

ISD Records Retention Schedule (RRS)

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This document defines the records retention schedule for records held and owned by the Information Services Directorate (ISD), and is based on the JISC Higher Education Business Classification Scheme and Records Retention Schedules¹. Further information about RRSs and their structure including the descriptions of the column headings are available on the UEA website.²

Version history

Version	Date	Note
0.1	27/1/12	First draft
0.2	4/5/12	Second draft
0.3	6/6/12	Transferred to newest template and revised
1.0	22/6/12	First published edition, following ISDMT review and approval
1.1	3/7/15	Draft with tracked changes, showing schedule for ISDMT and other internal committees, system audit logs, project management, visitor account applications
2.0	8/7/15	Published following ISDMT review and approval

¹ <http://bcs.jiscinfonet.ac.uk/he/default.asp>

² <http://www.uea.ac.uk/is/strategies/infregs/Records+management/RRS>

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General

The following activities may apply to any business area of the organisation, and records relating to them may be held in any department.

Activity	Record group	Retention period	Authority	Action at period end	Notes
Business Area Strategy Development	Records documenting the development and establishment of the institution's strategy for this business area: key records.	Superseded + 10 years	NA	Review for archival value	
	Records documenting the development and establishment of the institution's strategy for this business area: working papers.	Issue of strategy + 1 year	NA	Review for archival value	
Business Area Policy Development	Records documenting the development and establishment of the institution's policies for this business area: key records.	Superseded + 10 years	NA	Review for archival value	
	Records documenting the development and establishment of the institution's policies for this business area: working papers.	Issue of policy + 1 year	NA	Review for archival value	
Business Area Procedure Development	Master copies of procedures relating to this business area.	Superseded + 5 years	NA	Destroyed	
	Records documenting the development of the institution's procedures	Issue of procedures + 1 year	NA	Destroyed	

Activity	Record group	Retention period	Authority	Action at period end	Notes
	relating to this business area.				

Buildings management

Property Security

Activity	Record group	Retention period	Authority	Notes
Property Security Management	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Superseded + 2 years	NA	

Finance

Information held by the Finance Division (FIN) and finance offices in other departments.

Finance management (inc. invoices and debt management)

Information held by the Finance Division (FIN) and finance offices in other departments.

Activity	Record group	Retention period	Authority	Notes
Asset Management	Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	1970 c. 9 s 34 1980 c. 58 ss 2 and 5	
Cash Management	Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
Financial Accounting	Annual Accounts	Current financial year + 6 years	1980 c. 58 s 5	
	Records documenting the handling of petty cash.	Current financial year + 6 years	1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	
	Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	
	Records documenting the preparation of annual accounts	Current financial year + 6 years	1980 c. 58 s 5	
	Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	
Financial Planning & Budgeting	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 1 year	NA	
	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	NA	
Funding Management	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	NA	
	Records documenting applications for funding from sources external to the University	Successful applications: date of	NA	

Activity	Record group	Retention period	Authority	Notes
		application + 7 years. Unsuccessful applications: date of application + 1 year		
Internal Accounting	Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	NA	
	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	NA	

Procurement

Information held by the Finance Division (FIN) and finance offices in other departments.

Activity	Record group	Retention period	Authority	Notes
Contract Management	Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	1980 c. 58 s 5	
	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	1980 c. 58 s 5	
Contract Tendering	Records documenting Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Termination of contract + 6 years	1980 c. 58 s 5	
	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders.	Award of supply contract + 1 year	NA	
	Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year	NA	
	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	NA	
Purchasing	Goods Received Notes/Goods Inwards Notes	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	
	Purchase Orders	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	
	Records documenting internal authorisation for procurement.	Current financial year + 1 year	NA	
	Records documenting purchasing authorisation limits.	Superseded + 1 year	NA	
Supplier Approval	Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application +	NA	

Activity	Record group	Retention period	Authority	Notes
		6 months OR Completion of approval		
	Records documenting supplier evaluation criteria.	Superseded + 5 years	NA	
	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : approved suppliers.	Termination of approval	NA	
	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : rejected suppliers.	Rejection + 1 year	NA	
	Supplier database	While current	NA	

Information services

Information held by Information Services Directorate (ISD) and other departments.

Archives management

Information held by Information Services Directorate (ISD) and other departments (maintaining archives).

Activity	Record group	Retention period	Authority	Notes
Archives Access Control	Records documenting requests for access to archives.	Last action on request + 1 year	NA	
Archives Acquisition	Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	NA	
	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	NA	
Archives Conservation	Records documenting conservation work undertaken on items in the archives.	Life of records	NA	
Archives Disposal	Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process + 6 years	1980 c. 58 s 5	
Archives Organisation & Description	Records containing the descriptions of the records held as archives.	Life of records	NA	
	Records documenting the development of the institution's standard descriptive model for its archives.	Life of records described using the model	NA	
	Records documenting the institution's scheme of arrangement for its archives.	Life of records arranged according to the scheme	NA	
Archives Promotion & Exploitation	Records documenting enquiries about (items in) the archives, and the responses provided. Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.	Last action on enquiry + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting loans of items from the archives to third parties.	Termination of loan + 6 years	1980 c.58 s 5	
	Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	Superseded	NA	
	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Superseded	NA	
	Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	Current + 5 years	NA	
	Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).	Last action on project + 5 years	NA	
Archives Storage & Handling	Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	NA	
	Records documenting the movement of archives from/to storage.	Return of items + 1 year	NA	

Collections management³

Information held by the Information Services Directorate (ISD).

Activity	Record group	Retention period	Authority	Notes
Collections Promotion	Records documenting the design and development of promotional materials.	While materials are current	NA	Select significant materials for permanent retention.
	Records documenting the design and implementation of promotional events.	Last action on event + 5 years	NA	Select key records of significant events for permanent retention.
Collections Promotion	Records documenting enquiries about collections and the responses given.	Last action on enquiry + 1 year	NA	Key information from substantive enquiries may be extracted and indexed to avoid repetitive research.
Collections Use	Records documenting the authorised use of collections or objects, and actions taken to facilitate, monitor or control use (e.g. checking environmental conditions, handling / operating objects; taking samples from objects)	Completion of use + 5 years.	NA	Information about actions which have a direct impact on the condition of objects should be recorded in the object's catalogue record.
	Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are authorised.	Completion of use + 5 years.	NA	

³ This section is based on the activities described in SPECTRUM, the UK Museum Documentation Standard. SPECTRUM is published by the Museums Documentation Association (MDA). References to SPECTRUM in this publication refer to Version 3.1.

SPECTRUM sets out 21 procedures, of which 8 are identified as Primary Procedures. This section reflects 7 of the 8 Primary Procedures.

Activity	Record group	Retention period	Authority	Notes
	Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are rejected.	Last action on request / proposal + 1 year.	NA	
Object Acquisition	Records documenting the acquisition of objects for the institution's collections. SPECTRUM: Accession records	Permanent	SPECTRUM Version 3.1 Acquisition Procedure, para. 12	
Object Borrowing	Records documenting loans of objects to the institution by other organisations or by individuals. SPECTRUM: Loan In records	Permanent	SPECTRUM Version 3.1 Loans In Procedure, para. 25	
Object Cataloguing	Records documenting key information about objects in the institution's collections. SPECTRUM: Catalogue records	Permanent	SPECTRUM	
Object Dispatch	Records documenting objects which have left the institution's premises. SPECTRUM: Object Exit Records	Return of item + 10 years	NA	
Object Lending	Records documenting loans of objects to other organisations or to individuals. SPECTRUM: Loan Out records	Return of loaned item + 10 years	NA	
Object Location & Movement Control	Records documenting the location and movement of objects within the institution's premises.	Permanent	SPECTRUM	

Activity	Record group	Retention period	Authority	Notes
	SPECTRUM: Location and Movement Records			
Object Receipt	Records documenting the receipt of objects which are not currently part of the institution's collections. SPECTRUM: Object Entry records	Current year + 10 years	NA	

Information and communications technology (ICT) systems management

Information held by the Information Services Directorate (ISD).

Activity	Record group	Retention period	Authority	Notes
ICT Systems Development	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years	NA	
	Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years	NA	
	Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	NA	
	Records documenting approved changes to existing systems	Life of system	NA	Change management records
ICT Systems Operations Management	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	NA	
	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	NA	
	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	NA	
	Records documenting user requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	NA	
ICT Systems Security Management	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	NA	
	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year	NA	
	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year	NA	
	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	NA	
	Records documenting the allocation of temporary reusable accounts to support conferences, summer schools etc. to individual visitors, and third party access accounts to facilitate server maintenance	End of use + 1 year	NA	
	Records documenting the removal/return of mobile ICT systems hardware and	Return of equipment + 3 months	NA	

Activity	Record group	Retention period	Authority	Notes
	software from/to the institution's premises.			
	Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years	NA	
	Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year	NA	
ICT Systems Training	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	NA	
System audit logs	Audit records of UEA-owned system activity including those generated by anti-virus mechanisms	Logged event + 12 months	PCI DSS (Req 10.7 and Req 5.2 in v3.1)	A minimum of three months records should be immediately available for analysis

Information compliance management

Information is held within the Information Services Directorate (ISD) by the Information Compliance office.

Activity	Record group	Retention period	Authority	Action at period end	Notes
Data Protection Compliance	Records containing (anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29).	Current year + 10 years	NA	Destroyed	
	Records documenting the handling of requests for access to personal information held by the institution	Last action on request + 1 year	Common practice	Destroyed	1998 c. 29 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Action at period end	Notes
	under the Data Protection Act 1998 (c. 29).				A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals.
	Records documenting the institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by s 2 of the Data Protection Act 1998 (c. 29).	Current year + 1 year	NA	Destroyed	Notification must be renewed annually to maintain an entry in the public register of data controllers.
	Records documenting the terms and conditions under which personal data held by the specified 'data controller' will be processed by the specified 'data processor'.	Completion of the Purpose + 1 year	NA	Destroyed	Agreements made with third parties for the processing of personal data held by the University.
Environmental Information Regulations Compliance	Records containing (anonymised) management statistics, analyses and reports of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391)	Current year + 10 years	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).	Destroyed	

Activity	Record group	Retention period	Authority	Action at period end	Notes
	Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391)	Completion of request handling process + 3 years	NA	Destroyed	This recommended retention period is in line with the period recommended by The National Archives for retention of records relating to the handling of requests for information under the Freedom of Information Act 2000. See Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives). Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records
Freedom of Information Compliance	Records containing (anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36)	Current year + 10 years	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The	Destroyed	

Activity	Record group	Retention period	Authority	Action at period end	Notes
			National Archives).		
	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36)	Completion of revision of Publication Scheme + 5 years	NA	Destroyed	
	Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36)	Completion of request handling process + 3 years Disclosure Log contents is completion of request handling process + 5 years	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).	Destroyed	The National Archives recommends '3 Years after date of creation'. See Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives). Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records
Information Compliance Management Policy Development	Records documenting the development and establishment of the institution's information compliance policies: key records.	Superseded + 5 years	NA	Review for archival value	
	Records documenting the development and establishment of the institution's information compliance policies: working papers.	Issue of policy + 1 year	NA	Review for archival value	

Activity	Record group	Retention period	Authority	Action at period end	Notes
Information Compliance Management Procedure Development	Master copies of procedures relating to information compliance.	Superseded + 3 years	NA	Destroyed	
	Records documenting the development of the institution's procedures relating to information compliance.	Issue of procedures + 1 year	NA	Destroyed	
Information Compliance Strategy Development	Records documenting the development and establishment of the institution's information compliance strategy: key records.	Superseded + 5 years	NA	Review for archival value	
	Records documenting the development and establishment of the institution's information compliance strategy: working papers.	Issue of strategy + 1 year	NA	Review for archival value	

Management information collection, analysis and reporting

Information held by the Information Services Directorate (ISD) and other departments.

Activity	Record group	Retention period	Authority	Notes
Management Information Analysis & Reporting	Management information reports	Current year + 3 years	NA	
Management Information Collection	Dataset specifications and protocols for submission and collation of data.	Superseded	NA	If datasets are archived, dataset specifications and protocols should be archived with them.

Project management

Information held by the project office.

Activity	Record group	Retention period	Authority	Notes
Project documents	Project plans	Project closure + 2 years		If the project is to introduce or develop a service, project closure documentation may indicate that plans are retained as part of the service's records.
	Project risk logs	Project closure + 2 years		
	Project reports	Project closure + 2 years		
	Project board and team meetings: agenda, minutes, papers	Project closure + 2 years		
	Project closure documentation	Life of service + 2 years		Where the project is to introduce or develop a service. Closure documentation may also identify additional project documents to be retained over the same retention period where they will be of value/use to the operational service, e.g. design documentation.

Records management

Information held by the Information Services Directorate (ISD) and other departments.

Activity	Record group	Retention period	Authority	Notes
Records Access Control	Records documenting the provision of access to records.	Date of access + 1 year	NA	
Records Creation & Capture	Records documenting recordkeeping requirements for specific business activities and processes.	Superseded	NA	
Records Disposal	Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	NA	
Records Maintenance	Records documenting conservation work undertaken on records.	Disposal of records	NA	
Records Organisation & Description	Records documenting classification and indexing schemes for records.	Superseded + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
Records Retention	Final versions of Records Retention Schedules	Permanent	NA	Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.
	Records documenting the determination of retention periods for records.	Completion of revised Records Retention Schedule + 1 year	NA	
	Records documenting the review of individual records to determine requirements for ongoing retention, where records are disposed of.	Life of records + 25 years	NA	
Records Storage & Handling	Records documenting storage locations of records.	Superseded	NA	
	Records documenting the movement of records to/from storage.	Return of records + 1 year	NA	
Records Survey/Audit	Records documenting the conduct and results of records surveys/audits.	Completion of subsequent survey/audit	NA	This retention period assumes that the purpose and scope of the subsequent audit is comparable. If it is not, a longer retention period may be appropriate.

Executive management

Audit

Information held by the Information Services Directorate (ISD).

Activity	Record group	Retention period	Authority	Notes
Audit Management	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years	NA	

Governance (minute books for ISD boards and committees)

Information held by the ISD Security, Policy and Compliance group. Boards and committees include: IT Forum, Library Forum, ISD Research Board, ISD Education Board, ISD CIS Board, ISDMT, ISD OG, IT Directors, etc.

Activity	Record group	Retention period	Authority	Notes
Non-Statutory Committee Administration	Records documenting the appointment/election/designation of members of a committee.	Termination of membership + 6 years	1980 c. 58 s 5	
	Records documenting the arrangements for meetings of a committee.	Current year + 1 year	NA	
	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of committee + 5 years	NA	
	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current year + 5 years	NA	
	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of committee + 6 years	1980 c. 58 s 5	
	Records documenting the development of induction and training programmes for members of a committee.	Superseded + 3 years	NA	Retaining previous versions provides evidence of effective induction and training over time.
	Records documenting training undertaken by individual members of a committee.	Termination of membership + 6 years	1980 c. 58 ss 2 and 5	
Official External Representation	Records documenting the appointment/designation of staff to officially represent the institution.	Termination of	NA	

Activity	Record group	Retention period	Authority	Notes
		representation		
Public Interest Disclosure (Whistle Blowing) Investigation	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	Closure of case + 6 years	1980 c. 58 ss 2 and 5	
Departmental management	Papers and minutes relating to meetings of the management groups in ISD: ISDMT; ISD OG; IT Directors	Current year + 2 previous	JC-F, 29/7/13	

Organisational development

Information held by the Vice-Chancellor's Office (VCO) and in other departments.

Activity	Record group	Retention period	Authority	Notes
Organisational Restructuring	Records documenting the management of individual organisational restructuring processes.	Completion of process + 5 years	NA	

Risk management

Information held by the Vice-Chancellor's Office (VCO) and in other departments.

Activity	Record group	Retention period	Authority	Notes
Business Continuity Planning	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	NA	
Risk Identification & Assessment	Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year	NA	

Personnel

Information held by the Human Resources Division (HRD) and other departments.

Equality and diversity management

Information held by Human Resources (HRD) and in other departments.

Activity	Record group	Retention period	Authority	Notes
Equality Impact assessments	Records documenting equality impact assessments of services and policies	Life of the service or policy + 1 year		Heather Wells sends Helen Murdoch a copy of all our completed ones, and holds copies herself. Is happy for them to be filed centrally within ISD, either physically or electronically, if required.

Human resources management

Information held in Human Resources (HRD) and in other departments.

Activity	Record group	Retention period	Authority	Notes
Employee Contract Management	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	NA	
	Records documenting changes to the employee's terms and conditions of employment.	Termination of employment + 6 years	1980 c. 58 s 5	
	Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	Common HR practice	Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (Chartered Institution of Personnel and Development, 2006).

Activity	Record group	Retention period	Authority	Notes
	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current tax year + 3 years	SI 1986/1960 Regulation 26	
	Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case + 6 years	Common HR practice	Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (Chartered Institute of Personnel and Development, 2006).
	Records documenting induction programmes attended by the employee.	Completion of induction + 1 year	NA	
	Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	1980 c. 58 s 5	
	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	1980 c. 58 s 11	
	Records documenting pre-employment health screening of an employee: other employees.	Termination of employment + 6 years	1980 c. 58 s 5	
	Records documenting references provided in confidence in support of the employee's application(s) for	Provision of reference + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	employment by another organisation.			
	Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	NA	
	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	NA	
	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	SI 1999/3312	
	Records documenting the employee's absence due to sickness.	Termination of employment + 40 years	IR CA30	
	Records documenting the employee's contract(s) of employment with the institution.	Termination of employment + 6 years	1980 c. 58 s 5	
	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks).	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	1980 c. 58 s 5	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). For employee contract records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT).

Activity	Record group	Retention period	Authority	Notes
	Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	1980 c. 58 s 5 Minimum: SI 2003/2682 Regulation 97(8) SI 1999/584 Regulation 38(7) Recommended: 1970 c. 9 s 34	For payroll records, see FINANCE MANAGEMENT - PAYROLL ADMINISTRATION.
	Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of job + 1 year	NA	
	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	1980 c. 58 s 5	
	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	NA	
	Records documenting the issue of personal protective equipment/other special equipment to an employee.	Termination of employment + 6 years	1980 c. 58 s 5	
	Records documenting the job descriptions of positions held by the employee within the institution.	Duration of job + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	NA	
Industrial Relations Management	Records documenting agreements with trade unions.	Termination of agreement + 10 years	Chartered Institute of Personnel and Development, Retention of personnel and other related records (2006)	
	Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	NA	
	Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	NA	
Workforce Induction	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	NA	
	Records documenting the development, overall delivery and assessment of induction programmes for new employees. For records documenting individual employees' induction programmes, see Employee Contract Management.	Current year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
Workforce Performance Management	Records containing summary (anonymised) results of employees' performance assessments.	Current year + 3 years	NA	
	Records documenting management analyses of the impact of workforce performance assessment systems.	Current year + 5 years	NA	
	Records documenting the development of workforce performance assessment systems.	Life of system + 5 years	NA	
Workforce Planning	Records documenting management succession plans.	Superseded + 5 years	NA	
	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	NA	
	Records documenting the development and evaluation of job specifications.	Superseded + 5 years	NA	
Workforce Recruitment	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	NA	
	Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting internal authorisation for recruitment.	Current year + 1 year	NA	
	Records documenting the advertising of vacancies.	Completion of recruitment process + 3 months	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 Employment Practices Code, Section 1.7.1 (Information Commissioner's Office, 2005)	
	Records documenting the handling of applications for vacancies: successful applications.	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	1980 c. 58 s 5	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). For employment records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT).
	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process + 3 months	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). Actions under discrimination legislation

Activity	Record group	Retention period	Authority	Notes
			42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	must generally be brought within 3 months. The Chartered Institute of Personnel and Development recommends '1 year'. See the factsheet Retention of personnel and other related records (2006). Anonymised data may be held for a longer period (e.g. for equality monitoring purposes).
	Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	NA	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005).
Workforce Relations Management	Records containing (identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	NA	
	Records containing summary (anonymised) results of workforce surveys and consultations.	Completion of survey + 5 years	NA	
	Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.	Last action on case + 6 years	1980 c. 58 s 5	
	Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
Workforce Training & Development	Records containing individual feedback on training and development programmes.	Completion of analysis of feedback	NA	
	Records containing summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.	Current year + 5 years	NA	
	Records documenting (anonymised) workforce feedback on training and development programmes.	Current year + 5 years	NA	
	Records documenting management analyses of the impact of training and development programmes.	Current year + 5 years	NA	
	Records documenting the development of training and development programmes to meet defined needs.	Completion of programme + 5 years	NA	
Workforce Welfare Management	Records documenting health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	SI 1998/1833 Regulations 5 and 9	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	SI 1998/1833 Regulations 5 and 9	

Safety

Information held by University Safety Services (USS) and other departments.

Equipment and consumables management

Activity	Record group	Retention period	Authority	Notes
Equipment & Consumables Disposal	Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	NA	
	Records documenting the transfer of ownership of equipment/consumables.	Disposal of item + 1 year	NA	
Equipment & Consumables Selection	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items	Life of item + 6 years	1980 c.58 s 5	
	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items	Life of item	NA	
Equipment & Consumables Storage	Records documenting routine stocktaking and stock checking.	Current year + 1 year	NA	
	Records documenting the monitoring of the condition of stored equipment/consumables.	Current year + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the movement of stock into and from storage.	Current year + 1 year	NA	
	Records documenting the stock inventory for equipment/consumables.	Superseded	NA	
Equipment Inspection, Testing & Maintenance	Maintenance logs for equipment	Life of equipment + 6 years	SI 1998/2306 Regulation 5(2) 1980 c. 58 s 5	
	Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	SI 1998/2306 Regulation 6(3)	
	Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item + 1 year	NA	
	Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/removal + 6 years	1980 c.58 s 5	
	Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of subsequent report OR Date of report + 2 years, whichever is the later	SI 1998/2307 Regulation 11(2)(a)(iv)	
Equipment Installation/Commissioning	Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994 (SI 1994/3140).	Decommissioning/removal of plant	SI 1994/3140 Regulation 12	SI 1994/3140 does not prescribe a retention period for these records but implies that the Health and Safety File for a structure should be retained for the life of the structure. A Health and Safety File is transferred to the new owner when a structure is sold.

Activity	Record group	Retention period	Authority	Notes
	Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal + 40 years	NA	
	Records documenting the installation of equipment: major items.	Decommissioning/removal + 6 years	1980 c. 58 s 5	
	Records documenting the installation of equipment: other items.	Decommissioning/removal	NA	
	Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	SI 1998/2307 Regulation 11(2)(a)(ii)	
	Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Decommissioning	SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)	

Health and safety management

Activity	Record group	Retention period	Authority	Notes
Health & Safety Audit	Records documenting the conduct and results of health and safety audits.	Completion of audit + 5 years	NA	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
Health & Safety Consultation	Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	NA	SI 1977/500 does not prescribe a retention period for these records. SI 1996 /1513 does not prescribe a retention period for these records.
	Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at Work etc. Act 1974 (c. 37) and in	Dissolution of	NA	SI 1977/500 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.	committee + 50 years		SI 1996 /1513 does not prescribe a retention period for these records.
	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	NA	SI 1977/500 does not prescribe a retention period for these records. SI 1996 /1513 does not prescribe a retention period for these records.
	Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Current year + 5 years	NA	SI 1977/500 does not prescribe a retention period for these records. SI 1996 /1513 does not prescribe a retention period for these records.
	Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500).	Current year + 5 years	NA	SI 1977/500 does not prescribe a retention period for these records. SI 1996 /1513 does not prescribe a retention period for these records.
	Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Current year + 5 years	NA	SI 1977/500 does not prescribe a retention period for these records. SI 1996 /1513 does not prescribe a retention period for these records.
Health & Safety Hazard Exposure Control - Display Screen Equipment	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 10 years	NA	SI 1992/2792 does not prescribe a retention period for these records. As a minimum, risk assessments should be retained until they are superseded.

Activity	Record group	Retention period	Authority	Notes
				Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 5 years	NA	SI 1992/2792 does not prescribe a retention period for these records.
Health & Safety Hazard Exposure Control - Noise	Records documenting health surveillance of employees who are exposed to noise, carried out to fulfil the institution's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of last entry in record + 40 years	NA	SI 2005/1643 does not specify a retention period for these records.
	Records documenting the conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643)	Superseded + 10 years	NA	SI 2005/1643 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Records documenting the maintenance of equipment provided to control exposure to noise, to fulfil the institution's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of examination/test/repair + 5 years	NA	SI 2005/1643 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Records documenting the provision of information, instruction and training for employees who are exposed to noise, to fulfil the institution's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Superseded + 10 years	NA	SI 2005/1643 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Activity	Record group	Retention period	Authority	Notes
	Records documenting the provision of personal protective equipment to employees, to fulfil the institution's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Return of issued equipment + 1 year	Common audit requirement	A record of the issue of personal protective equipment should be included in an employee's staff record. See HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT.
Health & Safety Hazard Identification & Risk Assessment	Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this RRS	Superseded + 5 years	NA	SI 1999/3242 does not prescribe a retention period for these records. As a minimum, risk assessments should be retained until they are superseded. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
Health & Safety Incident Management	Records documenting fire safety arrangements made to fulfil the institution's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Superseded + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Records documenting the appointment of 'competent persons' to assist in implementing fire safety measures to fulfil the institution's duties under Article 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person'	NA	SI 2005/1541 does not prescribe a retention period for these records. 'Competent persons' in this context are often referred to as 'fire wardens' or similar.
	Records documenting the appointment of first aiders.	Termination of appointment	NA	
	Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's	Superseded + 5 years	NA	Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541)			Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Records documenting the provision of approved training for first aiders to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Current year + 3 years OR Superseded + 3 years	NA	SI 1981/917 does not prescribe a retention period for these records. Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.
	Records documenting the provision of fire safety training to employees to fulfil the institution's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years or Superseded + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.
	Records documenting the provision of information about first aid arrangements to employees, to fulfil the institution's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years	NA	SI 1981/917 does not prescribe a retention period for these records. Retaining previous information provides evidence of compliance and effective management of health and safety over time.
Health & Safety Information, Instruction & Training Provision	Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	Current year + 5 years or Superseded + 5 years	NA	The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity: SI 1989/635; SI 1989/682; SI 1992/2792; SI 1992/2793; SI 1996/341; SI 1998/2306; SI 1999/3242.
Health & Safety Management	Master copies of procedures relating to the management of health and safety.	Superseded + 50 years	NA	These records meet the requirement to document the institution's health and safety arrangements for the planning, organisation,

Activity	Record group	Retention period	Authority	Notes
Procedure Development				<p>control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>