

Records Retention Schedule (IGP-04)

Summary			
This Schedule provides guidance for all areas of the University on the recommended retention periods for different categories of records, accounting for legislative and regulatory requirements, best practice standards, existing policies and practices, and operational needs.			
Scope			
The Schedule applies to all areas of the University and should be used by all staff as formal guidance on how long to retain categories of information in their areas.			
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Introduction and Guidance Note

This Records Retention Schedule forms an integral part of the University of Bristol's Records Management Policy and practices. It is designed to provide advice and guidance to staff across the institution on recommended retention periods for different categories of records. Faculties, Schools, Departments, Divisions, Services and Information Asset Owners are advised to follow the recommendations in this document which have been formulated in the context of existing University policies, procedures and guidance notes, national legislation and regulation, and sector-wide best practice standards.

The recommendations in the Schedule apply equally to records created, received and maintained in hard copy and digital formats. The Schedule should be used in conjunction with other relevant Information Governance Policy documents which can be found on the [University Secretary's Office website](#).

Application of this Schedule will give staff confidence that they are managing the University's records in compliance with legal and regulatory requirements, business needs and sector best practice. Staff may be justified in applying longer retention periods where other factors require consideration, such as audit investigations, legal cases, or ongoing business requirements. If there are specific external regulatory or legal requirements which determine that certain units of the University should keep particular records for longer or shorter retention periods than those stated in the Schedule, then those requirements should be followed.

The Schedule is not intended to be an exhaustive list of all categories of records and documents held by the University and will not provide direct and conclusive answers to all retention queries. It should be used by Faculties, Schools, Departments, Divisions, Services and Information Asset Owners to inform local practices and policies. It is advised that individual units of the University create their own retention schedules using their Information Asset Registers and the instruction provided in this document.

Although the Schedule contains some advice regarding partially or wholly owned subsidiary companies, they are separate legal entities from the University and are responsible for their own records and retention practices.

The Schedule is split into sections based on different Divisions, Services or corporate functions. However, in practice the records listed in each section may be held both within and outside of the corresponding unit. For example, finance and HR records are generated and stored within faculties and schools as well as the Finance and HR services.

The Schedule provides the following information for each separate category or record:

i) RECORD DESCRIPTION

The type or category of record or asset, applying equally to all formats of record (hard copy, digital, and any others).

ii) RETENTION PERIOD

The recommended length of time for which the records should be kept by the University of Bristol. Retention Periods are often described as (starting point) + (number of additional years to be kept). For different categories of record, the retention period can refer to academic, financial or calendar year.

iii) **ACTION AT END OF RETENTION PERIOD**

There are three possible potential disposal outcomes for all records (although some non-standard guidance may also be found regarding specific records):

a) Reappraise

Before action is taken to destroy a record at the end of its stated retention period, a reappraisal of any need to retain it further should be undertaken. This could result in a further retention period being identified, permanent retention, or destruction.

b) Retain permanently

Some of the University's records should be retained permanently because they have long term evidential or historical value. For these records the action is often stated as '*Send to University archives*'. Guidance on arrangements for the permanent preservation of records and transfer to archives will be accessible via the [University Secretary's Office website](#) when available. The University's on-site archive provision is subject to space limitations, but the [Restore](#) service, which offers secure off-site storage and digitisation/scanning capabilities, can be used as an alternative to on-site storage of hard-copy records.

c) Destroy

The Information Asset Owner is responsible for ensuring that records are destroyed in a timely and secure manner. Destruction must be carried out in a way that takes full account of the confidentiality of the record, using the University's [Information Classification Scheme](#) and other relevant policies as a guide. Where relevant, records detailing the destruction of records should be kept using the Records Disposal Form (see IGP-03 Records Management and Retention Policy).

iv) **Record Owner**

The Division, sub-division or other high-level area of the University that owns the record and is ultimately responsible for its retention and disposal. The Record Owner is usually responsible for the implementation of their section of the Records Retention Schedule wherever it may apply across the University, including ensuring that all relevant Information Asset Owners are fully appraised of their requirements of the Retention Schedule and apply accordingly. This may include auditing compliance. In coordination with the Secretary's Office, they are responsible for reviewing and developing this document.

It is important to note that relevant records will not only be held within the Division, sub-division or other unit prescribed as the Record Owner, but are also likely to be held in Schools, Faculties and other areas of the University. In order to properly implement the Records Retention Schedule, Records Owners need to be certain that categories of records they are responsible for, no matter where in the University they are held, are retained and disposed of in accordance with the Schedule. This requires working closely with other areas of the University to ensure records are managed compliantly, although accountability for operationally complying with the policy rests with the individual School, Faculty or other area

that holds the information. Record Owners need to liaise with the heads of relevant Schools, Faculties etc to ensure implementation.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Information Governance Manager in the University Secretary's Office:

data-protection@bristol.ac.uk
Ext. 41824

1. Governance

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.1	Constitutional Documents			Governance Team
1.1.2	Charter and Statutes	Retained permanently	Send to University archives	
1.1.3	Ordinances and Regulations – final copy	Retained permanently	Send to University archives	
1.1.4	Ordinances and Regulations – working papers for each edition	Publication + 5 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.2	Official Publications			Communications and Marketing Office
1.2.1	Official University publications, including annual reports and financial statements, prospectuses and formal publications for students.	Single Copy retained permanently	Send to University archives	
1.2.2	Records detailing the design, commissioning, editing and production of an official publication covered by 1.2.1	Issue of publication + 3 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.3	Committees, Boards, Working Groups, etc. (Excluding committees dealing with individual student cases and Examination Boards)			Governance Team
1.3.1	Membership and appointment records	End of an individual's tenure + 6 years	Destroy	
1.3.2	Ballot papers for elections	Completion of election + 3 months	Destroy	
1.3.3	Registers of interests	End of an individual's tenure + 6 years	Destroy	

1.3.4	Agendas, minutes and papers for bodies listed in statutes and ordinances, major University, Faculty and School committees, and major committees within institutes and subsidiary companies	Retain permanently	Send to University archive	
1.3.5	Agendas, minutes and papers for all other committees and working groups	End of current academic year + 6 years	Reappraise for further retention or destruction	
1.3.6	General working and organisational papers relating to committee business	End of current academic year + 6 years	Destroy, except for especially significant committees. For very significant committees reappraise for further retention or destruction.	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.4	Strategies, Policies and Procedures (Some of these records will be held as part of committee papers and minutes (see 1.3); records held in this section will be considered the master copy and retained as such.)			Governance Team
1.4.1	Final major strategy documents	Retained permanently	Send to University	
1.4.2	Working/informative papers used in developing and updating major strategies	Issue of strategy + 3 years	Destroy	
1.4.3	Final plans for implementing major strategies	Until superseded by new plan + 5 years	Destroy	
1.4.4	Working/informative papers used in developing and updating plans for implementing major strategies (e.g. analyses, management information reports, benchmarking exercises and performance monitoring)	Issue of plan + 3 years	Destroy	
1.4.5	Final policy documents	Until superseded by new policy + 10 years	Reappraise for further retention or destruction	
1.4.6	Working/informative papers used in developing and updating policies	Until superseded by new policy	Destroy	

1.4.7	Final procedures and guidance documents	Until superseded by new procedure / guidance note + 5 years	Reappraise for further retention or destruction	
1.4.8	Working/informative papers used in developing and updating procedures and guidance	Until superseded by new procedure / guidance notes	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.5 Relations with Government and Statutory Bodies				Governance Team
1.5.1	General communications with government, parliamentary or statutory bodies, including HEFCE and HESA (including enquiries and responses provided)	While necessary for reference and future planning purposes (potentially end of current academic year + 6 years)	Reappraise for further retention or destruction	
1.5.2	Formal responses to surveys and consultations from government, parliamentary and statutory bodies, including HEFCE and HESA	Submission of response + 5 years	Reappraise for further retention or destruction	
1.5.3	Records of the University's formal participation in governmental, parliamentary or public inquiries	Completion of inquiry + 10 years	Reappraise for further retention or destruction	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.6 Higher Education Sector Relations				Governance Team
	Records documenting the University's membership of sector-wide bodies (e.g. UUK, AHUA, Russell Group etc)	Termination of membership + 1 year	Reappraise for further retention or destruction	
1.6.1	Working papers documenting the University's involvement with sector-wide bodies	End of current academic year + 5 years	Destroy	

1.6.2	Formal responses to surveys and consultations run by sector-wide bodies	While necessary for reference and future planning purposes (potentially submission of response + 6 years)	Destroy	
1.6.3	General communications with other HE and FE institutions, professional associations and learned bodies	End of current academic year + 5 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.7 Fraud and Whistleblowing				Secretary's Office
1.7.1	Fraud and whistleblowing case files	Last action on case + 6 years	Reappraise for further retention accounting for statutory or investigatory requirements	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.8 Information Law Compliance				Secretary's Office
1.8.1	Records regarding the upkeep of the University's notifications under the data protection legislation	End of current academic year + 6 years	Destroy	
1.8.2	Privacy impact assessments / data protection impact assessments	Until superseded by new assessment + 3 years	Destroy	
1.8.3	Requests for personal information made under data protection legislation	Last action on request + 6 years	Reappraise for further retention or destruction, considering ongoing cases or litigation	
1.8.4	Records of data breaches and investigations, including liaison with the Information Commissioner's Office	Last action + 6 years	Destroy	
1.8.5	Freedom of Information Publication Scheme	Until superseded by new scheme + 5 years	Destroy	

1.8.6	Requests for information under the Freedom of Information Act 2000 (including requests made under the Environmental Information Regulations 2004), including information used to produce a response	Last action on request + 6 years	Destroy	
1.8.7	Records retention schedules (including both central and local schedules)	Until superseded by new documentation + 1 year	Reappraise for further retention or destruction	Local schedules owned by relevant area of the University
1.8.9	Records detailing the outcomes of archival appraisals	Completion of appraisal process + 10 years	Destroy	Area of University owning the records

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.9 Copyright Law Compliance				Secretary's Office
1.9.1	Records regarding the upkeep of the University's copyright licences	End of current academic year + 6 years	Destroy	
1.9.2	Records concerning applications to copy outside the standard terms of licence	Period for which permission is granted + 6 years	Destroy	
1.9.3	Records of inspection by copyright holders	Inspection + 1 year	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
1.10 Risk Management				Governance Team
1.10.1	Strategic risk registers and assurance frameworks	Until superseded by updated register + 5 years	Destroy	
1.10.2	Working papers on the identification, assessment and management of risks to the University	Until risk no longer applicable + 3 years	Destroy	
1.10.3	Disaster response and recovery plans (e.g. business continuity plans, major incident plans)	Until superseded by new plan + 5 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
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1.11 Internal Audit				Governance Team
1.11.1	Internal audit reports issued to the University, and records of actions taken to address issues raised	Completion of audit + 7 years (longer retention periods may be required depending on findings)	Reappraise for further retention or destruction	

	Records Description	Retention Period	Action at end of retention period	Record Owner
1.12 Legal Documents and Services				Secretary's Office
1.12.1	Contracts, deeds and legal agreements under seal (including supporting documentation and legal advice)	End of contract + 12 years	Destroy	
1.12.2	Contracts and legal agreements under signature (including supporting documentation and legal advice)	End of contract + 6 years	Destroy	
1.12.3	Leases and lease agreements	Expiry of lease + 15 years	Destroy	
1.12.4	Claims by or against the University which do not proceed to litigation or are settled by agreement (including supporting legal advice)	Withdrawal or settlement of claim + 6 years	Destroy	
1.12.5	Litigation with third parties where legal precedents are set (including supporting legal advice)	Retained permanently	Retained under supervision of University Secretary's Office	
1.12.6	Litigation with third parties where legal precedents are not set (including supporting legal advice)	Settlement + 6 years	Destroy	
1.12.7	Records relating to Trusts	Until Trust wound up or subsumed	Reappraise for further retention or destruction	
1.12.8	General legal advice on matters of the University's status, governance, industrial relations and health and	Until superseded by new advice + 12 years	Destroy	
1.12.9	General legal advice on other matters	Until superseded by new advice + 6 years	Destroy	

2. Student Administration

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.1	Core Student Record			Academic Registry
2.1.1	Core record of individual students, including: <ul style="list-style-type: none"> i) Basic personal details ii) Programme and courses undertaken, including relevant dates of teaching and assessment iii) Information on academic progress and performance, including key assessment outcomes iv) Any supplementary information required for professional accreditation v) Transcript 	Core digital record (SITS) retained permanently. Pre-SITS core record retained permanently as paper or scan. (Records held locally by faculties, schools or departments should be destroyed or amalgamated with central records following graduation or departure)	Core digital record (SITS) retained permanently. Pre-SITS core record retained permanently as paper or scan.	
2.1.2	Associated information forming part of student record, including: <ul style="list-style-type: none"> i. Information gathered at application ii. Information gathered at registration iii. Summary information on academic appeals, complaints, discipline, fitness to study and academic misconduct iv. Disability and similar support v. References from the University 	Graduation or departure + 6 years (Records held locally by faculties, schools or departments should be destroyed or amalgamated with central records following graduation or departure)	Destroy (though longer retention periods may be necessary in some special cases)	

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.2	Student Recruitment and Admissions			External Relations
2.2.1	Prospectuses	See 1.2.1	See 1.2.1	

2.2.2	Design, conduct and results of recruitment campaigns and events	While necessary for reference and future planning purposes (typically no longer than completion of campaign and event + 3 years)	Destroy	
2.2.3	Anonymised (impossible to link to the individual) records and summaries and analysis of enquiry, recruitment and admissions data	While necessary for reference and future planning purposes	Destroy	
2.2.4	Development of general admissions criteria	Retain permanently	Send to University archives	
2.2.5	Enquiries from prospective students	Academic year received +2 years	Destroy	
2.2.6	Enquiries from current applicants and related correspondence	Academic year received +2 years (unless form part of core student record)	Destroy	
2.2.7	Individual student applications and all associated documents: unsuccessful applicants	Completion of admissions round + 2 years (though longer retention periods may be necessary for deferred or non-standard application)	Destroy	
2.2.8	Complaints and appeals from unsuccessful applicants	Last action + 3 years	Destroy	
2.2.9	Individual student applications and associated documents: successful applicants	Graduation or departure + 6 years	Destroy (though longer retention periods may be necessary in some special cases)	

2.2.10	Records relating to an individual student's visa status	Until the student is no longer sponsored + 1 year or until a Home Office compliance officer has examined and approved the documentation + 1 year (whichever is longer)	Destroy	
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	Records Description	Retention Period	Action at end of retention period	Record Owner
2.3 Student Finance				Finance Services
2.3.1	Application and award of financial bursaries and scholarships, charges and fees, maintenance grant requests, hardship funds, allowances, non-payment of fees and similar matters.	Student graduation or departure + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.4 Student Progress and Assessment				Academic Registry
2.4.1	Student attendance information	Student graduation or departure + 1 year	Destroy	
2.4.2	Examination and assessment guidelines and handbooks (including examination rules and procedures)	Issue of new edition + 10 years. Documents relating to accredited courses may need to be kept permanently.	Reappraise for further retention or destruction	
2.4.3	Records concerning the appointment of individual external examiners (excluding formal HR records)	End of individual's appointment + 1 year	Destroy	
2.4.4	Summaries of mitigating evidence and examination allowances relating to individual students	Graduation or departure + 6 years	Destroy (though longer retention periods may be necessary in some special cases)	
2.4.5	Doctoral theses	One copy to be retained permanently	Send to Library	

2.4.6	Examination papers	Publication + 10 years	Reappraise for further retention or destruction	
2.4.7	Examination scripts and submitted assessments (undergraduate and taught postgraduate students)	End of academic year + 1 year (though longer retention periods may be necessary if stipulated by an external accrediting body)	Destroy	
2.4.8	Dissertations and theses (undergraduate and taught postgraduate students)	Student graduation or departure + 1 year (though longer retention periods may be necessary if stipulated by an external accrediting body)	Reappraise for further retention or destruction	
2.4.9	Examiners' comments and mark sheets	Student graduation or departure + 1 year	Destroy	
2.4.10	Examination Board and Panel agendas and minutes, External Examiners' reports and classes awarded	Creation + 10 years	Reappraise for further retention or destruction	
2.4.11	Graduation ceremony programmes	Retain permanently (see 1.2.1)	Send to University archives	
2.4.12	Award verification requests	Provision of response + 1 year	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.5	Student Complaints, Appeals, Discipline and Misconduct			Academic Registry
2.5.1	Evidence of mitigating circumstances and examination allowance	Completion of programme + 6 years	Destroy	
2.5.2	Individual student complaint files	Last action on complaint + 6 years	Destroy	
2.5.3	Individual student academic appeal files	Last action on appeal + 6 years	Destroy	
2.5.4	Individual student disciplinary files	Last action on disciplinary case + 6 years	Destroy	

2.5.5	Individual student academic misconduct files	Last action on misconduct case + 6 years	Destroy	
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	Record description	Retention Period	Action at end of retention period	Record Owner
2.6 Fitness to Practise (FTP)				Academic Registry
2.6.1	Concerns or cases investigated resulting in no further action	Student graduation or departure	Destroy	
2.6.2	Cases resulting in informal warning or action plan	Student graduation or departure + 6 years	Destroy	
2.6.3	Cases referred to FTP Committee resulting in formal written warning	Student graduation or departure + 12 years	Destroy	
2.6.4	Cases referred to FTP Committee where FTP issues are proven, resulting in sanction (undertakings, suspension, expulsion)	Student graduation or departure + 40 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.7 Student Support				Student Services
2.7.1	General administration of financial aid, emergency or hardship funds, scholarships and bursaries (not at the level of individual students)	End of current academic year + 6 years	Destroy	
2.7.2	Formal Student Counselling, Student Wellbeing and Disability Services files relating to individual students	Student graduation or departure + 6 years	Destroy	
2.7.3	Medical certificates	Student graduation or departure + 6 years	Destroy	
2.7.4	Student handbooks and comparable formal publications for students	Retain permanently	Send to University archives	
2.7.5	Design, operation and anonymised results of University-wide student surveys	While necessary for reference and future planning purposes (potentially creation + 2 years)	Reappraise for further retention or destruction	

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.8	Relations with Student Representative Bodies, including Students' Union Bodies			Governance Team
2.8.1	Records of formal student representative committees and bodies, including those run by the Students' Union	See 1.3	See 1.3	

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.9	Prize Administration			Academic Registry
2.9.1	Confirmation of prizes awarded	Retain permanently	Send to University archives	
2.9.2	Administration of prize	Academic year + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
2.10	Honorary Degrees			Academic Registry
2.10.1	Honorary Degrees Committee records	Retain permanently	Send to University archives	

3. Teaching

	Record Description	Retention Period	Action at end of	Record Owner
3.1	General University Teaching Quality and Standards			Academic Registry
3.1.1	Records detailing the development of general University teaching policies and related quality assurance processes	Likely to be held as part of relevant committee papers. If not, superseded + 10 years.	See 1.3 for committee papers. Reappraise non-committee records for further retention or destruction.	
3.1.2	Formal internal reviews of general University teaching quality and standards - final reports and core working papers	Likely to be held as part of relevant committee papers. If not creation + 10 years.	See 1.3 for committee papers. Reappraise non-committee records for further retention or destruction.	

3.1.3	Formal external reviews (e.g. QAA) of general University teaching quality and standards - final reports, submission and supporting documentation	Retain permanently	Send to University archives	
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	Record Description	Retention Period	Action at end of retention period	Record Owner
3.2 Taught Degree Programme Development, Approval, Delivery and Review				Academic Registry
3.2.1	Core records detailing the development and approval of individual taught degree programmes (including course content, background statistical and benchmarking information, validation processes)	Held as part of relevant committee papers	See 1.3	
3.2.2	Formal reviews of individual taught degree programmes - final reports and core working papers	Held as part of relevant committee papers	See 1.3	
3.2.3	Anonymised summaries and analysis of student feedback on individual taught degree programmes	While necessary for reference and future planning purposes	Destroy	
3.2.4	Agreements with partner and validated institutions (including Memoranda of Understanding)	Termination of agreement + 6 years	Reappraise for further retention or destruction	

	Record Description	Retention Period	Action at end of retention period	Record Owner
3.3 Taught Degree Course Accreditation				Academic Registry
3.3.1	Records detailing the approval and accreditation of taught degree courses from professional, statutory, regulatory and other formal bodies	End of course + 10 years.	Reappraise for further retention or destruction	

	Record Description	Retention Period	Action at end of retention period	Record Owner
3.4 Taught Course Development, Approval, Delivery and Review				Academic Registry
3.4.1	Core records detailing the development and approval of individual courses within taught degree programme	Held as part of the relevant committee papers	See 1.3	

3.4.2	Course Handbooks and reading lists produced for a cohort of students	Completion of course by relevant cohort of students + 1 year (longer retention periods may be needed due to external accreditation or other quality assurance needs, and a sample may be kept for historical interest and future reference)	Destroy	
3.4.3	Teaching and learning materials produced during the life of a taught course for a cohort of students (e.g. handouts and	Retention periods will vary due to nature and medium of materials and on-going pedagogic value	Destroy	
3.4.4	Formal reviews of individual taught courses - final reports and core working papers	Held as part of relevant committee papers	See 1.3	
3.4.5	Anonymised summaries and analyses of student feedback on individual taught courses	While necessary for reference and future planning purposes (potentially end of current academic year + 6 years)	Destroy	

4. Research

	Record Description	Retention Period	Action at end of retention period	Record Owner
4.1	Research Quality, Standards and Governance			RED
4.1.1	Records detailing the development of general University research policies and related quality assurance processes	Likely to be held as part of relevant committee papers. If not, superseded + 10 years.	See 1.3 for committee papers. Reappraise non-committee records for further retention or destruction.	Faculty Research Committees have operational responsibility for records they hold

4.1.2	Formal internal reviews of general University research quality and standards - final reports and core working papers	Likely to be held as part of relevant committee papers. If not creation + 10 years.	See 1.3 for committee papers. Reappraise non-committee records for further retention or destruction.	Faculty Research Committees have operational responsibility for records they hold
4.1.3	Formal external reviews (e.g. REF) of general University research quality and standards - final reports and core working papers	Retained permanently	Send to University archives	
4.1.4	Formal external reviews (e.g. REF) of general University research quality and standards – internal documents for preparation and submission	Some may be suitable for permanent retention, others completion of process + 10 years	Send to University archives or reappraise for further retention or destruction	
4.1.5	Records relating to a project's research governance and ethics (both internally generated and externally funded activities)	Completion of research activity + 6 years (longer if specified by legislation or an agreement or contract governing the research)	Destroy	
4.1.6	Research Governance-related information for conduct investigations	Closure of case or end of investigation + 7 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
4.2	Research Ethics			RED
4.2.1	Research ethics committee minutes, agendas, membership and associated documents	See 1.3 Some may be suitable for permanent retention; if not, end of academic year + 6 years	Send to University archive if suitable for permanent retention. If not, destroy.	
4.2.2	Successful applications to research ethics committees	End of research activity + 6 years (longer if specified by legislation or an agreement or contract governing the research)	Destroy	
4.2.3	Unsuccessful applications to research ethics committees	End of academic year + 2 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
4.3 Research Project Development and Management				RED
4.3.1	Communications with research funders which lead to research projects	End of research activity + 6 years (though longer retention periods may be required by research funder, in which case research funder retention period should be followed)	Destroy	
4.3.2	Communications with research funders which do not lead to research projects	Last action on proposed project + 2 year	Destroy	
4.3.3	Records detailing the formation and management of partnerships and other collaborations to undertake research	Life of partnership or collaboration + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy	
4.3.4	Clinical trials contracts	Completion of research activity + 6 years (longer if specified by legislation or an agreement or contract governing the research)	Reappraise for further retention or destruction	
4.3.5	Research project design and preparatory papers (generally held by Principal Investigator) where the project is pursued	Completion of project + 6 years	Destroy	
4.3.6	Research project design and preparatory papers (generally held by the Principal Investigator) where the project is not pursued	Last action on proposed project + 2 year	Destroy	

4.3.7	Research data and working papers produced through the life of the project	Retention periods will vary according to specific contractual requirements and the nature and sensitivity of the research. As a general guide, completion of project + 10 years, but permanent retention may be required.	Actions will vary according to specific contractual requirements and the nature and sensitivity of the research. Permanent retention may be permissible.	Relevant Faculty or School have operational responsibility
4.3.8	Papers (generally held by the Principal Investigator) detailing the overall management of research projects	Completion of project + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy	Relevant Faculty or School have operational responsibility
4.3.9	Final reports produced by the Principal Investigator on externally funded research projects	Potentially retained permanently, but may depend on content	Send to University archives or reappraise for further retention	Relevant Faculty or School have operational responsibility
4.3.10	Final research outputs (formal publications etc)	One copy retained permanently on publication	Send to the University's Institutional Repository (if suitable for open access)	
4.3.11	Records relating to the termination of licenses, agreements, contracts or partnerships	Creation + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
4.4	Research Exploitation and Enterprise			RED
4.4.1	Records concerning unsuccessful attempts to commercially exploit the University's intellectual property	Last action + 3 years	Destroy	

4.4.2	Records documenting the negotiation, transfer and sale of intellectual property rights to third parties	Completion of transfer + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy	
4.4.3	Patent application and renewals	Life of patent + 30 years	Destroy	
4.4.4	Case files on patent infringements	Last action on case + 6 years	Destroy	
4.4.5	Registered trademark or design certificates	Retain permanently	Send to University archive	
4.4.6	Records concerning consultancy tenders and proposals (including any resulting contract and project management records)	Termination of consultancy arrangement + 6 years	Destroy	
4.4.7	Records concerning the formation and disposal of spin-out companies	See 5.11	See 5.11	

5. Finance

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.1 General Finance				Finance Services
5.1.1	Annual Financial Statements - final copy	Single copy retained permanently. See 1.2	Send to University archive. See 1.2	
5.1.2	Annual Financial Statements - preparatory documents	End of current financial year + 6 years	Destroy	
5.1.3	Financial forecasts	Financial year created + 6 years	Destroy	
5.1.4	Financial Regulations	Retain permanently	Send to University archive	
5.1.5	Financial audits and actions taken to address issues raised	Completion of audit + 10 years (longer retention periods may be necessary depending on findings)	Reappraise for further retention or destruction	

	Record description	Retention Period	Action at end of retention period	Record Owner
5.2 University Accounting				Finance Services
5.2.1	Purchase orders, purchase invoices, sales invoices, credit card records, retail sales transactions and other transaction records	End of current financial year + 6 years (longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy	
5.2.2	Expenses payments (to employees and third parties)	End of current financial year + 6 years (longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy	
5.2.3	Petty cash handling	End of current financial year + 6 years	Destroy	
5.2.4	Student accounts and tuition fee records (for scholarships and bursaries, see 2.3)	Student graduation or departure + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.3 Internal Accounting and Budget Management				Finance Services
5.3.1	Preparation and monitoring of annual operating budgets	While necessary for reference and future planning purposes	Destroy	
5.3.2	Analyses of internal resource deployment	While necessary for reference and future planning purposes	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
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5.4 Funding Administration				Finance Services
5.4.1	Administration of annual funding allocations from HEFCE and other funding bodies	End of current financial year + 10 years	Destroy	
5.4.2	Administration of research grants from Funding Councils or other funders	End of grant + 6 years (longer retention periods may be necessary due to the specific contractual requirements of research project funder)	Destroy	
5.4.3	Records of transactions with substantial donors to the University (as defined by sections 506A-C of the Income and Corporation Taxes Act 1988)	End of current financial year + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.5 Tax				Finance Services
5.5.1	Preparation and filing of annual tax returns (incl. VAT)	End of current tax years + 6 years	Destroy	
5.5.2	VAT accounting	End of current tax years + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.6 Cash, Investment and Asset Management				Finance Services
5.6.1	Opening and closing of bank accounts	Closure of account + 6 years	Destroy	
5.6.2	Standing order and direct debit instructions	End of instruction + 6 years	Destroy	
5.6.3	Bank statements and associated documentation	End of current financial year + 6 years	Destroy	
5.6.4	Overall management of investment portfolio	Disinvestment + 6 years	Destroy	
5.6.5	Purchase and sale of investments	Date of transaction + 6 years	Destroy	
5.6.6	Valuations of capital assets	Until superseded by new valuation + 6 years	Destroy	
5.6.7	Authorisations to dispose of capital assets	Disposal + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
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5.7 Payroll				Finance Services
5.7.1	Calculation of payroll and payments to employees	Current tax year + 6 years	Destroy	
5.7.2	Non-statutory deductions from payroll and salaries	Current tax year + 6 years	Destroy	
5.7.3	Operation of the statutory sickness pay scheme	Current tax year + 6 years	Destroy	
5.7.4	Operation of the statutory maternity pay scheme	Current tax year + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.8 Pension and Benefits				Finance Services
5.8.1	Employer and employee contributions to relevant pensions schemes	End of employment + 75 years. Also see 6.7	Destroy	
5.8.2	Operation of employee salary sacrifice schemes and similar (e.g. nursery voucher scheme, cycle to work scheme)	Current tax year + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.9 Insurance				Secretary's Office
5.9.1	Employers' Liability Insurance Certificates	Retained permanently	Held by the University Secretary's Office	
5.9.2	All other insurance certificates	Expiry of certificate + 40 years	Destroy	
5.9.3	Records documenting the arrangement and renewal of insurance policies	Expiry of policy + 6 years	Reappraise for further retention	
5.9.4	Claims, and outcomes of claims, against insurance policies	Settlement or withdrawal of claim + 6 years	Reappraise for further retention or destruction	

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.10 Procurement				Finance Services
5.10.1	Internal authorisation for procurement	End of current financial year + 3 year (longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy	

5.10.2	Supplier evaluation criteria	Until superseded by new criteria + 5 years	Destroy	
5.10.3	Invitations to suppliers to apply for approval	Completion of approval process + 1 year (longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy	
5.10.4	Evaluations of supplier applications - approved	End of approval period	Destroy	
5.10.5	Evaluations of supplier applications: rejected suppliers	Rejection + 1 year	Destroy	
5.10.6	Tender evaluation criteria	End of resulting contract + 6 years	Destroy	
5.10.7	Invitations to tender	End of resulting contract + 6 years	Destroy	
5.10.8	Evaluations of tender applications - approved	End of resulting contract + 6 years	Destroy	
5.10.9	Evaluations of tender applications - rejected tenders	Rejection + 1 year	Destroy	
5.10.10	Supply contracts (and ensuing variations)	End of contract + 6 years	Destroy	
5.10.11	Contract award notices	End of contract + 6 years	Destroy	
5.10.12	Registers of contracts	Until superseded + 1 year	Destroy	
5.10.13	Supplier performance monitoring	End of contract + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
5.11	Subsidiary Companies (Once established, wholly-owned subsidiary companies are separate legal entities. Guidance on the management of a subsidiary company's day-to-day records may nonetheless be sought from the various sections of this Schedule.)			Finance Services
5.11.1	Records concerning the formation of a subsidiary company	Life of company + 6 years	Reappraise for further retention or destruction	
5.11.2	Proposals for the formation of a subsidiary company where the company was not formed	Last action on the proposal + 6 years	Destroy	

5.11.3	Periodic review and oversight of the subsidiary company by the University	End of current financial year + 6 years	Destroy	
5.11.4	Winding-up or disposal of the University's interest in the subsidiary company	Winding-up or disposal of interest + 6 years	Reappraise for further retention or destruction	

6. Human Resources

	Record Description	Retention Period	Action at end of retention period	Record Owner
6.1 Core Staff Record (Relating to individual members of staff)				HR
6.1.1	Core record of individual members of staff, including: <ul style="list-style-type: none"> i. Basic personal details ii. Job description iii. Subsequent successful applications for other posts within the University (for unsuccessful applications, see 6.4.8) iv. Pre-employment health declaration 	Core digital record retained permanently (Records held locally by faculties, schools and departments should be amalgamated with central records at end of employment)	Core digital record retained permanently	
6.1.2	Associated information forming part of staff record, including: <ul style="list-style-type: none"> i. Initial application for employment ii. Supporting documentation and related correspondence related to initial application (e.g. references, statutory checks, work permits) iii. Emergency contacts iv. Contract(s) of employment and records of changes to terms and conditions 	End of employment + 6 years (Records held locally by faculties, schools and departments should be amalgamated with central records at end of employment)	Destroy (though longer retention periods may be necessary in some special cases)	
6.1.3	Emeritus staff records (relevant records not falling within 6.1.1)	Death of staff member + 6 years	Reappraise for further retention or destruction	

	Record Description	Retention Period	Action at end of retention period	Record Owner
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6.2 Personnel Matters (Relating to individual members of staff. For Occupational Health, see 6.3)				HR
6.2.1	HR policy and strategy documents	See 1.4	See 1.4	
6.2.2	Records of induction programmes attended	Completion of programme + 5	Destroy	
6.2.3	Records of training and development programmes attended	Completion of programme + 5	Destroy	
6.2.4	Records of training and development programmes attended where these are a statutory or regulatory requirement	Expiry of relevant certification + 6 years	Destroy	
6.2.5	Annual staff review and development process (including identification of training, development and welfare needs) and records of subsequent actions	End of employment + 3 years	Destroy	
6.2.6	Promotions (including senior academic roles), re-grading confirmation and justifications, increments, supporting documentation	End of employment + 6 years	Destroy	
6.2.7	Performance, disciplinary, grievance and capability proceedings (including correspondence outlining concerns, action taken, outcomes of both informal and formal reviews, appeals)	End of employment + 6 years	Destroy	
6.2.8	Tribunal case files	Retain permanently	Permanent preservation in suitable location	
6.2.9	Grievances raised by an employee and outcomes	End of employment + 6	Destroy	
6.2.10	Remuneration and reward of an individual employee (including records of special rewards and employee authorisations for non-standard deductions from salary)	End of current tax year + 6 years	Destroy	
6.2.11	Administration of an employee's contractual annual leave entitlement	End of current calendar year + 1 year	Destroy	
6.2.12	Administration of an employee's special leave (i.e. compassionate, study, research)	End of employment + 1 year	Destroy	
6.2.13	Administration of an employee's statutory leave (e.g. parental, dependents)	Completion of entitlement + 6 years	Destroy	
6.2.14	Statutory maternity pay calculations, certificates and medical evidence	End of employment + 6 years	Destroy	

6.2.15	Records concerning termination of employment/redundancy	End of employment + 6 years	Destroy	
6.2.16	Retirement records	End of employment + 6 years	Destroy	
6.2.17	References provided by the University to third parties about an employee	End of employment + 3 years	Destroy	
6.2.18	Records relating to an individual staff member's visa status	Duration of employment	Destroy	
6.2.19	TUPE records relating to individual staff member	End of employment + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
6.3	Staff Health			HR
6.3.1	Pre-employment health declaration	Included in Core Staff Record	See 6.1.1	
6.3.2	Pre-employment health checks – staff exposed to hazardous substances	See 12.3.3	See 12.3.3	
6.3.3	Major injuries from workplace accidents	See 12.2	See 12.2	
6.3.4	Administration of an employee's sickness absence and sickness pay	End of employment + 6 years	Destroy	
6.3.5	Staff welfare records about individual members of staff	End of current academic year + 5 years (longer retention periods may be necessary if individual cases are on-going)	Destroy	
6.3.6	Medical records and details of assessments	End of employment + 6 years	Destroy	
6.3.7	Occupational health records	End of employment + 6 years	Destroy	
6.3.8	Occupational health records for employees exposed to hazardous substances	End of employment + 40 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
6.4 Workforce Planning and Recruitment (Generic information, i.e. not relating to individual members of staff)				HR
6.4.1	Assessments of workforce requirements	Until superseded by new assessment + 3 years	Destroy	
6.4.2	Major restructuring – plans, consultation documents, meeting records	Retained permanently	Send to University archive	
6.4.3	Job evaluation criteria, including grading schemes	Until superseded + 7 years	Destroy	
6.4.4	Design, operation and anonymised results of staff surveys conducted by the University	While necessary for reference and future planning purposes (potentially until superseded + 5 years)	Destroy	
6.4.5	Management succession plans	Until superseded + 5 years	Destroy	
6.4.6	Vacancy advertisements and job descriptions	Held as part of successful applicant's Core Staff Record	See 6.1.1	
6.4.7	Job applications - successful applications	Held within Core Staff Record	See 6.1.1	
6.4.8	Job applications - unsuccessful applications	Closing date for vacancy + 1 year	Destroy	
6.4.9	Short-listing notes, interview notes and test results	Vacancy filled + 6 months	Destroy	
6.4.10	Management analyses of recruitment effectiveness	While necessary for reference and future planning purposes	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
6.5 Staff Induction, Training and Development (Generic information; i.e. not relating to individual members of staff)				HR
6.5.1	Content of induction, training and development programmes	Until superseded + 5 years	Destroy	
6.5.2	Anonymised summaries and analyses of feedback on induction, training and development	End of current academic year + 1 year	Destroy	

6.5.3	Management analyses of induction, training and development effectiveness	While necessary for reference and future planning	Destroy	
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	Record Description	Retention Period	Action at end of retention period	Record Owner
6.6 Remuneration (Generic; i.e. not relating to individual members of staff)				HR
6.6.1	Remuneration structures	Until superseded + 10 years	Reappraise for further retention or destruction	
6.6.2	General administration of pay reviews	End of current academic year + 6 years	Destroy	
6.6.3	General administration of special reward schemes (e.g. discretionary pay, merit awards)	End of current academic year + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
6.7 Payroll and Pensions				Finance Services
6.7.1	Records documenting the calculation and payment of employees' salaries and other payments (for records relating to individual employees, see 6.2.10)	End of current tax year + 6 years	Destroy	
6.7.2	Employer's PAYE records not sent to HMRC	End of employment + 6 years	Destroy	
6.7.3	Records formally documenting the University's involvement in staff pension schemes	End of involvement + 5 years	Destroy	
6.7.4	Communications between the University and pension scheme management	End of current financial year + 6 years	Destroy	
6.7.5	Employer and employee contributions to the pension schemes	End of employment + 75 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
6.8 Workforce and Industrial Relations				HR
6.8.1	The University's recognition and derecognition of trade unions	Date of recognition + 6 years	Destroy	

6.8.2	Agreements with trade unions	End of agreement + 10 years	Destroy	
6.8.3	Consultations and negotiations with trade unions on specific issues	Last action on negotiation + 20 years	Destroy	
6.8.4	Records of regular liaison meetings and communications with trade unions representatives	See 1.3. Non-committee records retain for 5 years	See 1.3. Non-committee records destroy.	

	Record Description	Retention Period	Action at end of retention period	Record Owner
6.9	Equality and Diversity			HR
6.9.1	Statistical information resulting from equality monitoring	While necessary for reference and future planning purposes, no longer than 10 years	Destroy	
6.9.2	Handling of formal complaints about discrimination	Last action on complaint + 6 years	Destroy	
6.9.3	Formal equality schemes and action plans	Until superseded by new scheme + 5 years	Destroy	
6.9.4	Annual reports on formal equality schemes and action plans	End of current academic year + 5 years	Destroy	
6.9.5	Formal equality impact assessments	Until superseded by new assessment + 5 years	Destroy	
6.9.6	Formal monitoring of equalities aspects of student admission and progress	End of current academic year + 5 years	Destroy	
6.9.7	Formal monitoring of equalities aspects of staff recruitment and progression	End of current academic year + 5 years	Destroy	

7. Estates

	Record Description	Retention Period	Action at end of retention period	Record Owner
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7.1 Property Acquisition, Development and Disposal				Estates
7.1.1	Records detailing the acquisition of a property	Disposal of property + 12 years	Reappraise for further retention or destruction	
7.1.2	Title deeds for properties owned by the University	Retain permanently	Transfer to new owner with property if required and send copy to University archives	
7.1.3	Negotiation records where a property was not acquired	Conclusion of negotiations + 6	Destroy	
7.1.4	Lease agreements	Expiry of lease + 15 years	Reappraise for further retention or destruction	
7.1.5	Negotiation of leases	Expiry of lease + 5 years	Destroy	
7.1.6	Mortgage deeds	Expiry or disposal of property + 6 years	Reappraise for further retention or destruction	
7.1.7	Property development records (including plans, drawings and architectural documents and media)	Ownership of property	Transfer to new owner with property and appraise for further retention	
7.1.8	Planning applications and supporting documents	Ownership of property	Transfer to new owner with property and appraise for further retention of copy	
7.1.9	Records detailing the disposal of a property by sale, transfer or donation	Disposal of property + 12 years	Reappraise for further retention or destruction	

	Record Description	Retention Period	Action at end of retention period	Record Owner
7.2 Property Maintenance and Facilities Management				Estates
7.2.1	Routine inspections of properties	Date of inspection + 5 years	Destroy	
7.2.2	Routine inspection of facilities	Until superseded by two subsequent inspections	Destroy	
7.2.3	Project contracts	See 1.12	See 1.12	

7.2.4	Major maintenance works or properties	Ownership of property	Transfer to new owner with property if relevant and appraise for further retention of copy	
7.2.5	Major maintenance works to facilities	Completion of works + 15 years	Destroy	
7.2.6	Minor maintenance works to properties	Completion of works + 15 years	Destroy	
7.2.7	Minor maintenance works to facilities	Completion of works + 5 years	Destroy	
7.2.8	Space management records and audits	Creation + 10 years	Destroy	
7.2.9	Relocation of facilities	Completion + 10 years	Destroy	
7.2.10	Inspection of properties or facilities by external authorities	Until superseded by subsequent inspection (longer retention periods may be necessary depending on findings)	Destroy	
7.2.11	Licences and certificates issued by external authorities	Until superseded by new licence (longer retention periods may be necessary depending on external authority requirements)	Destroy	
7.2.12	Permits to work or enter	Expiry of permit + 2 years	Destroy	
7.2.13	Method statements	Date of statement + 2	Destroy	
7.2.14	Legionella control records	Date of creation + 7 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
7.3	Security			Estates
7.3.1	Security inspections of properties or facilities	Until superseded by two subsequent inspections	Destroy	
7.3.2	Security pass and key issue logs	Created + 2 years	Destroy	

7.3.3	Access logs to secure areas	Date of log + 1 year	Destroy	
7.3.4	Routine security surveillance of properties and facilities	Date of surveillance + 2 months	Destroy	
7.3.5	Security incident reports and logs	Last action + 3 years	Destroy	
7.3.6	CCTV footage	Creation + 30 days	Destroy	
7.3.7	CCTV footage retained for investigatory purposes	Creation + 1 year (longer retention periods may be required depending on the nature and outcome of the investigation)	Destroy	
7.3.8	Lost property log	Created + 1 year	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
7.4	Environmental, Energy and Waste Management			Estates
7.4.1	Environmental audits, including conduct, results and actions	Completion of audit + 5 years (longer retention periods may be necessary depending on findings)	Destroy	
7.4.2	Identified environmental hazards and risk assessments	Elimination of risk + 5 years or until superseded by updated risk assessment + 5 years	Destroy	
7.4.3	Accreditation under environmental management scheme	Until superseded by new accreditation + 3 years	Destroy	
7.4.4	Records detailing environmental awareness activities and promotion of best practice	End of current academic year + 5 years	Destroy	
7.4.5	Major environmental incident investigation	See 12.2	See 12.2	
7.4.6	Routine monitoring and formal reviews of energy use	End of current academic year + 5 years	Destroy	
7.4.7	Utility meter readings	Date of reading + 10 years	Destroy	

7.4.8	Records of special and hazardous waste removal from University	Removal of waste + 6 years	Destroy	
7.4.9	Other waste transfer records	Transfer of waste + 2 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
7.5 Equipment and Consumables				Estates
7.5.1	Specification, selection and installation of safety-critical or hazardous items	Life of the item + 40 years	Destroy	
7.5.2	Specification, selection and installation of major items	Life of the item + 6 years	Destroy	
7.5.3	Specification, selection and installation of minor items	Life of the item + 1 year	Destroy	
7.5.4	Maintenance, testing and inspection logs of safety-critical or hazardous items	Life of the item + 10 years	Destroy	
7.5.5	Maintenance, testing and inspection logs of major items	Life of the item + 6 years	Destroy	
7.5.6	Maintenance, testing and inspection logs of minor items	Life of the item + 1 year	Destroy	
7.5.7	Disposal of items and transfers of ownership – safety-critical or hazardous items	Disposal of item + 6 years	Destroy	
7.5.8	Disposal of items and transfers of ownership – major items	Disposal of items + 1 year	Destroy	
7.5.9	Disposal of items and transfers of ownership – minor items	Disposal of items + 1 year	Destroy	
7.5.10	Stock inventories	Until superseded by new inventory	Destroy	
7.5.11	Routine stock taking and records of stock movements	End of current academic year + 2 years	Destroy	

8. Student and Staff Services

Examples of services included in the section are the Students' Health Service, Student and Staff Counselling Services, Disability Services, Careers Service, the Sports, Exercise and Health Service, and some parts of Residential and Hospitality Services.

	Record Description	Retention Period	Action at end of retention period	Record Owner
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8.1 Student and Staff Services: Standards and Delivery (Depending on the nature of the service, some of these records may be held as part of Committee Papers and Minutes - see 1.3)				Student Services for student-related services, HR for staff-related services
8.1.1	Formal agreements on service standards	Until superseded by new agreement + 3 years	Destroy	
8.1.2	Reports on service delivery, including annual reports	Issue of report + 5 years	Reappraise for further retention or destruction	
8.1.3	Development and management of promotional campaigns	Until superseded by new campaign + 1 year	Destroy	
8.1.4	Promotional materials	Until superseded by new materials + 3 years (longer retention periods may be necessary for reference and future planning purposes)	Destroy	
8.1.5	Formal publications produced by the service	Publication + 6 years	Reappraise for further retention or destruction	
8.1.6	Retail sales transactions	End of current academic years + 6 years	Destroy	
8.1.7	Formal counselling and disability services files relating to individual users (staff or students)	Graduation or departure + 6 years	Destroy	
8.1.8	Membership records for Sports, Exercise and Health Service	End of academic year + 2 years	Destroy	
8.1.9	Accommodation Office records relating to individual students	End of academic year + 3 years	Destroy	
8.1.10	Accommodation Office incident reports	End of academic year + 3 years	Destroy	
	Record Description	Retention Period	Action at end of retention period	Record Owner

8.2 Student and Staff Services: Feedback and Complaints				Student Services for student-related services, HR for staff-related services
8.2.1	Design, operation and anonymised results of surveys conducted by services	While necessary for reference and future planning purposes (potentially until superseded by new survey + 3 years)	Reappraise for further retention or destruction	
8.2.2	Handling of formal complaints against the service	Last action on complaint + 6 years	Destroy	

9. Communications

	Record Description	Retention Period	Action at end of retention period	Record Owner
9.1	Media Relations			External Relations
9.1.1	Press releases, press cuttings, media briefings and interviews	Date of issue + 10 years (longer retention periods may be necessary depending on the nature and sensitivity of the content)	Reappraise for further retention or destruction	
9.1.2	Media Contact Lists	Until superseded by new or updated list	Destroy	
9.1.3	Media enquiries and responses (excluding those made under the Freedom of Information Act 2000 – see 1.8.6)	Last action on the enquiry + 5 years	Destroy	
9.1.4	Monitoring of media coverage	End of current academic year + 10 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
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9.2 Public Relations				External Relations
9.2.1	Enquiries from members of the general public and responses provided (including those made by local, regional or business communities, but excluding those made under the Freedom of Information Act 2000, for which see 1.8.6)	Last action on enquiry + 3 years	Destroy	
9.2.2	Design, operation and anonymised results of surveys conducted by the University	While necessary for reference and future planning purposes (potentially until superseded by new survey + 3 years)	Destroy	
9.2.3	Complaints received and outcomes (excluding those from students or staff)	Last action on the enquiry + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
9.3 Branding and Market Research				External Relations
9.3.1	Records detailing the design of corporate identity branding (logos, branding materials etc)	Retained permanently	Send to University archives	
9.3.2	Anonymised market research data	While necessary for reference and future planning purposes (potentially completion of market research + 5 years)	Destroy	
9.3.3	Records detailing the design and conduct of marketing and advertising campaigns (excluding student recruitment activities – see 2.2.2)	Completion of campaign + 6 years	Destroy	
9.3.4	Official University publications	See 1.2	See 1.2	

10. Libraries

	Record Description	Retention Period	Action at end of retention period	Record Owner
10.1 Collections Management: General Collections				Library Services
10.1.1	Records detailing the selection of publications and other materials for purchase	Completion of purchase + 1 year	Destroy	

10.1.2	Schemes for classifying and cataloguing library collections	Life of collection	Retain in Library	
10.1.3	Catalogues and indexes of collections	Until superseded + 10 years	Reappraise for further retention	
10.1.4	Records authorising the withdrawal and sale of items in the collections	Withdrawal or sale + 2 years	Destroy	
10.1.5	Records of inter-library loans, including copyright	Date of request + 1 year	Destroy	
10.1.6	User records	Expiry of user status + 1 year (longer if outstanding debts)	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
10.2	Collections Management: Special Collections			Library Services
10.2.1	Records detailing the acquisition of items in the collection, including depositor and donor agreements	Life of collection + 1 year	Reappraise for further retention	
10.2.2	Catalogues and indexes of collections	Retained permanently	Retain in Library	
10.2.3	Records detailing conservation work on items in the collection	Life of collection	Destroy	
10.2.4	Requests for access and records of visits	Last action + 1 year	Destroy	
10.2.5	Loan of items to third parties	Return of item + 7 years	Destroy	
10.2.6	Promotional materials relating to the collection	Until superseded by new materials	Reappraise for further retention	
10.2.7	Records authorising the withdrawal and sale of items in the collections	Life of the collection + 1 year	Destroy	
10.2.8	Copyright declaration forms for the use of materials accessed in the Special	Date of access + 7 years	Destroy	

11. IT Services

	Record Description	Retention Period	Action at end of retention period	Record Owner
11.1	Development of IT Systems			IT Services
11.1.1	Development, modification and maintenance of core IT systems	Decommissioning of system + 5 years	Destroy	
11.1.2	Initial development of core IT systems that are not implemented	Last action towards development + 3 years	Destroy	

11.1.3	Development of new, non-core IT systems (usually held as a project management records)	Termination of project + 5 years	Destroy	
11.1.4	Supply contracts, and ensuing variations (see 5.10 for further details relating to procurement)	End of contract + 6 years	Destroy	
11.1.5	Supplier performance monitoring	End of contract + 6 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
11.2 Operation of IT Systems				IT Services
11.2.1	Routine monitoring of IT systems and actions taken to rectify problems	End of current academic year + 1 years	Destroy	
11.2.2	Software licences	Until superseded by new licences + 1 year	Destroy	
11.2.3	Email and connection log data	Date of log + 6 months	Destroy	
11.2.4	Web usage log data	Date of log + 3 months	Destroy	
11.2.5	Anonymised summaries of log data	While necessary for reference and future planning purposes	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
11.3 On-premises systems and Microsoft Office 365				IT Services
11.3.1	General backups for on-premises servers and systems (including all central systems not excluded from backups, departmental filestores, MyFiles content)	File deletion + 3 months (accessible for user restoration for at least 2 weeks).	Destroy (unless specific authorised reason to retain)	
11.3.2	E-mail (Microsoft Exchange) in user inbox	Email deletion + 30 days for individual emails that enter the deleted items folder	Destroy (unless specific authorised reason to retain)	
11.3.3	Email (Microsoft Exchange) when a user leaves the University	Account deactivation + 30 days	Destroy (unless specific authorised reason to retain)	

11.3.4	OneDrive files	Deletion + 30 days	Destroy (unless specific authorised reason to retain)	
11.3.5	OneDrive sites and files when a user leaves the University	User departure + 30 days (can be extended to 3 months)	Destroy (unless specific authorised reason to retain)	
11.3.6	SharePoint Faculty or Divisional site files	Deletion + 30 days	Destroy (unless specific authorised reason to retain)	
11.3.7	SharePoint Faculty or Divisional site files when a user leaves the University	No information is deleted	Retain in SharePoint	
11.3.8	Microsoft Office 365 Groups when a user leaves the University	No information is deleted	Retain in Groups	
11.3.9	Microsoft Office 365 Groups when a group owner leaves or the group is inactive	All groups are assessed annually, deactivated after 30 days warning	Deactivation + 12 months	
11.3.10	Active Directory account user identity (limited to account name, not content)	Retained permanently	Held by IT Services in suspended state	

	Record Description	Retention Period	Action at end of retention period	Record Owner
11.4	Information Security			IT Services
11.4.1	Records documenting attempted or actual security breaches of IT systems, investigations and actions taken	Last action on breach + 6 years	Destroy	
11.4.2	Records of security testing undertaken on systems and applications, and resulting actions	Last action + 3 years	Destroy	
11.4.3	Records documenting extraordinary institutional access to individual user accounts	End of access period + 3 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
11.5	User Support Services			IT Services
11.5.1	Development and content of IT training and guidance programmes	Until superseded by new programmes +	Destroy	

11.5.2	Logs of requests for assistance from IT system users and action	Date of resolution + 3 years	Destroy	
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12. Health and Safety

	Record Description	Retention Period	Action at end of retention period	Record Owner
12.1	General Health and Safety			Safety and Health Services
12.1.1	Health and safety policy	Academic year created + 50 years	Reappraise for further retention or destruction	
12.1.2	Health and safety inspections, audits, risk assessments and records of actions taken as a result	Completion of inspection or audit + 10 years (though longer retention periods may be necessary depending on findings)	Reappraise for further retention or destruction	
12.1.3	Records of preventive and protective health and safety measures required by regulations	Until superseded + 5 years	Reappraise for further retention or destruction	
12.1.4	Records of health and safety committees	See 1.3	See 1.3	
12.1.5	Annual health and safety reports	Held as part of relevant committee papers	See 1.3	
12.1.6	Records concerning health and safety advisors (appointment, training, communications)	End of an individual's appointment + 5 years	Destroy	
12.1.7	General health and safety information, induction and training materials for staff, student and visitors	Until superseded by new materials + 5 years	Destroy	
12.1.8	General risk assessments of health and safety hazards	Until superseded by updated risk assessment + 5 years	Destroy	
12.1.9	Manual handling assessments	Superseded or activity end	Destroy	

12.1.10	Display screen equipment assessments	End of employment + 6 years	Destroy	
12.1.11	COSSH assessments and recommended actions	Superseded or end of activity	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
12.2 Investigation and Incident Reporting				Estates
12.2.1	Formal investigations and reports into injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises	Closure of investigation + 40 years	Destroy	
12.2.2	Official notifications as required of injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises	Date of notification + 10 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
12.3 Hazardous Substances				Estates
12.3.1	Risk assessments involving hazardous substances (e.g. biological agents, lead, asbestos, ionising radiation etc)	Until superseded by updated risk assessment + 10 years	Reappraise for further retention or destruction	
12.3.2	Health and safety instructions and training records for employees exposed to hazardous substances	End of employment + 40 years	Destroy	
12.3.3	Health surveillance and occupational health records of employees exposed to hazardous substances	End of employment + 40 years	Destroy	
12.3.4	Emergency and incident plans concerning hazardous substances	Until superseded by new plans + 10 years	Destroy	
12.3.5	Records concerning work with asbestos	Completion of work + 40 years	Reappraise for further retention or	
12.3.6	Records concerning work with radioactive and other hazardous	Completion of work + 40 years	Reappraise for further retention or	
12.3.7	Records concerning the location and quantity of radioactive substances	Disposal of radioactive substance + 6 years	Destroy	

12.3.8	Records relating to disposal of hazardous and clinical waste	Disposal of waste + 6 years	Destroy	
12.3.9	Records relating to disposal of general waste	Disposal of waste + 2 years	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
12.4	Fire Safety and First Aid			Estates
12.4.1	Records detailing the appointment, instruction and training of fire wardens and first aiders	End of the individual's appointment + 3 years	Destroy	
12.4.2	Fire safety risk assessment and drill procedures	Until superseded by updated risk assessment or new procedures + 3 years	Destroy	
12.4.3	Fire-fighting and safety equipment testing	Until re-tested + 3 years	Destroy	
12.4.4	Assessments of first aid facilities, equipment and personnel	Until superseded by updated assessment + 3	Destroy	
12.4.5	Arrangements between the University and the emergency services in the case of fire or medical emergency	Until superseded by new arrangements + 5 years	Destroy	

13. Development and Alumni Relations

	Record Description	Retention Period	Action at end of retention period	Record Owner
13.1	Administration of Relationships with Alumni, Donors and Supporters			DARO
13.1.1	Basic records concerning individual alumni, donors and supporters	Retain permanently, unless individual asks for their details to be removed	Retain in Development and Alumni Relations Office	
13.1.2	Records of transactions with major donors to the University	Retained permanently unless individual asks for their details to be removed	Retain in Development and Alumni Relations Office	

13.1.3	Records of transactions with minor donors to the University	Retain permanently, unless deemed unnecessary or individual asks for their details to be removed	Retain in Development and Alumni Relations Office, but reappraise for further retention or destruction	
13.1.4	Paying in books and related financial information	Relevant transactions + 6 years	Destroy	
13.1.5	Statistics, surveys and research relating to alumni, donors and supporters	While necessary for reference and future planning purposes	Destroy	
13.1.6	Records detailing regulatory considerations and compliance	Length of relevant activity + 3 years	Destroy	
13.1.7	Records concerning mailings	Completion of mailing or campaign + 1 year	Destroy	

	Record Description	Retention Period	Action at end of retention period	Record Owner
13.2	Fundraising, Events and Publications			DARO
13.2.1	Design, conduct and results of fundraising campaigns and initiatives	While necessary for reference and future planning purposes	Destroy	
13.2.2	Reports on outcomes of fundraising campaigns and initiatives	Completion of campaign + 6 years	Reappraise for further retention or destruction	
13.2.3	Planning and organisation of events and meetings (e.g. reunions, corporate occasions) for cohorts of alumni, donors and supporters	While necessary for reference and future planning purposes	Destroy	
13.2.4	Reports on outcomes of events for cohorts of alumni, donors and supporters	Completion of event + 6 years	Reappraise for further retention or destruction	
13.2.5	Regular publications (e.g. magazines) for alumni, donors and supporters	3 copies retained permanently	Send to University archives	
13.2.6	Irregular publications for alumni, donors and supporters, or concerning fundraising campaigns and initiatives/events	While necessary for reference and future planning purposes	Reappraise for further retention or destruction	

Appendix 1: Document Review and Ownership

This document will be reviewed and updated as required. It is intended to be a living document with amendments and additions made when a need is identified. More formal reviews will be undertaken periodically, with any substantial changes presented to the Information Governance and Security Advisory Board (IGSAB). The document is managed by the Information Governance Manager in the Secretary's Office.

Document history					
Version	Author / Primary reviewer	Details of changes	Date	Approved by	Approved date
d0.1 Draft	Information Governance Manager	Initial draft – composed using JISC template and other sector examples	January 2018		
d0.2 Draft	Information Governance Manager	Record Owner column added	February 2018	IGSAB – for wider consultation	13/02/2018
d0.3 Draft	Information Governance Manager	Deputy Chief Information Officer's comments incorporated	March 2018		
d0.4 Draft	Information Governance Manager	Director of Legal Services comments incorporated	March 2018		
d0.5 Draft	Information Governance Manager	Professional Services Leaders comments incorporated	May 2018		
d0.6 Draft	Information Governance Manager	School, Faculty Heads and other miscellaneous comments incorporated	June 2018	IGSAB – subject to minor amendments	26/06/2018
v1.0 Final	Information Governance Manager	IGSAB comments incorporated	June 2018	IGSAB	26/06/2018