

Faculty of Science Records Retention Schedule (RRS)

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This document defines the records retention schedule for records held and owned by the Development department, 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	10 October 2012	First draft

Academic taught programme administration

Information held by Learning and Teaching Services (LTS) and Planning (PLN) and SCI.

Activity	Record group	Retention period	Authority	Notes
Academic Programme	Records documenting the administration of academic	Current academic year + 3 years	NA	

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

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

Activity	Record group	Retention period	Authority	Notes
Co-ordination	programmes.			

Student assessment administration (taught programmes)

Information held by Learning and Teaching Services (LTS) and Planning (PLN) and SCI.

Activity	Record group	Retention period	Authority	Notes
Assessment Administration	Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year	NA	
	Records documenting the control of course tests and course test scripts	Current academic year + 1 year	NA	

Teaching

information held by Learning and Teaching Services (LTS) and Planning (PLN) and SCI.

Activity	Record group	Retention period	Authority	Notes
Taught Programme Delivery	Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	NA	
	Records documenting the preparation of teaching and learning materials.	Current academic year + 1 year	NA	
Taught Programme Development	Records documenting the design and development of (modules of) taught programmes.	Life of programme + 10 years	NA	
	Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Life of programme	NA	

Activity	Record group	Retention period	Authority	Notes
Taught Programme Review	Records containing (anonymised) summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year	NA	
	Records containing data on, and analyses of, student numbers and other taught programme statistics.	Current academic year + 5 years	NA	
	Records containing reports of routine internal reviews of taught programmes.	Current academic year + 5 years	NA	
	Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	NA	
	Records documenting routine solicited feedback on taught programmes from students: individual feedback	Completion of analysis of feedback	NA	
	Records documenting the conduct and results of formal independent reviews of taught programmes, and the responses to the results.	Current academic year + 5 years	NA	
Taught Student Assessment	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	1980 c. 58 s 5	
	Records documenting submitted/completed assessments: formative assessments.	Current academic year	NA	
	Records documenting submitted/completed assessments: summative assessments.	Confirmation of marks/grades by Board of Examiners + 6 months.	NA	
	Records documenting the design and development of assessments.	Life of programme	NA	
Taught Student Monitoring & Support	Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years	1980 c. 58 s 5	
Teaching Quality & Standards Management	Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	Current academic year + 5 years	NA	
	Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.	Current academic year + 5 years	NA	
	Records documenting the development of the institution's internal	While current	NA	

Activity	Record group	Retention period	Authority	Notes
	quality assurance processes.			

Estates and facilities

Information held by the Estates Division (EST) waiting for Lab Managers to reply.

Environmental management

Activity	Record group	Retention period	Authority	Notes
Energy Management	Records documenting routine monitoring of the institution's use and consumption of energy.	Current year + 5 years	NA	
	Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.	Completion of review + 5 years	NA	
Environmental Audit	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	NA	
Environmental Awareness Promotion	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current + 5 years	NA	
Environmental Hazard Identification & Risk Assessment	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
Environmental Incident Recording, Reporting & Investigation	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years	NA	
	Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	NA	
	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years	NA	
Environmental Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year	NA	
Waste Management	Records documenting hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).	Removal of waste + 3 years	SI 2005/894 Regulation 49(3)	SI 2005/894 Regulation 49(1) specifies the content of these records.
	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).	Removal of waste consignment + 3 years	SI 1996/972 Regulation 15(4)	SI 2005/894 repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here.

Estate management

Activity	Record group	Retention period	Authority	Notes
Property Acquisition	Deeds of title for properties owned by the institution.	Disposal of property		Deeds of title for a property are transferred to the new owner when the property is sold.
	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	1980 c. 58 s 2	
	Records documenting the acquisition of ownership of properties.	Disposal of property + 12 years	1980 c. 58 s 8	This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
	Records documenting the negotiation of leases and original lease agreements.	Expiry of lease + 15 years	1980 c. 58 s 14B	
Property Development	Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140)	Demolition of property OR Disposal of interest in property	SI 1994/3140 Regulation 12	SI 1994/3140 does not prescribe a retention period for these records but Regulation 12 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property.

Activity	Record group	Retention period	Authority	Notes
				Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.
	Records documenting applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent.	NA	Planning consents which are valid when a property is sold are transferred to the new owner.
	Records documenting the development of properties.	Disposal of property	NA	Some of these records may be transferred to the new owner when property is sold.
Property Disposal	Records documenting the disposal of properties by sale, transfer or donation.	Disposal of property + 12 years	1980 c. 58 s 8	This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
Property Leasing-out	Records documenting leasing-out arrangements for properties.	Expiry of lease + 12 years	1980 c. 58 s 8	This retention period assumes that leases are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
Property Maintenance	Records documenting assessments made to	Review of assessment + 10 years	NA	SI 2006/2739 does not prescribe a retention

Activity	Record group	Retention period	Authority	Notes
	determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739).			period for these records. Retaining assessments provides evidence of effective management of risks associated with works carried out.
	Records documenting major maintenance works on property.	Disposal of property	NA	Some of these records may be transferred to new owners when land is sold.
	Records documenting minor maintenance works on property.	Completion of works + 15 years	1980 c. 58 s 14B	
	Records documenting routine inspections of property.	Date of inspection + 5 years	NA	Retaining inspection records provides evidence of effective property management.
	Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Removal of asbestos + 10 years OR Subsequent inspection + 10 years	NA	Retaining these records provides evidence of compliance with SI 2006/2739.
Property Security Management	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	NA	
	Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year	NA	
	Records documenting the	Completion of	NA	

Activity	Record group	Retention period	Authority	Notes
	conduct and results of security inspections of properties, and action taken to address issued raised.	subsequent inspection		
	Records documenting the conduct of routine security surveillance of properties.	Creation + 1 month	NA	
	Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year	NA	
	Records of security passes issued to visitors	Expiry of pass + 1 month	NA	
Space Management	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	NA	

Facilities management

Activity	Record group	Retention period	Authority	Notes
Facilities Compliance Management	Original licences and certificates	Superseded	NA	
	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection	NA	A longer retention period may be advisable for particular types of facilities (e.g. where there are significant health and safety risks) in order to maintain evidence of effective management over time.

Activity	Record group	Retention period	Authority	Notes
Facilities Development	Records documenting the carrying out of interior decoration and fitting-out works.	Completion of works + 15 years	1980 c. 58 s 14	
	Records documenting the development of interior design and fit-out schemes.	Completion of works + 15 years	1980 c. 58 s 14	
	Records documenting the specification of requirements for facilities.	Completion of works + 15 years	1980 c. 58 s 14	
Facilities Maintenance	Records documenting routine inspections of facilities.	Completion of two subsequent inspections	NA	Retaining inspection records provides evidence of effective property management over time.
	Records documenting the carrying out of major maintenance works within facilities.	Completion of works + 15 years	1980 c. 58 s 14B	
	Records documenting the carrying out of minor maintenance works within facilities.	Current year + 5 years	NA	
Facilities Security Management	Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident + 1 year		
	Records documenting the conduct and outcomes of security inspections of facilities.	Completion of two subsequent inspections	NA	Retaining inspection records provides evidence of effective property management over time.

Activity	Record group	Retention period	Authority	Notes
	Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month		

Statutory returns

Activity	Record group	Retention period	Authority	Notes

Corporate planning and performance management

Information held by the Vice-Chancellor's Office (VCO) and SCI.

Activity	Record group	Retention period	Authority	Notes
Operational Performance Management	Records documenting benchmarking exercises with other comparable institutions/Faculties.	Current + 1 year	NA	
	Records documenting performance monitoring and analysis.	Current year + 1 year	NA	
	Records documenting the development of the Faculty's key performance indicators.	Superseded	NA	
Operational Planning	Records documenting the development of the Faculty's annual operating plans: key records.	Current year + 5 years	NA	
	Records documenting the development of the Faculty's annual operating plans: working papers.	Current year + 1 year	NA	
Strategic Performance	Records containing data on, and analyses of, the Faculty's	Current academic year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
Management	performance against its strategic plan.			
	Records containing reports on the Faculty's performance against its strategic plan.	Current academic year + 10 years	NA	
	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Current academic year + 5 years	NA	
Strategic Planning	Records documenting the development of the Faculty's strategic plan: key records.	Superseded + 10 years	NA	
	Records documenting the development of the Faculty's strategic plan: working papers.	Publication of strategic plan + 1 year	NA	

Governance (minute book for Faculty and School Committees, e.g . School Boards, Promotions Committees, School Executive, Staff Students Liaison Committees, etc .)

Information held by Faculty and Schools within Science

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:	Life of committee + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	agenda, minutes and supporting papers.			
	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	
Statutory Committee Administration	Records documenting the appointment/election/designation of members of a statutory committee.	Termination of appointment + 6 years	1980 c. 58 s 5	
	Records documenting the arrangements for meetings of a statutory committee.	Current year + 1 year	NA	
	Records documenting the conduct of reviews of the effectiveness and performance of a statutory committee.	Completion of two subsequent reviews	NA	Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews.
	Records documenting the conduct of the business of a statutory committee: agenda, minutes and supporting papers.	Life of institution	NA	
	Records documenting the conduct	Current year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	of the business of a statutory 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.			
	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a statutory committee.	Life of institution	NA	

Risk management

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

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	

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	
	Records documenting the value of the institution's capital assets.	Current financial year + 6 years	1970 c. 9 s 34	
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	
	Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	1980 c. 58 s 5	
	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	1980 c. 58 s 5	
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	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the payment and/or reimbursement of employees' expenses.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	
	Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	
	Records documenting the payment of honoraria to third parties.* *Unless honoraria are administered through the payroll.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	
	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	
	Records documenting the receipt and processing of tuition fees.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	
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	Current financial year + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	operating budgets.			
Funding Management	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	NA	
	Records documenting the administration of funding from European Structural Funds.	Final payment on the programme to the UK + 3 years (see note)	EC No. 1260/1999 Article 38	Documents relating to the implementation and financing of ESF funded projects must be retained until 3 years after the European Commission makes the final payment for the programme to the UK. For example, the current European Social Fund programme is due is ended on 31 December 2008 and the earliest date for the Department of Work and Pensions to receive final payment from the European Commission is 2011. Documentation must therefore be retained

Activity	Record group	Retention period	Authority	Notes
				until at least 31 December 2014. The dates may be changed so it is advisable to retain all documents relating to ESF funded projects until a Government Office advises that they may be destroyed.
	Records documenting the administration of research grants provided by research councils or corporate sponsors.	Termination of grant + 6 years	1980 c. 58 s 5	
	Records documenting the administration of scholarship funds.	Current financial year + 6 years	1980 c. 58 s 5	
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	
Investment Management	Records documenting the overall management of the institution's financial	Divestment + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	investment portfolio.			
	Records documenting the purchase/sale of investments.	Current financial year (of transaction) + 6 years	1970 c. 9 s 34	
Management Accounting	Records documenting analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year	NA	
Payroll Administration	Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003.	Current tax year + 3 years	SI 2003/2682 Regulation 97(8)	'PAYE records' are defined in Regulation 97(2) of the Income Tax (Pay As You Earn) Regulations 2003 (SI 2003/2682).
	Records documenting calculation and payment of employees' salaries and other payments.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	Minimum: SI 1999/584 Regulation 38(7) SI 2003/2682 Regulation 97(8) Recommended: 1970 c. 9 s 34	
	Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	1980 c. 58 s 5	
	Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	Current tax year + 3 years	SI 1986/1960 Regulation 26	
	Records documenting the	Current tax year + 3	SI 1982/894	

Activity	Record group	Retention period	Authority	Notes
	administration of payments made under the Statutory Sick Pay scheme.	years	Regulation 13	
Pension Contributions Administration	Records documenting payments of the institution's employees' contributions to pension schemes.	Termination of employment + 75 years	1980 c. 58 s 32	
	Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.	Termination of employment + 75 years	1980 c. 58 s 32	
Statutory Accounting	Records documenting the preparation of the institution's statutory accounts.	Current financial year + 6 years	1980 c. 58 s 5	
Tax Management	Records documenting the institution's accounting for VAT.	Current tax year + 6 years	1994 c. 23 s 58 and Schedule 11, para. 6(3) SI 1995/2518 s 31 HMRC 700/21 para. 5.2	
	Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years	1970 c. 9 s 34	

Procurement

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

Activity	Record group	Retention period	Authority	Notes
Contract	Records documenting the	Termination of contract +	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
Management	monitoring of supplier performance and action taken regarding under-performance.	6 years		
	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	1980 c. 58 s 5	
Contract Tendering	Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2006 (SI 2006/5)	Termination of contract + 6 years	1980 c. 58 s 5	SI 2006/5 does not prescribe a retention period for these records.
	Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5)	Termination of contract + 10 years	1980 c. 58 s 5	SI 2006/5 does not prescribe a retention period for these records. These are summary records of each contract awarded and retention of these for a longer period than the complete contract 'files' provides evidence of effective and compliant procurement practice over time.
	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	
	Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2006 (SI 2006/5)	Current year + 3 years	NA	SI 2006/5 does not prescribe a retention period for these records.
Purchasing	Goods Received Notes/Goods Inwards Notes	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21	

Activity	Record group	Retention period	Authority	Notes
			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 + 6 months OR Completion of approval	NA	
	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	

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	Student number targets and financial analyses kept on local systems in SCI
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.

Human resources management

Information held in Human Resources (HRD) and kept on SCI personnel files of staff employed in the Faculty.

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

Activity	Record group	Retention period	Authority	Notes
				ceases'. See Retention of personnel and other related records (Chartered Institution of Personnel and Development, 2006).
	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	Expiry of certification + 6 years OR Superseded + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	these requirements.			
	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: employees exposed to hazardous substances during employment.	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.		
	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 employment by another organisation.	Provision of reference + 1 year	NA	
	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	

Activity	Record group	Retention period	Authority	Notes
	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).
	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	1980 c. 58 s 5 Minimum: SI 2003/2682 Regulation 97(8)	For payroll records, see FINANCE MANAGEMENT - PAYROLL ADMINISTRATION.

Activity	Record group	Retention period	Authority	Notes
		years	SI 1999/584 Regulation 38(7) Recommended: 1970 c. 9 s 34	
	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	
	Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	NA	
Workforce Performance Management	Records containing summary (anonymised) results of employees' performance	Current year + 3 years	NA	

Activity	Record group	Retention period	Authority	Notes
	assessments.			
	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	

Safety

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

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 cleaning/sanitisation of equipment/consumables prior to disposal: items used in connection with operations involving	Disposal of item + 15 years	1980 c.58 s 14	

Activity	Record group	Retention period	Authority	Notes
	substances hazardous to health.			
	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal if item + 6 year	1980 c. 58 s 5	
	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: items which are safety critical or associated with hazardous operations	Life of item + 40 years	NA	Retaining these records for a long period is in line with requirements/recommendations for retention of Health & Safety records.
	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	

Activity	Record group	Retention period	Authority	Notes
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	
	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 examination, testing and repair of other equipment provided to control exposure to	Date of examination/test/repair + 5 years	NA	SI 1999/3232 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 1999 (SI 1999/3232).			
	Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation, as required by Regulation 10(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 2 years	SI 1999/3232 Regulation 10(2)	
	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of examination/test/repair + 5 years	SI 2006/2739 Regulation 13(3)	
	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead, as required by Regulation	Date of examination/test/repair + 5 years	SI 2002/2676 Regulation 8(4)	

Activity	Record group	Retention period	Authority	Notes
	8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).			
	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health, as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of examination/test/repair + 5 years	SI 2002/2677 Regulation 9(4)	
	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: items which are safety critical or are associated with hazardous operations.	Decommissioning/Disposal + 15 years	1980 c.58 s 14	SI 1997/1840 Regulation 6 requires the maintenance of fire detection and fire-fighting equipment but does not prescribe a retention period for records in relation to this activity. Retaining a maintenance history provides evidence of compliance and effective management of health and safety over time.

Activity	Record group	Retention period	Authority	Notes
	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	
	Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, as required by Regulation 19(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of maintenance/testing + 2 years	SI 1999/3232 Regulation 19(4)(c)	
	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

Activity	Record group	Retention period	Authority	Notes
				when a structure is sold.
	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 (Lab Managers)

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 representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly.	Current year + 50 years	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 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 notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Termination of appointment + 1 year	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 election of members of a safety committee formed under the Safety	Completion of election + 1 year	NA	SI 1977/500 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	Representatives and Safety Committees Regulations 1977 (SI 1977/500).			SI 1996 /1513 does not prescribe a retention period for these records.
	Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Completion of election + 1 year	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 accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.	Dissolution of committee + 50 years	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 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	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.

Activity	Record group	Retention period	Authority	Notes
	Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).			
	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 - Asbestos	Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos, as required by Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of certificate + 4 years	SI 2006/2739 Regulation 22(4)	In practice, these are likely to be retained as part of the health records required by Regulation 22 of SI 2006/2739.
	Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Completion of work to which the assessment relates + 10 years	NA	SI 2006/2739 does not prescribe a retention period for these records. Retaining assessments provides evidence of effective management of risks over time.

Activity	Record group	Retention period	Authority	Notes
	Records documenting medical surveillance of individual employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of last entry on record + 40 years	SI 2006/2739 Regulation 22(1)(b)	
	Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Duration of work + 10 years	NA	SI 2006/2739 Regulation 9 does not prescribe a retention period for these records. Retaining assessments provides evidence of effective management of risks associated with works carried out.
	Records documenting the conduct and results of monitoring employees' general exposure to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of monitoring + 5 years	SI 2006/2739 Regulation 19(4)(b)	
	Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of monitoring + 40 years	SI 2006/2739 Regulation 19(4)(a)	
	Records documenting the conduct,	Superseded + 10 years	NA	SI 2006/2739 does not specify a

Activity	Record group	Retention period	Authority	Notes
	review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2006 (SI 2006/2739).			<p>retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, to fulfil the institution's duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Superseded + 10 years	NA	<p>SI 2006/2739 Regulation 15 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>
	Records documenting the institution's response to accidents, incidents and emergencies involving asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Last action on event + 10 years	NA	<p>SI 2006/2739 Regulation 15 does not prescribe a retention period for these records.</p> <p>Retaining records for a long period provides evidence of effective management of emergency situations.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
	Records documenting the	Date of	SI	

Activity	Record group	Retention period	Authority	Notes
	maintenance of equipment provided to control exposure to asbestos, to fulfil the institution's duties under Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	examination/test/repair + 5 years	2006/2739 Regulation 13(3)	
	Records documenting the preparation of written plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Completion of work to which plan relates.	SI 2006/2739 Regulation 7(2)	
	Records documenting the provision of information, instruction and training for employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 10 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Superseded + 10 years	NA	<p>SI 2006/2739 Regulation 10 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
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	Superseded + 10 years	NA	<p>SI 1992/2792 does not prescribe a retention period for these records.</p> <p>As a minimum, risk assessments should be retained until they are superseded.</p> <p>Retaining previous versions provides</p>

Activity	Record group	Retention period	Authority	Notes
	Regulations 1992 (SI 1992/2792).			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 - Hazardous Substances	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents, required by Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4.	Current + 40 years	SI 2002/2677 Regulation 7(10) and Schedule 3, para. 4(3)	
	Records documenting health surveillance of individual employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 11 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of last entry in record + 40 years	SI 2002/2677 Regulation 11(3)	
	Records documenting the conduct and results of monitoring employees' general exposure to substances hazardous to health, to	Last entry + 5 years	SI 2002/2677 Regulation 10(5)(b)	

Activity	Record group	Retention period	Authority	Notes
	fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).			
	Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last entry + 40 years	SI 2002/2677 Regulation 10(5)(a)	
	Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, to fulfil the institution's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	NA	<p>SI 2002/2677 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of	Superseded + 10 years	NA	<p>SI 2002/2677 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>

Activity	Record group	Retention period	Authority	Notes
	Substances Hazardous to Health Regulations 2002 (SI 2002/2677).			
	Records documenting the institution's response to accidents, incidents and emergencies involving substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last action on event + 10 years	NA	<p>SI 2002/2677 does not prescribe a retention period for these records.</p> <p>Retaining records for a long period provides evidence of effective management of emergency situations.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
	Records documenting the maintenance of equipment provided to control exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of examination/test/repair + 5 years	SI 2002/2677 Regulation 9(4)	
	Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	NA	<p>SI 2002/2677 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>

Activity	Record group	Retention period	Authority	Notes
Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant, to fulfil the institution's duties under Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of assessment + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 21(3)(a)	Dose records are usually made and maintained by a dosimetry service on behalf of an employer. A dosimetry service provides summaries of dose records to an employer on whose behalf it makes and maintains the records.
	Records documenting assessments of individual doses of ionising radiation received as a result of a radiation accident, to fulfil the institution's duties under Regulation 23 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of accident + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 23(2)(b)	
	Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where accidental release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiatio	Date of report + 50 years	SI 1999/3232 Regulation 30	
	Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the	Date of report + 2 years	SI 1999/3232 Regulation 30	

Activity	Record group	Retention period	Authority	Notes
	Ionising Radiations Regulations 1999 (SI 1999/3232).			
	Records documenting investigations into the exposure of 'classified persons' to ionising radiation, to fulfil the institution's duties under Regulation 22 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report of investigation + 2 years	SI 1999/3232 Regulation 22(4)	
	Records documenting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance, to fulfil the institution's duties under Regulation 24 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of last entry + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 24(3)	
	Records documenting tests to detect leakage from articles containing or embodying radioactive substances, to fulfil the institution's duties under Regulation 27 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Completion of subsequent test on article OR Disposal of article + 2 years.	SI 1999/3232 Regulation 27(3)	
	Records documenting the conduct, review and revision of assessments of the risks to health created by work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising	Superseded + 10 years	NA	SI 1999/3232 Regulation 7 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective

Activity	Record group	Retention period	Authority	Notes
	Radiations Regulations 1999 (SI 1999/3232).			management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
	Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of maintenance/testing + 2 years	SI 1999/3232 Regulation 19(4)(c)	
	Records documenting the maintenance of other equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 5 years	NA	SI 1999/3232 does not prescribe a retention period for these records.
	Records documenting the maintenance of personal protective equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 2 years	SI 1999/3232 Regulation 10(2)	
	Records documenting the monitoring of levels of ionising	Date of monitoring + 2 years	SI 1999/3232	

Activity	Record group	Retention period	Authority	Notes
	radiation in designated controlled areas, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).		Regulation 19(4)(c)	
	Records documenting the preparation of contingency plans to deal with radiation accidents, to fulfil the institution's duties under Regulation 12 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Superseded	NA	SI 1999/3232 does not prescribe a retention period for these records.
	Records documenting the provision of information, instruction and training for employees who are exposed to ionising radiation, to fulfil the institution's duties under Regulation 14 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Superseded + 10 years	NA	SI 1999/3232 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
	Records of the quantity and location of radioactive substances, to fulfil the institution's duties under Regulation 28 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Disposal of radioactive substance + 2 years OR Date of record + 2 years, whichever is the longer.	SI 1999/3232 Regulation 28	
	Reports of immediate investigations into possible overexposure to ionising radiation,	Date of report of investigation + 2 years	SI 1999/3232 Regulation	

Activity	Record group	Retention period	Authority	Notes
	to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).		25(2)(a)	
	Reports of investigations into occurrences of overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 25(2)(b)	
	Summaries of dose records, as required by Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Current year + 2 years	SI 1999/3232 Regulation 21(7)	
Health & Safety Hazard Exposure Control - Lead	Records documenting medical surveillance of individual employees who are exposed to lead, to fulfil the institution's duties under Regulation 10 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of last entry on record + 40 years	SI 2002/2676 Regulation 10(5)	
	Records documenting the conduct and results of monitoring employees' general exposure to lead (in air), to fulfil the institution's duties under Regulation 9 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last entry + 5 years	SI 2002/2676 Regulation 9(4)	
	Records documenting the conduct, review and revision of	Superseded + 10 years	NA	SI 2002/2676 Regulation 5 implies that the records should be retained

Activity	Record group	Retention period	Authority	Notes
	assessments of the risks to health created by work involving lead, to fulfil the institution's duties under Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).			<p>until the risk assessment is superseded.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	NA	<p>SI 2002/2676 does not prescribe a retention period for these records.</p> <p>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</p>
	Records documenting the institution's response to accidents, incidents and emergencies involving lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last action on event + 10 years	NA	<p>SI 2002/2676 does not prescribe a retention period for these records.</p> <p>Retaining records for a long period provides evidence of effective management of emergency situations.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
	Records documenting the	Date of	SI	

Activity	Record group	Retention period	Authority	Notes
	maintenance of equipment provided to control exposure to lead, to fulfil the institution's duties under Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	examination/test/repair + 5 years	2002/2676 Regulation 8(4)	
	Records documenting the provision of information, instruction and training for employees who are exposed to lead, to fulfil the institution's duties under Regulation 11 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	NA	SI 2002/2676 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
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	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
	2005/1643)			
	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.
	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

Activity	Record group	Retention period	Authority	Notes
				management of health and safety over time.
Health & Safety Incident Management	Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on the institution's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years or Superseded + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.
	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 and review of safety drills to fulfil	Current year + 5 years or Superseded + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).			Retaining information about previous drills etc. provides evidence of compliance and effective management of health and safety over time.
	Records documenting the conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Review of assessment + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous assessments provides evidence of compliance and effective management of health and safety over time.
	Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years	NA	SI 1981/917 does not prescribe a retention period for these records. Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.
	Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541)	Superseded + 5 years	NA	Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Records documenting the maintenance of premises, facilities	Current year + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).			Retaining maintenance history provides evidence of compliance and effective management of health and safety over time.
	Records documenting the maintenance of premises, facilities and equipment to fulfil the institution's duties under Article 17 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records. Retaining maintenance history provides evidence of compliance and effective management of health and safety over time.
	Records documenting the nomination of 'competent persons' to implement fire-fighting measures to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person'	NA	SI 2005/1541 does not prescribe a retention period for these records. Retention of these records must comply with the provisions of the Data Protection Act 1998 (c. 29). 'Competent persons' in this context are often referred to as 'fire wardens' or similar.
	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	Current year + 5 years	NA	SI 2005/1541 does not prescribe a

Activity	Record group	Retention period	Authority	Notes
	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).	or Superseded + 5 years		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.
	Records documenting the provision of role-specific training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years or Superseded + 5 years	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.
Health & Safety Incident Recording, Reporting & Investigation	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years	1980 c. 58 s 11	
	Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous	Date of notification + 3 years	In line with SI 1995/3163 Regulation	

Activity	Record group	Retention period	Authority	Notes
	occurrences and outbreaks of notifiable diseases to enforcing authorities.		7(3)	
	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises, to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163).	Date of recording + 3 years	SI 1995/3163 Regulation 7(3) SI 1993/2113 Regulation 2	The contents of records to be kept are specified in Schedule 4 of SI 1995/3163.
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 Inspection	Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.	Current year + 5 years OR Superseded + 1 year	NA	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
Health & Safety Management Procedure Development	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, control, monitoring and review of preventive and protective measures, as set out

Activity	Record group	Retention period	Authority	Notes
				<p>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>

Student induction

Information held by Learning and Teaching Services (LTS) and Partnerships, PGR, Equality and Diversity (PPE) (for PGR) and by SCI.

Activity	Record group	Retention period	Authority	Notes
Student Induction	Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	NA	
	Records documenting the design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	NA	