and auditing the implementation of the language policy.	Completion of next audit + 3 years	Institutional business requirements.
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B. Function: Media relations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.B.1	Media Relations Strategy Development	Records documenting the development and establishment of the institution's media relations strategy: key records.	Superseded + 5 years	Institutional business requirements.
7.B.2	Media Relations Strategy Development	Records documenting the development and establishment of the institution's media relations strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
7.B.3	Media Relations Policy Development	Records documenting the development and establishment of the institution's media relations policies: key records.	Superseded + 5 years	Institutional business requirements.
7.B.4	Media Relations Policy Development	Records documenting the development and establishment of the institution's media relations policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
7.B.5	Media Relations Procedure Development	Records documenting the development of the institution's procedures relating to media relations.	Issue of procedures + 1 year	Institutional business requirements.
7.B.6	Media Relations Procedure Development	Master copies of procedures relating to media relations.	Superseded + 3 years	Institutional business requirements.
7.B.7	Media Communications Management	Records documenting the institution's media contacts.	Superseded	Institutional business requirements.
7.B.8	Media Communications Management	Records documenting the planning and organisation of media briefings.	Date of briefing + 1 year	Institutional business requirements.
7.B.9	Media Communications Management	Transcripts of media briefings	Date of briefing + 5 years	Institutional business requirements.
7.B.10	Media Communications Management	Records documenting the planning and organisation of media interviews.	Date of interview + 1 year	Institutional business requirements.
7.B.11	Media Communications Management	Transcripts of media interviews.	Date of interview + 5 years	Institutional business requirements.
7.B.12	Media Communications Management	Press releases.	Current year + 5 years	Institutional business requirements.
7.B.13	Media Communications Management	Records documenting media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry + 3 years	Institutional business requirements.
7.B.14	Media Monitoring	Records documenting the monitoring and analysis of media coverage of the institution.	Current year + 5 years	Institutional business requirements.
7.B.15	Media Monitoring	Press cuttings.	Creation + 1 year	Creation + 1 year

C. Function: Sector relations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
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7.C.1	HE/FE Sector Relations Strategy Development	Records documenting the development and establishment of the institution's HE/FE sector relations strategy: key records.	Superseded + 5 years	Institutional business requirements.
7.C.2	HE/FE Sector Relations Strategy Development	Records documenting the development and establishment of the institution's HE/FE sector relations strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
7.C.3	HE/FE Sector Relations Policy Development	Records documenting the development and establishment of the institution's HE/FE sector relations policies: key records.	Superseded + 5 years	Institutional business requirements.
7.C.4	HE/FE Sector Relations Policy Development	Records documenting the development and establishment of the institution's HE/FE sector relations policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
7.C.5	HE/FE Sector Relations Procedure Development	Records documenting the development of the institution's procedures relating to HE/FE sector relations.	Issue of procedures + 1 year	Institutional business requirements.
7.C.6	HE/FE Sector Relations Procedure Development	Master copies of procedures relating to HE/FE sector relations.	Superseded + 3 years	Institutional business requirements.
7.C.7	HE/FE Sector Communications Development	General communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies.	Current year + 5 years	Institutional business requirements.
7.C.8	HE/FE Sector Communications Development	Records documenting the production of publications specifically intended for the HE and/or FE sector(s).	Publication + 1 year	Institutional business requirements.
7.C.9	HE/FE Sector Communications Development	Publications	While current + 1 year	Institutional business requirements.
7.C.10	HE/FE Sector Communications Development	General enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given.	Last action of enquiry + 1 year	Institutional business requirements.
7.C.11	HE/FE Sector Consultations Management	Records documenting the preparation of the institution's formal responses to consultations conducted by HE/FE sector organisations (including records of internal consultation processes).	Last action on consultation + 1 year	Institutional business requirements.
7.C.12	HE/FE Sector Consultations Management	Records documenting the institution's formal responses to consultations conducted by HE/FE sector organisations.	Last action on consultation + 3 years	Institutional business requirements.
7.C.13	HE/FE Sector Reporting	Records documenting the preparation and submission of reports to HE/FE regulatory bodies.	Submission of report + 3 years	Institutional business requirements.
7.C.14	HE/FE Sector Events Management	Records documenting the planning and impact/results of events for the HE sector.	Completion of event + 3 years	Institutional business requirements.
7.C.15	HE/FE Sector Events Management	Records documenting the organisation and administration of events for the HE sector.	Completion of event + 1 year	Institutional business requirements.

7.C.16	HE/FE Sector Representation	Records documenting the institution's membership of organisations.	Termination of membership + 1 year	Institutional business requirements.
7.C.17	HE/FE Sector Representation	Records documenting the institution's participation in the activities of external organisations (including committees).	Termination of involvement + 1 year	Institutional business requirements.
7.C.18	HE/FE Sector Collaboration	Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions.	Termination of contractual relationship + 6 years	Limitation Act 1980 c. 58 s 5

D. Function: Government and Parliamentary relations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.D.1	Government Relations Strategy and Policy Development	Records documenting the development and establishment of the institution's government relations strategy: key records.	Superseded + 5 years	Institutional business requirements.
7.D.2	Government Relations Strategy, Policy and Procedures Development	Records documenting the development and establishment of the institution's government relations strategy, policies and procedures: working papers.	Issue of document + 1 year	Institutional business requirements.
7.D.3	Government Relations Procedure Development	Master copies of procedures relating to government relations.	Superseded + 3 years	Institutional business requirements.
7.D.4	Government Communications Management	General correspondence with government bodies.	Current year + 5 years	Institutional business requirements.
7.D.5	Government Communications Management	Requests for information from government bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	Institutional business requirements.
7.D.6	Government Consultations Management	Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government bodies (including records of internal consultation processes).	Last action on consultation + 1 year	Institutional business requirements.
7.D.7	Government Consultations Management	Records documenting the institution's formal responses to consultations conducted by government bodies.	Last action on consultation + 5 years	Institutional business requirements.
7.D.8	Government Reporting	Records documenting the preparation and submission of reports to government bodies.	Submission of report + 3 years	Institutional business requirements.
7.D.9	Government Inquiries/Investigations Management	Records documenting the institution's participation in formal government or public inquiries.	Last action on inquiry + 10 years	Institutional business requirements.
7.D.10	Parliamentary Relations Strategy Development	Records documenting the development and establishment of the institution's parliamentary relations strategy: key records.	Superseded + 5 years	Institutional business requirements.

7.D.11	Parliamentary Relations Strategy Development	Records documenting the development and establishment of the institution's parliamentary relations strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
7.D.12	Parliamentary Relations Policy Development	Records documenting the development and establishment of the institution's parliamentary relations policies: key records.	Superseded + 5 years	Institutional business requirements.
7.D.13	Parliamentary Relations Policy Development	Records documenting the development and establishment of the institution's parliamentary relations policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
7.D.14	Parliamentary Relations Procedure Development	Records documenting the development of the institution's procedures relating to parliamentary relations.	Issue of procedures + 1 year	Institutional business requirements.
7.D.15	Parliamentary Relations Procedure Development	Master copies of procedures relating to parliamentary relations.	Superseded + 3 years	Institutional business requirements.
7.D.16	Parliamentary Communications Management	General correspondence with parliamentary bodies.	Current year + 5 years	Institutional business requirements.
7.D.17	Parliamentary Communications Management	Requests for information from parliamentary bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	Institutional business requirements.
7.D.18	Parliamentary Consultations Management	Records documenting the preparation of the institution's formal responses to consultations conducted by parliamentary bodies (including records of internal consultation processes).	Last action on consultation + 1 year	Institutional business requirements.
7.D.19	Parliamentary Consultations Management	Records documenting the institution's formal responses to consultations conducted by parliamentary bodies.	Last action on consultation + 3 years	Institutional business requirements.
7.D.20	Parliamentary Inquiries & Investigations Management	Records documenting the institution's participation in formal parliamentary inquiries.	Last action on inquiry + 10 years	Institutional business requirements.

E. Function: Community relations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.E.1	Community Relations Strategy Development	Records documenting the development and establishment of the institution's community relations strategy: key records.	Superseded + 5 years	Institutional business requirements.
7.E.2	Community Relations Strategy Development	Records documenting the development and establishment of the institution's community relations strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
7.E.3	Community Relations Policy Development	Records documenting the development and establishment of the institution's community relations policies: key records.	Superseded + 5 years	Institutional business requirements.

7.E.4	Community Relations Policy Development	Records documenting the development and establishment of the institution's community relations policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
7.E.5	Community Relations Procedure Development	Records documenting the development of the institution's procedures relating to community relations.	Issue of procedures + 1 year	Institutional business requirements.
7.E.6	Community Relations Procedure Development	Master copies of procedures relating to community relations.	Superseded + 3 years	Institutional business requirements.
7.E.7	Community Communications Management	Enquiries from members of the local community and the responses provided.	Last action of enquiry + 1 year	Institutional business requirements.
7.E.8	Community Communications Management	Unsolicited feedback from members of the local community, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Institutional business requirements.
7.E.9	Community Communications Management	Records documenting the design and conduct of community surveys.	Completion of survey + 3 years	Institutional business requirements.
7.E.10	Community Communications Management	Results of community surveys: individual responses.	Completion of analysis of survey responses	<i>The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.</i>
7.E.11	Community Communications Management	Results of community surveys: summaries and analyses of responses.	Completion of survey + 3 years	Institutional business requirements.
7.E.12	Community Communications Management	Complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	Institutional business requirements.
7.E.13	Community Events Management	Records documenting the planning and impact/results of local community events.	Completion of event + 3 years	Institutional business requirements.
7.E.14	Community Events Management	Records documenting the organisation and administration of local community events.	Completion of event + 1 year	Institutional business requirements.
7.E.15	Community Representation	Records documenting the institution's membership of local community organisations.	Termination of membership + 1 year	Institutional business requirements.
7.E.16	Community Representation	Records documenting the institution's participation in the activities of local community organisations (including committees).	Termination of involvement + 1 year	Institutional business requirements.

F. Function: Students' Union relations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.F.1	Students' Union Relations Strategy Development	Records documenting the development and establishment of the institution's students' union relations strategy: key records.	Superseded + 10 years	Institutional business requirements.
7.F.2	Students' Union Relations Strategy Development	Records documenting the development and establishment of the institution's students' union relations strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.

7.F.3	Students' Union Relations Policy Development	Records documenting the development and establishment of the institution's policies on students' union relations: key records.	Superseded + 5 years	Institutional business requirements.
7.F.4	Students' Union Relations Policy Development	Records documenting the development and establishment of the institution's policies on students' union relations: working papers.	Issue of policy + 1 year	Institutional business requirements.
7.F.5	Students' Union Relations Policy Development	Records documenting the development and establishment of the institution's code of practice on the oversight of the operations and finances of its students' union, as required by Section 22(3) of the Education Act 1994.	Issue of revised Code of Practice + 1 year	<i>1994 c. 30 does not prescribe a retention period.</i>
7.F.6	Students' Union Relations Policy Development	Code of Practice required by Section 22(3) of the Education Act 1994.	Superseded + 10 years	Institutional business requirements.
7.F.7	Students' Union Relations Procedure Development	Records documenting the development of the institution's procedures relating to students' union relations.	Issue of procedures + 1 year	Institutional business requirements.
7.F.8	Students' Union Relations Procedure Development	Master copies of procedures relating to students' union relations.	Superseded + 5 years	Institutional business requirements.
7.F.9	Students' Union Constitution Review & Approval	Records documenting the process of reviewing the students' union's constitution, as required by s. 22(2) of the Education Act 1994.	NA	<i>The governing body's formal review and approval of the students' union's constitution will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.</i>
7.F.10	Students' Union Funding	Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.	Current financial year + 1 year	Institutional business requirements.
7.F.11	Students' Union Financial Monitoring	Records documenting the process of reviewing the students' union's budgets, as required by s. 22(2) of the Education Act 1994.	NA	<i>The governing body's formal review and approval of the students' union's budgets will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.</i>
7.F.12	Students' Union Financial Monitoring	Records documenting the monitoring of the students' union's financial affairs, as required by s. 22(2) of the Education Act 1994.	NA	<i>The governing body's formal review and approval of the students union's financial reports will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.</i>
7.F.13	Students' Union Operations Monitoring	Records documenting the monitoring of elections to major offices in the institution's students' union, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).	NA	<i>The governing body's formal review of the students union's elections will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.</i>
7.F.14	Students' Union Operations Monitoring	Records documenting the monitoring of students' union affiliations, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).	NA	<i>The governing body's formal review of the students union's affiliations will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.</i>
7.F.15	Students' Union Operations Monitoring	Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body.	Settlement of complaint + 6 years	Limitation Act 1980 c.58 s. 5

G. Function: Alumni relations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.G.1	Alumni Relations Strategy Development	Records documenting the development and establishment of the institution's alumni relations strategy: key records.	Superseded + 5 years	Institutional business requirements.
7.G.2	Alumni Relations Strategy Development	Records documenting the development and establishment of the institution's alumni relations strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
7.G.3	Alumni Relations Policy Development	Records documenting the development and establishment of the institution's alumni relations policies: key records.	Superseded + 5 years	Institutional business requirements.
7.G.4	Alumni Relations Policy Development	Records documenting the development and establishment of the institution's alumni relations policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
7.G.5	Alumni Relations Procedure Development	Records documenting the development of the institution's procedures relating to alumni relations.	Issue of procedures + 1 year	Institutional business requirements.
7.G.6	Alumni Relations Procedure Development	Master copies of procedures relating to alumni relations.	Superseded + 3 years	Institutional business requirements.
7.G.7	Alumni Records Administration	Records containing personal data on individual alumni.	While current (or likely to be current)	Institutional business requirements.
7.G.8	Alumni Records Administration	Summary (anonymised) statistical records of alumni	Current year + 10 years	Institutional business requirements.
7.G.9	Alumni Communications Management	Records documenting the design, planning and production of official alumni communications.	Issue of communication + 1 year	Institutional business requirements.
7.G.10	Alumni Communications Management	Alumni communications	Issue + 1 year	Institutional business requirements.
7.G.11	Alumni Communications Management	Records documenting enquiries from alumni and the responses provided.	Last action on enquiry + 1 year	Institutional business requirements.
7.G.12	Alumni Communications Management	Unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Institutional business requirements.
7.G.13	Alumni Communications Management	Records documenting the design and conduct of alumni surveys.	Completion of survey + 3 years	Institutional business requirements.
7.G.14	Alumni Communications Management	Results of alumni surveys: individual responses	Completion of analysis of survey responses	<i>The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.</i>
7.G.15	Alumni Communications Management	Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	Institutional business requirements.
7.G.16	Alumni Communications Management	Records documenting the handling of complaints from alumni.	Last action on complaint + 6 years	<i>Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.</i>
7.G.17	Alumni Events Management	Records documenting the planning and impact/results of institutional events for alumni.	Completion of event + 3 years	Institutional business requirements.

7.G.18	Alumni Events Management	Records documenting the organisation and administration of institutional events for alumni.	Completion of event + 1 year	Institutional business requirements.
7.G.19	Alumni Events Management	Records documenting the administration of financial and other support given to individual alumni organisations.	Current financial year + 1 year	Institutional business requirements.
7.G.20	Alumni Support	Requests from alumni associations for financial or other support, the internal handling of these requests and the responses provided.	Last action on request + 1 year	Institutional business requirements.
7.G.21	Alumni Support	Records documenting the administration of financial and other support to alumni organisations.	Current financial year +1 year	Institutional business requirements.
7.G.22	Alumni Support	Requests for contact details for alumni, action taken, and the responses provided.	Last action on request + 1 year	Institutional business requirements.

H. Function: Fundraising and donations

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.H.1	Fundraising Strategy Development	Records documenting the development and establishment of the institution's fundraising strategy: key records.	Superseded + 5 years	Institutional business requirements.
7.H.2	Fundraising Strategy Development	Records documenting the development and establishment of the institution's fundraising strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements.
7.H.3	Fundraising Policy Development	Records documenting the development and establishment of the institution's fundraising policies: key records.	Superseded + 5 years	Institutional business requirements.
7.H.4	Fundraising Policy Development	Records documenting the development and establishment of the institution's fundraising policies: working papers.	Issue of policy + 1 year	Institutional business requirements.
7.H.5	Fundraising Procedure Development	Records documenting the development of the institution's procedures relating to fundraising.	Issue of procedures + 1 year	Institutional business requirements.
7.H.6	Fundraising Procedure Development	Master copies of procedures relating to fundraising.	Superseded + 3 years	Institutional business requirements.
7.H.7	Fundraising Campaign Management	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years	Institutional business requirements.
7.H.8	Fundraising Campaign Management	Individual responses to fundraising campaigns.	Completion of analysis of data	Institutional business requirements.
7.H.9	Donations Management	Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns).	Duration of relationship + 6 years	Limitation Act 1980 c. 58 s 5
7.H.10	Donations Management	Records documenting the process of making donations to third parties.	Last action on donation + 6 years	Limitation Act 1980 c. 58 s 5
7.H.11	Donations Management	Records documenting the handling of enquiries about making donations to the institution.	Last action on enquiry + 1 year	Institutional business requirements.

7.H.12	Donations Management	Records documenting donations to the institution.	Current year + 5 years	<i>A shorter/longer period may be appropriate for small/substantial donations.</i>
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I. Function: Marketing and Communications

Ref.	Activity type	Records description	Retention Period	Citations and notes supporting retention period
7.1.1	Marketing Strategy Development	Records documenting the development and establishment of the institution's marketing strategy: key records.	Superseded + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.2	Marketing Strategy Development	Records documenting the development and establishment of the institution's marketing strategy: working papers.	Issue of strategy + 1 year	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.3	Marketing Policy Development	Records documenting the development and establishment of the institution's marketing policies: key records.	Superseded + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.4	Marketing Policy Development	Records documenting the development and establishment of the institution's marketing policies: working papers.	Issue of policy + 1 year	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.5	Marketing Procedure Development	Records documenting the development of the institution's procedures relating to marketing.	Issue of procedures + 1 year	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.6	Marketing Procedure Development	Master copies of procedures relating to marketing.	Superseded + 3 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.7	Market Research	Records documenting the design and development of market research tools.	Completion of research + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.8	Market Research	Market research data: data relating to identifiable individuals.	Completion of analysis of data	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.9	Market Research	Market research data: aggregated data and analyses.	Completion of research + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.10	Marketing Campaign Management	Records documenting the design, implementation and review of marketing campaigns.	Completion of campaign + 3 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.11	Corporate Identity & Brand Management	Records documenting the design of the institution's corporate identity marks (logos etc.) and the development of style guides for use of these.	Superseded	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>
7.1.12	Advertising Management	Records documenting the development, placement and impact of advertisements.	Current + 5 years	Institutional business requirements. <i>The institution may wish to transfer these records to the archive once they are no longer in active use.</i>

Document Control Information

Document Name	Records Retention Schedule
Owner	Director of Legal, Governance & Compliance
Version Number	1.1
Equality Analysis Form Submission Date	NA
Approval Date	16/9/2021
Approved By	Council
Date of Commencement	16/9/2021
Date of Last Review	5/2/2015
Date for Next Review	16/9/2024
Related University Policy Documents	Data Protection Policy Appropriate Policy Data Classification & Handling Policy Information Security Policy Freedom of Information Policy Information Governance Framework
Administrative update	10/03/2022; Head of Legal, Governance & Compliance updated to Director of Legal, Governance & Compliance. Version number allocated
<i>For Office Use – Keywords for search function</i>	