



Records Retention Schedule

Version Number 1.0

Effective from May 2018

Document Control

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|----------------|--------------------------|----------------|--------------------------------|
| Document Name | Records Retention Policy | | |
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Version Control

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Statement of Intent

The University recognises that the efficient management of its records is necessary to support its core functions, to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution.

A Records Retention Schedule is an essential component of an efficient and effective records management system and properly developed and implemented, it protects the interests of the organisation and its stakeholders by ensuring that business records are kept for as long as they are needed to meet operational needs and to comply with legal requirements, and are then disposed of securely.

Benefits of effective records management practice

Good records management:

- Ensures that you can find the information you want at the time you need it;
- Saves staff time spent looking for information. Good records management should enable information to be retrieved quickly and reliably;
- Saves space - destroying information that is no longer required liberates space in the University;
- Reduces administration costs, both in staff time and storage.
- Enables timely responses and cost efficiency to information requests made to the University.
- Removes duplicates.
- Ensures that documents important to the University's history are retained for archive purposes.

What is a Records Retention Schedule?

A Records Retention Schedule is a control document that sets out the periods for which an organisation's business records should be retained to meet its operational needs and to comply with legal and other requirements. Legislation states that various specific records must be retained for specific periods of time. Failure by an educational establishment to comply may result in legal penalties for breach of the relevant regulation.

On the other hand, it is not expected from a legal perspective that all records should be retained indefinitely and there will be many instances where an institution must consider whether the retention of information is necessary or desirable. For example, under data protection legislation, personal data should not be held for longer than is necessary to fulfil the purpose for which it was obtained.

Educational establishments must therefore assess carefully the risks associated with retaining such information as well as the risks that may arise if it is destroyed.

Compliance with the Freedom of Information Act 2000 likewise requires the effective management of record retention by all public authorities. The controlled destruction of records according to a defined business process, as part of an agreed retention strategy, will ensure that only accurate, relevant and required information is retained. This will facilitate the retrieval and provision of requested information within the prescribed time limits.

The time periods given in this document are a general guide and so with good reason certain documents may be retained for longer periods,

although it is recommended that such reasons are documented.

Staff should always take account of operational requirements for records before destruction.

General principles

- The retention periods in the Schedule apply only to designated **official copies** of the records concerned. Duplicates can usually be retained for a shorter period. It is vital to ensure that all duplicates are destroyed before (or at the same time as) the official copies, to ensure compliance with the requirements of the General Data Protection Regulation, the Freedom of Information Act 2000 and to protect the institution's interests generally.
- The retention periods given in the Schedule apply only to **substantive** records in each group. Almost all groups include working papers and other supporting materials which can usually be retained for a shorter period
- Original financial records should generally be kept for 6 years after the current financial year to comply with the Limitation Act 1980 and HM Customs & Excise Notice 700/21: Keeping [VAT] records and accounts. **(NB the majority of such records will be maintained by the Finance Division and so local copies can be destroyed as soon as operational requirements cease, say one year after the current financial year.)**
- Health and Safety records can be split between those records which are duplicates, the master being held by HR Wellbeing, and local records. As the former are held by HR Wellbeing, there is no requirement on Estates & Property Services staff to retain these, however the latter should be held in accordance with the guidance listed herein.
- Personnel Records – HR should retain the majority of master personnel records. However where records are held in the Division's Personal File, they should not be retained longer than indicated in the guidance below.
- Contracts under seal and their related negotiation, establishment and review documents should be kept for 12 years after the termination of the contract. Other contractual material should be retained for a minimum of six years after the termination of the contract.
- University policy and strategy documents should be retained according to legal or operational requirements, usually 10 years after being superseded.

- Audits and reviews of performance against plans and strategies should be retained for 10 years after the current academic year and then referred to the University Archives for review

Some records have no significant operational, informational or evidential value and can be destroyed as soon as they have served their primary purpose:

Examples:

- *Announcements and notices of meetings and other events, and notifications of acceptance or apologies;*
- *Requests for, and confirmations of, reservations for internal services (e.g. meeting rooms, car parking spaces, pool cars) where no internal charges are made;*
- *Requests for, and confirmations of, reservations with third parties (e.g. travel, hotel accommodation, restaurants) when invoices have been received;*
- *Transmission documents: letters, FAX cover sheets, e-mail messages, routing slips, compliments slips and similar items which accompany documents but do not add any value to them;*
- *Superseded address lists, distribution lists etc.;*
- *Duplicate documents such as:*
 - *'CC' and 'FYI' copies*
 - *Unaltered drafts*
 - *'Snapshot' printouts or extracts from databases*
 - *'Day Files' (chronological copies of correspondence)*
- *Personal diaries, address books etc.;*
- *Working papers, where the results have been written into an official document and which are not required to support it;*
- *Stocks of in-house publications which are obsolete, superseded or otherwise useless e.g. marketing materials, manuals, directories, forms, and other material produced for wide distribution.*

For further guidance, please contact Legal and Information Governance foi@salford.ac.uk

The retention periods given in this document are taken largely from the JISC Record Retention Schedule, which can be found at: <http://bcs.jiscinfonet.ac.uk/he/default.asp>

Deletion Guidance

Deleted means destroyed beyond the ability to recover the material i.e. hardcopy paper should be shredded. If large quantities of documents need to be destroyed, contact the Estates Building manager to arrange for confidential waste bags or 3rd party secure shredding (on or off campus). Hard copy personal data should not simply be disposed of via paper recycling.

Electronic data (held within University managed storage or systems) should be deleted as per documented processes. Wide scale deletion of electronic data may need to be discussed with the Digital IT application support team. Email correspondence should be deleted, then empty the deleted items folder (i.e. double delete). All University issued IT equipment (at end of life) should be disposed of via Digital IT to ensure it is securely erased. Storage to portable media e.g. USB drives should be deleted and passed to Digital IT for secure erasure and disposal.

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--|-------|----------------|
| Teaching | | | |
| Learning, Teaching and Assessment Strategy | Superseded + 10 years | | |
| Internal quality assurance policies and procedures | Superseded + 5 years | | |
| Outcomes of internal and external quality reviews | Current academic year + 5 years | | |
| New programme approval, programme amendment and periodic review and reapproval documentation | Approval + 10 years | | |
| Programme and module specifications | In perpetuity (documentation since 2010) | | |
| Statistics (student numbers, etc.) | Current academic year + 5 years | | |
| Student surveys done as part of programme (re)approval | Approval Event + 1 year | | |
| Alumni surveys done as part of programme (re)approval | Approval Event + 1 year | | |
| Employee surveys done as part of programme (re)approval | Approval Event + 1 year | | |
| Programme Monitoring and Enhancement Procedure (Programme Action Logs) | Current academic year + 5 years | | |
| Annual Collaborative Programme Monitoring and Enhancement reports | Current academic year + 5 years | | |
| Attainment and maintenance of accreditations | Termination of accreditation + 1 year | | |
| Successful applicants to be external advisor | Termination of appointment + 6 years | | |
| Unsuccessful applicants to be external advisor (do not consent to contact details being kept on file) | Approval + 6 months | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--|---------------------|---------------------|
| Unsuccessful applicants to be external advisor (consent to contact details being kept on file) | Approval + 3 years | | |
| Personal Mitigating Circumstances documentation | Current year + 6 years | | |
| Module Evaluation Questionnaires | Current academic year + 5 years | | |
| Assessment tasks, verification and moderation records | Current academic year + 5 years | | |
| Assessment scripts (moderated sample) | Current year + 3 years | | |
| Assessment marks | Current academic year + 6 years Also see section on individual student files below | Limitation Act 1980 | |
| Research | | | |
| Research strategy and policy and strategy implementation | Superseded + 10 years | A | |
| Research strategy implementation and auditing | Current academic year + 10 years | A | |
| Internal quality assurance processes | Retain whilst current | A | |
| Conduct and results of internal and external quality assessments | Current academic year + 5 years | A | |
| Sponsor liaison documents | Current academic year + 5 years | | |
| Research partnership formation | Life of partnership + 6 years and management | | Limitation Act 1980 |
| Research data* | Research data should be managed in- line with the <u>Research Data Management Policy</u> . Legal and regulatory guidance and the terms and conditions of funders should be adhered to. | | |
| Research final reports (externally funded) | Closure of project account + 6 years | A | |
| Research management* * externally funded *Examples of research management documentation which must be retained include funding proposals and supporting documents/research plans, associated approval forms or communications, award letters or other funding notifications, associated contracts, acceptance of award documents, starting certificates, recruitment approvals, project or programme related governance documents (committee membership, | Closure of project account + 7 years or in-line with funder terms and conditions where these stipulate a longer retention period. | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|---|--|--|
| minutes and actions), project related ethical approvals and correspondence with funders and between other project participants or stakeholders. | | | |
| Research management (internally or un-funded) | Closure of project + 3 years | | |
| Export controls documentation | 3 years | | Export control Order 2008 Regulation (EC) No 428/2009 |
| Final versions of publications, presentations etc. arising from research | Life of institution | | Deposited in the Institutional Repository |
| Research programme development | Life of programme + 10 years | A | |
| Research programme reviews | Current academic year + 5 years | A (formal internal and external documents only) | |
| Research student assessment documentation* | Completion + 6 years | | |
| Exam scripts* | 1 year after assessment, unless examples need to be kept for audit purposes (5 years) | | |
| Assessment marks, including appeals* | Current academic year + 6 years But see section on individual student files below | | Limitation Act 1980 |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--|-------|---------------------|
| Advice and guidance to research students | Completion of programme+ 6 years | | Limitation Act 1980 |
| Research Ethics | | | |
| Project reviews and minutes | Current year + 30 years | A | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Requests for information from official bodies | Last action + 5 years | A | |
| University input to official bodies | Last action + 5 years | A | |
| Requests for advice or information | Last action + 1 year | | |
| Enterprise Grants | | | |
| Enterprise Grants (non research grants) | Closure of projects + 6 years or in line with funder terms and conditions where these stipulate a longer retention period. | | |
| Student Enquiries/Applicants | | | |
| Student Enquiry Records - Who do not go on to apply | | | |
| Open Day Booking details | | | |
| Applicants communication records - who do not register/become a student | | | |
| Student Administration | | | |
| Student administration strategy and policy documents | Superseded + 10 years | A | |
| Student administration strategy audits and reviews | Superseded + 10 years | A | |
| Student recruitment campaigns | Current academic year + 5 years | A | |
| Admission criteria | Superseded + 10 years | A | |
| Clearing process administration | Current academic year + 1 year | | |
| Student registration summaries and analyses | Current academic year + 6 years | | |
| Student induction programme design | Superseded + 5 years | A | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--|-------|----------------|
| Records documenting the handling of applications for admission: unsuccessful applications* | End of contact with applicant + 1 year | | |
| Student photographs (Individual or groups)* | Current academic year + 6 years, or retained and disposed of in accordance with the terms of the specific collection notice. | | |
| Individual Student Files* | | | |
| Most student data should be kept for 6 years after the student's relationship with the University has ended. This is to comply with the Limitation Act 1980 and is in line with the principles set out in data protection law. Only basic records of students should be kept for longer periods: Name, dates of relationship with institution and final classification. Also, a full record of course units taken and the marks for these should be kept for at least 80 years for each student for the purposes of constructing student transcripts. | | | |
| Examinations and Assessments | | | |
| Examination rules and procedures | Superseded + 10 years | | |
| Successful applicants to be external examiner | Termination of appointment + 6 years | | |
| Unsuccessful applicants to be external examiner (do not consent to contact details being kept on file) | Approval + 6 months | | |
| Unsuccessful applicants to be external examiner (consent to contact details being kept on file) | Approval + 3 years | | |
| Selection and appointment of examination invigilators* | Current academic year + 1 year | | |
| Examination administration (timetabling, collation, attendance, etc.) | Current academic year + 1 year | | |
| Pass/award lists* | Permanent | | |
| Award ceremony administration | Completion + 1 year | | |
| Student Relations | | | |
| Staff / student liaison committees | Life of committee + 3 years | A | |
| Student surveys | Completion + 5 years | A | |
| Student Appeals, Complaints and Disciplinary | | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|--|--|-------|----------------|
| Student Disciplinary Case Handling | Last action on case + 10 years | | |
| Student Academic Appeal Handling | Last action on case + 6 years | | |
| Student Complaint Handling (formal) | Last action on case + 6 years | | |
| Student Complaint Handling (informal) | Last action on complaint + 3 years | | |
| Academic Misconduct | Last action on case + 6 years | | |
| OIA Cases | Last action on case + 6 years | | |
| Fitness to Practise | | | |
| - Concerns closed at triage with no further action | Until end of Student Relationship | | |
| - Cases considered through a School hearing and no further action taken | End of Student Relationship + 6 years | | |
| - Cases considered through a School hearing and a sanction put in place | End of Student Relationship + 6 years | | |
| - Cases referred to FTP panel and no sanction is put in place | End of Student Relationship + 6 years | | |
| - Cases referred to FTP panel and sanctions include periods of suspension, further period of monitored practice | End of Student Relationship + 6 years | | |
| - Cases referred to FTP Panel and sanctions include suspension, expulsion | End of Student Relationship + 10 years | | |
| Fitness to study | Last action on case + 6 years | | |
| Student Support Services | | | |
| Support services policy documents | Superseded + 10 years | A | |
| Support services published descriptions of services offered | Current academic year + 10 years | A | |
| Support services reports, accounts, audits or other documents which are formally published to current or prospective students or staff | Current academic year + 10 years | | |
| Commercial | | | |
| University Related Companies | | | |
| Related companies strategies and policies | Superseded + 6 years | A | |

| Description of Record | Retention Period | Notes | Legal Citation |
|--|----------------------------------|-------|---|
| Performance audits and reviews against companies policies and strategies | Current academic year + 6 years | A | |
| Proposals to form a related company and related documents | Life of company + 6 years | A | |
| Formation of company | Life of company + 6 years | A | |
| University audit and reviews of related companies | Current academic year + 5 years | A | |
| Annual reports and accounts of related companies | Life of company + 6 years | A | |
| Winding up or sale of related companies | Disposal + 5 years | A | |
| Commercial Services | | | |
| Commercial services strategy and policy documents | Current academic year + 5 years | A | |
| Commercial services policy and strategy reviews and audit | Current academic year + 5 years | A | |
| Commercial services performance reviews and audits | Current academic year + 5 years | A | |
| Promotional materials | Whilst current | A | |
| Customer surveys | Completion + 3 years | | |
| Customer complaints* | Last action + 6 years | | |
| Retail Trading | | | |
| Retail trading strategy and policy documents | Superseded + 5 years | A | |
| Retail trading strategy audits and reviews | Superseded + 5 years | A | |
| Retail outlet management and operation procedures | Superseded + 3 years | | |
| Proposal for retail outlet, evaluation and development | Life of outlet + 5 years | A | |
| Retail outlet performance reviews and audits | Current year + 5 years | A | |
| Promotional materials | While current | A | |
| Retail sales transactions | Current financial year + 6 years | | Limitation Act 1980 HM Revenue and Customs Notice 700/21: |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--------------------------------------|-------|----------------------------------|
| | | | Keeping VAT Records and Accounts |
| Customer complaints | Last action + 6 years | | Limitation Act 1980 |
| Public Relations | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Corporate identity design and style guides | Whilst current | A | |
| Commercial | | | |
| Corporate event sponsorship | Termination of relationship+ 5 years | | |
| Media Relations | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Media contacts | Retain while current | | |
| Transcripts of media briefings and interviews | Last action + 5 years | A | |
| Press releases | Issue + 5 years | A | |
| Media enquiries | Last action + 5 years | | |
| Media monitoring | 5 years | A | |
| HE Sector Relations | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Communications with other sector organisations and institutions | Current year + 5 years | A | |
| Publications | Whilst current + 1 year | A | |
| Community Relations | | | |
| Strategy and policy documents | Superseded + 5 years | A | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--|-------|---|
| Strategy and policy review and audit | Current year + 5 years | A | |
| Public enquiries | Last action + 1 year | | |
| Community surveys | Completion of survey + 3 years | A | |
| Individual survey responses | Completion of survey | | |
| Alumni Engagement & Development (including fundraising) | | | |
| Surveys (paper/online submissions) | Added to alumni database and destroyed immediately thereafter | | Physical/online copies only retained whilst not on the database |
| Complaints | Current year + 9 years | | Best practice |
| Constituent records (if constituent requests to be forgotten/deleted) | Base information retained indefinitely, data minimised | | General Data Protection Regulation |
| Constituents' consent/communication preferences | Retain whilst current | | Best practice |
| Personal data | Superseded + 2 years | | General Data Protection Regulation |
| Privacy policies | Lifespan of consent detailed in that privacy statement + 1 year or superseded + 5 years, whichever is longer | | Best practice |
| Strategy & policy documents, excluding privacy policies | Superseded + 5 years | A | Best practice |
| Strategy & policy review and audit | Current year + 5 years | A | Best practice |
| Financial administration records | Current financial year + 6 years or lifetime of enduring donation + 6 years, whichever is longer | | National Audit Office |
| Gift Aid declarations | Indefinite | | HMRC |
| Publishing | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Design, editing, commissioning, and production of publications | Issue of publication + 1 year | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--------------------------------------|---------------------|----------------|
| Publications | Whilst current | A | |
| Strategic planning and performance management | | | |
| Strategy and policy documents | Superseded + 10 years | A | |
| Strategy and policy review and audit | Current year + 10 years | A | |
| Governance | | | |
| Records documenting the establishment and development of governance structure | Life of institution | | |
| Appointments to governing body* | Termination of appointment + 6 years | Limitation Act 1980 | |
| Governing body (and its standing committees) minutes, agendas and reports | Life of institution | | |
| Senate (and its standing committees) minutes, agendas and reports | Life of institution | A | |
| Nomination for honorary degrees | Date of decision + 6 years | | |
| Nomination for honorary degrees (unsuccessful) | Date of decision + 6 months | | |
| Appointment and designation of institution's senior officers* | Termination of appointment + 6 years | | |
| Executive Committee and sub-committees | | | |
| Establishment and terms of reference of executive committees | Life of committee + 5 years | | |
| Executive committees' minutes, agendas and reports | Life of committee + 5 years | | |
| Election to committees | date of election + 3 years | | |
| School committees' minutes, agendas and reports | Current year + 10 years | | |
| Risk Management | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Records documenting identified risks and risk assessments | Superseded + 3 years | | |
| Disaster response and recovery plans | Superseded + 1 year | | |
| Audit | | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|---|-------|---------------------|
| Internal audit documentation | Current year + 5 years | A | |
| External audit documentation | Current year + 5 years | A | |
| Academic audit documentation | Completion + 5 years | A | |
| Legal Affairs Management | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Agreements and contracts under seal and related documents | Termination of contract+ 12 years | A | Limitation Act 1980 |
| Agreements and contracts and related documents | Termination of contract+ 6 years | A | Limitation Act 1980 |
| Legal support and representation related to claims against the University which do not proceed to litigation or agreement* | Settlement or withdrawal of claim + 6 years | A | Limitation Act 1980 |
| Litigation leading to legal precedent* | Life of University | A | Limitation Act 1980 |
| Litigation not setting precedent* | Settlement + 6 years | A | Limitation Act 1980 |
| Legal advice to University re: legal framework, operations, governance responsibilities, relationship with government and HE regulators, industrial relations and H & S and environment | Life of University | A | |
| Legal advice to University: other | Superseded + 6 years | | |
| Government Relations | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Requests for information from government bodies and responses | Last action + 1 year | | |
| Formal government surveys and consultations | Last action + 1 year | A | |
| Government or public enquiries | Last action + 10 years | A | |
| University input to legislation preparation for HE sector or University legal status and activities | Last action + 5 years | A | |
| HE Regulator Relations | | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--|-------|--|
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Requests for information from HE regulators and responses | Last action + 1 year | | |
| Formal HE surveys and responses | Last action + 1 year | A | |
| HE regulator reviews of University and responses | Last action + 5 years | A | |
| Health and Safety Management | | | |
| Strategy and policy documents, implementation plans, documents relating to development of strategy and policy, monitoring, auditing and review processes | Superseded + 50 years | A | Health and Safety at Work Act 1974 |
| Formation and terms of reference of health and safety committees, proceedings and decisions of committees | Life of committee + 50 years | A | The Safety Representatives and Safety Committees Regulations 1977 |
| Consultations and communications with employee safety representatives | Superseded + 50 years | A | The Safety Representatives and Safety Committees Regulations 1977 |
| Health and Safety training | End of employment + 5 years (If training relates to exposure to hazardous substances - see below) | | The Management of Health and Safety at Work Regulations 1999 And others |
| Risk assessments (including control measures and action) | Period of relevance + 5 years (If assessment includes plans, as appropriate references to hazardous substances - see below) | | The Management of Health and Safety at Work Regulations 1999 |
| Health and safety inspections | Current year + 5 years | | |
| All records relating to assessments of exposures to hazardous substances (including known or suspected carcinogens, mutagens, teratogens, group 3 or 4 biological agents, GMOs, or where health surveillance is indicated (including respiratory / skin | Last use of substance + 40 years | | The Control of Substances Hazardous to Health Regulations 2002 |

| Description of Record | Retention Period | Notes | Legal Citation |
|--|---|-------|--|
| sensitizers)); all records relating to measures to control such exposures, and environmental monitoring | | | |
| Records relating to exposure to ionising radiation* | Last use of substance + 50 years | | |
| All records relating to personal health surveillance and personal exposure monitoring* | Date of last entry on record + 40 years | | Limitation Act 1980 The Management of Health and Safety at Work Regulations 1999 |
| Occupational health records including pre employment screening* | Termination of employment + 40 years | | Limitation Act 1980 |
| Records of notification of accidents to enforcing authorities (under RIDDOR)* | Date of known injury + 4 years | | |
| Records of accidents, diseases and dangerous occurrences, and their Investigation* | Closure of investigation + 40 years | | The Control of Substances Hazardous to Health Regulations 2002 |
| For further specific health and safety record retention periods see relevant legislation, including that relating to exposure to specific substances, fire wardens and first aiders. | | | |
| Podiatry Clinic (School of Health Sciences): letters to doctors and patient files who have attended the clinic | Current period of 7 years | | |
| Occupational Health Clinic: letters to doctors and files of students who have attended the clinic | Current period of 7 years | | |
| Counselling Clinic: letters to doctors and patient files who have attended the clinic (according to Counselling professional regulations) | Current period of 7 years | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|---|-------|---|
| Emergency Planning | | | |
| Arrangements with external emergency services | Review of arrangements + 5 years | | The Fire Precautions (Workplace) Regulations 1997 The Management of Health and Safety at Work Regulations 1999 |
| Environmental Management | | | |
| Strategy and policy documents | Superseded + 10 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Records documenting identified environmental hazards | Elimination of risk or update of assessment + 5 years | | |
| Attainment and maintenance of accreditation | Termination of accreditation + 1 year | A | |
| Internal awareness raising | Current year + 5 years | A | |
| Records of environmental incidents | Last action + 40 years | | |
| Investigation of environmental incidents | Last action + 40 years | | |
| Notification and reporting of environmental incidents | Notification + 5 years | | |
| Energy Management | | | |
| Energy use monitoring | Current year + 5 years | | |
| Reviews of energy use | Completion + 5 years | | |
| Waste Management | | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|--------------------------------------|------------------------------------|-------------------------------|--|
| Controlled waste management | Removal of waste + 2 years | | The Environmental Protection (Duty of Care) Regulations 1991 |
| Register of controlled waste | Removal of waste + 2 years | | The Environmental Protection (Duty of Care) Regulations 1991 |
| Special waste management | Removal of waste + 3 years | | The Special Waste Regulations 1996 |
| Register of special waste | Removal of waste + 3 years | | The Special Waste Regulations 1996 |
| Estates Management | | | |
| Strategy and policy documents | Superseded + 10 years | A | |
| Strategy and policy review and audit | Current year + 10 years | A | |
| Inspection and maintenance records | Completion + 2 years | | The Fire Precautions (Workplace) Regulations 1997 |
| Major maintenance records | Life of property | Transfer to new owner if sold | |
| Asbestos inspections | Until superseded | | The Control of Asbestos at Work Regulations 2002 |
| Hazardous substances removal | Removal + 5 years | | |
| Asbestos condition monitoring | Removal or new inspection+ 5 years | | The Control of Asbestos at Work Regulations 2002 |

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|--|---|-------|---|
| Disposal of properties | Disposal of property + 6 years | | Limitation Act 1980 |
| Inspections of properties by enforcing authorities | Whilst current | | |
| Fire certificates | Whilst current | | |
| Specifications and undertaking of fit-outs | Next fit-out + 1 year | | |
| Relocation of facilities planning | Completion + 10 years | | |
| Relocation documentation | Completion + 2 years | | |
| Tender Specification | 6 years from issue | | Limitation Act, 1980 |
| Tender Returns from Applicants | Unsuccessful 2 years Successful 6 years from completion, + 12 years for contracts executed as deeds | | Limitation Act, 1980 |
| Appointment Documentation | 6 years from issue | | Limitation Act, 1980 |
| Tender Opening Form | 2 Years from issue | | |
| Records documenting the conduct and outcomes of space audits. | Completion of subsequent audit + 5 years | | |
| Records documenting the disposal of properties by sale, transfer or donation. | Disposal of property + 6 years. Where property contracts are executed as deeds then + 12 years | | Limitation Act, 1980 |
| Records documenting the leasing out arrangements for properties | Termination of lease + 6 years. Where leases are executed as deeds then + 12 years | | Limitation Act, 1980 |
| Records documenting the carrying out of planned preventative maintenance works within facilities | Current year + 2 Year | | |
| Records documenting carrying out of maintenance repairs | Current year + 2 Year | | |
| Records documenting the development of properties | Disposal of property | | Some of these records may be transferred to the new owner when property is sold |

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| Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations, 1994 (SI 1994/3140) | Demolition of property OR disposal of interest in property | | SI 1994/3140 Regulation 12 |
| Records documenting 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 |
| Inspection and maintenance records | Completion + 5 years | | The Regulatory Reform Order(Fire Safety), 2005 |
| Major maintenance records | Life of property OR disposal of interest in property | | Some of these records may be transferred to new owners when land is sold |
| Contractor permit to work documentation | Period of relevance + 5 years | | |
| Records documenting minor maintenance works on property | Completion of works + 15 years | | The Limitation Act, 1980 |
| 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 2006 (SI 2006/2739) | Completion of work to which the assessment relates + 45 years | | SI 2006/2739 does not prescribe a retention period for these records. |
| Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing | Removal of asbestos + 10 years OR Subsequent inspection + 10 years | | Retaining assessments provides evidence of effective management of risks associated with works carried out. |
| Records documenting acquisition of ownership of properties | Ownership of property | | |
| Deeds & certificate of title for properties owned by the University | Ownership of property | | Deeds of title for a property are transferred to the new owner when the property is sold |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|-----------------------------------|-------|---|
| Records documenting negotiations for properties where the property was not acquired | Closure of negotiations + 6 years | | The Limitation Act, 1980 |
| Records documenting the negotiation of leases and original lease agreements | Expiry of lease + 15 years | | The Limitation Act 1980 |
| Security Management | | | |
| Security inspections | Whilst current | | |
| Property access controls (e.g. access / key registers) | Creation + 2 years | | |
| Security pass lists* | Expiry of pass + 1 year | | |
| Routine security surveillance | Creation + 1 month | | |
| Security breaches | Last action + 1 year | | |
| Finance | | | |
| Strategy and policy documents | Current year + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| Financial audits | Current year + 5 years | | Limitation Act 1980 |
| Issue and processing of invoices | Current financial year + 6 years | | Taxes Management Act 1970 Limitation Act 1980 VAT Act 1994 HM Customs and Excise Notice 700/21 |
| Expenses* | Current financial year + 6 years | | Taxes Management Act 1970 Limitation Act 1980 |
| Petty cash | Current financial year + 6 years | | Limitation Act 1980 VAT Act 1994 HM Customs and Excise Notice 700/21 |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--------------------------------------|-------|--|
| Preparation of annual accounts | Current financial year + 6 years | | Taxes Management Act 1970 |
| Annual statutory body funding | Current financial year + 10 years | | |
| Financial records relating to research grants and contracts.* *Examples include financial transaction and budget reports, financial reconciliations, claims to funders, PI or other approvals relating to financial reports, budget changes or claims. | Closure of project account + 6 years | | Limitation Act 1980 |
| ERDF project funding documents and project papers | Current financial year + 15 years | | |
| Scholarship funds | Current financial year + 6 years | | Limitation Act 1980 |
| Tax returns | Current tax year + 6 years | | |
| Bank account administration | Closure of account + 6 years | | |
| Standing orders, direct debits | Life of instruction + 6 years | | |
| Investment portfolio | Divestment + 6 years | A | |
| Purchase/ sale of investments | Current financial year + 6 years | | |
| Capital assets value | Current financial year + 6 years | | |
| Payroll | | | |
| Non statutory deductions authorisation* | Current tax year + 6 years | | Limitation Act 1980 |
| Payroll payments to employees* | Current tax year + 6 years | | Taxes Management Act 1970 Limitation Act 1980 Income Tax (Employment) Regulations 1993 National Minimum Wage regulations 1998 |
| Sick pay* | Current tax year + 3 years | | Statutory Sick Pay (General) Regulations 1982 |

| Description of Record | Retention Period | Notes | Legal Citation |
|---------------------------------------|--------------------------------------|-------|--|
| Maternity pay* | Current tax year + 3 years | | Statutory Maternity Pay (General) Regulations 1986 |
| Pension contributions* | Termination of employment + 75 years | | |
| Human Resources | | | |
| Strategy and policy documents | Superseded + 10 years | A | |
| Strategy and policy review and audit | Current year + 10 years | A | |
| Management succession plans | Superseded + 5 years | A | |
| Job specification development | Superseded + 5 years | | |
| Recruitment authorisation | Current year + 1 year | | |
| Vacancies advertising | Completion of appointment + 6 months | | Sex Discrimination Act 1975 Race Relations Act 1976 Disability Discrimination Act 1995 |
| Unsuccessful employment applications* | 1 year | | Sex Discrimination Act 1975 Race Relations Act 1976 Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661, SI 2006/1031; UK Border Agency Sponsor Policy Guidance |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|---|-------|---|
| | | | Disability Discrimination Act 1995 |
| Successful applications* | Termination of employment + 6 years | | Sex Discrimination Act 1975 Race Relations Act 1976 Disability Discrimination Act 1995 Limitation Act 1980 |
| Successful applications supporting (references etc.)* | Termination of employment | | |
| Statistical analyses of applications | Current year + 5 years | | |
| Unsolicited applications* | 1 month | | |
| Induction programmes | Current year + 5 years | | |
| Workforce training* | Current year / completion of programme+ 5 years | | |
| Performance Assessment – Probation | 3 years after completion | | |
| Performance Assessment – Extension of Probation | 6 years post termination of contract | | Limitation Act 1980 |
| Performance Assessment – PDR Form | Termination of contract + 6 months | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|----------------------------------|--|-------|--|
| Contracts of employment* | Termination of employment + 6 years | | Limitation Act 1980 |
| Terms and conditions changes* | Termination of employment + 6 years | | Limitation Act 1980 |
| Disciplinary proceedings* | Closure of case + 6 years | | |
| Sickness absence* | Termination of employment + 40 years | | Social Security Contributions and Benefits Act 1992 Statutory Sick Pay for Employers CA30 |
| Statutory leave* | Termination of employment + 6 years | | Maternity and Parental Leave Regulations 1999 |
| Pre employment health screening* | Termination of employment + 6 years | | Limitation Act 1980 |
| Pre employment health screening* | Termination of employment + 40 years employee exposed to hazardous waste | | Control of Asbestos at Work regulations 2002 Control of Lead at Work Regulations 2002 Control of Substances Hazardous to Health Regulations 2002 |
| Major injuries / accidents* | Termination of employment + 40 years | | Limitation Act 1980 |
| Termination of employment* | Termination of employment + 6 years | | Limitation Act 1980 |
| References provided* | Provision of reference + 1 year | | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|--|-------|-------------------------------|
| Remuneration structure | Current year + 10 years | | |
| Pay reviews | Current year + 5 years | | |
| Hours monitoring* | Date of record + 2 years | | Working Time Regulations 1998 |
| Workforce surveys design | Completion + 5 years | A | |
| Individual responses (*if they identify individuals) | Completion of analysis | | |
| Summary results of surveys | Completion + 5 years | A | |
| ICT Management | | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |
| IT systems management | Decommissioning + 5 years | | |
| Software licences management | Whilst current | | |
| Information System and ICT facilities implementation, administration and support functions | Decommissioning of system + 5 years | | |
| User accounts* | Closure + 13 months | | |
| System monitoring | Current year + 1 year | | |
| Security breaches | Last action + 2 years, unless required for disciplinary or legal proceedings | | |
| ICT activity logs | Up to 3 months | | |
| ICT accounts investigations providing evidence to support Policy 'action' e.g. misconduct, disciplinary or other policy breach. | Closure of case + 6 years. | | |
| Strategy and policy documents | Superseded + 5 years | A | |
| Strategy and policy review and audit | Current year + 5 years | A | |

| Description of Record | Retention Period | Notes | Legal Citation |
|---|---|-------|---|
| Personal data on alumni* | Retain whilst current | | To be compliant with the Data Protection Act 1998 |
| Individual survey responses (*if they identify individuals) | Completion of survey | | |
| Complaints* | Last action + 6 years | | Limitation Act 1980 |
| International Office | | | |
| International Office strategy and policy documents | Superseded + 10 years | | |
| International Office strategy audits and reviews | Superseded + 10 years | | |
| International Student recruitment campaigns (inclusive of enquiry data) | Current academic year + 3 years (due to known length of pipeline) | | |
| International Agent Agreements, contact details and commission payment history | Length of agreement (1 year initially and then renewed every 3 years) + 5 years | | |
| International Agent Applications (unsuccessful to agreement stage) | 3 years after notification | | |
| Overseas Regional Office Agreements and working policy documents | Length of agreement (typically 2 years) + 5 years | | |
| Overseas TNE (inclusive of MoU) partner agreements and associated student data | Length of agreement (typically 5 years) + 5 years | | |
| EU and Overseas partnership EoI (unsuccessful to agreement stage) | 3 years after notification | | |
| EU and Overseas Mobility partner agreements and associated student data | Length of agreement (typically 5 years) + 5 years | | |
| Third party agreements where student data is shared (such as QSES, Gecko, Hotcourses) | Length of agreement + 5 years | | |
| Government Sponsor Agreements and associated student data | Length of agreement + 5 years | | |
| | | | |

Notes

1. The letter A in the notes column indicates that documents should be referred to the University Archivist before a final disposal