UNIVERSITY OF SUSSEX

MASTER RECORDS RETENTION SCHEDULE

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Governance Office
Version 1 (issued April 2010)
INTRODUCTION AND GUIDANCE NOTES

1. This Master Records Retention Schedule is issued under the University of Sussex’s Records Management Policy and should be applied in accordance with that Policy. The Policy is published at:

http://www.sussex.ac.uk/records/documents/records_management_policy.pdf

2. This Schedule sets out the periods for which the University's records should be retained and details what should be done with the records once their Retention Periods have elapsed.

3. The University's records may broadly be divided into three categories:

   (a) Master Records

   These are definitive copies of documents (or spreadsheets, databases, presentations, images, sound recordings, etc.) held by the ‘Records Owner’. The Records Owner is either the originator of the Master Record or the current member of staff who is formally responsible for the Master Record as part of their duties. All Retention Periods listed in this Schedule relate solely to Master Records.

   (b) Duplicate Records

   These are duplicates of Master Records (for example, multiple sets of Minutes or copies of letters in the possession of staff other than the Records Owner). Duplicate Records should be kept for reference only, and in no case for longer than the Retention Period of the Master Record, and then destroyed.

   (c) Transitory Records

   These are records which have no significant ongoing value after they have served their primary purpose. Some examples of Transitory Records are: draft documents and working materials which do not demonstrate significant steps in the development of a final version; documents containing requests for information which have no further value after the information is provided or received; items received only for information from elsewhere in the institution, often as part of a distribution list; items received only for information from external organisations. Transitory Records should be destroyed in the normal course of business to keep offices and servers clear of redundant material.

4. Application of this Schedule will give staff confidence that they are managing the University's records in compliance with legal requirements, business needs and sector best practice. Efficient records management also enables better everyday working environments for staff.

5. The Schedule states recommended Retention Periods based where applicable on relevant legislative requirements. Staff may be justified in applying longer Retention Periods where other factors require consideration, such as an audit investigation, a court case, or ongoing business requirements. Furthermore, if there are specific external regulatory or legal requirements which determine that certain Schools, Professional Services Divisions or other units of the University should keep particular
records for longer or shorter Retention Periods than those stated in the Schedule then the external guidelines should be followed.

6. The following guidance notes are designed to assist users of this Schedule.

(a) SUBJECT

This column describes the type of records involved and applies equally to materials held in hard copy and electronically (including emails).

While the Schedule is split into sections and sub-sections largely based around the different Professional Services Divisions, it is important to note that the records as listed in this column may not be physically held by the Division in whose section they appear. For example, some Finance records are generated and stored within Schools or Professional Services Teams rather than the central Finance offices in Sussex House. Similarly, records relating to Teaching or Research and Enterprise may be maintained by School Offices or individual members of academic staff rather than the relevant central offices.

(b) RETENTION PERIOD WITHIN SCHOOL OR DIVISION

This column sets out the length of time for which the records should be kept within Schools or Professional Services Divisions as a matter of course.

Retention Periods are often described as:
[Starting point] + [Number of additional years to be kept]

As an example of how to interpret this column, take the below extract from the sub-section entitled ‘Statutory Bodes: Court, Council, Senate’ in the ‘Governance’ section of the Schedule:

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2.1 Individual membership</td>
<td>End of an individual's tenure + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>records</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In this example, an individual's membership records should be retained within the Governance Office (which has primary responsibility for supporting these bodies) for 6 years after the point at which he or she ceases to be a member of the relevant statutory body.

(c) ACTION AT END OF RETENTION PERIOD

This column sets out the action to be taken once the Retention Period within the School or Professional Services Division has elapsed. There are three main options:

(i) Send to University Archives.
The Records Owner should contact Special Collections in the Library to arrange a mutually convenient time to transfer the paper records to the University of Sussex Collection. Electronic records, where it is not possible or appropriate to create hard copies for transfer to the University of Sussex Collection, should be retained by the Records
Owner (in a separate and clearly labelled folder) on an interim basis pending the development and introduction of a University-wide electronic archive. The Records Owner should seek guidance from the Governance Office if this creates undue pressure on disk or drive space.

(ii) Destroy. The Records Owner should confidentially destroy the records. Paper records should be shredded or incinerated so that they cannot be recreated. Electronic records should be securely deleted. (Backups of electronic records for business continuity purposes are not deemed to be active records. Therefore electronic records are considered to be ‘destroyed’ when the Records Owner performs the deletion).

(iii) Initiate Archival Review Process. The Archival Review Process is designed to formally determine whether all, part or none of the records have archival significance. The Records Owner should contact the Governance Office in the first instance. The Governance Office will liaise with Special Collections in the Library and either offer immediate guidance or arrange a Review Meeting. Thereafter:

- Records deemed to be of archival significance should be handled in accordance with (i) above.
- Records not deemed to be of archival significance should be handled in accordance with (ii) above.
- On rare occasions it may be decided that decisions on archival significance should be postponed. In such cases, the records should be retained within the School or Professional Services Division and the Archival Review Process will be reopened at an agreed future date.

As an example of how to interpret this column, take the same extract as that given above:

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
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</thead>
<tbody>
<tr>
<td>2.2.1 Individual membership records</td>
<td>End of an individual’s tenure + 6 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

In this example, having been retained within the Governance Office for 6 years after the point at which an individual ceases to be a member of the relevant statutory body, his or her paper file should be confidentially destroyed and any electronic records should be deleted.

Please note that on some occasions a different course of action is set out against the relevant entry (for example, the transfer of the records to the University’s Institutional Repository).

7. (a) Further guidance on the implementation of this Schedule and on other aspects of records management is available from the Governance Office:

Governance Office
Sussex House
University of Sussex
Falmer
Brighton BN1 9RH
dpo@sussex.ac.uk

(b) Special Collections in the Library should only be contacted for the purpose of archiving paper records as indicated above:

Special Collections
The Library
University of Sussex
Falmer
Brighton BN1 9QL
library.specialcoll@sussex.ac.uk
# SECTION 1  GENERAL MANAGEMENT AND STRATEGY

<table>
<thead>
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<th>Finance owner</th>
<th>SUBJECT</th>
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<th>ACTION AT END OF RETENTION PERIOD</th>
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<tr>
<td>Carey</td>
<td>1.1</td>
<td>OFFICIAL PUBLICATIONS</td>
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<tr>
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<td>1.1.1</td>
<td>Official University publications,</td>
<td>None: one copy to be archived</td>
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<td></td>
<td></td>
<td>including annual reports, annual accounts,</td>
<td>immediately upon publication</td>
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<td>prospectuses, the <em>Bulletin</em></td>
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<td>1.1.2</td>
<td>Records detailing the design,</td>
<td>Issue of publication + 2 years</td>
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<td></td>
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<td>commissioning, editing and production of an</td>
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<td></td>
<td></td>
<td>official publication</td>
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<tr>
<td>Tony</td>
<td>1.2</td>
<td>STRATEGIES</td>
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<td>1.2.1</td>
<td>Final strategy documents (including the</td>
<td>None: one copy to be archived</td>
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<td></td>
<td></td>
<td>University's overall Strategic Plan)</td>
<td>immediately upon publication</td>
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<td></td>
<td>1.2.2</td>
<td>Working papers used in developing and</td>
<td>Issue of strategy + 3 years</td>
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<tr>
<td></td>
<td></td>
<td>updating strategies</td>
<td></td>
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<td></td>
<td>1.2.3</td>
<td>Final plans for implementing strategies</td>
<td>Until superseded by new plan + 5 years</td>
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<td></td>
<td>Until superseded by new plan + 5 years</td>
<td></td>
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<td></td>
<td>1.2.4</td>
<td>Working papers used in developing and</td>
<td>Issue of plan + 3 years</td>
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<tr>
<td></td>
<td></td>
<td>updating plans for implementing strategies</td>
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<td>(including KPI analyses, management</td>
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<td>information reports, benchmarking exercises</td>
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<td></td>
<td></td>
<td>and performance monitoring)</td>
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<tr>
<td>Carey</td>
<td>1.3</td>
<td>POLICIES</td>
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<td></td>
<td>1.3.1</td>
<td>Final policy documents</td>
<td>Until superseded by new policy + 5 years</td>
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<td></td>
<td>1.3.2</td>
<td>Working papers used in developing and</td>
<td>Issue of policy + 1 year</td>
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<td></td>
<td></td>
<td>updating policies</td>
<td></td>
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<td>Anita</td>
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<td>PROCEDURES</td>
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<tr>
<td>Jon Financial Information and Systems Manager (FIS)</td>
<td>1.4.1</td>
<td>Final procedural documents</td>
<td>Until superseded by new procedure + 5 years</td>
</tr>
<tr>
<td>Jon (FIS)</td>
<td>1.4.2 Working papers used in developing and updating procedures</td>
<td>Issue of procedure + 1 year</td>
<td>Destroy</td>
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<tr>
<td>Sian</td>
<td>1.5 UNIVERSITY STRUCTURE</td>
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<tr>
<td></td>
<td>1.5.1 Project management of University restructuring programmes</td>
<td>Completion of process + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>Sian</td>
<td>1.6 RISK MANAGEMENT</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>1.6.1 Strategic and operational risk registers</td>
<td>Until superseded by updated register + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td></td>
<td>1.6.2 Working papers on the identification, assessment and management of risks to the University</td>
<td>Risk no longer applicable + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td></td>
<td>1.6.3 Disaster response and recovery plans (e.g. Business Continuity Plan, Major Incident Plan)</td>
<td>Until superseded by new plan + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>Sian/ Carey</td>
<td>1.7 INTERNAL AUDIT</td>
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<tr>
<td></td>
<td>1.7.1 Internal audit reports issued to the University, and records of actions taken to address issues raised (for annual audits of the Financial Statements, see 6.1.4)</td>
<td>Completion of audit + 6 years (though longer retention periods may be necessary depending on findings)</td>
<td>Destroy</td>
</tr>
<tr>
<td>Carey</td>
<td>1.8 LEGAL</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>1.8.1 Contracts, deeds and legal agreements under seal (including supporting legal advice)</td>
<td>End of contract + 12 years</td>
<td>Destroy</td>
</tr>
<tr>
<td></td>
<td>1.8.2 Contracts and legal agreements under signature (including supporting legal advice)</td>
<td>End of contract + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td></td>
<td>1.8.3 Leases and lease agreements</td>
<td>See 8.1.4</td>
<td>See 8.1.4</td>
</tr>
<tr>
<td></td>
<td>1.8.4 Claims by or against the University which do not proceed to litigation or are settled by agreement (including supporting legal advice)</td>
<td>Withdrawal or settlement of claim + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td></td>
<td>1.8.5 Litigation with third parties where legal precedents are set (including supporting legal advice)</td>
<td>Settlement + 6 years</td>
<td>Retain in perpetuity under the supervision of the Governance Office</td>
</tr>
<tr>
<td></td>
<td>1.8.6 Litigation with third parties where legal precedents are not set (including supporting legal advice)</td>
<td>Settlement + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>1.8.7 General legal advice on matters of the University’s status, governance, industrial relations and health and safety</td>
<td>Until superseded by fresh advice + 12 years</td>
<td>Destroy</td>
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<td></td>
</tr>
<tr>
<td>1.8.8 General legal advice on other matters</td>
<td>Until superseded by fresh advice + 6 years</td>
<td>Destroy</td>
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</table>
## SECTION 2 GOVERNANCE

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
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<tbody>
<tr>
<td><strong>2.1</strong> CONSTITUTIONAL DOCUMENTS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1.1 Charter and Statutes: final copy of each edition</td>
<td>None: one copy to be archived immediately upon publication</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>2.1.2 Charter and Statutes: working papers for each edition</td>
<td>Publication + 5 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td>2.1.3 Ordinances &amp; Regulations and The Organisation of the University: final copy of each edition</td>
<td>Publication + 5 years</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>2.1.4 Ordinances &amp; Regulations and The Organisation of the University: working papers for each edition</td>
<td>Publication + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>2.2</strong> STATUTORY BODIES: COURT, COUNCIL, SENATE</td>
<td></td>
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<tr>
<td>2.2.1 Individual membership records</td>
<td>End of an individual’s tenure + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>2.2.2 Ballot papers for elections</td>
<td>Completion of election + 3 months</td>
<td>Destroy</td>
</tr>
<tr>
<td>2.2.3 Agendas, minutes and papers</td>
<td>End of current academic year + 5 years</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>2.2.4 Individual registers of interests</td>
<td>End of an individual’s tenure + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>2.2.5 General working and organisational papers</td>
<td>End of current academic year + 5 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td><strong>2.3</strong> FORMAL UNIVERSITY-LEVEL COMMITTEES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3.1 Agendas, minutes and papers (excluding Appeals Panels, Student Disciplinary Panels, Misconduct Panels, etc., for which see 3.5)</td>
<td>End of current academic year + 5 years</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>2.3.2 General working and organisational papers</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>2.4</strong> FORMAL SCHOOL-LEVEL COMMITTEES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attendee</td>
<td>2.4.1 Agendas, minutes and papers (excluding Examination Boards, for which see 3.4.8)</td>
<td>End of current academic year + 5 years</td>
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<tr>
<td></td>
<td>End of current academic year + 5 years for School Health, Safety and Environment Committees: End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>Attendee</td>
<td>2.4.2 General working and organisational papers</td>
<td>End of current academic year + 5 years</td>
</tr>
</tbody>
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### 2.5 CALENDAR AND COMMITTEE ADMINISTRATION

<table>
<thead>
<tr>
<th>2.5.1 Term date and closure date schedules</th>
<th>End of current academic year + 5 years</th>
<th>Send to University Archives</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.5.2 Committee timetable</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>2.5.3 Committee membership and appointment files (excluding Statutory Bodies, for which see 2.2.1)</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

### 2.6 FRAUD AND WHISTLEBLOWING

| 2.6.1 Fraud and whistleblowing case files | Last action on case + 6 years | Destroy |

### 2.7 INFORMATION LAW COMPLIANCE

<p>| 2.7.1 Records regarding the upkeep of the University’s notifications under the Data Protection Act 1998 | End of current academic year + 3 years | Destroy |
| 2.7.2 Requests for personal information under the Data Protection Act 1998 | Last action on request + 6 years | Destroy |
| 2.7.3 Freedom of Information Publication Scheme | Until superseded by new Scheme + 5 years | Destroy |
| 2.7.4 Requests for information under the Freedom of Information Act 2000 | Last action on request + 6 years | Destroy |
| 2.7.5 Master Records Retention Schedule | Until superseded by new Schedule + 1 year | Send to University Archives |</p>
<table>
<thead>
<tr>
<th>2.7.6</th>
<th>Records detailing the outcomes of archival appraisals</th>
<th>Completion of appraisal process + 10 years</th>
<th>Destroy</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.8</td>
<td><strong>COPYRIGHT LAW COMPLIANCE</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.8.1</td>
<td>Records regarding the upkeep of the University’s copyright licences</td>
<td>End of current academic year + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>2.8.2</td>
<td>Records concerning applications to copy outside the standard terms of a licence</td>
<td>Period for which permission is granted + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>2.8.3</td>
<td>Records of inspections by copyright holders</td>
<td>Inspection + 1 year</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
### SECTION 3  STUDENT ADMINISTRATION

<table>
<thead>
<tr>
<th>Subject</th>
<th>Retention Period Within School or Division</th>
<th>Action At End Of Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anita 3.1</strong> CORE STUDENT RECORD</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Jude Head of Fees and Income (F&amp;I)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1.1 Core electronic and paper record of individual students, including:</td>
<td>Student graduation or departure + 6 years</td>
<td>Electronic and microfiche records: Retain in perpetuity under the supervision of the Student Systems Office</td>
</tr>
<tr>
<td></td>
<td>(a) basic personal details</td>
<td>Paper records: Destroy (though longer retention periods may be necessary due to specific contractual requirements)</td>
</tr>
<tr>
<td></td>
<td>(b) information gathered at application</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c) information gathered at registration</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(d) programmes and courses undertaken, including relevant dates of teaching and assessment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(e) information on academic progress and performance, including assessment outcomes</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(f) any supplementary information required for professional accreditation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(g) summary information on academic appeals and complaints</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(h) summary mitigating evidence information</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(i) the transcript</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(j) reference(s) from the University</td>
<td></td>
</tr>
<tr>
<td><strong>Anita 3.2</strong> STUDENT RECRUITMENT AND ADMISSIONS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2.1 Prospectuses</td>
<td>See 1.1.1</td>
<td>See 1.1.1</td>
</tr>
<tr>
<td>3.2.2 Design, conduct and results of recruitment campaigns and events</td>
<td>While necessary for reference and future planning purposes</td>
<td>Destroy</td>
</tr>
<tr>
<td>3.2.3 Enquiries from individual prospective students</td>
<td>End of current academic year + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>3.2.4 Anonymised summaries and analyses of enquiry and recruitment data</td>
<td>While necessary for reference and future planning purposes</td>
<td>Destroy</td>
</tr>
<tr>
<td>3.2.5 Development of general admissions criteria</td>
<td>Held in perpetuity within the Admissions Office</td>
<td>N/A</td>
</tr>
<tr>
<td>3.2.6</td>
<td>Individual student application files: unsuccessful applicants</td>
<td>End of current academic year + 1 year (though longer retention periods may be necessary for deferred or non-standard applications)</td>
</tr>
<tr>
<td>-------</td>
<td>---------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>3.2.7</td>
<td>Individual student application files: successful applicants</td>
<td>Held as part of Core Student Record</td>
</tr>
<tr>
<td>3.2.8</td>
<td>Individual student registration information</td>
<td>Held as part of Core Student Record</td>
</tr>
</tbody>
</table>

### 3.3 STUDENT PROGRESS

<table>
<thead>
<tr>
<th>3.3.1</th>
<th>Formal academic feedback to individual students</th>
<th>Held as part of Core Student Record</th>
<th>See 3.1.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3.2</td>
<td>Records relating to the placement learning of individual students</td>
<td>Held as part of Core Student Record</td>
<td>See 3.1.1</td>
</tr>
<tr>
<td>3.3.3</td>
<td>Records relating to an individual student's attendance</td>
<td>Held as part of Core Student Record</td>
<td>See 3.1.1</td>
</tr>
<tr>
<td>3.3.4</td>
<td>Informal supervision records relating to individual research postgraduate students</td>
<td>Student graduation or departure + 1 year</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

### 3.4 STUDENT ASSESSMENT

<table>
<thead>
<tr>
<th>3.4.1</th>
<th>Examination and Assessment Handbooks (including examination rules and procedures)</th>
<th>Publication of new edition + 10 years</th>
<th>Initiate Archival Review Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.4.2</td>
<td>Records concerning the appointment of individual external examiners (excluding formal HR records, for which see 7.1)</td>
<td>End of an individual's appointment + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>3.4.3</td>
<td>Summaries of mitigating evidence information relating to individual students (excluding School Mitigating Evidence Committee records, for which see 2.4.1)</td>
<td>Held as part of Core Student Record</td>
<td>See 3.1.1</td>
</tr>
<tr>
<td>3.4.4</td>
<td>Examination timetables</td>
<td>Held as part of Core Student Record</td>
<td>See 3.1.1</td>
</tr>
<tr>
<td>3.4.5</td>
<td>Examination papers</td>
<td>Publication + 1 year</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>3.4.6</td>
<td>Examination scripts, submitted assessments, dissertations and theses: undergraduate and taught postgraduate students</td>
<td>Student graduation or departure + 1 year (though longer retention periods may be necessary if stipulated by any external accrediting body)</td>
<td>Destroy</td>
</tr>
<tr>
<td>3.4.7 Doctoral theses: research postgraduate students</td>
<td>None: one copy to be archived immediately upon successful completion of programme</td>
<td>Send to the University's Institutional Repository (if suitable for open access)</td>
<td></td>
</tr>
<tr>
<td>3.4.8 Examination Board minutes, External Examiners' reports and pass lists</td>
<td>While necessary for reference purposes</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>3.4.9 Records relating to graduation</td>
<td>See 14.1</td>
<td>See 14.1</td>
<td></td>
</tr>
</tbody>
</table>

## 3.5 STUDENT COMPLAINTS, APPEALS, DISCIPLINE AND MISCONDUCT

| 3.5.1 Individual student complaint files | Last action on complaint + 6 years | Destroy (a summary is placed on the Core Student Record: see 3.1.1) |
| 3.5.2 Individual student academic appeal files (including the records of any ensuing Appeals Panel or Research Degree and Professional Doctorate Appeals Board) | Last action on appeal + 6 years | Destroy (a summary is placed on the Core Student Record: see 3.1.1) |
| 3.5.3 Individual student disciplinary files (including the records of any ensuing Student Disciplinary Panel or Student Disciplinary Appeals Board) | Last action on disciplinary case + 6 years | Destroy |
| 3.5.4 Individual student academic misconduct files (including the records of any ensuing Misconduct Panel) | Last action on misconduct case + 6 years | Destroy |

## 3.6 STUDENT SUPPORT

| Anita / Jude F&I | 3.6.1 Administration of financial aid, emergency or hardship funds, scholarships and bursaries (for individual student accounts, see 6.2.4) | End of current academic year + 6 years | Destroy |
| 3.6.2 Design, operation and anonymised results of regular and major student surveys | While necessary for reference and future planning purposes (as a general guide: Until superseded by new survey + 5 years) | Destroy |
| 3.6.3 Formal counselling and disability support files relating to individual students | Student graduation or departure + 6 years | Destroy |
| 3.6.4 Student Handbook and comparable formal publications for students | None: one copy to be archived immediately upon publication | Send to University Archives |

## 3.7 USSU-UNIVERSITY RELATIONS

| 3.7.1 Records of formal USSU-University liaison committees | See 2.3 | See 2.3 |
### SECTION 4  TEACHING

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4.1</strong> GENERAL UNIVERSITY TEACHING QUALITY AND STANDARDS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1.1 Records detailing the development of general University quality assurance processes for teaching</td>
<td>Held as part of relevant University-level committee papers</td>
<td>See 2.3.1</td>
</tr>
<tr>
<td>4.1.2 Formal internal reviews of general University teaching quality and standards: final reports and core working papers</td>
<td>Held as part of relevant University-level committee papers</td>
<td>See 2.3.1</td>
</tr>
<tr>
<td>4.1.3 Formal external reviews (e.g. QAA) of general University teaching quality and standards: final reports and core working papers</td>
<td>End of review + 10 years</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td><strong>4.2</strong> TAUGHT PROGRAMME DEVELOPMENT, APPROVAL, DELIVERY AND REVIEW</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.1 Core records detailing the development and approval of individual taught programmes (including programme content, background statistical and benchmarking information, validation processes)</td>
<td>Held as part of relevant University-level and School-level committee papers</td>
<td>See 2.3.1 and 2.4.1</td>
</tr>
<tr>
<td>4.2.2 Programme and School Handbooks (for all levels of degree programme)</td>
<td>End of current academic year + 5 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td>4.2.3 Formal reviews of individual taught programmes: final reports and core working papers</td>
<td>Held as part of relevant University-level and School-level committee papers</td>
<td>See 2.3.1 and 2.4.1</td>
</tr>
<tr>
<td>4.2.4 Anonymised summaries and analyses of student feedback on individual taught programmes</td>
<td>End of current academic year + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>4.2.5 Agreements with partner and validated institutions (including Memoranda of Understanding)</td>
<td>Termination of agreement + 6 years</td>
<td>Retain in perpetuity under the supervision of the Partnership Office</td>
</tr>
<tr>
<td>4.2.6 Teaching timetables</td>
<td>Held as part of Core Student Record</td>
<td>See 3.1.1</td>
</tr>
<tr>
<td><strong>4.3</strong> TAUGHT PROGRAMME ACCREDITATION</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3.1 Records detailing the approval and accreditation of taught programmes from professional, statutory and other formal accreditation bodies</td>
<td>End of accreditation process + 10 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td><strong>4.4</strong> TAUGHT COURSE DEVELOPMENT, APPROVAL, DELIVERY AND REVIEW</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.4.1 Core records detailing the development and approval of individual taught courses (including course content)</td>
<td>Held as part of relevant School-level committee papers</td>
<td>See 2.4.1</td>
</tr>
<tr>
<td>4.4.2 Course Handbooks and readings lists produced before the taught course begins for a new cohort of students</td>
<td>Completion of course by the relevant cohort of students + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>4.4.3 Teaching and learning materials produced during the life of a taught course for a given cohort of students (e.g. handouts, Study Direct resources, podcasts)</td>
<td>Retention periods will vary according to the nature and medium of the materials and their ongoing pedagogic value</td>
<td>Destroy</td>
</tr>
<tr>
<td>4.4.4 Formal reviews of individual taught courses: final reports and core working papers</td>
<td>Held as part of relevant School-level committee papers</td>
<td>See 2.4.1</td>
</tr>
<tr>
<td>4.4.5 Anonymised summaries and analyses of student feedback on individual taught courses</td>
<td>End of current academic year + 6 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
## SECTION 5  RESEARCH AND ENTERPRISE

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1.1</td>
<td>Records detailing the development of general University quality assurance processes for research</td>
<td>Held as part of relevant University-level committee papers</td>
</tr>
<tr>
<td>5.1.2</td>
<td>Formal internal reviews of general University research quality and standards: final reports and core working papers</td>
<td>Held as part of relevant University-level committee papers</td>
</tr>
<tr>
<td>5.1.3</td>
<td>Formal external reviews (e.g. RAE or REF) of general University research quality and standards: final reports and core working papers</td>
<td>End of review + 10 years</td>
</tr>
<tr>
<td>5.1.4</td>
<td>Records relating to a project's research governance and ethics (for both own-funded and externally-funded activities)</td>
<td>Completion of research activity + 6 years</td>
</tr>
<tr>
<td>5.1.5</td>
<td>Case files relating to allegations of research misconduct</td>
<td>Closure of case or end of investigation+7 years</td>
</tr>
<tr>
<td>5.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.1</td>
<td>Communications with research funders which lead to research projects</td>
<td>See 6.4.2</td>
</tr>
<tr>
<td>5.2.2</td>
<td>Communications with research funders which do not lead to research projects</td>
<td>Last action on proposed project + 1 year</td>
</tr>
<tr>
<td>5.2.3</td>
<td>Records detailing the formation and management of partnerships and other collaborations to undertake research</td>
<td>Life of partnership or collaboration + 6 years (though longer retention periods may be necessary due to specific contractual requirements)</td>
</tr>
<tr>
<td>5.2.4</td>
<td>Research project design and preparatory papers (generally held by the Principal Investigator) where the project is pursued</td>
<td>Completion of project + 6 years</td>
</tr>
<tr>
<td>5.2.5</td>
<td>Research project design and preparatory papers (generally held by the Principal Investigator) where the project is not pursued</td>
<td>Last action on proposed project + 1 year</td>
</tr>
<tr>
<td>5.2.6</td>
<td>Research data and working papers produced through the life of the project</td>
<td>Retention periods will vary according to specific contractual requirements and the nature and sensitivity of the research (as a general guide: Completion of project + 10 years)</td>
</tr>
<tr>
<td>5.2.7</td>
<td>Papers (generally held by the Principal Investigator) detailing the overall management of research projects</td>
<td>Completion of project + 6 years (though longer retention periods may be necessary due to specific contractual requirements)</td>
</tr>
<tr>
<td>-------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>5.2.8</td>
<td>Final reports produced by the Principal Investigator on externally funded research projects</td>
<td>Completion of project + 6 years</td>
</tr>
<tr>
<td>5.2.9</td>
<td>Final research outputs (formal publications etc.)</td>
<td>None: one copy to be archived immediately upon publication</td>
</tr>
</tbody>
</table>

### 5.3 RESEARCH EXPLOITATION AND ENTERPRISE

<p>| 5.3.1 | Records concerning any unsuccessful attempts to commercially exploit the University’s intellectual property | Last action towards commercial exploitation + 3 years | Destroy |
|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|
| 5.3.2 | Records documenting the negotiation, transfer and sale of intellectual property rights to third parties | Completion of transfer + 6 years (though longer retention periods may be necessary due to specific contractual requirements) | Destroy |
| 5.3.3 | Patent applications and renewals | Life of patent + 30 years | Destroy |
| 5.3.4 | Patent certificates | Life of patent | Send to University Archives |
| 5.3.5 | Case files on patent infringements | Last action on case + 6 years | Destroy |
| 5.3.6 | Registered trademark or design applications and renewals | Life of trademark registration + 6 years | Destroy |
| 5.3.7 | Registered trademark or design certificates | Life of trademark registration | Send to University Archives |
| 5.3.8 | Records concerning consultancy tenders and proposals (including any resulting contract and project management records) | Termination of consultancy arrangement + 6 years | Destroy |
| 5.3.9 | Records concerning the formation and disposal of spin-out companies | See 6.9 | See 6.9 |</p>
<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1 GENERAL FINANCE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.1.1 Annual Financial Statements: final copy</td>
<td>See 1.1.1</td>
<td>See 1.1.1</td>
</tr>
<tr>
<td>6.1.2 Annual Financial Statements: preparatory documents</td>
<td>End of current financial year + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.1.3 Financial Regulations</td>
<td>Until superseded by new edition + 1 year</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>6.1.4 External financial audits and actions taken to address issued raised</td>
<td>Completion of audit + 10 years (though longer retention periods may be necessary depending on findings)</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.2 UNIVERSITY ACCOUNTING</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.2.1 Purchase orders (electronic), purchase invoices (electronic), sales invoices (electronic), credit card records and other transaction records (excluding retail sales transactions, for which see 9.1.6)</td>
<td>End of current financial year + 6 years (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder)</td>
<td>Destroy</td>
</tr>
<tr>
<td></td>
<td>Purchase invoices (paper)</td>
<td>3 months from scan date</td>
</tr>
<tr>
<td></td>
<td>Sales invoice support (paper)</td>
<td>End of current financial year + 6 years</td>
</tr>
<tr>
<td></td>
<td>Supplier and Customer bank amendments</td>
<td>End of current financial year + 1 years</td>
</tr>
<tr>
<td></td>
<td>6.2.2 Expenses payments (to employees and third parties)</td>
<td>End of current financial year + 6 years (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder)</td>
</tr>
<tr>
<td>Section</td>
<td>Description</td>
<td></td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
<td></td>
</tr>
<tr>
<td>6.2.3</td>
<td>Petty cash handling</td>
<td>End of current financial year + 6 years</td>
</tr>
<tr>
<td>6.2.4</td>
<td>Student accounts and tuition fees (for scholarships and bursaries, see 3.6.1)</td>
<td>Student graduation or departure + 6 years</td>
</tr>
<tr>
<td>6.3</td>
<td>INTERNAL ACCOUNTING AND BUDGET MANAGEMENT</td>
<td></td>
</tr>
<tr>
<td>6.3.1</td>
<td>Processing of internal accounting transactions between units</td>
<td>End of current financial year + 1 year</td>
</tr>
<tr>
<td>6.3.2</td>
<td>Contracts between internal units for service provision</td>
<td>End of contract + 1 year</td>
</tr>
<tr>
<td>6.3.3</td>
<td>Analyses of internal resource deployment</td>
<td>While necessary for reference and future planning purposes</td>
</tr>
<tr>
<td>6.3.4</td>
<td>Preparation and monitoring of annual operating budgets</td>
<td>End of current financial year + 3 years</td>
</tr>
<tr>
<td>6.4</td>
<td>FUNDING ADMINISTRATION</td>
<td></td>
</tr>
<tr>
<td>6.4.1</td>
<td>Administration of annual funding allocations from HEFCE and other funding bodies</td>
<td>End of current financial year + 10 years</td>
</tr>
<tr>
<td>6.4.2</td>
<td>Administration of research grants from Funding Councils or other funders</td>
<td>End of grant + 6 years (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder)</td>
</tr>
<tr>
<td>6.4.3</td>
<td>Administration of funding from European Structural Funds</td>
<td>As advised by the relevant Government Department</td>
</tr>
<tr>
<td>6.4.4</td>
<td>Records of transactions with substantial donors to the University (as defined by sections 506A-C of the Income and Corporation Taxes Act 1988)</td>
<td>End of current academic year + 6 years</td>
</tr>
<tr>
<td>6.5</td>
<td>TAX</td>
<td></td>
</tr>
<tr>
<td>6.5.1</td>
<td>Preparation and filing of annual tax returns</td>
<td>End of current tax year + 6 years</td>
</tr>
<tr>
<td>6.5.2</td>
<td>VAT accounting</td>
<td>End of current tax year + 6 years</td>
</tr>
<tr>
<td>6.6</td>
<td>CASH, INVESTMENT AND ASSET MANAGEMENT</td>
<td></td>
</tr>
<tr>
<td>6.6.1</td>
<td>Opening and closing of bank accounts</td>
<td>Closure of account + 6 years</td>
</tr>
<tr>
<td>6.6.2</td>
<td>Standing order and direct debit instructions</td>
<td>End of instruction + 6 years</td>
</tr>
<tr>
<td>6.6.3 Routine bank account deposits, withdrawals and transfers (including bank statements)</td>
<td>End of current financial year + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.6.4 Overall management of investment portfolio</td>
<td>Disinvestment + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.6.5 Purchase and sale of investments</td>
<td>Date of transaction + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.6.6 Valuations of capital assets</td>
<td>Until superseded by new valuation + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.6.7 Authorisations to dispose of capital assets</td>
<td>Disposal + 6 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

### 6.7 INSURANCE

| 6.7.1 Employers’ Liability Insurance Certificates | Held in perpetuity within the Finance Division | N/A |
| 6.7.2 All other insurance certificates | Held in perpetuity within the Finance Division | N/A |
| 6.7.3 Records documenting the arrangement and renewal of insurance policies | Expiry of policy + 6 years | Destroy |
| 6.7.4 Claims, and outcomes of claims, against insurance policies | Settlement or withdrawal of claim + 6 years | Destroy |

### 6.8 PROCUREMENT

<p>| 6.8.1 Internal authorisations for procurement | End of current financial year + 1 year (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder) | Destroy |
| 6.8.2 Supplier evaluation criteria | Until superseded by new criteria + 5 years | Destroy |
| 6.8.3 Invitations to suppliers to apply for approval | Completion of approval process + 1 year (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder) | Destroy |
| 6.8.4 Evaluations of supplier applications: approved suppliers | End of approval period | Destroy |
| 6.8.5 Evaluations of supplier applications: rejected suppliers | Rejection + 1 year | Destroy |</p>
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Retention Period</th>
<th>Disposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.8.6</td>
<td>Tender evaluation criteria</td>
<td>End of resulting contract + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.8.7</td>
<td>Invitations to tender</td>
<td>End of resulting contract + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.8.8</td>
<td>Evaluations of tender applications: approved tenders</td>
<td>End of contract + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.8.9</td>
<td>Evaluations of tender applications: rejected tenders</td>
<td>Rejection + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.8.10</td>
<td>Supply contracts (and ensuing variations)</td>
<td>End of contract + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.8.11</td>
<td>Contract award notices</td>
<td>End of contract + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.8.12</td>
<td>Reports on contracts for the Office of Government Commerce</td>
<td>End of current financial year + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.8.13</td>
<td>Supplier performance monitoring</td>
<td>End of contract + 6 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

### 6.9 SUBSIDIARY COMPANIES

(Once established, wholly-owned subsidiary companies are separate legal entities. Guidance on the management of a subsidiary company's day-to-day records may nonetheless be sought from the various sections of this Schedule.)

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Retention Period</th>
<th>Disposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.9.1</td>
<td>Records concerning the formation of a subsidiary company</td>
<td>Life of company + 6 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td>6.9.2</td>
<td>Proposals for the formation of a subsidiary company where the company was not formed</td>
<td>Last action on proposal + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.9.3</td>
<td>Periodic review and oversight of the subsidiary company by the University</td>
<td>End of current financial year + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>6.9.4</td>
<td>Winding-up or disposal of the University's interest in the subsidiary company</td>
<td>Winding-up or disposal of interest + 6 years</td>
<td>Initiate Archival Review Process</td>
</tr>
</tbody>
</table>
### SECTION 7  HUMAN RESOURCES

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>7.1</strong> PERSONNEL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Records in sub-section 7.1 relate to individual employees and will usually be held within one master file.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.1.1 Initial application for employment, supporting documentation and related correspondence (e.g. references, CRB checks)</td>
<td>End of employment + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.2 Basic personal details (including emergency contacts)</td>
<td>Until superseded by new details</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.3 Subsequent successful applications for other jobs within the University (for unsuccessful applications, see 7.2.5)</td>
<td>End of employment + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.4 Contract(s) of employment and records of changes to terms and conditions</td>
<td>End of employment + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.5 Job description(s) and related paperwork concerning post(s) held</td>
<td>Duration of post + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.6 Records of induction programmes attended</td>
<td>Completion of induction + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.7 Records of training and development programmes attended</td>
<td>Completion of programme + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.8 Records of training and development programmes attended where these are a statutory or regulatory requirement</td>
<td>Expiry of relevant certification + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.9 Annual appraisals (including identification of training, development and welfare needs) and records of subsequent actions</td>
<td>End of current academic year + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.10 Disciplinary proceedings against an employee and outcomes</td>
<td>End of employment + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.11 Grievances raised by an employee and outcomes</td>
<td>End of employment + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.12 Remuneration and reward of an individual employee (including records of special rewards and employee authorisations for non-standard deductions from salary)</td>
<td>End of current tax year + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.13 Administration of an employee’s contractual holiday (annual leave) entitlement</td>
<td>End of current academic year + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.14 Administration of an employee’s absence due to sickness</td>
<td>End of employment + 40 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.15 Administration of an employee’s special leave (e.g. compassionate, study, research)</td>
<td>End of current academic year + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>7.1.16 Administration of an employee’s statutory leave (e.g. parental)</td>
<td>Completion of entitlement + 6 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
### 7.1.17 Entitlements to and calculations of an employee’s Statutory Maternity Pay
- End of current tax year + 3 years
- Destroy

### 7.1.18 Pre-employment health checks: staff exposed to hazardous substances
- See 13.2.2

### 7.1.19 Pre-employment health checks: all other staff
- End of employment + 6 years
- Destroy

### 7.1.20 Major injuries to an employee from workplace accidents
- See 13.3.1

### 7.1.21 Health assessments for night workers
- Date of assessment + 2 years
- Destroy

### 7.1.22 Records concerning termination of employment
- End of employment + 6 years
- Destroy

### 7.1.23 References provided by the University to third parties about an employee
- End of employment + 6 years
- Destroy

### 7.2 WORKFORCE PLANNING AND RECRUITMENT

#### 7.2.1 Assessments of workforce requirements
- Until superseded by new assessment + 3 years
- Destroy

#### 7.2.2 Management succession plans
- Until superseded by new plans + 5 years
- Destroy

#### 7.2.3 Vacancy advertisements, internal recruitment authorisations and job descriptions
- Held as part of successful applicant's file
- See 7.1.5

#### 7.2.4 Application handling: successful applications
- Held as part of successful applicant's file
- See 7.1.1

#### 7.2.5 Application handling: unsuccessful applications
- Closing date for vacancy + 1 year
- Destroy

#### 7.2.6 Unsolicited applications
- Receipt of application + 1 year
- Destroy

#### 7.2.7 Management analyses of recruitment effectiveness
- While necessary for reference and future planning purposes
- Destroy

### 7.3 STAFF INDUCTION, TRAINING AND DEVELOPMENT

#### 7.3.1 Development and content of induction, training and development programmes
- Until superseded by new programmes + 5 years
- Destroy

#### 7.3.2 Anonymised summaries and analyses of feedback on induction, training and development programmes
- End of current academic year + 5 years
- Destroy

#### 7.3.3 Records of attendance by individual staff members at induction, training and development programmes
- Held as part of employee's file
- See 7.1.6 and 7.1.7

#### 7.3.4 Management analyses of induction, training and development effectiveness
- While necessary for reference and future planning purposes
- Destroy
<table>
<thead>
<tr>
<th>7.4</th>
<th>REMUNERATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.4.1 Remuneration structures</td>
<td>Held in perpetuity within the Human Resources Division</td>
</tr>
<tr>
<td>7.4.2 General administration of pay reviews</td>
<td>End of current academic year + 6 years</td>
</tr>
<tr>
<td>7.4.3 General administration of special reward schemes (e.g. discretionary pay, bonuses)</td>
<td>End of current academic year + 6 years</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7.5</th>
<th>PAYROLL AND PENSIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.5.1 Records documenting the calculation and payment of employees’ salaries and other payments (for records relating to individual employees, see 7.1.12)</td>
<td>End of current tax year + 6 years</td>
</tr>
<tr>
<td>7.5.2 Employer’s PAYE records not sent to the Inland Revenue</td>
<td>End of current tax year + 3 years</td>
</tr>
<tr>
<td>7.5.3 Records formally documenting the University’s involvement in the USS pension scheme</td>
<td>End of involvement + 5 years</td>
</tr>
<tr>
<td>7.5.4 Communications between the University and the USS pension scheme management</td>
<td>End of current financial year + 6 years</td>
</tr>
<tr>
<td>7.5.5 Employer and employee contributions to USS, USPAS, SGSS and any other pension schemes</td>
<td>End of employment + 75 years</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7.6</th>
<th>WORKFORCE AND INDUSTRIAL RELATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.6.1 Design, operation and anonymised results of workforce surveys and consultations</td>
<td>Until superseded by new survey + 5 years</td>
</tr>
<tr>
<td>7.6.2 Records documenting hours worked by employees</td>
<td>Date of record + 2 years</td>
</tr>
<tr>
<td>7.6.3 The University’s recognition and de-recognition of trades unions</td>
<td>Date of de-recognition + 6 years</td>
</tr>
<tr>
<td>7.6.4 Agreements with trades unions</td>
<td>End of agreement + 10 years</td>
</tr>
<tr>
<td>7.6.5 Routine communications with trades unions representatives</td>
<td>End of current academic year + 20 years</td>
</tr>
<tr>
<td>7.6.6 Records of Joint Negotiating Committees</td>
<td>See 2.3</td>
</tr>
<tr>
<td>7.6.7 Consultations and negotiations with trades unions on specific issues</td>
<td>Last action on negotiation + 20 years</td>
</tr>
<tr>
<td>7.6.8</td>
<td>Staff welfare records (including notes about individual members of staff)</td>
</tr>
<tr>
<td>7.7</td>
<td>EQUALITY AND DIVERSITY</td>
</tr>
<tr>
<td>7.7.1</td>
<td>Statistical information resulting from equality monitoring</td>
</tr>
<tr>
<td>7.7.2</td>
<td>Handling of formal complaints about discrimination</td>
</tr>
<tr>
<td>7.7.3</td>
<td>Formal equality schemes and action plans (for disability, race, gender, etc.)</td>
</tr>
<tr>
<td>7.7.4</td>
<td>Annual reports on formal equality schemes and action plans</td>
</tr>
<tr>
<td>7.7.5</td>
<td>Formal equality impact assessments</td>
</tr>
<tr>
<td>7.7.6</td>
<td>Formal monitoring of the equalities aspects of student admissions and progress</td>
</tr>
<tr>
<td>7.7.7</td>
<td>Formal monitoring of the equalities aspects of staff recruitment and career progression</td>
</tr>
</tbody>
</table>
### SECTION 8  ESTATES AND FACILITIES MANAGEMENT

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>8.1</strong> PROPERTY ACQUISITION, DEVELOPMENT AND DISPOSAL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.1.1 Records detailing the acquisition of a property</td>
<td>Disposal of property + 12 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td>8.1.2 Title deeds for properties owned by the University</td>
<td>Throughout ownership of property</td>
<td>Transfer to new owner with property</td>
</tr>
<tr>
<td>8.1.3 Negotiation records where a property was not acquired</td>
<td>Conclusion of negotiations + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.1.4 Negotiation of leases and lease agreements</td>
<td>Expiry of lease + 15 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.1.5 Property development records (including plans)</td>
<td>Throughout ownership of property</td>
<td>Transfer to new owner with property</td>
</tr>
<tr>
<td>8.1.6 Planning applications and consents</td>
<td>Throughout ownership of property</td>
<td>Transfer to new owner with property</td>
</tr>
<tr>
<td>8.1.7 Records detailing the disposal of a property by sale, transfer or donation</td>
<td>Disposal of property + 12 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td><strong>8.2</strong> PROPERTY MAINTENANCE AND FACILITIES MANAGEMENT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.2.1 Routine inspections of properties</td>
<td>Date of inspection + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.2 Routine inspections of facilities</td>
<td>Until superseded by two subsequent inspections</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.3 Project contracts</td>
<td>See 1.8.1 and 1.8.2</td>
<td>See 1.8.1 and 1.8.2</td>
</tr>
<tr>
<td>8.2.4 Major maintenance works to properties</td>
<td>Throughout ownership of property</td>
<td>Transfer to new owner with property</td>
</tr>
<tr>
<td>8.2.5 Major maintenance works to facilities</td>
<td>Completion of works + 15 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.6 Minor maintenance works to properties</td>
<td>Completion of works + 15 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.7 Minor maintenance works to facilities</td>
<td>Completion of works + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.8 Space audits: annual snapshots</td>
<td>Date of annual snapshot + 10 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.9 Relocation of facilities</td>
<td>Completion of relocation + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.10 Inspections of properties or facilities by external authorities</td>
<td>Until superseded by subsequent inspection (though longer retention periods may be necessary depending on findings)</td>
<td>Destroy</td>
</tr>
<tr>
<td>Topic</td>
<td>Retention Period</td>
<td>Action</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>8.2.11 Licences and certificates issued by external authorities</td>
<td>Until superseded by new licence (though longer retention periods may be necessary depending on external authority requirements)</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.12 Legionella control records</td>
<td>Date of creation + 7 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.13 Method Statements</td>
<td>Date of statement + 2 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.2.14 Permits to Work or Enter</td>
<td>Expiry of permit + 2 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.3 SECURITY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.3.1 Security inspections of properties or facilities</td>
<td>Until superseded by two subsequent inspections</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.3.2 Access logs to secure areas and logs of security passes issued</td>
<td>Date of log + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.3.3 Routine security surveillance of properties and facilities</td>
<td>Date of surveillance + 2 months</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.3.4 Security daily incident reports and logs</td>
<td>Last action on incident + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4 ENVIRONMENTAL, ENERGY AND WASTE MANAGEMENT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.4.1 Environmental audits and records of actions taken to address issues raised</td>
<td>Completion of audit + 6 years (though longer retention periods may be necessary depending on findings)</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4.2 Identified environmental hazards and risk assessments</td>
<td>Elimination of risk + 5 years or Until superseded by updated risk assessment + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4.3 Accreditation under environmental management schemes</td>
<td>End of accreditation + 2 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4.4 Records detailing environmental awareness activities</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4.5 Major environmental incident investigation</td>
<td>See 13.3.1</td>
<td>See 13.3.1</td>
</tr>
<tr>
<td>8.4.6 Routine monitoring and formal reviews of energy usage</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4.7 Utility meter readings</td>
<td>Date of reading + 10 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4.8 Records of special and hazardous waste removal from the University's premises</td>
<td>Removal of waste + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.4.9 Other waste transfer records</td>
<td>Transfer of waste + 2 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5</td>
<td>EQUIPMENT AND CONSUMABLES</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>8.5.1 Specification, selection and installation of safety-critical or hazardous items</td>
<td>Life of the item + 40 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.2 Specification, selection and installation of major items</td>
<td>Life of the item + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.3 Specification, selection and installation of minor items</td>
<td>Life of the item + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.4 Maintenance, testing and inspection logs of safety-critical or hazardous items</td>
<td>Life of the item + 10 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.5 Maintenance, testing and inspection logs of major items</td>
<td>Life of the item + 7 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.6 Maintenance, testing and inspection logs of minor items</td>
<td>Life of the item + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.7 Disposal of items and transfers of ownership: safety-critical or hazardous items</td>
<td>Disposal of item + 6 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.8 Disposal of items and transfers of ownership: major items</td>
<td>Disposal of item + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.9 Disposal of items and transfers of ownership: minor items</td>
<td>Disposal of item + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.10 Stock inventories</td>
<td>Until superseded by new or updated inventory</td>
<td>Destroy</td>
</tr>
<tr>
<td>8.5.11 Routine stocktaking and records of stock movements</td>
<td>End of current academic year + 1 year</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
### SECTION 9  TRADING AND CAMPUS SERVICES

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.1 CAMPUS SERVICES: STANDARDS AND DELIVERY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.1.1 Formal agreements on service standards</td>
<td>Until superseded by new agreement + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>9.1.2 Reports on service delivery against agreed standards</td>
<td>Issue of report + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>9.1.3 Development and management of promotional campaigns</td>
<td>Until superseded by new campaign + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>9.1.4 Promotional materials</td>
<td>Until superseded by new materials + 3 years (though longer retention periods may be necessary for reference and future planning purposes)</td>
<td>Destroy</td>
</tr>
<tr>
<td>9.1.5 Formal publications produced by the campus service provider</td>
<td>Publication + 5 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td>9.1.6 Retail sales transactions</td>
<td>End of current academic year + 6 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

9.2 CAMPUS SERVICES: CUSTOMER RELATIONS

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.2.1 Design, operation and anonymised results of surveys conducted by the campus service provider</td>
<td>Until superseded by new survey + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>9.2.2 Customer complaints received and outcomes</td>
<td>Last action on complaint + 3 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
## SECTION 10   COMMUNICATIONS

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>10.1 MEDIA RELATIONS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.1.1 Press releases, press cuttings, media briefings and media interviews</td>
<td>Date of issue + 10 years (though longer retention periods may be necessary depending on the nature and sensitivity of the content)</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.1.2 Media contact lists</td>
<td>Until superseded by new or updated list</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.1.3 Media enquiries and responses provided (excluding those made under the Freedom of Information Act 2000, for which see 2.7.4)</td>
<td>Last action on enquiry + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.1.4 Monitoring of media coverage</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>10.2 PUBLIC RELATIONS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.2.1 Enquiries from members of the general public and responses provided (including those made by local, regional or business communities but excluding those made under the Freedom of Information Act 2000, for which see 2.7.4)</td>
<td>Last action on enquiry + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.2.2 Design, operation and anonymised results of surveys conducted by the University (excluding student surveys, for which see 3.6.2)</td>
<td>While necessary for reference and future planning purposes (as a general guide: Until superseded by new survey + 3 years)</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.2.3 Complaints received and outcomes (excluding those from students, staff, or customers of campus service providers, for which see 3.5.1, 7.1.11 and 9.2.2 respectively)</td>
<td>Last action on complaint + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>10.3 MARKETING AND PUBLICATIONS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.3.1 Records detailing the design of corporate identity branding (logos, markings, etc.)</td>
<td>Until superseded by new branding</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>Section</td>
<td>Description</td>
<td>Retention Period</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
<td>------------------</td>
</tr>
<tr>
<td>10.3.2</td>
<td>Anonymised market research data</td>
<td>While necessary for reference and future planning purposes (as a general guide: Completion of market research + 5 years)</td>
</tr>
<tr>
<td>10.3.3</td>
<td>Records detailing the design and conduct of marketing and advertising campaigns (excluding student and staff recruitment activities, for which see 3.2.2 and 7.2.3 respectively)</td>
<td>Completion of campaign + 3 years</td>
</tr>
<tr>
<td>10.3.4</td>
<td>Official University publications</td>
<td>See 1.1</td>
</tr>
</tbody>
</table>

### 10.4 GOVERNMENT AND HEFCE RELATIONS

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Retention Period</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.4.1</td>
<td>General communications with governmental or parliamentary bodies or HEFCE (including enquiries and responses provided)</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.4.2</td>
<td>Formal responses to governmental or parliamentary or HEFCE surveys and consultations</td>
<td>Submission of response + 5 years</td>
<td>Initiate Archival Review Process</td>
</tr>
<tr>
<td>10.4.3</td>
<td>Records of the University’s formal participation in governmental or parliamentary or public inquiries</td>
<td>Completion of inquiry + 10 years</td>
<td>Initiate Archival Review Process</td>
</tr>
</tbody>
</table>

### 10.5 HIGHER EDUCATION SECTOR RELATIONS

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Retention Period</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.5.1</td>
<td>Records documenting the University’s membership of sector-wide bodies (e.g. UUK, AHUA, BUFDG)</td>
<td>Termination of membership + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.5.2</td>
<td>Working papers documenting the University’s involvement with sector-wide bodies</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.5.3</td>
<td>Formal responses to surveys and consultations run by sector-wide bodies</td>
<td>Submission of response + 5 years (though longer retention periods may be necessary depending on the nature and sensitivity of the content)</td>
<td>Destroy</td>
</tr>
<tr>
<td>10.5.4</td>
<td>General communications with other HE or FE institutions, professional associations and learned bodies</td>
<td>End of current academic year + 5 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
## SECTION 11  LIBRARY

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>11.1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.1.1</td>
<td>Records detailing the selection of publications and other materials for purchase</td>
<td>Completion of purchase</td>
</tr>
<tr>
<td>11.1.2</td>
<td>Schemes for classifying and cataloguing library collections</td>
<td>Until superseded by new scheme + 1 year</td>
</tr>
<tr>
<td>11.1.3</td>
<td>Records authorising the withdrawal or sale of items in the collections</td>
<td>Withdrawal or sale + 3 years</td>
</tr>
<tr>
<td>11.1.4</td>
<td>Copyright declaration forms for Inter-Library Loan Requests</td>
<td>Date of request + 6 years</td>
</tr>
<tr>
<td>11.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.2.1</td>
<td>Records detailing the acquisition of items in the collection</td>
<td>Life of the collection + 1 year</td>
</tr>
<tr>
<td>11.2.2</td>
<td>Records detailing conservation work on items in the collection</td>
<td>Life of the collection</td>
</tr>
<tr>
<td>11.2.3</td>
<td>Enquiries about items in the collection, requests for access and records of visits</td>
<td>Last action on enquiry or request or visit + 1 year</td>
</tr>
<tr>
<td>11.2.4</td>
<td>Loan of items to third parties</td>
<td>Return of item + 10 years</td>
</tr>
<tr>
<td>11.2.5</td>
<td>Promotional materials relating to the collection</td>
<td>Until superseded by new materials</td>
</tr>
<tr>
<td>11.2.6</td>
<td>Records authorising the withdrawal or sale of items in the collection</td>
<td>Life of the collection + 1 year</td>
</tr>
<tr>
<td>11.2.7</td>
<td>Copyright declaration forms for the use of material accessed in Special Collections</td>
<td>Date of access + 7 years</td>
</tr>
</tbody>
</table>
## SECTION 12  IT SERVICES

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>12.1 DEVELOPMENT OF ICT SYSTEMS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jon (FIS) 12.1.1 Development, modification and maintenance of core ICT systems</td>
<td>Decommissioning of system + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>Jon (FIS) 12.1.2 Initial development of core ICT systems that are not implemented</td>
<td>Last action towards development + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>Jon (FIS) 12.1.3 Development of new, non-core ICT systems (usually held as project management records)</td>
<td>Termination of project + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>12.2 OPERATION OF ICT SYSTEMS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.2.1 Routine monitoring of ICT systems and actions taken to rectify problems</td>
<td>End of current academic year + 1 year</td>
<td>Destroy</td>
</tr>
<tr>
<td>12.2.2 Software licences</td>
<td>Until superseded by new licence + 6 months</td>
<td>Destroy</td>
</tr>
<tr>
<td>12.2.3 Email and connection log data</td>
<td>Date of log + 6 months</td>
<td>Destroy</td>
</tr>
<tr>
<td>12.2.4 Web usage log data</td>
<td>Date of log + 1 month</td>
<td>Destroy</td>
</tr>
<tr>
<td>12.2.5 Anonymised summaries of log data</td>
<td>While necessary for reference and future planning purposes</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>12.3 SECURITY OF ICT SYSTEMS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.3.1 Records documenting attempted or actual security breaches of ICT systems and action taken</td>
<td>Last action on breach + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>12.3.2 Records documenting extraordinary institutional access to individual ICT user accounts</td>
<td>End of access period + 3 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>12.4 USER SUPPORT FOR ICT SYSTEMS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jon (FIS) 12.4.1 Development and content of ICT training programmes</td>
<td>Until superseded by new programmes + 2 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>Jon (FIS) 12.4.2 Logs of requests for assistance from ICT system users and action taken</td>
<td>Date of log + 1 year</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
# SECTION 13  HEALTH AND SAFETY

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>13.1</strong> GENERAL HEALTH AND SAFETY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.1.1 Health and safety inspections and audits and records of actions taken to address issues raised</td>
<td>Completion of inspection or audit + 10 years (though longer retention periods may be necessary depending on findings)</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.1.2 Records of University-level and School-level health and safety committees</td>
<td>See 2.3 and 2.4</td>
<td>See 2.3 and 2.4</td>
</tr>
<tr>
<td>13.1.3 Annual health and safety reports</td>
<td>Held as part of relevant University-level committee papers</td>
<td>See 2.3.1</td>
</tr>
<tr>
<td>13.1.4 Records concerning health and safety advisors (appointment, communications, training)</td>
<td>End of an individual's appointment + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.1.5 General health and safety information, induction and training materials for staff, students and visitors</td>
<td>Until superseded by new materials + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.1.6 General risk assessments of health and safety hazards (for Method Statements, see 8.2.13)</td>
<td>Until superseded by updated risk assessment + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>13.2</strong> HAZARDOUS SUBSTANCES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.2.1 Risk assessments involving hazardous substances (e.g. biological agents, lead, asbestos, ionising radiation)</td>
<td>Until superseded by updated risk assessment + 10 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.2.2 Health surveillance records of employees exposed to hazardous substances</td>
<td>End of employment + 40 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.2.3 Information, instruction and training provided to employees exposed to hazardous substances</td>
<td>Until superseded by new materials + 5 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.2.4 Emergency and incident plans concerning hazardous substances</td>
<td>Until superseded by new plans + 10 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.2.5 Written plans for work with asbestos</td>
<td>Completion of work</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.2.6 Official notifications of proposed work with asbestos</td>
<td>Completion of work + 10 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.2.7 Records concerning the quantity and location of radioactive substances</td>
<td>Disposal of radioactive substance + 2 years</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>13.3</strong> INCIDENT REPORTING AND INVESTIGATION</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.3.1 Investigations into injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises</td>
<td>Closure of investigation + 40 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>13.3.2 Official notifications as required of injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises</td>
<td>Date of notification + 3 years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

| **13.4** FIRE SAFETY AND FIRST AID |
|---|---|---|
| **13.4.1** Records detailing the appointment of fire wardens and first aiders | End of an individual's appointment | Destroy |
| **13.4.2** Information, instruction and training provided to fire wardens and first aiders | Until superseded by new materials or programmes + 5 years | Destroy |
| **13.4.3** Fire safety risk assessment and drill procedures | Until superseded by updated risk assessment or new procedures + 5 years | Destroy |
| **13.4.4** Fire fighting and safety equipment testing | Until re-tested + 5 years | Destroy |
| **13.4.5** Assessments of first aid facilities, equipment and personnel | Until superseded by updated assessment + 3 years | Destroy |
| **13.4.6** Arrangements between the University and the emergency services in the case of fire or medical emergency | Until superseded by new arrangements + 5 years | Destroy |
## SECTION 14 DEVELOPMENT AND ALUMNI RELATIONS

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>RETENTION PERIOD WITHIN SCHOOL OR DIVISION</th>
<th>ACTION AT END OF RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>14.1 GRADUATION ADMINISTRATION</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.1.1 Records detailing the award of degree certificates at graduation ceremonies</td>
<td>Closure of individual student files relating to the ceremony + 2 years</td>
<td>Destroy</td>
</tr>
<tr>
<td>14.1.2 Graduation programmes</td>
<td>None: one copy to be archived immediately upon publication</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td><strong>14.2 ALUMNI, DONOR AND FRIEND ADMINISTRATION</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.2.1 Basic personal details of individual alumni, donors and friends</td>
<td>Held in perpetuity within the Development and Alumni Relations Office</td>
<td>N/A</td>
</tr>
<tr>
<td>14.2.2 Statistics and surveys relating to alumni, donors and friends</td>
<td>While necessary for reference and future planning purposes</td>
<td>Destroy</td>
</tr>
<tr>
<td>14.2.3 Official alumni, donor and friend publications and communications (e.g. magazines, commemorative publications)</td>
<td>None: one copy to be archived immediately upon publication</td>
<td>Send to University Archives</td>
</tr>
<tr>
<td>14.2.4 Planning, organisation and outcomes of events (e.g. reunions, corporate occasions) for cohorts of alumni, donors and friends</td>
<td>Completion of event + 6 years (though longer retention periods may be necessary for reference and future planning purposes)</td>
<td>Destroy</td>
</tr>
<tr>
<td><strong>14.3 FUNDRAISING</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.3.1 Design, conduct and results of fundraising campaigns directed at alumni, donors, friends and others</td>
<td>End of campaign + 6 years (though longer retention periods may be necessary for reference and future planning purposes)</td>
<td>Destroy</td>
</tr>
</tbody>
</table>