

Records retention schedule (RRS)

ISC10D045 - Appendix

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This document lists the University's records retention schedules. It provides background on the need for retention schedules, the structure of the schedules, and processes for the creation and adoption of schedules.

Schedules are based on guidance provided by JISC and grouped into the following areas:

- **Approved.** Those schedules which have been approved and adopted as practice.
- **In development.** Those schedules which have been adapted to fit within the institution but are subject to approval.
- **Allocated.** Those schedules which have not yet been adapted to fit within the institution, but are provided for reference and are provisionally allocated to the most likely owning department.
- **Unallocated.** Any other schedules listed in the JISC scheme which have not yet been fitted into the institution's structure.

This document is expected to be subject to regular change and update as the Information Audit clarifies business areas, records held, and addresses the adaption of the generic schedules.

Version history

Including notes of endorsement and approval of different versions of the document

Version	Date	Note
0.3	21/12/2010	First draft

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Introduction

This document summarises records retention schedules (RRS) for all areas of the University. It complements the University's Records Management Policy which can be found at <http://www.uea.ac.uk/is/strategies/infregs/Records+management+policy>.

Records of the University's business activities pass through a well-established records management lifecycle from creation, active use, semi-active use through to final outcome (usually disposal or permanent retention or archiving)¹. The records retention schedule determines how long a record should be kept relative to a defined trigger through the active and semi-active stages in the lifecycle, and what action should be employed to the record at the end of the retention period.

The RRS is essential for effective records management. It sets out the policy on retention of business records, and helps establish consistent practice across the organisation. The schedules ensure business records are kept for as long as they are needed (accounting for effective operations, legislative compliance, regulators' compliance, demonstrable accountability). They are also kept only for as long as they are needed (and not longer), so storage space (both physical and virtual/electronic) is used effectively.

This RRS is based upon a generic schedule developed by JISC and published on the web at <http://bcs.jiscinfonet.ac.uk/he/>. It is divided into business areas and within each business area, a number of record types are described.

The retention periods specified in this document are the minimum recommended periods for particular record types, and are based on relevant legislative requirements. Under certain circumstances, longer periods may apply to certain groups of records, such as where the records are subject to a Freedom of Information request, an audit or existing business requirements. There may also be situations where records are subject to external regulatory requirements determining a different (longer or shorter) retention period.

For these reasons, it is recommended that care is taken when applying automated systems to dispose of records at the end of the retention period.

Location of record groups

The schedule is structured around record categories and subcategories and related to most relevant department with responsibility for creating and maintaining those records. It should also be noted, however, that records of particular types may reside in a number of departments. For example, finance records may be held within individual departments as well as the Finance Division (FIN). Departments may hold some of their own records related to personnel in addition to that held by the Human Resources Division (HRD).²

Record groups

The following table headings are used within the RRS:

- **Activity.** A high level description of the business activity which generates the records.

¹ <http://www.jiscinfonet.ac.uk/infokits/information-lifecycle>

² A full picture detailing what sorts of records are held by which areas of the University is one of the outputs from the Information Audit (IA).

- **Record group.** The types of records generated by the activity.
- **Retention period.** The length of the period for which the records of the particular record group should be retained. The Retention periods contain two elements: starting point or trigger and a period of time. For example, 'Current tax year + 3 years' or 'Termination of contract + 6 years'. Where the periods are defined by legislation, these are minimum periods. If there isn't a prescribed period, then one is defined based on the professional judgement of the authors of the schedule. Retention periods apply to the official copy³ of the record. Duplicates do not need to be kept so long.
- **Action at period end.** What action should be taken to the records when they pass the end of the retention period: disposal, reduce to core elements, archive, or review for archival value. Professional archivists should review University records for their archival value.⁴
- **Authority.** Where relevant, there is a reference to the appropriate statute, statutory instrument, standard or guidance document which prescribes the retention period.
- **Notes.** Further information about the retention schedule such as reasons for the period, issues requiring highlighting or any other additional information.

Authority

The format for citations of authorities is as follows:

Authority	Description	Example	Example citation
Act of UK Parliament	Year and chapter number of the piece of legislation	Disability Discrimination Act 1995	1995 c.50
UK statutory instrument	Year and serial number	Disability Discrimination (Public Authorities)(Statutory Duties) Regulations 2005	SI 2005/2966
Other documents	Codes of practice and guidance documents cited by reference number	HM Revenue & Customs Notice 700/21 Keeping records and accounts	HMRC 700/21

Note that the online version of the JISC RRS on which this document is based has links to the appropriate sources for the legislation, statutory instrument or guidance (<http://bcs.jiscinfonet.ac.uk/he/>).

³ The location of the official copy of a record is determined by the Information Audit (IA).

⁴ At the moment (Dec 2010), the University does not employ a professional archivist.

Further development of the RRS

The records retention schedules are a living document and subject to change and revision as determined by University structures and organisation, operations and external influences such as legislation and guidance on best practice.

The schedules within this document are divided into four groups:

- **Approved.** Those which have been developed and approved and adopted as practice across the institution.
- **In development.** Those which are being developed for areas of University business so they reflect our policies, practices and preferences (i.e. record groups have been added, removed or changed, retention periods adjusted), but have not yet been offered for approval.
- **Allocated.** Those which have been provisionally attributed to the most likely departmental owners of records created within the business areas, but which are still subject to review and accurate determination in the context of the Information Audit (IA).
- **Unallocated.** Those which have not been attributed to any departmental owner. These may be removed if the Information Audit (IA) determines they are not relevant to the University.

Where a reference to a record type is not found within these schedules, the advice available on the JISC website should be consulted, and the University Information Policy & Compliance Manager informed so that the record type may be added to this schedule.

Additional information about record type

Additional information may be recorded against record types, and the following have been proposed for consideration in later revisions of the document:

- Location (department, possibly multiple departments)
- Responsibilities for retaining records
- Responsibilities for action at end of retention period
- Information classification (from categories defined in the Information Classification policy⁵)
- Security of record type (related to the information classification related to it)
- Access to the record type (related to the information classification related to it)
- FOIA/EIR action (where relevant, what action is applied to requests for information related to this record type: link to location in the publications scheme, or exemptions/exceptions which might apply)
- Format (held electronically in filestore, within an information system, on paper, etc.)

Determining the retention period

To determine how long to keep records, the following should be considered:

- operational needs
- legislative or external requirements or recommendations
- long-term research needs

Where there is no guidance, determining an appropriate period is a matter of risk assessment (retention v disposal) balanced against the cost of keeping the records. Records which are not official

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<https://intranet.uea.ac.uk/is/itregs/ictpolicies/secman/SM11.1+Information+Classification+and+Data+Policies>

copies and which have no significant value are transitory records, and should be routinely destroyed (except where subject to a current FOIA request or relevant to legal action).

Consultation and approval process for development of retention schedules

Determination of a retention period can involve consultation a number of different groups of people: operational managers, professional advisers (lawyers, auditors, H&S advisors), information specialists (archivists), academics (long-term research value of records and significance in a wider cultural perspective).

Retention decisions must be formally approved by senior officers who have the authority to commit the institution to the consequences of the decisions (resources and risks). At UEA, retention schedules and updates to this document are approved by the ISSC.

The following process is proposed:

1. Records Manager⁶ drafts a retention policy with records owners, considering legislation, working practice, and JISC guidance.
2. Draft policies are considered by the RM Steering Group⁷ (meets 2-3 times a year)
3. The Records Manager follows up with owners on queries/changes required by the Steering Group.
4. Head or Director of appropriate department signs off the draft as policy (e.g. financial records retention signed off by Director of Finance).
5. Policies signed off by HoD are approved by University Registrar and Secretary.
6. Approved policies are published on the University's website in the Records Retention Schedule at <http://www.uea.ac.uk/is/strategies/infregs/recordsmanagement>.
7. All departmental RM contacts are informed of the new policy.
8. All approved policies are reviewed by the Steering Group every 5 years.

Adoption of retention schedules within affected departments

Once a records retention schedule has been approved, the onus is on affected departments to integrate the policy into their working procedures. It is assumed that processes creating and managed business records are already established, and integration of the RRS requires modification of those procedures.

In particular, the following points should be included:

- Departments should be clear whether they are the holder of a master record or a duplicate of a master record. Retention of both master and duplicates is not normally required unless deduplicating would present operational difficulties to departments
- Records should be stored with a note of their submission date and expiry (based on the retention period)
- Regular reviews of record stores should be undertaken to identify those past their retention schedule

⁶ Roles in the structure for a centrally-managed records management service are still to be defined and assigned. The Records Manager role is fulfilled by the Information Policy & Compliance Manager (IPCM) in the Records Management Policy.

⁷ The RM Steering Group or appropriate governance body. Policies (such as RRSs) with application across the institution are generally approved by the ISSC.

- When a record set is defined to be reduced to a core set of records at the end of the retention period, procedures should define which parts are to be retained and which destroyed
- Confidential records should be disposed of using confidential waste services
- A record of all disposals against the schedule should be kept
- HoDs should each year certify that they have destroyed records
- Records eligible or likely to be eligible for permanent preservation in archives should be identified and submitted for consideration⁸

Contact details

For further information on this records retention schedule and guidance and advice on records management, contact the Information Policy & Compliance Manager.⁹

⁸ At the moment (Dec 2010), there is no central University archive to which records of historical (or otherwise) value can be submitted.

⁹ Contact details and structure for central support for records management are still to be decided. This reference reflects the responsibilities ascribed to the IPCM in the University's Records Management Policy.

Approved RRSs

These records retention schedules have been approved by the appropriate governance body and accepted as University policy for application in relevant departments holding the particular record types.

<There are no approved RRSs>

In development RRSs

These record retention schedules are being considered and developed by the owning unit or department to reflect records management practice in that department. These RRSs have not yet been approved as University policy.

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	Master copies of procedures	Superseded + 5 years	NA	Destroyed	

Activity	Record group	Retention period	Authority	Action at period end	Notes
Procedure Development	relating to this business area.				
	Records documenting the development of the institution's procedures relating to this business area.	Issue of procedures + 1 year	NA	Destroyed	

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 under the Data Protection Act 1998 (c. 29).	Last action on request + 1 year	Common practice	Destroyed	1998 c. 29 does not prescribe a retention period for these records. A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals.
	Records documenting the	Current year + 1 year	NA	Destroyed	Notification must be renewed

Activity	Record group	Retention period	Authority	Action at period end	Notes
	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).				annually to maintain an entry in the public register of data controllers.
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	
	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).

Activity	Record group	Retention period	Authority	Action at period end	Notes
					Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records (see INFORMATION COMPLIANCE MANAGEMENT - INFORMATION COMPLIANCE POLICY DEVELOPMENT).
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 National Archives).	Destroyed	
	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	Completion of request handling process + 3	Records created by a	Destroyed	The National Archives recommends '3 Years after date

Activity	Record group	Retention period	Authority	Action at period end	Notes
	information held by the institution, made under the Freedom of Information Act 2000 (c. 36)	years	public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).		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
Copyright Compliance Administration	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.	Period for which permission is granted + 6 years	1980 c. 58 s 5		
	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	Last action on application + 1 year	NA		
	Records documenting the compilation of statistical	Current year + 1 year	NA		

Activity	Record group	Retention period	Authority	Action at period end	Notes
	and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.				
	Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements.	Last action on case + 1 year	NA		
	Records documenting the institution's participation in surveys / audits undertaken by the Copyright Licensing Agency.	Completion of survey/audit	NA		
	Records documenting the results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	Current + 5 years	NA		
Information compliance (general)	Records relating to the provision of advice and guidance to staff and external persons	TBC	NA	Destroyed	

Allocated RRSs

These records retention schedules are still to be completed. An initial assessment of the most likely owner of the records has been made, but this is subject to review.

Academic

Information is held by Academic Division (ACAD) and Faculty Teaching Offices.

Teaching

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	
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	

Activity	Record group	Retention period	Authority	Notes
	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 quality assurance processes.	While current	NA	

Academic programme administration

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

Student registration, progress, records

Activity	Record group	Retention period	Authority	Notes
Student Progress Administration	Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress.	Termination of relationship with student + 6 years	1980 c. 58 s 5	
	Records documenting the termination of individual students' programmes.	Termination of relationship with student + 6 years	1980 c. 58 s 5	
	Records documenting the transfer of individual students to new programmes or to new courses within programmes.	Termination of relationship with student + 6 years	1980 c. 58 s 5	
	Records documenting the withdrawal of individual students from the institution.	Termination of relationship with student + 6 years	1980 c. 58 s 5	
Student Records Administration	First Destination Surveys: individual responses	Completion of analysis of responses	NA	
	Records containing (anonymised) summaries and analyses of the results of First Destination Surveys.	Current academic year + 5 years	NA	
	Records containing personal data on individual students	Minimum requirement varies for different types of personal data. Recommended maximum retention: End of 'registered student' relationship with	1980 c. 58 s 5	See Guidance on Retention of Student Records.

Activity	Record group	Retention period	Authority	Notes
		institution + 6 years		
	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	NA	
	Records documenting the design and conduct of First Destination Surveys.	Current academic year + 5 years	NA	
	Records documenting the handling of individual students' requests for statements of results/transcripts.	Last action on request + 1 year	NA	
	Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year	NA	
	Records documenting the handling of requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request + 1 year	NA	
Student Registration	Records containing summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	NA	
	Records documenting the registration of individual students on programmes.	Termination of student relationship + 6 years	1980 c. 58 s 5	

Student assessment administration

Activity	Record group	Retention period	Authority	Notes
Assessment Administration	Pass Lists/Awards lists	Issue of list + 10 years	NA	
	Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances.	Current academic year + 1 year	NA	
	Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.	Current academic year + 1 year	NA	
	Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.	Current academic year + 1 year	NA	
	Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year	NA	
	Records documenting the design and delivery of training for examination invigilators.	Current academic year + 1 year	NA	
	Records documenting	Current academic	NA	

Activity	Record group	Retention period	Authority	Notes
	the issue of awards lists and individual notifications of awards.	year + 1 year		
	Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 1 year	NA	
	Records documenting the selection and appointment of examination invigilators.	Current academic year + 1 year	NA	
	Records documenting the timetabling of examinations.	Current academic year + 1 year	NA	
Examination Board Administration	Records documenting the arrangements for meetings of a Board.	Current year + 1 year	NA	
	Records documenting the conduct of the business of a committee: agenda, minutes and papers.	Current academic year + 6 years	1980 c. 58 s 5	
	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or	Current academic year + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	to actions to be taken (or not taken) as a result of committee decisions.			
External Examiner Administration	Records documenting liaison with external examiners on administrative matters.	Current academic year + 1 year	NA	
	Records documenting the selection and appointment of external examiners.	Termination of appointment + 1 year	NA	

Academic award administration

Activity	Record group	Retention period	Authority	Notes
Academic Award Conferment	Records documenting offers of honorary awards and responses received.	Conferment of award + 1 year	NA	
	Records documenting the notification of awards to students and the issue of awards certificates.	Conferment of award + 1 year	NA	
	Records documenting the process of inviting, receiving and considering nominations for honorary awards.	Conferment of award + 1 year	NA	
Award Ceremony Administration	Records documenting the mailing of award certificates to students who do not attend ceremonies.	Completion of ceremony + 1 year	NA	
	Records documenting the organisation of award ceremonies.	Completion of ceremony + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the production of award certificates.	Completion of ceremony + 1 year	NA	

Research

Information held by Academic Division (REE – Research, Enterprise and Engagement) and Faculty Research Offices

Activity	Record group	Retention period	Authority	Notes
Research Business Development	Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	Current academic year + 5 years	NA	
	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	1980 c. 58 s 5	
	Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	NA	
	Records documenting the identification and exploration of new	Completion of project	NA	

Activity	Record group	Retention period	Authority	Notes
	research opportunities which lead to research projects.			
Research Conduct	Records documenting the conduct of all other research funded by all other organisations.	Completion of project + 10 years	Stated or implied requirements of UK Research Councils and other significant research sponsors. See Guidance on Managing Research Records.	A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor.
	Records documenting the conduct of clinical or public health studies funded by the Medical Research Council, except specific categories of records in studies for which consent was obtained.	Completion of project + 20 years	Medical Research Council, Good Research Practice, section 5.2 Medical Research Council, Personal Information in Medical Research, section 7.1.2	The Medical Research Council requires full records of these studies to be retained for this minimum period and advises that retention for a longer period may be required where studies were of historical importance, where novel clinical interventions were first used, where studies have proved controversial or where research is ongoing.
	Records documenting the conduct of research funded by the Medical Research Council, except where other requirements	Completion of project + 10 years	Medical Research Council, Good Research Practice, section 5.2	The Medical Research Council requirement is specifically for primary research data. However, retaining full records of research studies is recommended.

Activity	Record group	Retention period	Authority	Notes
	are specified (see TBC).			
	Records documenting the protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the Medical Research Council.	Completion of project + 30 years	Medical Research Council, Personal Information in Medical Research, section 7.1.2	
Research Design & Planning	Records documenting the design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year	NA	Retention for a longer period may be advisable, depending on the reasons for abandoning the project.
	Records documenting the design and planning of research projects which are undertaken: key records.	Completion of project + 10 years	NA	This recommended retention period is in line with retention period for records documenting the conduct of research.
	Records documenting the design and planning of research projects which are undertaken: working papers.	Completion of project	NA	
Research Funding Administration	Records documenting the preparation and submission of applications for funding, where the	Completion of project (i.e. termination of award) + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	application is successful (i.e. results in the offer of a funding award).			
	Records documenting the preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award).	Receipt of notification that application was unsuccessful + 1 year	NA	
Research Project Management	Records documenting the management of externally-funded research projects.	Completion of project + 6 years	1980 c. 58 s 5	A longer retention period for these records may be required by a research sponsor.
	Records documenting the management of internally-funded research projects.	Completion of project + 3 years	Common internal audit requirement	
Research Quality & Standards Management	Records documenting the conduct and results of external reviews and audits of research quality and standards.	Current academic year + 5 years	NA	
	Records documenting the conduct and results of formal internal reviews of research quality, and	Current academic year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	responses to the results.			
	Records documenting the development of the institution's internal quality assurance processes.	While current	NA	
Research Reporting	Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 3 years	NA	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.
	Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 1 year	NA	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.

Research programmes

Information held by Academic Division (ACAD) and Faculty PGR Offices.

Activity	Record group	Retention period	Authority	Notes
Research Programme Assessment	Records documenting awards and classifications, including reviews in	Current academic year + 6 years	1980 c.58 s 5	

Activity	Record group	Retention period	Authority	Notes
	response to notifications of mitigating circumstances or academic appeals.			
	Records documenting the conduct of formal assessments of work undertaken by research students.	Completion of student's programme + 6 years	1980 c.58 s 5	
Research Programme Development	Records documenting routine monitoring of external developments and trends to inform the development of the institution's research programmes.	Current academic year + 1 year	NA	
	Records documenting the development of the institution's research programmes.	Life of programme + 10 years	NA	
Research Programme Review	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 3 years	NA	
	Records containing reports of routine internal reviews of research programmes.	Current academic year + 5 years	NA	
	Records documenting the conduct and	Current academic year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	results of formal independent reviews of research programmes, and the responses to the results.			
Research Student Monitoring & Support	Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	Completion of student's programme + 6 years	1980 c.58 s 5	
Research Supervisor Appointment & Training	Records documenting the appointment of supervisors for research students.	Termination of appointment + 1 year	NA	

Knowledge transfer and enterprise

Information held in Academic Division (REE – Research, Enterprise & Engagement).

Consultancy

Activity	Record group	Retention period	Authority	Notes
Consultancy Contract Management	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key	Termination of contract + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	records.			
	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: working papers.	Agreement of contract	NA	
Consultancy Project Delivery	Records documenting project deliverables/outcomes: draft versions and working papers.	Termination of contract	NA	
	Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract + 6 years	1980 c. 58 s 5	
	Records documenting substantive project work.	Termination of contract + 3 years	Common audit requirement	Information/records provided by clients may be returned to them at the end of projects.
	Records documenting the scheduling of meetings, interviews and other project work.	Termination of contract	NA	
Consultancy Project Management	Records documenting the management of consultancy projects: key records.	Termination of contract + 3 years	Common audit requirement	
	Records documenting the management of consultancy projects: working papers.	Termination of contract	NA	
Consultancy Promotion	Directories of expertise	Current	NA	Retention of these records must comply with the

Activity	Record group	Retention period	Authority	Notes
				provisions of the Data Protection Act 1998.
Consultancy Prospect Management	Records documenting the handling of enquiries about consultancy, where no further action is taken.	Last action on enquiry + 1 year	NA	
	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is accepted (i.e. results in a contract): working papers.	Agreement of contract	NA	
	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.	Termination of contract + 6 years	1980 c. 58 s 5	
	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	Receipt of notification that proposal/tender was unsuccessful + 1 year	NA	

Education and training

Activity	Record group	Retention period	Authority	Notes
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Activity	Record group	Retention period	Authority	Notes
Education & Training Contract Management	Records documenting the negotiation and establishment of contracts.	Termination of contract + 6 years	1980 c. 58 s 5	
Education & Training Programme Assessment	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	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 + 6 months.	NA	
	Records documenting the design and development of assessments.	Life of programme	NA	
Education & Training 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	
Education & Training Programme Development	Records documenting the development of education and training programmes.	Life of programme + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
Education & Training Programme Review	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years	NA	

Intellectual property rights (IPR) management

Activity	Record group	Retention period	Authority	Notes
IPR Protection	Records documenting applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration	NA	
	Records documenting identified infringements of the institution's IPR, and action taken other than litigation.	Last action on case + 6 years	1980 c.58 s 5	
	Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR.	Current year + 5 years	NA	
	Records documenting the institution's applications for other forms of IPR protection (registered trade marks, registered designs) and certificates of registration	End of registration + 6 years	1980 c. 58 s 5	
	Records documenting the	Life of patent + 50 years	Legal opinion	

Activity	Record group	Retention period	Authority	Notes
	institution's applications for patents and patent certificates.			

Intellectual property rights (IPR) exploitation

Activity	Record group	Retention period	Authority	Notes
IPR Assignment	Records documenting the negotiation and completion of IPR assignments to third parties.	Life of IPR + 6 years	1980 c. 58 s 5	
IPR Licensing	Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence + 6 years	1980 c. 58 s 5	

Executive management

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

Audit

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	

Corporate planning and performance management

Activity	Record group	Retention period	Authority	Notes
Operational Performance	Records documenting benchmarking exercises with other	Current + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
Management	comparable institutions.			
	Records documenting performance monitoring and analysis.	Current year + 1 year	NA	
	Records documenting the development of the institution's key performance indicators.	Superseded	NA	
Operational Planning	Records documenting the development of the institution's annual operating plans: key records.	Current year + 5 years	NA	
	Records documenting the development of the institution's annual operating plans: working papers.	Current year + 1 year	NA	
Strategic Performance Management	Records containing data on, and analyses of, the institution's performance against its strategic plan.	Current academic year + 5 years	NA	
	Records containing reports on the institution'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 institution's strategic plan: key records.	Superseded + 10 years	NA	
	Records documenting the development of the institution's	Publication of strategic plan + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	strategic plan: working papers.			

Governance

Activity	Record group	Retention period	Authority	Notes
Governance Framework Development	Records documenting the establishment and development institution's governance structure and rules.	Life of institution	NA	
Legal Framework Development	Records documenting the establishment and development of the institution's legal framework.	Life of institution	NA	
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	Life of committee + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	rules and procedures, for a committee.			
	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 representation	NA	
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	
Senior Officers' Appointments Administration	Records documenting the appointment/ election/designation of the institution's senior officers.	Termination of appointment + 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

Activity	Record group	Retention period	Authority	Notes
				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 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.	Current year + 5 years	NA	
	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a statutory committee.	Life of institution	NA	
	Records documenting the development of induction and training programmes for members of a statutory committee.	Superseded + 5 years	NA	Retaining previous versions provides evidence of effective induction and training over time.
	Records documenting training undertaken by individual members of a statutory committee.	Termination of appointment + 6 years	1980 c. 58 s 5	
	Register of interests of members of the institution's governing body.	Termination of appointment + 6 years	1980 c. 58 s 5	

Legal affairs management

Activity	Record group	Retention period	Authority	Notes
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Activity	Record group	Retention period	Authority	Notes
Contracts & Agreements Management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : agreements and contracts under seal (by deed).	Termination of contract + 12 years	1980 c. 58 s 8	
	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : other contracts and agreements.	Termination of contract + 6 years	1980 c. 58 s 5	
Legal Advice	The activities associated with providing legal opinions and advice to the institution.	Life of institution	NA	
	The activities associated with providing opinions and advice to the institution on legal matters.	Superseded + 5 years	NA	
Legal Claims Management	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	1980 c. 58 ss 2 and 5	
Litigation Management	Records documenting litigation between the institution and third parties where legal precedents are set.	Life of institution	NA	
	Records documenting litigation between the institution and third	Settlement of case + 6 years	1980 c. 58 ss 2 and 5	

Activity	Record group	Retention period	Authority	Notes
	parties which does not set legal precedents.			

Organisational development

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

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	

Parliamentary relations management

Activity	Record group	Retention period	Authority	Notes
Parliamentary Communications Management	Records documenting general correspondence with parliamentary bodies.	Current year + 5 years	NA	
	Records documenting requests for information from parliamentary bodies, the consideration of the	Last action on request + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	requests, preparation of responses and the responses provided.			
Parliamentary Consultations Management	Records documenting the institution's formal responses to consultations conducted by parliamentary bodies.	Last action on consultation + 3 years	NA	
	Records documenting the preparation of the institution's formal responses to consultations conducted by parliamentary bodies (including records of internal consultation processes).	Last action on consultation + 1 year	NA	
Parliamentary Inquiries & Investigations Management	Records documenting the institution's participation in formal parliamentary inquiries.	Last action on inquiry + 10 years	NA	

Government relations management

Activity	Record group	Retention period	Authority	Notes
Government Communications Management	Records documenting general correspondence with government bodies.	Current year + 5 years	NA	
	Records documenting requests for information from government bodies,	Last action on request + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	the consideration of the requests, preparation of responses and the responses provided.			
Government Consultations Management	Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government bodies (including records of internal consultation processes).	Last action on consultation + 1 year	NA	
	Records documenting the institution's formal responses to consultations conducted by government bodies.	Last action on consultation + 5 years	NA	
Government Inquiries/Investigations Management	Records documenting the institution's participation in formal government or public inquiries.	Last action on inquiry + 10 years	NA	
Government Reporting	Records documenting the preparation and submission of reports to government bodies.	Submission of report + 3 years	NA	

HE/FE sector relations management

Activity	Record group	Retention period	Authority	Notes
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Activity	Record group	Retention period	Authority	Notes
HE/FE Sector Collaboration	Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions.	Termination of contractual relationship + 6 years	1980 c. 58 s 5	
HE/FE Sector Communications Development	Publications	While current + 1 year	NA	
	Records documenting general enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given.	Last action of enquiry + 1 year	NA	
	Records documenting the institution's general communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies.	Current year + 5 years	NA	
	Records documenting the production of publications specifically intended for the HE and/or FE sector(s).	Publication + 1 year	NA	
HE/FE Sector Consultations Management	Records documenting the institution's formal responses to consultations conducted by HE/FE sector organisations.	Last action on consultation + 3 years	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the preparation of the institution's formal responses to consultations conducted by HE/FE sector organisations (including records of internal consultation processes).	Last action on consultation + 1 year	NA	
HE/FE Sector Events Management	Records documenting the organisation and administration of events for the HE sector.	Completion of event + 1 year	NA	
	Records documenting the planning and impact/results of events for the HE sector.	Completion of event + 3 years	NA	
HE/FE Sector Reporting	Records documenting the preparation and submission of reports to HE/FE regulatory bodies.	Submission of report + 3 years	NA	
HE/FE Sector Representation	Records documenting the institution's membership of organisations.	Termination of membership + 1 year	NA	
	Records documenting the institution's participation in the activities of external organisations (including committees).	Termination of involvement + 1 year	NA	

Estates and facilities

Information held by the Estates Division (EST).

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	
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	Date of notification + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	to enforcing authorities.			
	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.

Activity	Record group	Retention period	Authority	Notes
	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. Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.

Activity	Record group	Retention period	Authority	Notes
	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 determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI	Review of assessment + 10 years	NA	SI 2006/2739 does not prescribe a retention period for these records. Retaining assessments provides evidence of effective management of risks associated with

Activity	Record group	Retention period	Authority	Notes
	2006/2739).			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 conduct and results of security inspections of properties, and action taken to address issues raised.	Completion of subsequent inspection	NA	
	Records documenting the conduct of routine security	Creation + 1 month	NA	

Activity	Record group	Retention period	Authority	Notes
	surveillance of properties.			
	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.
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	Completion of works + 15 years	1980 c. 58 s 14	

Activity	Record group	Retention period	Authority	Notes
	design and fit-out schemes.			
	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.
	Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month		

Personnel

Information held by the Human Resources Division (HRD).

Human resources management

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).
	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	Closure of case + 6 years	Common HR practice	Chartered Institute of Personnel and

Activity	Record group	Retention period	Authority	Notes
	employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.			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: employees exposed to hazardous substances during employment.	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.		
	Records documenting pre-employment health screening of an employee:	Termination of employment + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	other employees.			
	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	
	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	Termination of employment + 6 years	1980 c. 58 s 5	See Section 1.7 of the Employment

Activity	Record group	Retention period	Authority	Notes
	application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks).	(as part of employee contract records) except information which is not relevant to the ongoing employment relationship.		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 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	Termination of employment + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	medical grounds) or dismissal.			
	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	
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	Derecognition + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	institutional recognition/derecognition of trades unions.			
	Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	NA	
Pension Schemes Administration	Records documenting routine communications with the pension schemes.	Current year + 5 years	NA	
	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs.	Termination of relationship + 5 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	
Workforce	Records containing summary	Current year + 3 years	NA	

Activity	Record group	Retention period	Authority	Notes
Performance Management	(anonymised) results of employees' performance 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	
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	Completion of recruitment process	NA	

Activity	Record group	Retention period	Authority	Notes
	and requests for application forms.			
	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

Activity	Record group	Retention period	Authority	Notes
				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 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). Actions under discrimination legislation 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.

Activity	Record group	Retention period	Authority	Notes
				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	
Workforce Remuneration & Reward Management	Records documenting pay reviews.	Current year + 5 years	NA	
	Records documenting	Termination of scheme +	NA	

Activity	Record group	Retention period	Authority	Notes
	special reward schemes (e.g. Merit Reviews).	5 years		
	Records documenting the development of the institution's remuneration structure.	Current year + 10 years	NA	
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	

Activity	Record group	Retention period	Authority	Notes
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	
	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	

Equality and diversity management

Activity	Record group	Retention period	Authority	Notes
Disability Equality Compliance	Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons.	Superseded + 5 years	NA	Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Records documenting the preparation of annual reports on the implementation of the institution's Disability Equality Scheme.	Current year + 5 years	NA	SI 2005/2966 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Records documenting the preparation/revision of the institution's Disability Equality	Superseded + 5 years	NA	SI 2005/2966 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	Scheme.			Retaining previous versions provides evidence of compliance and effective management of equality over time.
Discrimination Complaints Handling	Records documenting the handling of formal complaints about discrimination by or within the institution.	Last action on case + 6 years	1980 c. 58 s 2	
Equality & Diversity Monitoring	Records containing summary statistical information resulting from equality monitoring.	Current year + 5 years		
Equality & Diversity Training	Records documenting the development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	NA	
Ethnic Minority Mentoring Scheme Co-ordination	Records documenting the handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes.	Completion of the Scheme + 1 year	NA	
Gender Equality Compliance	Records documenting assessments of the impact of the institution's policies and practices on equality for men and women.	Superseded + 5 years	NA	SI 2006/2930 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Records documenting the preparation of annual reports on the implementation of the institution's Gender Equality Scheme.	Current year + 5 years	NA	SI 2006/2930 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Records documenting the	Superseded + 5 years	NA	SI 2006/2930 does not prescribe a

Activity	Record group	Retention period	Authority	Notes
	preparation/revision of the institution's Gender Equality Scheme.			retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
Race Equality Compliance	Records documenting assessments of the impact of the institution's policies on equality between different racial groups.	Superseded + 5 years	NA	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Records documenting the monitoring, by racial group, of employee recruitment and career progress.	Current year + 5 years	NA	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Records documenting the monitoring, by racial group, of student admission and progress.	Current year + 5 years	NA	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
	Records documenting the preparation of the institution's race equality policy.	Superseded + 5 years	NA	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.

Safety services

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

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 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.

Activity	Record group	Retention period	Authority	Notes
	Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Completion of election + 1 year	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 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	Current year + 5 years	NA	SI 1977/500 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).			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 - 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	Completion of work to which the assessment relates + 10 years	NA	SI 2006/2739 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	5 of the Control of Asbestos Regulations 2006 (SI 2006/2739).			Retaining assessments provides evidence of effective management of risks over time.
	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	Date of monitoring + 40 years	SI 2006/2739 Regulation 19(4)(a)	

Activity	Record group	Retention period	Authority	Notes
	Control of Asbestos Regulations 2006 (SI 2006/2739).			
	Records documenting the conduct, review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Superseded + 10 years	NA	<p>SI 2006/2739 does not specify 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 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</p>

Activity	Record group	Retention period	Authority	Notes
				appropriate if there have been potentially dangerous exposures.
	Records documenting the maintenance of equipment provided to control exposure to asbestos, to fulfil the institution's duties under Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of examination/test/repair + 5 years	SI 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	SI 2006/2739 Regulation 10 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 - Display Screen	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the	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

Activity	Record group	Retention period	Authority	Notes
Equipment	institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).			superseded. 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 - 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	Last entry + 5 years	SI	

Activity	Record group	Retention period	Authority	Notes
	and results of monitoring employees' general exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).		2002/2677 Regulation 10(5)(b)	
	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	SI 2002/2677 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances	Superseded + 10 years	NA	SI 2002/2677 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
	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).			management of health and safety over time.
	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	SI 2002/2677 does not prescribe a retention period for these records. Retaining records for a long period provides evidence of effective management of emergency situations. A longer retention period may be appropriate if there have been potentially dangerous exposures.
	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	Superseded + 10 years	NA	SI 2002/2677 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Activity	Record group	Retention period	Authority	Notes
	Regulations 2002 (SI 2002/2677).			A longer retention period may be appropriate if there have been potentially dangerous exposures.
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	Date of report + 2 years	SI 1999/3232 Regulation 30	

Activity	Record group	Retention period	Authority	Notes
	release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the 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	Superseded + 10 years	NA	SI 1999/3232 Regulation 7 does not prescribe a retention period for these records.

Activity	Record group	Retention period	Authority	Notes
	work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising Radiations Regulations 1999 (SI 1999/3232).			<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 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	Date of examination/test/repair + 2 years	SI 1999/3232 Regulation 10(2)	

Activity	Record group	Retention period	Authority	Notes
	1999 (SI 1999/3232).			
	Records documenting the monitoring of levels of ionising radiation in designated controlled areas, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of monitoring + 2 years	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	

Activity	Record group	Retention period	Authority	Notes
	Reports of immediate investigations into possible 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 of investigation + 2 years	SI 1999/3232 Regulation 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	Last entry + 5 years	SI 2002/2676 Regulation 9(4)	

Activity	Record group	Retention period	Authority	Notes
	2002/2676).			
	Records documenting the conduct, review and revision of assessments of the risks to health created by work involving lead, to fulfil the institution's duties under Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	NA	<p>SI 2002/2676 Regulation 5 implies that the records should be retained 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</p>

Activity	Record group	Retention period	Authority	Notes
				appropriate if there have been potentially dangerous exposures.
	Records documenting the maintenance of equipment provided to control exposure to lead, to fulfil the institution's duties under Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of examination/test/repair + 5 years	SI 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	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

Activity	Record group	Retention period	Authority	Notes
	institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643)			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.
	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	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.

Activity	Record group	Retention period	Authority	Notes
	Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this RRS			Retaining previous versions provides evidence of compliance and effective 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	Termination of	NA	

Activity	Record group	Retention period	Authority	Notes
	appointment of first aiders.	appointment		
	Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).	Current year + 5 years or Superseded + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records. 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

Activity	Record group	Retention period	Authority	Notes
				over time.
	Records documenting the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years	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 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

Activity	Record group	Retention period	Authority	Notes
				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.
	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	Date of notification + 3	In line with	

Activity	Record group	Retention period	Authority	Notes
	notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	years	SI 1995/3163 Regulation 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	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

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

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 substances hazardous to health.	Disposal of item + 15 years	1980 c.58 s 14	

Activity	Record group	Retention period	Authority	Notes
	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	
Equipment & Consumables Storage	Records documenting routine stocktaking and	Current year + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	stock checking.			
	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 ionising radiation, as required by Regulation	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
	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 8 of the Control of Lead at Work Regulations	Date of examination/test/repair + 5 years	SI 2002/2676 Regulation 8(4)	

Activity	Record group	Retention period	Authority	Notes
	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.
	Records documenting the inspection, testing	Decommissioning/removal + 6 years	1980 c.58 s 5	

Activity	Record group	Retention period	Authority	Notes
	and maintenance of equipment: major items other than those specified elsewhere.			
	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 when a structure is sold.
	Records documenting	Decommissioning/removal	NA	

Activity	Record group	Retention period	Authority	Notes
	the installation of equipment: items which are safety critical or associated with hazardous operations.	+ 40 years		
	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)	

Information services

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

Archives management

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	
	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	Records containing the	Life of records	NA	

Activity	Record group	Retention period	Authority	Notes
& Description	descriptions of the records held as archives.			
	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	
	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	Superseded	NA	

Activity	Record group	Retention period	Authority	Notes
	maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.			
	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 management¹⁰

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	Completion of use + 5 years.	NA	

¹⁰ 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
	use of collections or objects, where the requests / proposals are authorised.			
	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	Permanent	SPECTRUM	

Activity	Record group	Retention period	Authority	Notes
	records			
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. SPECTRUM: Location and Movement Records	Permanent	SPECTRUM	
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

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	
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	
	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	Current year + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.			
	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 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	

Management information collection, analysis and reporting

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.

Records management

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	
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	Life of records + 25 years	NA	

Activity	Record group	Retention period	Authority	Notes
	for ongoing retention, where records are disposed of.			
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.

Finance

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

Finance management

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	Records documenting routine	Current financial year +	1970 c. 9 s 34	

Activity	Record group	Retention period	Authority	Notes
Management	bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	6 years	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	
	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	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	parties.* *Unless honoraria are administered through the payroll.			
	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 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 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

Activity	Record group	Retention period	Authority	Notes
				<p>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 until at least 31 December 2014.</p> <p>The dates may be changed so it is advisable to retain all documents relating to ESF funded projects until a Government Office</p>

Activity	Record group	Retention period	Authority	Notes
				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 investment portfolio.	Divestment + 6 years	1980 c. 58 s 5	
	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	Current tax year + 3 years	SI 2003/2682 Regulation	'PAYE records' are defined in Regulation

Activity	Record group	Retention period	Authority	Notes
	the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003.		97(8)	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 administration of payments made under the Statutory Sick Pay scheme.	Current tax year + 3 years	SI 1982/894 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	Termination of employment + 75 years	1980 c. 58 s 32	

Activity	Record group	Retention period	Authority	Notes
	pensions schemes for its employees.			
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	

Insurance management

Activity	Record group	Retention period	Authority	Notes
Insurance Claim Administration	Records documenting claims, and the outcomes of claims, against insurance policies.	Settlement of claim + 6 years	1980 c.58 s 5	
Insurance Policy Management	Employers' Liability Insurance Certificates	Commencement/Renewal of policy + 40 years	SI 1998/2573 Regulation 4(4)	
	Records documenting the arrangement and renewal of insurance policies: all other insurance.	Expiry of policy + 6 years	1980 c.58 s 5	
	Records documenting the arrangement and renewal of	Expiry of policy + 6 years	1980 c.58 s 5	

Activity	Record group	Retention period	Authority	Notes
	insurance policies: employers' liability insurance. See also Employers' Liability Insurance Certificates.			

Procurement

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	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

Activity	Record group	Retention period	Authority	Notes
				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	
	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	Award of supply contract + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	evaluating pre-qualification submissions from prospective suppliers.			
	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 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	Termination of approval	NA	

Activity	Record group	Retention period	Authority	Notes
	notification of the outcome : approved suppliers.			
	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	

Tuition fees administration

Activity	Record group	Retention period	Authority	Notes
Tuition Fee Collection	Records documenting the collection of tuition fees.	Current academic year + 1 year	NA	These are records documenting the collection/receipt of fees only. Financial records documenting the payment of fees, and the processing of the payments, are listed under FINANCE - FUNDING MANAGEMENT.
Tuition Fee Remission	Records documenting the handling of applications for remission of tuition fees: successful applications.	Determination of application + 6 years	1980 c. 58 s 5	
	Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.	Determination of application + 1 year	NA	
Tuition Fee Setting	Records documenting the process of determining tuition fees.	Current + 5 years	NA	

Marketing and communications

Information held by the Marketing and Communications Division (MAC) as well as other departments.

Marketing

Activity	Record group	Retention period	Authority	Notes
Advertising Management	Records documenting the development, placement and impact of advertisements.	Current + 5 years	NA	
Corporate Identity & Brand Management	Records documenting the design of the institution's corporate identity marks (logos etc.).	Superseded	NA	
	Records documenting the development of corporate style guides for official use of corporate identity marks.	Superseded	NA	
Market Research	Market research data: aggregated data and analyses.	Completion of research + 5 years	NA	
	Market research data: data relating to identifiable individuals.	Completion of analysis of data	NA	
	Records documenting the design and development of market research tools.	Completion of research + 5 years	NA	
Marketing Campaign Management	Records documenting the design, implementation and review of marketing campaigns.	Completion of campaign + 3 years	NA	

Publications management

Activity	Record group	Retention period	Authority	Notes
Publications Acquisition	Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	NA	
	Records documenting the process of selecting publications to purchase.	Completion of purchase	NA	
Publications Conservation	Records documenting conservation work undertaken on publications.	Life of items	NA	
Publications Disposal	Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications + 1 year	NA	
Publications Organisation	Catalogues/indexes	Superseded	NA	
	Records documenting the institution's scheme(s) for classifying and cataloguing publications.	Until all catalogues based on the scheme are superseded	NA	
Publications Storage & Handling	Records documenting the monitoring and control of storage conditions.	Current year + 1 year	NA	
	Records documenting the movement of items from/to	Return of items + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	storage.			

Publishing

Activity	Record group	Retention period	Authority	Notes
Publication Distribution	Records documenting the distribution of publications.	Current year + 1 year	NA	
Publication Marketing	Records documenting the development of marketing plans for publications.	Life of publication	NA	
Publication Production	Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	NA	

Public relations management

Activity	Record group	Retention period	Authority	Notes
Donations Management	Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns).	Duration of relationship + 6 years	1980 c. 58 s 5	
	Records documenting the process of making donations to third parties.	Last action on donation + 6 years	1980 c. 58 s 5	
Official Visits Management	Records documenting the organisation and administration of official	Completion of visit + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	visits.			
Public Communications Management	Records documenting complaints from members of the public, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	NA	
	Records documenting enquiries from members of the public and the responses provided.	Last action on enquiry + 1 year	NA	
	Records documenting the design and conduct of public surveys.	Completion of survey + 3 years	NA	
	Records documenting unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	NA	
	Results of public surveys: individual responses	Completion of analysis of survey responses	NA	
	Results of public surveys: summaries and analyses of responses	Completion of survey + 3 years	NA	
Public Events Management	Records documenting the organisation and administration of public events.	Completion of event + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the planning and impact/results of public events.	Completion of event + 3 years	NA	
Sponsorship Management	Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship + 6 years	1980 c. 58 s 5	

Media relations management

Activity	Record group	Retention period	Authority	Notes
Media Communications Management	Press Releases	Current year + 5 years	NA	
	Records documenting media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry + 3 years	NA	
	Records documenting the institution's media contacts.	Superseded	NA	
	Records documenting the planning and organisation of media briefings.	Date of briefing + 1 year	NA	
	Records documenting the planning and organisation of media interviews.	Date of interview + 1 year	NA	
	Transcripts of media briefings	Date of briefing + 5 years	NA	
	Transcripts of media	Date of	NA	

Activity	Record group	Retention period	Authority	Notes
	interviews	interview + 5 years		
Media Monitoring	Press cuttings	Creation + 1 year		
	Records documenting the monitoring and analysis of media coverage of the institution.	Current year + 5 years	NA	

Community relations management

Activity	Record group	Retention period	Authority	Notes
Community Communications Management	Records documenting complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	NA	
	Records documenting enquiries from members of the local community and the responses provided.	Last action of enquiry + 1 year	NA	
	Records documenting the design and conduct of community surveys.	Completion of survey + 3 years	NA	
	Records documenting unsolicited feedback from members of the local community, the internal handling of this feedback	Last action on feedback + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	and the responses provided.			
	Results of community surveys: individual responses	Completion of analysis of survey responses	NA	
	Results of community surveys: summaries and analyses of responses	Completion of survey + 3 years	NA	
Community Events Management	Records documenting the organisation and administration of local community events.	Completion of event + 1 year	NA	
	Records documenting the planning and impact/results of local community events.	Completion of event + 3 years	NA	
Community Representation	Records documenting the institution's membership of local community organisations.	Termination of membership + 1 year	NA	
	Records documenting the institution's participation in the activities of local community organisations (including committees).	Termination of involvement + 1 year	NA	

Student admissions

Information held by the Marketing and Communications Division (MAS – Marketing and Admissions Services) and Faculty Admissions Offices.

Student recruitment, admissions

Activity	Record group	Retention period	Authority	Notes
Student Recruitment	Records containing summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	NA	
	Records documenting the design, conduct and summary results of student recruitment campaigns.	Completion of campaign + 5 years	NA	
	Records documenting the design, operation and summary results of student recruitment schemes.	Current academic year + 5 years OR Termination of scheme + 5 years	NA	
	Records documenting the design, organisation and summary results of student recruitment events.	Completion of event + 5 years	NA	
	Records documenting the handling of enquiries from prospective students.	Current academic year + 1 year	NA	
	Records documenting the issue of student recruitment materials in bulk to schools and other organisations.	Current academic year	NA	
Student Admission	Records containing data on overall student numbers.	Current academic year + 1 year	NA	
	Records documenting the administration of the clearing process.	Current academic year + 1 year	NA	
	Records documenting the development and establishment of the institution's admission criteria.	Superseded + 10 years	NA	
	Records documenting the handling of applications for	End of student relationship + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	admission: successful applications.			
	Records documenting the handling of applications for admission: unsuccessful applications.	Minimum: Completion of admissions process + 6 months. Recommended: Completion of admissions process + 1 year.	SI 2006/1031 Regulations 23, 39 and 42 SI 2003/1660 Regulations 20, 31 and 34 SI 2003/1661 Regulations 20, 31 and 34	Minimum: Actions under discrimination legislation must usually be brought within 6 months.

Alumni

Information held by the Marketing and Communications Division (MAS – Marketing and Admissions Service and DAC – Development and Campaigns) and other departments.

Alumni relations management

Activity	Record group	Retention period	Authority	Notes
Alumni Communications Management	Alumni communications	Issue + 1 year	NA	
	Records documenting enquiries from alumni and the responses provided.	Last action on enquiry + 1 year	NA	
	Records documenting the design and conduct of alumni surveys.	Completion of survey + 3 years	NA	
	Records documenting the	Issue of	NA	

Activity	Record group	Retention period	Authority	Notes
	design, planning and production of official alumni communications.	communication + 1 year		
	Records documenting the handling of complaints from alumni.	Last action on complaint + 3 years	NA	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.
	Records documenting unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	NA	
	Results of alumni surveys: individual responses	Completion of analysis of survey responses	NA	
	Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	NA	
Alumni Events Management	Records documenting the administration of financial and other support given to individual alumni organisations.	Current financial year + 1 year	NA	
	Records documenting the organisation and administration of institutional events for	Completion of event + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	alumni.			
	Records documenting the planning and impact/results of institutional events for alumni.	Completion of event + 3 years	NA	
Alumni Records Administration	Records containing personal data on individual alumni.	While current (or likely to be current)	NA	
	Summary (anonymised) statistical records of alumni	Current year + 10 years	NA	
Alumni Support	Records documenting requests for contact details for alumni, action taken and the responses provided.	Last action on request + 1 year	NA	
	Records documenting requests from alumni associations for financial or other support, the internal handling of these requests and the responses provided.	Last action on request + 1 year	NA	
	Records documenting the administration of financial and other support to alumni organisations.	Current financial year +1 year	NA	

Fundraising

Activity	Record group	Retention period	Authority	Notes
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Activity	Record group	Retention period	Authority	Notes
Donations Management	Records documenting donations to the institution.	Current year + 5 years	NA	A shorter/longer period may be appropriate for small/substantial donations.
	Records documenting the handling of enquiries about making donations to the institution.	Last action on enquiry + 1 year	NA	
Fundraising Campaign Management	Records containing details of individual responses to fundraising campaigns.	Completion of analysis of data	NA	
	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years	NA	

Student support

Information held by the Dean of Students Office (DOS) and other departments.

Student financial support administration

Activity	Record group	Retention period	Authority	Notes
Bursaries Administration	Records documenting the award of bursaries to individual students.	Current financial/academic year + 6 years	1980 c. 58 s 5	
Crisis/Hardship Funds Administration	Records documenting the provision of crisis/hardship payments to individual students.	Current financial/academic year + 6 years	1980 c. 58 s 5	
Financial Aid Funds Administration	Records documenting the provision of financial aid funds to individual students.	Current financial/academic year + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
Prizes Administration	List of prize winners	While prize is awarded	NA	
	Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.	Current academic year + 5 years	NA	
Scholarships and Fellowships Administration	Records documenting the award of scholarships and fellowships to individual students.	Current financial/academic year + 6 years	1980 c. 58 s 5	

Student relations management

Activity	Record group	Retention period	Authority	Notes
Student Communications Management	Records documenting the design and conduct of student surveys.	Completion of survey + 5 years	NA	
	Records documenting the design of, and overall response to, student suggestion schemes.	Closure of scheme + 5 years	NA	
	Records documenting the establishment and operation of staff-student liaison committees.	Life of committee + 3 years	NA	
	Records documenting the handling of suggestions from individual students.	Last action on suggestion + 1 year	NA	
	Records documenting the	Current	NA	

Activity	Record group	Retention period	Authority	Notes
	operation of staff-student liaison committees.	academic year + 3 years		
	Results of student surveys: individual responses	Completion of analysis of survey responses	NA	
	Results of student surveys: summaries and analyses of responses	Completion of survey + 5 years	NA	

Students' union relations management

Activity	Record group	Retention period	Authority	Notes
Students' Union Constitution Review & Approval	Records documenting the process of reviewing the students' union's constitution, as required by s. 22(2) of the Education Act 1994.	NA	NA	The governing body's formal review and approval of the students union's constitution will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.
Students' Union Financial Monitoring	Records documenting the monitoring of the students' union's financial affairs, as required by s. 22(2) of the Education Act 1994.	NA	NA	The governing body's formal review and approval of the students union's financial reports will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of

Activity	Record group	Retention period	Authority	Notes
				the governing body.
	Records documenting the process of reviewing the students' union's budgets, as required by s. 22(2) of the Education Act 1994.	NA	NA	The governing body's formal review and approval of the students union's budgets will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.
Students' Union Funding	Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.	Current financial year + 1 year	NA	
Students' Union Operations Monitoring	Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body.	Settlement of complaint + 6 years	1980 c.58 s. 5	
	Records documenting the monitoring of elections to major offices in the institution's students' union, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).	NA	NA	The governing body's formal review of the students union's elections will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.

Activity	Record group	Retention period	Authority	Notes
	Records documenting the monitoring of students' union affiliations, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).	NA	NA	The governing body's formal review of the students union's affiliations will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.
Students' Union Relations Policy Development	Code of Practice required by Section 22(3) of the Education Act 1994.	Superseded + 10 years		
	Records documenting the development and establishment of the institution's code of practice on the oversight of the operations and finances of its students' union, as required by Section 22(3) of the Education Act 1994.	Issue of revised Code of Practice + 1 year	NA	1994 c. 30 does not prescribe a retention period.
	Records documenting the development and establishment of the institution's policies on students' union relations: key records.	Superseded + 5 years	NA	
	Records documenting the development and establishment of the institution's policies on students' union relations:	Issue of policy + 1 year		

Activity	Record group	Retention period	Authority	Notes
	working papers.			

Learning support

Activity	Record group	Retention period	Authority	Notes
Learning Support Resource Delivery	The types of records produced will depend on the type of resource being developed.	Life of resource + 2 years OR Current year + 1 year	NA	
Learning Support Resource Development	The types of records produced will depend on the type of resource being developed.	Life of resource + 2 years	NA	

Student appeal, complaint, discipline

Activity	Record group	Retention period	Authority	Notes
Student Academic Appeal Handling	Records documenting the handling and results of academic appeals by individual students.	Last action on case + 6 years	1980 c. 58 s 5	
Student Complaint Handling	Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years	NA	
	Records documenting the handling of formal complaints made by individual students against the institution.	Last action on case + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
Student Disciplinary Case Handling	Records documenting the conduct and results of disciplinary proceedings against individual students.	Last action on case + 6 years	1980 c. 58 s 5	
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	

Unallocated RRSs

The location of records related to these records retention schedules is still to be determined.

Those RRSs of the format '[category] management' are generic and provided to be adapted to enable areas of activity not covered by one of the other policies to be covered. For these, we need to determine whether there are any related companies, commercial services (e.g. conferences), corporate services, student services (e.g. counselling), or business units whose function needs to be described.

Quality management

Activity	Record group	Retention period	Authority	Notes
Quality Audit	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years	NA	
Quality Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	NA	

[related company] management

Activity	Record group	Retention period	Authority	Notes
[Related Company] Exit / Wind-up	Records documenting the winding-up of the [related company] or the disposal of the institution's interest in it.	Wind-up/Disposal of company + 6 years	1980 c. 58 s 5	
[Related Company] Formation	Records documenting the formation of the [related company].	Life of company + 10 years	NA	
[Related	Records documenting the oversight and	Current year + 5	NA	

Activity	Record group	Retention period	Authority	Notes
Company] Oversight & Review	periodic review of the performance of the [related company].	years		

[commercial service] management

Activity	Record group	Retention period	Authority	Notes
[Commercial Service] Customer Relations Management	Individual responses to [commercial service] customer surveys.	Completion of analysis of responses	NA	If responses identify individuals, these records must be retained in accordance with the provisions of the Data Protection Act 1998 (c.29).
	Records documenting enquiries about the [commercial service] and the responses provided.	Last action on enquiry + 1 year	NA	
	Records documenting the design of [commercial service] customer surveys and the (anonymised, if necessary) analysis of responses.	Last action on survey + 3 years	NA	
	Records documenting the handling of complaints from customers of the [commercial service].	Last action on complaint + 3 years	NA	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.

Activity	Record group	Retention period	Authority	Notes
	Records documenting unsolicited customer feedback on the [commercial service] and the responses provided.	Last action on feedback + 3 years	NA	
[Commercial Service] Operations Management	TO BE DEFINED BY THE INSTITUTION	TO BE DEFINED BY THE INSTITUTION	TO BE DEFINED BY THE INSTITUTION	

[corporate service] management

Activity	Record group	Retention period	Authority	Notes
[Corporate Service] Customer Relations Management	Individual responses to [corporate service] customer surveys.	Completion of analysis of responses	NA	If responses identify individuals, these records must be retained in accordance with the provisions of the Data Protection Act 1998 (c.29).
	Records documenting enquiries about the [corporate service] and the responses provided.	Last action on enquiry + 1 year	NA	
	Records documenting the design of [corporate service] customer surveys and the (anonymised, if necessary) analysis of responses.	Last action on survey + 3 years	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the handling of complaints from customers of the [corporate service].	Last action on complaint + 3 years	NA	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.
	Records documenting unsolicited customer feedback on the [corporate service] and the responses provided.	Last action on feedback + 3 years	NA	
[Corporate Service] Operations Management	TO BE DEFINED BY THE INSTITUTION	TO BE DEFINED BY THE INSTITUTION	TO BE DEFINED BY THE INSTITUTION	

[student service] management

Activity	Record group	Retention period	Authority	Notes
[Student Service] Customer Relations Management	Individual responses to [student service] customer surveys.	Completion of analysis of responses	NA	If responses identify individuals, these records must be retained in accordance with the provisions of the Data Protection Act 1998 (c.29).
	Records documenting enquiries about the [student service] and the responses provided.	Last action on enquiry + 1 year	NA	
	Records documenting the	Last action	NA	

Activity	Record group	Retention period	Authority	Notes
	design of [student service] customer surveys and the (anonymised, if necessary) analysis of responses.	on survey + 3 years		
	Records documenting the handling of complaints from customers of the [student service].	Last action on complaint + 3 years	NA	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.
	Records documenting unsolicited customer feedback on the [student service] and the responses provided.	Last action on feedback + 3 years	NA	
[Student Service] Operations Management	TBD	TBD	TBD	

[business unit] management

Activity	Record group	Retention period	Authority	Notes
Meeting Administration	Records documenting the arrangements for meetings.	NA	Date of meeting	
	Records documenting the conduct of meetings: agenda, minutes and supporting papers.	NA	Current year + 3 years	

Activity	Record group	Retention period	Authority	Notes
Travel Administration	Records documenting travel arrangements.	NA	Completion of travel + 3 months	
Work Monitoring	Records documenting the progress of work.	NA	Current year	
Work Planning & Scheduling	Desk diaries (and similar 'official' work planning/scheduling tools).	NA	Current year + 1 year	This recommended retention period assumes that diaries are used for work planning/scheduling only.
	Records documenting work allocation/scheduling (e.g. duty rosters).	NA	Current year	