

Records Retention Schedule

The University retention schedule governs the lifecycle of records at the university. It supports compliance with regulatory and legal frameworks and ensures that the university works with a lean information system. Good retention practice allows efficient retrieval and access to information. It also helps the university retain information which is of value to the institution's memory in its archives.

The Retention Schedule organises records by the category of university functions that produce them as the first order and the service area and school as the second. This allows continuity when services or schools are restructured.

The retentions are held as a SharePoint List with various 'views'. A view is a subsection of the list that pertains to a specific activity at the university. The complete list of views is linked below. You will be able to filter through different business activities to locate the retentions applicable to the records in your area. If you find that no retentions adequately cover the records under consideration, please contact the University Records Manager.

How to Read the Retention Schedule

Reference	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
<i>The reference number for the record category. Use this when recording retention actions manually.</i>	<i>The business activity that produces these records in different schools and services</i>	<i>The school or service ordinarily responsible for ownership of these records.</i>	<i>A description of the types of records to which the retention applies.</i>	<i>The point of time from which the retention period begins.</i>	<i>The period after which retention action is taken. If this is blank apply retention immediately after trigger.</i>	<i>Legal/ Statutory or business reasons for retaining records.</i>	<i>The action to undertake the end of the retention. (See below)</i>	<i>Any additional comments if applicable.</i>
A07.01	Student Administration and Support	Academic Registry	Personal details	End of student relationship	6 years	Data Protection Act 2018 and Limitation Act 1980	Review	
A07.02	Student Administration and Support	Academic Registry	Core student academic record	End of student relationship	Permanent	Data Protection Act 2018 and HEAR	Archive	Core records are permanently retained either within the student system or in an archiving system.
A07.03	Student Administration and Support	Admissions	Records documenting the initial assessment of students.	End of student relationship	6 years	Limitation Act 1980	Destroy	

What do the Retention Actions Mean?

There are three retention actions that can be undertaken at the end of a retention period: Destroy, Archive, Review. Each of these have a different impact on the record and are monitored by legal and regulatory needs and the business needs of the university.

DESTROY

Record categories that are marked to be destroyed at the end of the retention period can be disposed with the University's recycling services. If the records are confidential or restricted, they must be disposed either in the secure bin in your department or through requisitioning secure disposal bags from the Post Room. Contact your IT business partner for the secure destruction of digital records on legacy shared drives or SharePoint sites.

REVIEW

Some records that are not marked for destruction by law or regulation and have significance for the service or school for reporting or reference even after the expiry of the retention. The document may then be retained with school or service post the expiry. The decision to retain post review and the date for the next review must be made explicit within the document. In some cases, records may be found to have historical value. In that case they must be archived with the UEL Archives.

ARCHIVE

The archive action is triggered for a small number of records. These are of two types.

- a) Records that must be held long term to fulfil the university's obligations towards students, staff of contracting parties. These records shall often be archived 'in-place' within the systems that created them.
- b) Records that are evidence of university decision-making or those which contribute to institutional history. These records should be transferred to the University Archives at the Docklands Library.

Record Retentions

Student Records

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- Learning and Teaching Governance
- Student Assessment
- Academic Award Administration
- Programme and Teaching Quality
- Education and Training Programmes
- Student Records – Key Records
- Student Immigration Compliance
- Student Outcome
- Student Relations
- Student Complaints
- Student Support and Welfare
- Career Support
- Accommodation
- Student Finance

Research

- Research Business Development
- Research Conduct
- Research Design and Planning
- Research Ethics
- Research Funding and Management
- Research Programme Quality and Review
- Research Strategy
- Research Support

Finance

- Finance Strategy and Planning
- Accounting
- Funding and Fundraising Management
- Asset and Investment Management
- Tax Management
- Procurement and Suppliers
- Financial Contracts
- Cash Management

Human Resources

- HR Governance
- Workforce Planning and Recruitment
- Employee Contract Management
- Employee Training
- Employee Performance and Remuneration
- Employee and Welfare Relations
- Trade Union Relations
- Payroll and Pension Administration
- Employee Conduct

Corporate Resources and Governance

- Corporate Planning and Strategy
- Corporate Governance
- Insurance
- Legal Affairs and Litigation
- Equality Diversity and Inclusion
- Operational Planning and Strategy
- Quality Management
- Risk Management
- Audit Management
- Committee Administration
- Commercial Services Governance

Intellectual Property Rights Management
Contracts Management

Health and Safety

Health and Safety Governance
Health and Safety Audit and Risk
Health and Safety Consultation
Hazard Exposure Control – Display Equipment
Hazard Exposure Control – Noise
Hazard Exposure Control – Other Hazardous Substances
Hazard Exposure Control – Non- Ionizing Radiation
Hazard Exposure Control – Lead
Hazard Exposure Control – Asbestos
Hazard Exposure Control – Ionising Radiation
Health and Safety Incident Management
Health and Safety Training

Estates and Facilities

Estates and Facilities Governance
Property Management
Facilities Management
Sports Facilities
Equipment Management
Environmental Sustainability Management

Communications

Public Relations and Communications
Government and Parliamentary Relations
Official Visits and Representation
HE/FE Sector Relations
Media Relations
Fundraising

Alumni Relations

Marketing

Publishing and Publications

Community Relations Management

Students Union Relations

Information Technology Management

Consultancy

Related Companies Governance

Information Compliance

Regulatory Compliance

Records Management

Archives and Collections Management

Copyright Administration

Student Records

Recruitment and Enrolment

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A01.01	Student Enrolment	Academic Registry	Records documenting the development and establishment of the institution's admission criteria and policies.	Supersession	10 years	Institutional Business Requirement	Review	
A01.02	Student Enrolment	External Relations	Records documenting the handling of student applications: successful applications	End of student relationship	6 years	Limitation Act 1980 Data Protection Act 2018	Destroy	
A01.03	Student Enrolment	External Relations	Records documenting the handling of student applications: unsuccessful applications	End of current academic year	2 years	The Equality Act 2010 and Reporting Requirement for OfS	Destroy	
A01.04	Student Admission	External Relations	Clearing applications	End of current academic year	3 years	Institutional Business Requirement	Destroy	
A01.05	Student Admission	External Relations	Data on overall student numbers	End of current academic year	5 years	Institutional Business Requirement	Review	
A01.06	Immigration advice and Compliance	Student Immigration and Compliance	Records documenting immigration casework/compliance for students, including the retention of immigration permission from students.	Last interaction relating to casework/ Permanent withdrawal relating to immigration permission.	6 years	OISC Code of Standards	Destroy	

A01.07	Immigration advice and Compliance	Student Immigration and Compliance	ID/Immigration Documents (Passport, Copies of Addresses, Vignette, BRP, in country application evidence) on SITS	Last interaction relating to casework/ Permanent withdrawal relating to immigration permission.	6 years	OISC Code of Standards	Destroy
A01.08	Student Enrolment	Academic Registry	Records containing summaries and analyses of data on enrolment of students on programmes	End of current academic year	5 years	Institutional Business Requirement	Review
A01.09	Student Enrolment	Academic Registry	Records documenting the enrolment of individual students on programmes.	End of student relationship	6 years	Limitation Act 1980	Destroy
A01.10	Student Induction	Academic Registry	Records on design and review of student induction programmes and events	End of current academic year	5 years	Institutional Business Requirement	Destroy
A01.11	Student Induction	Academic Registry	Records documenting the administration of induction programmes and events for new students.	End of current academic year	1 year	Institutional Business Requirement	Destroy
A01.12	Student Recruitment	External Relations	Records documenting the handling of enquiries from prospective students that do not subsequently enrol	End of current academic year	1 year	Data Protection Act 2018 and Competitive Market Authority	Destroy
A01.13	Student Recruitment	External Relations	Records documenting the handling of enquiries from prospective students that enrol as students	End of current academic year	5 years	Data Protection Act 2018 and Competitive Market Authority	Destroy
A01.14	Student Recruitment	External Relations	Records containing summaries and analyses of enquiry, recruitment and retention data	End of current academic year	5 years	Institutional Business Requirement	Review
A01.15	Student Recruitment	External Relations	Records documenting the design, operation and summary results of student recruitment schemes	Termination of scheme	5 years	Institutional Business Requirement	Review

A01.16	Student Recruitment	External Relations	Records documenting the design, organisation and summary results of student recruitment events.	Completion of event	3 years	Institutional Business Requirement	Review	Personal data must be anonymised for summaries and securely destroyed once the purpose of collection is achieved.
A01.17	Student Recruitment	External Relations	Records documenting the issue of student recruitment materials in bulk to schools and other organisations	End of current academic year	None	Institutional Business Requirement	Destroy	

Learning and Teaching Governance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A02.01	Learning and Teaching Policies and Regulations	Academic Board	Academic board terms of reference	Issue of terms	Permanent	Archival Value	Archive	
A02.02	Learning and Teaching Policies and Regulations	Academic Board	Academic regulations for taught programmes and research degrees	Issue of regulations	Permanent	Archival Value	Archive	
A02.03	Learning and Teaching Policies and Regulations	CELT	Learning & teaching strategy	Supersession	10 years	Archival Value	Review	

A02.04	Learning and Teaching Policies and Regulations	CELT	Records documenting the development and establishment of the institution's teaching and learning strategy, policies, and procedures: working papers.	Issue of policy	1 year	Institutional Business Requirement	Destroy
A02.05	Learning and Teaching Policies and Regulations	CELT	Master copies of procedures relating to teaching and learning support	Supersession	5 years	Institutional Business Requirement	Destroy

Student Assessment

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A03.01	Student Assessment Administration	Academic Registry	Records documenting the development and establishment of the institution's academic assessment administration policies: key records.	Issue of policy	10 years	Institutional Business Requirement	Review	
A03.02	Student Assessment Administration	Academic Registry	Records documenting the development and establishment of the institution's academic assessment administration policies: working papers.	Issue of policy	1 year	Institutional Business Requirement	Destroy	
A03.03	Student Assessment Administration	Academic Registry	Records documenting the development of the institution's procedures relating to academic assessment administration.	Issue of procedures	1 year	Institutional Business Requirement	Destroy	

A03.04	Student Assessment Administration	Academic Registry	Master copies of procedures relating to academic assessment administration.	Supersession	10 years	Institutional Business Requirement	Review
A03.05	Student Assessment Administration	Academic Registry	Transcripts and awards	Issue	Permanent	Institutional Business Requirement	Archive
A03.06	Examination Board Administration	Academic Registry	Records documenting the conduct of the business of exam committee: agenda, minutes and papers.	End of current academic year	6 years	Institutional Business Requirement	Destroy
A03.07	Examination Board Administration	Academic Registry	Records documenting the conduct of the business of exam 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.	End of current academic year	6 years	Institutional Business Requirement	Destroy
A03.08	Student Assessment Administration	Academic Registry	Records documenting the control of examination papers and examination scripts.	End of current academic year	1 year	Jisc guidance	Review
A03.09	Student Assessment Administration	Academic Registry	Records documenting the selection and appointment of examination invigilators.	End of current academic year	1 year	Data Protection Act 2018	Destroy
A03.10	Student Assessment Administration	Academic Registry	Records documenting the design and delivery of training for examination invigilators.	End of current academic year	1 year	Institutional Business Requirement	Destroy
A03.11	Student Assessment Administration	Academic Registry	Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	End of current academic year	1 year	Institutional Business Requirement	Destroy
A03.12	Student Assessment Administration	Academic Registry	Examination Scripts	End of current academic year	5 years	OfS conditions	Destroy

A03.13	Student Assessment Administration	Academic Registry	Timetabling of Examinations	End of current academic year	1 year	Institutional Business Requirement	Destroy
A03.14	Student Assessment Administration	Academic Registry	Extenuating circumstances records	End of student relationship	6 years	Data Protection Act 2018	Destroy
A03.15	Student Assessment Administration	Academic Registry	Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.	End of current academic year	1 year	Institutional Business Requirement	Destroy
A03.16	Student Assessment Administration	Academic Registry	Notification of awards to students and issue of certificates	Issue of certificates	6 Years	Limitation Act 1980	Destroy
A03.17	Student Assessment Administration	Academic Registry	Pass/Qualification/Awards list	Completion of student's program +	10 years	Jisc guidance	Review
A03.18	Student Assessment Administration	Academic Registry	Records documenting the mailing of award certificates to students who do not attend ceremonies.	Completion of mailing	1 year	Institutional Business Requirement	Destroy
A03.19	Student Assessment Administration	Academic Registry, Student Services	Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances.	End of current academic year	1 year	Data Protection Act 2018	Destroy
A03.20	Student Assessment Administration	Student Services	Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.	End of current academic year	1 year	Data Protection Act 2018	Destroy
A03.21	Student Assessment Administration	Complaints and Appeals	Student academic appeals	End of current academic year	5 years	Data Protection Act 2018	Destroy
A03.22	Student Assessment Administration	Library and Learning Services	PhD dissertations / theses (final)	Completion of thesis	Max of 2 copies to be kept permanently	Data Protection Act 2018	Archive

A03.23	Student Assessment Administration	Schools	Submitted/completed assessments (formative and summative assessments) and marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Course end date	7 years	OfS B conditions	Review
A03.24	Student Assessment Administration	Schools	Marking sheets	End of current academic year	1 year	Data Protection Act 2018	Destroy
A03.25	Student Assessment Administration	QAE	Records documenting the selection and appointment of external examiners.	Termination of Appointment	5 years	Data Protection Act 2018	Destroy
A03.26	Student Assessment Administration	QAE	Records documenting liaison with external examiners on administrative matters.	End of current academic year	1 year	Data Protection Act 2018	Destroy
A03.27	Student Assessment Administration	QAE	Examiners Reports	End of current academic year	5 years	Data Protection Act 2018	Destroy
A03.28	Taught Student Monitoring and Support	Schools	Feedback on academic progress, and general academic guidance and support, given to individual taught students.	End of student relationship	6 years	Limitation Act 1980	Destroy

Academic Award Administration

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A04.01	Academic Award Administration	Academic Registry	Records documenting the development and establishment of the institution's academic award administration policies and procedures (and master copies): key records.	Supersession	5 years	Institutional Business Requirement	Destroy	
A04.02	Academic Award Administration	External Relations	Records documenting the organisation of award ceremonies.	Completion of ceremony	1 year	Institutional Business Requirement	Destroy	
A04.03	Academic Award Administration	External Relations	Records documenting the production of award certificates.	Completion of ceremony	1 year	Institutional Business Requirement	Destroy	
A04.04	Academic Award Administration	UEB	Records documenting offers of honorary awards and responses received.	Conferment of award	1 year	Institutional Business Requirement	Archive	
A04.05	Academic Award Administration	School	Nominations for prizes, the consideration of nominations and notifications to recipients of prizes.	End of current academic year	5 years	Archival value	Archive	
A04.06	Academic Award Administration	School	List of Prize Winners	Award of Prize	Permanent	Archival value	Archive	

Programme and Teaching Quality

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A05.01	Programme Approval, Accreditation and Review	Schools	Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	End of programme	Life of programme	Institutional Business Requirement	Destroy	
A05.02	Programme Approval, Accreditation and Review	QAE	Records documenting the design and development of (modules of) taught programmes.	End of programme	10 years	Institutional Business Requirement	Review	
A05.03	Programme Development, Approval, Accreditation and Review	QAE	Programme & module specifications	End of programme	Master copy to be kept permanently	Institutional Business Requirement	Review	
A05.04	Programme Development, Approval, Accreditation and Review	QAE	Data on, and analyses of, student numbers and other taught programme statistics.	End of current academic year	5 years	Institutional Business Requirement	Destroy	
A05.05	Programme Development, Approval, Accreditation and Review	QAE	Student feedback on taught programmes	Completion of Analysis	2 years	Internal Business Requirements	Review	
A05.06	Programme Development, Approval, Accreditation and Review	QAE	Solicited staff and examiner feedback on specific modules	End of life of course	5 years	Internal Business Requirements	Destroy	

A05.07	Programme Development, Approval, Accreditation and Review	QAE	Student feedback on entire programme	Completion of analysis	Anonymized data to be kept for 10 years	Institutional Business Requirement	Destroy
A05.08	Quality and Standards	QAE	QAE institutional and subject review reports and other external teaching quality reviews and audits	End of current academic year	7 years	Institutional Business Requirement	Review
A05.09	Quality and Standards	QAE	Quality and standards committee minutes and terms of reference	Issue	Permanent	Archival Value	Archive
A05.10	Quality and Standards	QAE	School Quality Committee, and School Education & Experience Committee terms of reference	End of current academic year	5 years	Institutional Business Requirement	Review
A05.11	Quality and Standards	QAE	School Quality Committee, and School Education & Experience Committee minutes and reports	End of current academic year	5 years	Institutional Business Requirement	Review

Education and Training Programmes

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A06.01	Education & Training Contract Management	CELT	Records documenting the negotiation and establishment of contracts.	Termination of contract	6 years	Limitation Act, 1980 c. 58 s 5	Destroy	
A06.02	Education & Training Procedure Development	CELT	Master copies of procedures relating to education and training.	Supersession	5 years	Institutional business requirements.	Destroy	
A06.03	Education & Training Procedure Development	CELT	Master copies of procedures relating to education and training.	5 years	Supersession	Institutional business requirements.	Destroy	
A06.04	Education & Training Programme Assessment	CELT	Records documenting submitted/completed assessments: formative assessments.	Current academic year		Institutional business requirements.	Destroy	
A06.05	Education & Training Programme Assessment	CELT	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year	6 years	Limitation Act, 1980 c. 58 s 5	Destroy	
A06.06	Education & Training Programme Assessment	CELT	Records of application and outcomes of Advance HE Fellowships	Creation	Life of Applicant/ 80 years	Institutional Business Requirement	Destroy	
A06.07	Education & Training Programme Assessment	CELT	Records documenting planning and conduct of Advance HE Panels	End of academic year	4 years	Institutional Business Requirement	Destroy	

A06.08	Education & Training Programme Assessment	CELT	Evaluation surveys of training development activities	End of academic year	5 years	Institutional Business Requirement	Destroy
A06.09	Education & Training Programme Delivery	CELT	Records documenting the planning and conduct of teaching and learning events.	Current academic year	3 years	Institutional business requirements.	Destroy
A06.10	Education & Training Programme Delivery	CELT	Records documenting the preparation of teaching and learning materials.	1 year	Current academic year	Institutional business requirements.	Destroy
A06.11	Education & Training Programme Delivery	CELT	Records documenting the planning and conduct of teaching and learning events.	1 year	Current academic year	Institutional business requirements.	Destroy
A06.12	Education & Training Programme Development	CELT	Records documenting the development of education and training programmes.	Life of programme	5 years	Institutional business requirements.	Destroy
A06.13	Education & Training Programme Development	CELT	Records documenting the development of education and training programmes.	5 years	Life of programme	Institutional business requirements.	Destroy
A06.14	Education & Training Strategy and Policy Development	CELT & HR	Records documenting the development and establishment of the institution's education and training strategy and policies: key records.	Supersession	10 years	Institutional business requirements.	Archive
A06.15	Education & Training Strategy and Policy Development	CELT	Records documenting the development and establishment of the institution's education and training strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy

A06.16	Education & Training Strategy and Policy Development	CELT	Records documenting the development and establishment of the institution's education and training strategy and policies: key records.	Supersession	10 years	Institutional business requirements.	Archive
A06.17	Education & Training Strategy and Policy Development	CELT	Records documenting the development and establishment of the institution's education and training strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy
A06.18	Education & Training Strategy and Policy Development	CELT	Records containing data on, and analyses of, student numbers and other programme statistics.	Completion of subsequent analysis	5 years	Institutional business requirements.	Review
A06.19	Education & Training Programme Assessment	Schools	Records documenting the design and development of assessments.	End of academic year	7 years	Institutional business requirements.	Review

Student Records – Key Records

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A07.01	Student Administration and Support	Academic Registry	Personal details	End of student relationship	6 years	Data Protection Act 2018 and Limitation Act 1980	Review	Certain personal details may be retained for longer as part of the core student record in order to fulfil the university's obligations towards students and alumni
A07.02	Student Administration and Support	Academic Registry	Core student academic record, including registration and progression documents, module registration, change of module, withdrawal of registration and related correspondence	End of student relationship	Permanent	Data Protection Act 2018 and HEAR	Archive	More on student records guidance
A07.03	Student Administration and Support	Admissions	Records documenting the initial assessment of students including: 1. Student Qualifications on Entry 2. Key Skills Assessments 3. Care Student Assessments	End of student relationship	6 years	Limitation Act 1980	Destroy	
A07.04	Student Administration and Support	Academic Registry	Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress, the withdrawal of individual students from the institution, and the termination of individual students' programmes.	End of student relationship	6 years	Data Protection Act 2018	Review	

Student Immigration Compliance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
A07.05	Student Administration and Support	Student Immigration and Compliance	Attendance/Absence records (full electronic copies of migrant attendance and report to run this)	End of Tier 4 sponsorship	6 years	Limitation Act 1980 (Minimum 1 year after sponsorship ends as required by Appendix D of the UKVI Sponsor Guidance)	Destroy	
A07.06	Student Administration and Support	Student Immigration and Compliance	Reasons for absence including health records.	End of Tier 4 sponsorship	6 years	Limitation Act 1980 (Minimum 1 year after sponsorship ends as required by Appendix D of the UKVI Sponsor Guidance)	Destroy	
A07.07	Student Administration and Support	Student Immigration and Compliance	Application Documents (CAS Pack – docs on CAS/Application/Previous UK study, PSE results, VCR data & ATAS)	End of Tier 4 sponsorship	6 years	Limitation Act 1980 (Minimum 1 year after sponsorship ends as required by Appendix D of the UKVI Sponsor Guidance)	Destroy	

A07.08	Student Administration and Support	Student Immigration and Compliance	Contact details – current and historic (anything marked on ADD as ‘C’)	End of Tier 4 sponsorship	6 years	Limitation Act 1980 (Minimum 1 year after sponsorship ends as required by Appendix D of the UKVI Sponsor Guidance)	Destroy
A07.09	Student Administration and Support	Student Immigration and Compliance	Travel evidence (flight tickets of having left UK/passport stamps)	End of Tier 4 sponsorship	6 years	Limitation Act 1980 (Minimum 1 year after sponsorship ends as required by Appendix D of the UKVI Sponsor Guidance)	Destroy
A07.10	Student Administration and Support	Student Immigration and Compliance	Records related to immigration advice given to students.	End of Tier 4 sponsorship	6 years	Data Protection Act 2018 and Limitation Act 1980	Destroy
A07.11	Student Administration and Support	Student Immigration and Compliance	Student financial details (incoming student)	End of Tier 4 sponsorship	6 years	Data Protection Act 2018 and Limitation Act 1980	Destroy
A07.12	Student Administration and Support	Student Immigration and Compliance	Records of pre-entry assessments and interviews of international students	End of Tier 4 sponsorship	6 years	Data Protection Act 2018 and Limitation Act 1980	Destroy
A07.13	Student Administration and Support	Student Support	Letters concerning student's bonafides e.g. visa applications, council tax certificates	End of current academic year	1 year	Data Protection Act 2018	Destroy

Student Outcome

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
B01.01	Student Progress Administration	Academic Registry	Individualised Learner Records (ILR)	Termination of student relation	6 years	Institutional Business Requirements	Destroy	
B01.02	Student Progress Administration	Academic Registry	Records containing standard analyses of data from individual students' records.	End of current academic year	5 years	HESA, HESES, Data Protection Act 2018	Destroy	
B01.03	Student Progress Administration	Academic Registry	Records documenting the handling of requests for ad hoc analyses of data from individual students' records	Last action on request	1 year	Data Protection Act 2018	Destroy	
B01.04	Student Progress Administration	Academic Registry	Records documenting the handling of individual students'/ employers' requests for statements of results/transcripts and requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request	1 year	Data Protection Act 2018	Destroy	
B01.05	Student Progress Administration	Strategic Development and Delivery	Graduate Outcome Surveys: Individual Response	Completion of analyses of responses	None	Data Protection Act 2018	Destroy	
B01.06	Student Progress Administration	Strategic Development and Delivery	Records documenting the design, conduct and (anonymised) summaries and analyses of the results of Graduate Outcomes Surveys	End of current academic year	5 years	Data Protection Act 2018	Review	

B01.07	Student Progress Administration	Strategic Development and Delivery	Graduate Outcomes survey – graduate contact details (mandatory return to HESA)	Completion of survey	2 years	Data Protection Act 2018	Destroy
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Student Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
B02.01	Student Relations	Student Services	Records documenting the development and establishment of the institution's student relations strategy, policies and procedures: key records.	Supersession	5 years	Data Protection Act 2018	Archive	
B02.02	Student Relations	Student Services	Master copies of student relation procedures	Supersession	3 years	Data Protection Act 2018	Review	
B02.03	Student Relations	Student Services	Records documenting the establishment and operation of staff-student liaison committees	Life of Committee	3 years	Data Protection Act 2018	Destroy	
B02.04	Student Relations	Student Services	Records documenting the design and conduct of student surveys	Completion of survey	5 years	Data Protection Act 2018	Review	

B02.05	Student Relations	Student Services	Results of student surveys: individual responses (anonymised)	Completion of analysis of survey	10 years	Data Protection Act 2018	Destroy	Surveys can state different retentions in their privacy notices. The results may be anonymised and retained after the expiry of the retention period.
B02.06	Student Relations	Student Services	Results of student surveys: summaries and analyses of responses	Completion of analysis of survey	5 years	Data Protection Act 2018	Review	
B02.07	Student Relations	Student Services	Records documenting the design of, and overall response to, student suggestion schemes.	Closure of scheme	5 years	Data Protection Act 2018	Destroy	
B02.08	Student Relations	Student Services	Records documenting the handling of suggestions from individual students.	Last action on suggestion	1 year	Data Protection Act 2018	Destroy	
B02.09	Student Relations	Schools	Staff and student program rep meeting records	End of current academic year	3 years	Data Protection Act 2018	Review	

Student Complaints/ Academic Misconduct

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
B03.01	Student disciplinary and appeals case handling	Student Services & Complaints and Appeals	Records documenting the conduct and results of disciplinary proceedings against individual students and academic appeals.	Last action on case	6 years	Data Protection Act 2018	Destroy	
B03.02	Student complaint handling	Student Services and Complaints and Appeals	Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on case	3 years	Data Protection Act 2018	Destroy	
B03.03	Student complaint handling	Complaints and Appeals	Records documenting the handling of formal complaints made by individual students against the institution.	Last action on case	6 years	Data Protection Act 2018	Destroy	
B03.04	Student complaint handling	Student services	Records documenting the handling of formal complaints of harassment and sexual misconduct made by students under Report + Support.	Last action on case	6 years	Data Protection Act 2018	Destroy	See also, Human Resources > Employee Conduct
B03.05	Student complaint handling	Student services	Anonymised reports and documentation of handling of harassment complaints under Report + Support.	Last action on case	10 years	Institutional business requirements	Destroy	

Student Support and Welfare

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
B04.01	Student Support and Welfare	Student Services	Student case files and counsellor, mental health practitioners, sexual and domestic violence advisors notes on support	Last action on case	6 years	Data Protection Act 2018	Destroy	
B04.02	Student Support and Welfare	Student Services	General enquiries on mental health	End of student relationship/Resolution of inquiry whichever is later	2 years	Data Protection Act 2018	Destroy	
B04.03	Student Support and Welfare	Student Services	Disability: personalised assessment, arrangements, and evidence of support	Completion of study	6 years	Data Protection Act 2018	Destroy	
B04.04	Student Support and Welfare	Student Services	Assessments and evidence of support for dyslexia and other learning disabilities	Completion of study	6 years	Data Protection Act 2018	Destroy	
B04.05	Student Support and Welfare	Student Services	Case files on advice offered to students	Last action on case	6 years	Data Protection Act 2018	Destroy	
B04.06	Student Support and Welfare	Student Services	General student enquiries	End of student relationship/Resolution of inquiry whichever is later	2 years	Data Protection Act 2018	Destroy	
B04.07	Student Support and Welfare	Student Services	Other welfare & pastoral support records	End of student relationship	6 years	Data Protection Act 2018	Destroy	

B04.08	Student Support and Welfare	Student Services	Safeguarding and support records including adult and child safeguarding, and prevent records	End of student relationship	6 years	Data Protection Act 2018	Destroy	Prevent duty: Framework for monitoring in higher education in England 2018-19 onwards - Office for Students
B04.09	Student Support and Welfare	Student Services	Student support complaint records	Last action on complaint	4 years	Data Protection Act 2018	Destroy	

Career Support

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
B05.01	Careers and Employability	Careers and Student Enterprise	Career related appointments and mentorship notes	End of student relationship	1 year	Data Protection Act 2018	Destroy	
B05.02	Careers and Employability	Careers and Student Enterprise	Careers advice records	End of enrolment	3 years	Data Protection Act 2018	Destroy	
B05.03	Careers and Employability	Careers and Student Enterprise	Professional placement records	End of placement	6 years	Data Protection Act 2018	Destroy	
B05.04	Careers and Employability	Careers and Student Enterprise	Student work placement records, including those abroad	End of student relationship	6 years	Limitation Act 1980 and Data Protection Act 2018	Destroy	

B05.05	Careers and Employability	Schools	Nursing/clinical work placement records which record practical hours completed in the private/NHS setting	End of student relationship	80 years	Professional registration requirements set out the retention scale for the funding body	Destroy
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Accommodation

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
B06.01	Student Accommodation	Student Services	Accommodation policies and plans	Supersession	10 years	Data Protection Act 2018	Review	
B06.02	Allocation Plan and Policy	Student Services	Records documenting the development and establishment of the institution's accommodation allocation plan and policy for the corresponding year.	Supersession	10 years	Data Protection Act 2018	Destroy	
B06.03	Student Accommodation	Student Services	Accommodation enquiries	End of current academic year	1 year	Data Protection Act 2018	Destroy	
B06.04	Student Accommodation	Student Services	Completed accommodation application forms including requests for additional requirements	Submission of completed form	2 years	Data Protection Act 2018	Destroy	

B06.05	Student Accommodation	Student Services	Room allocations and occupancy	Date of publication	2 years	Data Protection Act 2018	Destroy
B06.06	Student Accommodation	Student Services	Accommodation appeals, disciplinarys and complaints	Last action on appeal	1 year	Data Protection Act 2018	Destroy
B06.07	Student Accommodation	Student Services	Accommodation payments	End of academic year in which student is resident in UEL accommodations	7 years	Data Protection Act 2018	Destroy
B06.08	Student Accommodation	Student Services	Records related to provisions of facilities in accommodations	End of current academic year	6 years	Data Protection Act 2018	Destroy
B06.09	Accommodation Contract	Student Services	Records documenting the establishment of formal contractual relationship between institutional accommodation and student.	Termination of contract	6 years	Data Protection Act 2018	Destroy
B06.10	Accommodation Application	Student Services	Records documenting the student's application to accommodation provided by institution's accommodation: Successful applications.	Superseded by the contract if accepted (see contracts)		Data Protection Act 2018	Destroy
B06.11	Accommodation Application	Student Services	Records documenting the student's application to accommodation provided by institution's accommodation: Unsuccessful applications.	Start of current academic year	1 year	Data Protection Act 2018	Destroy
B06.12	Accommodation Application	Student Services	Records documenting the student's application to accommodation provided by institution's accommodation: Specific requirements – supporting evidence.	Decision	3 months	Data Protection Act 2018	Destroy

B06.13	Accommodation Enquires	Student Services	Records documenting the handling of enquiries from prospective and current students.	Current academic year	2 years	Data Protection Act 2018	Destroy
B06.14	Inventories	Student Services	Records documenting the room facilities associated with the contracted room and common areas.	End of academic year	6 years	Data Protection Act 2018	Destroy
B06.15	Rents	Student Services	Records documenting the development and establishment of institution's accommodation rents for the corresponding year.	Supersession	10 years	Data Protection Act 2018	Destroy
B06.16	Students Lists	Student Services	Records documenting the collation of students in list format for information purposes: Business need.	Supersession		Data Protection Act 2018	Destroy
B06.17	Transfer Requests Form	Student Services	Records documenting the request to alter student allocation.	End of current academic year		Data Protection Act 2018	Destroy
B06.18	Incident Reports	Student Services	Incidence reports relating to student accommodation (unless covered under HEALTH AND SAFETY section).	Last action	1 year	Data Protection Act 2018	Destroy
B06.19	Academic Withdrawal Requests	Student Services	Record documenting student's withdrawal request that may result in termination of accommodation licence: [Institution] accommodation resident.	End of licence	1 year	Data Protection Act 2018	Destroy

Student Finance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
B07.01	Student Finance	Student Services	Records documenting the provision of financial aid funds to individual students.	End of current financial year	6 years	Data Protection Act 2018	Destroy	
B07.02	Student Finance	Student Services	Records on crisis/hardship payments to individual students.	End of current financial year	6 years	Data Protection Act 2018	Destroy	
B07.03	Student Finance	Student Services	Records documenting the award of bursaries to individual students	End of current financial year	6 years	Data Protection Act 2018	Destroy	
B07.04	Student Finance	Student Services	Records documenting the award of scholarships and fellowships to individual students.	End of current financial year	6 years	Data Protection Act 2018	Destroy	
B07.05	Student Finance	Student Services	Council tax exemption certificate	Completion of Study	6 years	Data Protection Act 2018	Destroy	
B07.06	Student Finance	Student Services	Disability allowance	Completion of Study	6 years	Data Protection Act 2018	Destroy	
B07.07	Student Finance	Finance	Tuition fee policy	Supersession	10 years	Data Protection Act 2018	Review	
B07.08	Student Finance	Finance	Regulation and procedures for tuition fee administration	Supersession	10 years	Data Protection Act 2018	Destroy	
B07.09	Finance	Student Finance	Tuition fee collection and receipt	Completion of Study	6 years	Data Protection Act 2018	Destroy	

B07.10	Student Finance	Finance	Records documenting the handling of applications for remission of tuition fees: successful applications.	Determination of application	6 years	Data Protection Act 2018	Destroy
B07.11	Student Finance	Finance	Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.	Determination of application	1 year	Data Protection Act 2018	Destroy

Research

Research Business Development

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
C01.01	Research Business Development	Research, Innovation and Enterprise	Formation of collaborative research partnerships	Life of partnership	6 years	Limitation Act 1980	Review	
C01.02	Research Business Development	Research, Innovation and Enterprise	Liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	End of academic year	5 years	Institutional Business Requirements	Review	
C01.03	Research Business Development	Research, Innovation and Enterprise	Routine monitoring of external developments and trends to inform the development of the institution's research programmes.	End of academic year	1 year	Institutional Business Requirements	Destroy	

C01.04	Research Business Development	Research, Innovation and Enterprise	Records documenting the identification and exploration of new research opportunities which lead to research projects.	Completion of project		Institutional Business Requirements	Review
C01.05	Research Business Development	Research, Innovation and Enterprise	Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action on exploration/ application	5 years	Institutional Business Requirements	Destroy

Research Conduct

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
C02.01	Research Conduct	Research, Innovation and Enterprise	Research performance review reports and audits	End of academic year	10 years	Jisc guidance	Review	
C02.02	Research Conduct	Research, Innovation and Enterprise	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	MRC Requirement	Review	
C02.03	Research Conduct	Research, Innovation and Enterprise	Records documenting the conduct of research funded by the Medical Research Council, except where other requirements are specified (see citations).	Completion of project	10 years	MRC Requirement	Review	

C02.04	Research Conduct	Research, Innovation and Enterprise	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, MRC Regulatory Support Centre: Retention framework for research data and records Medical Research Council (2017)	Review	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.
C02.05	Research Conduct	Research, Innovation and Enterprise	Records documenting the conduct of all other research funded by all other organisations.		As specified by funding body OR Completion of project + 10 years	Jisc Guidance	Destroy	

Research Design and Planning

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
C03.01	Research Design and Planning	Research, Innovation and Enterprise	Records documenting the design and planning of research projects which are not undertaken.	Termination of project	1 year	Institutional Business Requirements	Destroy	
C03.02	Research Design and Planning	Research, Innovation and Enterprise	Records documenting the design and planning of research projects which are undertaken: key records.	Completion of project	10 years	Jisc Guidance	Review	

Research Ethics

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
C04.01	Research Ethics	School/Service/ Collaborative Partner	Research ethics application forms	Completion of student's programme	6 years	Institutional Business Requirements	Destroy	
C04.02	Research Ethics	Research, Innovation and Enterprise	Anonymised annual statistics on research ethics applications	End of academic year	3 years	Institutional Business Requirements	Destroy	
C04.03	Research Ethics	Research, Innovation and Enterprise	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for research committee.	Life of Committee		Institutional Business Requirements	Destroy	

C04.04	Research Ethics	Research, Innovation and Enterprise	Records relating to ethics and integrity compliance of external bodies	End of academic year	3 years unless otherwise specified by the requirements of the external body	Institutional Business Requirements	Destroy
C04.05	Research Ethics	Research, Innovation and Enterprise	Results of research misconduct inquiries	Last action on case	2 years	Institutional Business Requirements	Destroy
C04.06	Research Ethics	Research, Innovation and Enterprise	Records relating to handling of serious/adverse events	Last action on case	2 years	Institutional Business Requirements	Destroy

Research Funding and Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
C05.01	Research Funding	Research, Innovation and Enterprise	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 decision	5 years	Institutional Business Requirements	Review	
C05.02	Research Funding	Research, Innovation and Enterprise	Preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).	Completion of project/funder requirements	6 years	Limitation Act 1980	Destroy	

C06.01	Research Management	Research, Innovation and Enterprise	Records documenting the management of internally funded research projects.	Completion of project	3 years	Jisc Guidance	Destroy	If the research project involves NHS patients of service users of the NHS ethical approval is granted by the Health Research Authority (HRA). The ethics application forms are submitted through the HRA's Integrated Research Application System (IRAS), and the records of the ethics application forms are kept by the HRA.
C06.02	Research Management	Research, Innovation and Enterprise	Records documenting the management of externally funded research projects	Completion of project	6 years/ as advised by funding body	Jisc Guidance	Destroy	
C06.03	Research Management	Research, Innovation and Enterprise	Records documenting the design and planning of European Union (EU) funded research projects which are undertaken: key records.	Date of last funding payment	10 years	Jisc Guidance	Review	Interreg Europe Programme Manual, 19 December 2018 (version 6)

Research Programme Quality and Review

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
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C07.01	Research Programme Assessment	Research, Innovation and Enterprise	Records documenting the conduct of formal assessments of work undertaken by research students.	Completion of student's programme	6 years	Limitation Act 1980	Destroy
C07.02	Research Programme Assessment	Research, Innovation and Enterprise	Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.	End of academic year	6 years	Limitation Act 1980	Destroy
C07.03	Research Programme Review	Research, Innovation and Enterprise	Reports of routine internal and independent reviews of research programmes.	End of academic year	7 years	Institutional Business Requirements	Destroy
C07.04	Research Programme Review	Research, Innovation and Enterprise	Data on, and analyses of, student numbers and other programme statistics.	End of academic year	3 years	Institutional Business Requirements	Review
C07.05	Research Quality Assurance	Research, Innovation and Enterprise	Records documenting the development of the institution's internal quality assurance processes.	Supersession	3 years	Institutional Business Requirements	Destroy
C07.06	Research Quality Assurance	Research, Innovation and Enterprise	Conduct and results of formal internal and external reviews of research quality, and responses to the results.	End of academic year	5 years	Institutional Business Requirements	Destroy

Research Strategy

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
C08.01	Research Strategy and Development	Research, Innovation and Enterprise	Records documenting the development and establishment of the institution's research strategy and policies: key records.	Supersession	10 years	Institutional Business Requirements	Archive	
C08.02	Research Strategy and Development	Research, Innovation and Enterprise	Research procedures: master copies	Supersession	10 years	Institutional Business Requirements	Archive	
C08.03	Research Strategy and Development	Research, Innovation and Enterprise	Records documenting the development of the institution's research programmes.	Life of programme	10 years	Institutional Business Requirements	Review	

Research Support

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
C09.01	Research Student Monitoring and Support	Research, Innovation and Enterprise	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	Limitation Act 1980	Destroy	

C09.02	Research Supervisor Appointment and Training	Research, Innovation and Enterprise	Records documenting the appointment of supervisors for research students.	Termination of appointment	1 year	Institutional Business Requirements	Review
C10.01	Research Reporting	Research, Innovation and Enterprise	Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).	Publication/ Delivery	3 years	Jisc Guidance	Review

Finance

Finance Strategy and Planning

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D01.01	Finance Strategy and Policy Development	Finance	Records documenting the development and establishment of the institution's finance strategy and policies: key records.	Supersession	10 years	Institutional business requirements.	Archive	
D01.02	Finance Strategy, Policy and Procedures Development	Finance	Records documenting the development and establishment of the institution's finance strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Archive	
D01.03	Financial Planning & Budgeting	Finance	Records documenting the preparation of annual operating budgets.	End of current financial year	1 year	Institutional business requirements.	Destroy	

D01.04	Financial Planning & Budgeting	Finance	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	End of current financial year	1 year	Institutional business requirements.	Destroy
D01.05	Finance Management Procedure Development	Finance	Master copies of procedures relating to finance management.	Supersession	10 years	Institutional business requirements.	Destroy

Accounting

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D02.01	Financial Accounting	Finance	Records documenting the issue of sales invoices and the processing of incoming payments.	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2	Destroy	
D02.02	Financial Accounting	Finance	Records documenting the receipt and payment of purchase invoices.	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2	Destroy	

D02.03	Financial Accounting	Finance	Records documenting the payment and/or reimbursement of employees' expenses.	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980	Destroy
D02.04	Financial Accounting	Finance	Records documenting the payment of honoraria to third parties. * *Unless honoraria are administered through the payroll.	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980	Destroy
D02.05	Financial Accounting	Finance	Records documenting the payment of expenses to third parties (e.g. honorary appointees).	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980	Destroy
D02.06	Financial Accounting	Finance	Records documenting the handling of petty cash.	End of current financial year	6 years	Limitation Act 1980 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2	Destroy
D02.07	Financial Accounting	Finance	Records documenting the receipt and processing of tuition fees.	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980	Destroy
D02.08	Financial Accounting	Finance	Apprenticeship levy records	End of current financial year	3 years	Income Tax (Pay as You Earn) (Amendment) Regulations 2017, 147N.	Destroy
D02.09	Financial Accounting	Finance	Records documenting the preparation of annual accounts	End of current financial year	6 years	Limitation Act 1980	Destroy

D02.10	Financial Accounting	Finance	Annual Accounts	End of current financial year	6 years	Limitation Act 1980	Destroy
D02.11	Internal Accounting	Finance	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	End of current financial year	1 year	Institutional business requirements.	Destroy
D02.12	Internal Accounting	Finance	Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract	1 year	Institutional business requirements.	Destroy
D02.13	Management Accounting	Finance	Analyses of the internal deployment of the institution's financial resources.	End of current financial year	1 year	Institutional business requirements.	Destroy
D02.14	Statutory Accounting	Finance	Records documenting the preparation of the institution's statutory accounts.	End of current financial year	6 years	Limitation Act 1980	Destroy

Funding and Fundraising Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D03.01	Funding Management	Finance	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	End of current financial year	10 years	Institutional business requirements.	Destroy	

D03.02	Funding Management	Finance	Records documenting the administration of research grants provided by research councils or corporate sponsors.	Termination of grant	6 years	Limitation Act 1980	Destroy	
D03.03	Funding Management	Finance	Records documenting the administration of funding from European Structural Funds.	3 years from 31 December following the submission of the accounts in which the expenditure of the operation is included (see note).	Final payment on the programme to the UK	Council Regulation (EC) No. 1303/2013 Article 140.	Destroy	Documents relating to the implementation and financing of ESF funded projects must be retained until 3 years after the European Commission makes the final payment for the programme to the UK. The dates may be changed so it is advisable to retain all documents relating to ESF funded projects until a Government Office advises that they may be destroyed.
D03.04	Funding Management	Finance	Records documenting the administration of scholarship funds.	End of current financial year	6 years	Limitation Act 1980	Destroy	

D03.05	Fundraising management	Finance	Records documenting the administration of grants, sponsorships, donations provided by HNWI individuals, alumni, trusts and foundations and corporates.	Termination of relationship with donor/sponsor	6 years	Limitation Act 1980	Destroy	
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Asset and Investment Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D04.01	Asset Management	Finance	Records documenting the value of the institution's capital assets.	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34.	Destroy	
D04.02	Asset Management	Finance	Records documenting decisions (and authorisations) to dispose of capital assets.	End of current financial year (of disposal)	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980	Destroy	
D04.03	Investment Management	Finance	Records documenting the overall management of the institution's financial investment portfolio.	Divestment	6 years	Limitation Act 1980	Destroy	
D04.04	Investment Management	Finance	Records documenting the purchase/sale of investments.	End of current financial year (of transaction)	6 years	Taxes Management Act 1970 c. 9 s 34.	Destroy	

Tax Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D05.01	Tax Management	Finance	Records documenting the preparation and filing of the institution's tax returns.	End of current tax year	6 years	Taxes Management Act 1970 c. 9 s 34.	Destroy	
D05.02	Tax Management	Finance	Records documenting the institution's accounting for VAT.	End of current tax year	6 years	Value Added Tax Act 1994 c. 23 s 58 and Schedule 11, para. 6(3) The Value Added Tax Regulations (SI 1995/2518) s 31 HMRC VAT Notice 700/21 para. 5.2.	Destroy	

Procurement and Suppliers

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D06.01	Procurement Strategy and Policy Development	Finance	Records documenting the development and establishment of the institution's procurement strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
D06.02	Procurement Strategy, Policy and Procedures Development	Finance	Records documenting the development and establishment of the institution's procurement strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
D06.03	Procurement Procedure Development	Finance	Master copies of procedures relating to the management of procurement.	Supersession	3 years	Institutional business requirements.	Destroy	
D06.04	Purchasing	Finance	Records documenting purchasing authorisation limits.	Supersession	1 year	Institutional business requirements.	Destroy	
D06.05	Purchasing	Finance	Records documenting internal authorisation for procurement.	End of current financial year	1 year	Institutional business requirements.	Destroy	
D06.06	Purchasing	Finance	Purchase orders	End of current financial year	6 years	Limitation Act 1980 HMRC 700/21 para. 5.2	Destroy	
D06.07	Purchasing	Finance	Goods received notes/goods inwards notes	End of current financial year	6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	Destroy	
D06.08	Supplier Approval	Finance	Records documenting supplier evaluation criteria.	Supersession	5 years	Institutional business requirements.	Destroy	

D06.09	Supplier Approval	Finance	Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation/Rejection of application	6 months OR Completion of approval	Institutional business requirements.	Destroy
D06.10	Supplier Approval	Finance	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers.	Termination of approval		Institutional business requirements.	Destroy
D06.11	Supplier Approval	Finance	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection	1 year	Institutional business requirements.	Destroy
D06.12	Supplier Approval	Finance	Supplier database	While current		Institutional business requirements.	Destroy

Financial Contracts

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D07.01	Contract Management	Finance, OCGLS	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract	6 years	Limitation Act 1980	Destroy	

D07.02	Contract Management	Finance, OCGLS	Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract	6 years	Limitation Act 1980	Destroy
D07.03	Contract Tendering	Finance, OCGLS	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract	1 year	Institutional business requirements.	Destroy
D07.04	Contract Tendering	Finance, OCGLS	Invitations to tender and tender evaluation criteria.	Termination of supply contract awarded	6 years	Limitation Act 1980 c. 58 s 5	Destroy
D07.05	Contract Tendering	Finance, OCGLS	Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract	1 year	Institutional business requirements.	Destroy
D07.06	Contract Tendering	Finance, OCGLS	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	Institutional business requirements.	Destroy
D07.07	Contract Tendering	Finance, OCGLS	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	Limitation Act 1980 c. 58 s 5	Destroy
D07.08	Contract Tendering	Finance, OCGLS	Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 31 of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract	6 years	Limitation Act 1980 c	Destroy

D07.09	Contract Tendering	Finance, OCGLS	Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 32(14) of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract	10 years	Limitation Act 1980	Destroy
D07.10	Contract Tendering	Finance, OCGLS	Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2015 (SI 2015/102) or for the Scottish Ministers, as required by the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Current year	3 years	Jisc guidance	Destroy

Cash Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
D08.01	Cash Management	Finance	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account	6 years	Limitation Act 1980 c. 58 s 5.	Destroy	
D08.02	Cash Management	Finance	Records documenting standing orders, direct debits etc.	Life of instruction	6 years	Limitation Act 1980 c. 58 s 5.	Destroy	
D08.03	Cash Management	Finance	Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	End of current financial year	6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5.	Destroy	

Human Resources

HR Governance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E01.01	Human Resources Strategy and Policy Development	Human Resources	Records documenting the development and establishment of the institution's human resources strategy, and policies: key records.	Supersession	10 years	Institutional business requirements.	Destroy	
E01.02	Human Resources Strategy, Policy and Procedures Development	Human Resources	Records documenting the development and establishment of the institution's human resources strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
E01.03	Human Resources Management Procedure Development	Human Resources	Master copies of procedures relating to human resources management.	Supersession	10 years	Institutional business requirements.	Destroy	

Workforce Planning and Recruitment

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E02.01	Workforce Planning	Human Resources	Assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year	5 years	Institutional business requirements.	Destroy	
E02.02	Workforce Planning	Human Resources	Records documenting management succession plans.	Supersession	5 years	Institutional business requirements.	Destroy	
E02.03	Workforce Planning	Human Resources	Records documenting the development and evaluation of job specifications.	Supersession	5 years	Institutional business requirements.	Destroy	
E03.01	Recruitment and Selection	Human Resources	Records documenting internal authorisation for recruitment.	Current year	1 year	Institutional business requirements.	Destroy	
E03.02	Recruitment and Selection	Human Resources	Records documenting job evaluation information.	End of employee relationship	6 years	Limitation Act 1980	Destroy	
E03.03	Recruitment and Selection	Human Resources	Records documenting the advertising of vacancies including screenshots of adverts and any further particulars taken on first day advertised by HR showing URL and date	Completion of recruitment process	9 months unless post holder recruited is a Skilled worker visa holder, in which case the life of the sponsorship plus 1 year	Immigration, Asylum and Nationality Act 2006, Limitation Act 1980, The Equality Act 2010. Employment Practices Code, Section 1.7.1	Destroy	A recruitment process is completed when an offer of employment has been accepted, AND when all unsuccessful applicants have been notified.

E03.04	Recruitment and Selection	Human Resources	Management analyses of recruitment effectiveness e.g. use of advertising media.	Current year	1 year	Institutional business requirements.	Destroy
E03.05	Recruitment and Selection	Human Resources	Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process		Institutional business requirements.	Destroy
E03.06	Recruitment and Selection	Human Resources	Records documenting the handling of unsolicited applications for employment.	Receipt of application	1 year	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).	Destroy
E03.07	Recruitment and Selection	Human Resources	Records of application forms (for all appointed applicants).	While employment continues and up to 7 years after employment ceases		Limitation Act 1980	Destroy
E03.08	Recruitment and Selection	Human Resources	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.	Limitation Act 1980 c. 58 s 5 See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).	Destroy

E03.09	Recruitment and Selection	Human Resources	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process	1 year.	The Equality Act 2010. See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).	Destroy	Actions under discrimination legislation must generally be brought within 6 months. Anonymised data may be held for a longer period (e.g. for equality monitoring purposes).
E03.10	Recruitment and Selection	Human Resources	Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process		Institutional business requirements.	Destroy	
E03.11	Recruitment and Selection	Human Resources	Records of application forms for unsuccessful applicants where no Skilled Worker sponsored person was appointed.	Date of notifying unsuccessful candidates	6 months	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)	Destroy	
E03.12	Recruitment and Selection	Human Resources	Records of application forms for unsuccessful applicants in the medium received where a Skilled Worker sponsored person was appointed.	End of life of the sponsorship	1 year	Limitation Act 1980	Destroy	
E03.13	Recruitment and Selection	Human Resources	Records documenting shortlisting information where no Skilled Worker Route sponsored person was appointed.	Acceptance of offer by successful candidate	6 months	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)	Destroy	

E03.14	Recruitment and Selection	Human Resources	Records documenting shortlisting information for a role where a Skilled Worker Route sponsored person was appointed.	End of life of the sponsorship	1 year	Limitation Act 1980	Destroy
E03.15	Recruitment and Selection	Human Resources	Records of interview notes, interview summary outcomes and any tests (appointee and unsuccessful interviewees) where no Skilled Worker sponsored person was appointed.	6 months		Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)	Destroy
E03.16	Recruitment and Selection	Human Resources	Records of interview notes, interview summary outcomes and any tests for all interviewed candidates (appointee and unsuccessful interviewees) where a Skilled Worker sponsored person was appointed.	End of life of the sponsorship	1 year	Limitation Act 1980	Destroy
E03.17	Recruitment and Selection	Human Resources	Copy of job description and person specification for a role where a Skilled Worker sponsored person was appointed.	Termination of employment	6 years	Limitation Act 1980	Destroy
E03.18	Recruitment and Selection	Human Resources	Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process		Institutional business requirements.	Destroy
E03.19	Recruitment and Selection	Human Resources	Any references obtained for unsuccessful candidates.	Acceptance of offer by successful candidate	6 months	Institutional business requirements.	Destroy
E03.20	Recruitment and Selection	Human Resources	Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference	1 year	Institutional business requirements.	Destroy

Employee Contract Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E04.01	Employee Contract Management	Human Resources	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Disclosure and Barring Service (DBS) checks).	Termination of employment	6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Limitation Act 1980 c. 58 s 5	Destroy	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).
E04.02	Employee Contract Management	Human Resources	Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of job	1 year	Institutional business requirements.	Destroy	
E04.03	Employee Contract Management	Human Resources	Records documenting the employee's contract(s) of employment with the institution.	Termination of employment	6 years	Limitation Act 1980 c. 58 s 5	Destroy	
E04.04	Employee Contract Management	Human Resources	Records documenting changes to the employee's terms and conditions of employment.	Termination of employment	6 years	Limitation Act 1980 c. 58 s 5	Destroy	
E04.05	Employee Contract Management	Human Resources	Job descriptions of positions held by the employee within the institution.	Duration of job	1 year	Institutional business requirements.	Destroy	
E04.06	Employee Contract Management	Human Resources	Records documenting induction programmes attended by the employee.	Completion of induction	1 year	Institutional business requirements.	Destroy	

E04.07	Employee Contract Management	Human Resources	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions	5 years	Institutional business requirements.	Destroy	
E04.08	Employee Contract Management	Human Resources	Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification	Supersession	Institutional business requirements.	Destroy	
E04.09	Employee Contract Management	Human Resources	Routine assessments/reviews of the employee's performance, and any consequent action taken.	Supersession	3 years	Institutional business requirements.	Destroy	
E04.10	Employee Contract Management	Human Resources	Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case	6 years	Institutional business requirements.	Destroy	
E04.11	Employee Contract Management	Human Resources	Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case	6 years	Institutional business requirements.	Destroy	
E04.12	Employee Contract Management	Human Resources	Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	End of current tax year	Max: 6 years	Limitation Act 1980 c. 58 s 5	Destroy	For payroll records, see FINANCE MANAGEMENT - PAYROLL ADMINISTRATION
E04.13	Employee Contract Management	Human Resources	Records relating to the administration of the employee's contractual holiday entitlement.	Current year	1 year	Institutional business requirements.	Destroy	

E04.14	Employee Contract Management	Human Resources	Records documenting the employee's absence due to sickness.	End of employment	6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55). Limitation Act, 1980.	Destroy
E04.15	Employee Contract Management	Human Resources	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year	1 year	Institutional business requirements.	Destroy
E04.16	Employee Contract Management	Human Resources	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement	6 years	The Maternity and Parental Leave etc. Regulations 1999 (SI 1999/3312)	Destroy
E04.17	Employee Contract Management	Human Resources	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year	3 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960 Regulation 26)	Destroy
E04.18	Employee Contract Management	Human Resources	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Supersession		Institutional business requirements.	Destroy
E04.19	Employee Contract Management	Human Resources	Records documenting right to work and immigration information	Termination of Employment	2 years	Immigration, Asylum and Nationality Act 2006 and Limitation Act 1980	Destroy

E04.20	Employee Contract Management	Human Resources	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	Termination of employment	40 years	Institutional business requirements.	Destroy
E04.21	Employee Contract Management	Human Resources	Records documenting pre-employment health screening of an employee: other employees.	Termination of employment	6 years	Limitation Act 1980 c. 58 s 5	Destroy
E04.22	Employee Contract Management	Human Resources	Records documenting the issue of personal protective equipment/other special equipment to an employee.	Termination of employment	6 years	Limitation Act 1980 c. 58 s 5	Destroy
E04.23	Employee Contract Management	Human Resources	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment	40 years	Health and Safety Regulations.	Destroy
E04.24	Employee Contract Management	Human Resources	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment	6 years	Limitation Act 1980 c. 58 s 5	Destroy
E04.25	Employee Contract Management	Human Resources	Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference	1 year	Institutional business requirements.	Destroy

Employee Training

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E05.01	Workforce Induction	Human Resources	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	6 years	Institutional business requirements.	Destroy	
E05.02	Workforce Induction	Human Resources	Records documenting the administration of induction programmes.	Completion of programme / Termination of programme	1 year	Institutional business requirements.	Destroy	
E05.03	Workforce Training & Development	Human Resources	Summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.	End of current year	6 years	Institutional business requirements.	Destroy	
E05.04	Workforce Training & Development	Human Resources	Records documenting the development of training and development programmes to meet defined needs.	Completion of programme	5 years	Institutional business requirements.	Destroy	
E05.05	Workforce Training & Development	Human Resources	Individual feedback on training and development programmes.	Completion of analysis of feedback		Institutional business requirements.	Destroy	

E05.06	Workforce Training & Development	Human Resources	(Anonymised) workforce feedback on training and development programmes.	End of current year	5 years	Institutional business requirements.	Destroy
E05.07	Workforce Training & Development	Human Resources	Management analyses of the impact of training and development programmes.	End of current year	5 years	Institutional business requirements.	Destroy

Employee Performance and Remuneration

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E06.01	Workforce Performance Management	Human Resources	Records documenting the development of workforce performance assessment systems.	Life of system	5 years	Institutional business requirements.	Destroy	
E06.02	Workforce Performance Management	Human Resources	Summary (anonymised) results of employees' performance assessments.	End of current year	5 years	Institutional business requirements.	Destroy	
E06.03	Workforce Performance Management	Human Resources	Management analyses of the impact of workforce performance assessment systems.	End of current year	5 years	Institutional business requirements.	Destroy	
E06.04	Workforce Remuneration & Reward Management	Human Resources	Records documenting the development of the institution's remuneration structure.	End of current year	10 years	Institutional business requirements.	Destroy	
E06.05	Workforce Remuneration & Reward Management	Human Resources	Pay reviews.	End of current year	6 years	Institutional business requirements.	Destroy	
E06.06	Workforce Remuneration & Reward Management	Human Resources	Records documenting special reward schemes (e.g. Merit Reviews).	Termination of scheme	6 years	Institutional business requirements.	Destroy	

Employee and Welfare Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E07.01	Workforce Welfare Management	Human Resources	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	Working Time Regulations (SI 1998/1833) Regulations 5 and 9	Destroy	
E07.02	Workforce Welfare Management	Human Resources	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	Working Time Regulations (SI 1998/1833) Regulations 5 and 9	Destroy	
E07.03	Workforce Relations Management	Human Resources	Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation	5 years	Institutional business requirements.	Destroy	
E07.04	Workforce Relations Management	Human Resources	(Identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses		The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.	Destroy	

E07.05	Workforce Relations Management	Human Resources	Summary (anonymised) results of workforce surveys and consultations.	Completion of survey	5 years	Institutional business requirements.	Destroy
E07.05	Workforce Relations Management	Human Resources	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	Limitation Act 1980 c. 58 s 5	Destroy
E07.06	Workforce support	Human Resources	Formal grievances raised by staff	Last action on case	6 years	Data Protection Act 2019	Destroy

Trade Union Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E08.01	Industrial Relations Management	Human Resources	Records documenting institutional recognition/derecognition of trades unions.	Derecognition	6 years	Limitation Act 1980 c. 58 s 5	Destroy	
E08.02	Industrial Relations Management	Human Resources	Records documenting routine communications with trade union representatives, including minutes of meetings.	End of current year	20 years	Institutional business requirements.	Destroy	
E08.03	Industrial Relations Management	Human Resources	Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue	20 years	Institutional business requirements.	Destroy	

Payroll and Pension Administration

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E09.01	Payroll Administration	Human Resources	Records documenting employees' authorisation for non-statutory payroll deductions.	End of current tax year	6 years	Limitation Act 1980 c. 58 s 5	Destroy	
E09.02	Payroll Administration	Human Resources	Records documenting calculation and payment of employees' salaries and other payments.	End of current tax year	6 years	The National Minimum Wage Regulations (SI 2015/621) Regulation 59(8) The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8) Recommended: Taxes Management Act 1970 c. 9 s 34	Destroy	
E09.03	Payroll Administration	Human Resources	Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003.	End of current tax year	6 years	The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8), Regulation 97(2) of the Income Tax (Pay As You Earn) Regulations 2003 (SI 2003/2682).	Destroy	

E09.04	Payroll Administration	Human Resources	Records documenting the administration of payments made under the Statutory Sick Pay scheme.	End of current tax year	6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55).	Destroy
E09.05	Payroll Administration	Human Resources	Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	End of current tax year	6 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960) Regulation 26	Destroy
E09.06	Payroll Administration	Human Resources	Record of P45's	End of employee relation	7 years	Limitation Act, 1980	Destroy
E09.07	Pension Contributions Administration	Human Resources	Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.	Death of last known beneficiary of member	6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)	Destroy
E09.08	Pension Contributions Administration	Human Resources	Records documenting payments of the institution's employees' contributions to pension schemes.	Death of last known beneficiary of member	6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)	Destroy
E09.09	Pension Schemes Administration	Human Resources	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs.	Termination of relationship	5 years	Institutional business requirements.	Destroy
E09.10	Pension Schemes Administration	Human Resources	Records documenting routine communications with the pension schemes.	Current year	5 years	Institutional business requirements.	Destroy

Employee Conduct

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
E10.01	Employee Conduct	Human Resources	Records documenting the handling of formal complaints of harassment and sexual misconduct made by students against staff under Report and Support.	Last action on case	6 years	Data Protection Act 2018	Destroy	
E10.02	Employee Conduct	Human Resources	Anonymised reports and documentation of handling of harassment complaints against staff under Report and Support.	Last action on case	10 years	Institutional business requirements.	Destroy	
E10.03	Employee Conduct	Human Resources	Records of the handling of instances of research misconduct against staff	Last action on case	6 years	Data Protection Act 2018	Destroy	

Corporate Resources and Governance

Corporate Planning and Strategy

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F01.01	Corporate Planning & Performance Management and Strategy	Strategic Development and Delivery	Records documenting the development and establishment of the institution's corporate planning and performance management policies and strategy: key records.	Supersession	10 years	Institutional business requirements.	Archive	
F01.02	Corporate Planning & Performance Management Procedure Development	Strategic Development and Delivery	Master copies of procedures relating to corporate planning and performance management.	Supersession	5 years	Institutional business requirements.	Review	
F01.03	Corporate Planning & Performance Management, Strategy, and Procedures	Strategic Development and Delivery	Records documenting the development and establishment of the institution's corporate planning and performance management policies, strategy, and procedures: working papers.	Issue	1 year	Institutional business requirements.	Destroy	
F01.04	Strategic Performance Management	Strategic Development and Delivery	Data on, and analyses of, the institution's performance against its strategic plan.	End of academic year	5 years	Institutional business requirements.	Review	
F01.05	Strategic Performance Management	Strategic Development and Delivery	Reports on the institution's performance against its strategic plan.	End of academic year	10 years	Institutional business requirements.	Archive	

F01.06	Strategic Performance Management	Strategic Development and Delivery	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	End of academic year	5 years	Institutional business requirements.	Destroy
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Corporate Governance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F02.01	Governance Strategy Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's governance strategy: working papers.	Issue	1 year	Institutional business requirements.	Review	
F02.02	Governance Strategy Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's governance strategy: key records.	Supersession	10 years	Institutional business requirements.	Archive	
F02.03	Governance Framework Development	Office of Compliance, Governance and Legal Services	Records documenting the establishment and development institution's governance structure and rules.	Issue	Life of institution	Institutional business requirements.	Archive	
F02.04	Senior Officers' Appointments Administration	Office of Compliance, Governance and Legal Services	Records documenting the appointment/ election/designation of the institution's senior officers by Board of Governors/ Governance & Search Committee	Termination of appointment	6 years	Limitation Act 1980 c. 58 s 5	Archive	

F02.05	Business Continuity Planning	UEB	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Supersession	1 year	Institutional business requirements.	Destroy
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Insurance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F03.01	Insurance Strategy and Policy Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's insurance strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
F03.02	Insurance Strategy, Policy and Procedures Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's insurance strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
F03.03	Insurance Policy Management	Office of Compliance, Governance and Legal Services	Records documenting the arrangement and renewal of insurance policies: all other insurance.	Expiry of policy	6 years	Limitation Act 1980 c.58 s 5	Destroy	
F03.04	Insurance Policy Management	Office of Compliance, Governance and Legal Services	Employers' Liability Insurance Certificates	Commencement/Renewal of policy	40 years	The Employers' Liability (Compulsory Insurance) Regulations (SI 1998/2573) Regulation 4(4)	Destroy	

F03.05	Insurance Policy Management	Office of Compliance, Governance and Legal Services	Records documenting the arrangement and renewal of insurance policies: employers' liability insurance. See also Employers' Liability Insurance Certificates.	Expiry of policy	6 years	Limitation Act 1980 c.58 s 5	Destroy
F03.06	Insurance Management Procedure Development	Office of Compliance, Governance and Legal Services	Master copies of procedures relating to the management of insurance cover and claims.	Supersession	3 years	Institutional business requirements.	Destroy
F03.07	Insurance Claim Administration	Office of Compliance, Governance and Legal Services	Records documenting claims, and the outcomes of claims, against insurance policies.	Settlement of claim	6 years	Limitation Act 1980 c.58 s 5	Destroy

Legal Affairs and Litigation

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F04.01	Legal Affairs Management Policy and Procedures Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's policies and procedures on the management of legal affairs: working papers.	Issue	1 year	Institutional business requirements.	Destroy	
F04.02	Legal Affairs Management Policy Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records.	Supersession	5 years	Institutional business requirements.	Review	
F04.03	Legal Affairs Management Procedure Development	Office of Compliance, Governance and Legal Services	Master copies of procedures relating to the management of legal affairs.	Supersession	5 years	Institutional business requirements.	Review	
F04.04	Legal Claims Management	Office of Compliance, Governance and Legal Services	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 or withdrawal of claim	6 years	Limitation Act 1980 c. 58 ss 2 and 5	Review	
F04.05	Legal Framework Development	Office of Compliance, Governance and Legal Services	Records documenting the establishment and development of the institution's legal framework.		Life of institution	Institutional business requirements.	Archive	
F04.06	Litigation Management	Office of Compliance, Governance and Legal Services	Records documenting litigation between the institution and third parties where legal precedents are set.		Life of institution	Institutional business requirements.	Archive	

F04.07	Litigation Management	Office of Compliance, Governance and Legal Services	Records documenting litigation between the institution and third parties which does not set legal precedents.	Settlement of case	6 years	Limitation Act 1980 c. 58 ss 2 and 5	Review
F04.08	Legal Advice	Office of Compliance, Governance and Legal Services	Legal advice on other matters requested by, and provided to, the institution.	Supersession	5 years	Institutional business requirements.	Destroy

Equality Diversity and Inclusion

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F05.01	Equality & Diversity Policy Development	Office for Institutional Equity	Records documenting the development and establishment of the institution's policies on equality and diversity: key records.	Supersession	5 years	Institutional business requirements.	Archive	
F05.02	Equality & Diversity Procedure Development	Human Resources/Office for Institutional Equity	Master copies of procedures relating to the management of equality and diversity.	Supersession	3 years	Institutional business requirements.	Destroy	
F05.03	Equality & Diversity Strategy Development	Office for Institutional Equity	Records documenting the development and establishment of the institution's equality and diversity strategy: key records.	Supersession	5 years	Institutional business requirements.	Archive	
F05.04	Equality & Diversity Strategy, Policy and Procedures Development	Office for Institutional Equity	Records documenting the development and establishment of the institution's equality and diversity strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	

F05.05	Equality & Diversity Training	Office for Institutional Equity	Records documenting the development and delivery of training on equality and diversity issues and procedures.	End of current year	5 years	Institutional business requirements.	Review
F05.06	Ethnic Minority Mentoring Scheme Co-ordination	Human Resources	Records documenting the handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes.	End of scheme	1 year	Institutional business requirements.	Destroy
F05.07	Gender Equality Compliance	Human Resources	Records documenting the preparation/revision of the institution's Athen Swan Charter Mark Application	Two subsequent applications	5 years	Institutional business requirements.	Review
F05.08	Gender Equality Compliance	Human Resources	Records documenting the Athen Swan Charter Mark action plan	End of current year	5 years	Institutional business requirements.	Review
F05.09	Gender Equality Compliance	Human Resources	Records documenting the implementation of gender equality compliance including culture surveys	End of academic year	5 years	Institutional business requirements.	Review
F05.10	Gender Equality Compliance	Human Resources	Records documenting assessments of the impact of the institution's policies and practices on equality for men and women.	Supersession	5 years	Institutional business requirements.	Review
F05.11	Disability Equality Compliance	Human Resources	Records documenting the preparation/revision of the institution's Disability Equality Scheme.	Supersession	5 years	Institutional business requirements.	Archive
F05.12	Disability Equality Compliance	Human Resources	Records documenting the preparation of annual reports on the implementation of the institution's Disability Equality Scheme.	End of current year	5 years	Institutional business requirements.	Review

F05.13	Disability Equality Compliance	Human Resources	Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons.	Supersession of policy	5 years	Institutional business requirements.	Review
F05.14	Discrimination Complaints Handling	Office of Compliance, Governance and Legal Services	Records documenting the handling of formal complaints about discrimination by or within the institution.	Last action on case	6 years	Limitation Act 1980 c. 58 s 2	Destroy
F05.15	Equality & Diversity Monitoring	Office for Institutional Equity	Summary statistical information resulting from equality monitoring.	End of current year	5 years	Institutional business requirements.	Destroy
F05.16	Race Equality Compliance	Office for Institutional Equity	Records documenting the preparation of the institution's race equality policy.	Supersession	5 years	Institutional business requirements.	Review
F05.17	Race Equality Compliance	Office for Institutional Equity	Records documenting assessments of the impact of the institution's policies on equality between different racial groups.	Supersession of policy	5 years	Institutional business requirements.	Review
F05.18	Race Equality Compliance	Office for Institutional Equity/ External Relations	Records documenting the monitoring, by racial group, of student admission and progress.	End of current year	5 years	Institutional business requirements.	Review
F05.19	Race Equality Compliance	Office for Institutional Equity / Human Resources	Records documenting the monitoring, by racial group, of employee recruitment and career progress.	End of current year	5 years	Institutional business requirements.	Review

Operational Planning and Strategy

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F06.01	Operational Planning	Strategic Development and Delivery	Records documenting the development of the institution's annual operating plans: key records.	End of academic year	5 years	Institutional business requirements.	Review	
F06.02	Operational Planning	Strategic Development and Delivery	Records documenting the development of the institution's annual operating plans: working papers.	End of academic year	1 year	Institutional business requirements.	Destroy	
F06.03	Operational Performance Management	Strategic Development and Delivery	Records documenting the development of the institution's key performance indicators.	Supersession	1 year	Institutional business requirements.	Review	
F06.04	Operational Performance Management	Strategic Development and Delivery	Records documenting benchmarking exercises with other comparable institutions.	End of currency	1 year	Institutional business requirements.	Review	
F06.05	Operational Performance Management	Strategic Development and Delivery	Records documenting performance monitoring and analysis.	End of currency	1 year	Institutional business requirements.	Review	

Quality Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F07.01	Quality Management Policy Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's quality management policies: key records.	Supersession	5 years	Institutional business requirements.	Archive	
F07.02	Quality Management Procedure Development	Strategic Development and Delivery	Master copies of procedures relating to quality management.	Supersession	3 years	Institutional business requirements.	Destroy	
F07.03	Quality Management Scheme Accreditation Management	Strategic Development and Delivery	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation	1 year	Institutional business requirements.	Destroy	
F07.04	Quality Strategy Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's quality management strategy: key records.	Supersession	5 years	Institutional business requirements.	Archive	
F07.05	Quality Strategy, Policy and Procedures Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's quality management strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
F07.06	Quality Audit	Strategic Development and Delivery	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit	3 years	Institutional business requirements.	Review	

Risk Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F08.01	Risk Management Strategy and Policy Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's risk management strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Review	
F08.02	Risk Management Strategy, Policy and Procedures Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's risk management strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
F08.03	Risk Identification & Assessment	Strategic Development and Delivery	Records documenting identified risks to the institution and assessments of those risks.	Supersession	1 year	Institutional business requirements.	Destroy	
F08.04	Risk Management Procedure Development	Strategic Development and Delivery	Master copies of procedures relating to risk management.	Supersession	3 years	Institutional business requirements.	Destroy	

Audit Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F09.01	Audit Policy Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's audit policies: key records.	Supersession	5 years	Institutional business requirements.	Archive	
F09.02	Audit Procedure Development	Strategic Development and Delivery	Master copies of procedures relating to audit management.	Supersession	3 years	Institutional business requirements.	Destroy	
F09.03	Audit Strategy Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's audit strategy: key records.	Supersession	5 years	Institutional business requirements.	Review	
F09.04	Audit Strategy, Policy and Procedures Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's audit strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
F09.05	Audit Management	Strategic Development and Delivery	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit	5 years	Institutional business requirements.	Review	

Committee Administration

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F10.01	Statutory/Non-Statutory Committee Administration	Services	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of institution	10 years	Institutional business requirements. The institution may wish to transfer these records to the archive once they are no longer in active use.	Review	
F10.02	Statutory/Non-Statutory Committee Administration	Services	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of institution	10 years	Institutional business requirements. The institution may wish to transfer these records to the archive once they are no longer in active use.	Archive	
F10.03	Statutory/Non-Statutory Committee Administration	Services	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.	End of current year	2 years	Institutional business requirements. The institution may wish to transfer these records to the archive once they are no longer in active use.	Review	

F10.04	Statutory/Non-Statutory Committee Administration	Services	Records documenting the conduct of reviews of the effectiveness and performance of a committee.	Completion of two subsequent reviews		Institutional business requirements. The institution may wish to transfer these records to the archive once they are no longer in active use.	Review
F10.05	Statutory/Non-Statutory Committee Administration	Services	Records documenting the appointment/election/designation of members of a committee, qualifications, training undertaken by individual members of a statutory committee, and register of interests of members of the institution's governing body.	Termination of appointment	6 years	Limitation Act 1980 Retaining previous versions of training programmes provides evidence of effective induction and training over time.	Review
F10.06	Statutory/Non-Statutory Committee Administration	Services	Records documenting the development of induction and training programmes for members of a committee.	Supersession	5 years	Retaining previous versions provides evidence of effective induction and training over time.	Review
F10.07	Statutory/Non-Statutory Committee Administration	Services	Records documenting the arrangements for meetings of a committee.	Current Year	1 year	Institutional business requirements.	Destroy

Commercial Services Governance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F11.01	Commercial Services Strategy, Policy and Procedures Development	Talent Gateway	Records documenting the development and establishment of the institution's commercial services strategy, policies and procedures: working papers.	1 year	Issue of document	Institutional business requirements.	Destroy	
F11.02	Commercial Services Procedure Development	Talent Gateway	Master copies of procedures relating to the management of commercial services.	3 years	Supersession	Institutional business requirements.	Destroy	
F11.03	Commercial Services Strategy and Policy Development	Talent Gateway	Records documenting the development and establishment of the institution's commercial services strategy and policies: key records.	5 years	Supersession	Institutional business requirements.	Destroy	

Intellectual Property Rights Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F12.01	IPR Exploitation Strategy and Policy Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's IPR exploitation strategy and policies: key records.	Supersession	10 years	Institutional business requirements.	Archive	
F12.02	IPR Exploitation Strategy, Policy, and Procedures Development	Strategic Development and Delivery	Records documenting the development and establishment of the institution's IPR exploitation strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
F12.03	IPR Licensing	Office of Compliance, Governance and Legal Services	Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence	6 years	Limitation Act 1980 c. 58 s 5.	Destroy	
F12.04	IPR Management Policy and Procedures Development	Office of Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's IPR management policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
F12.05	IPR Management Procedure Development	Office of Compliance, Governance and Legal Services	Master copies of procedures relating to IPR management.	Supersession	3 years	Institutional business requirements.	Destroy	
F12.06	IPR Protection	Office of Compliance, Governance and Legal Services	Records documenting the institution's applications for patents and patent certificates.	Life of patent	50 years	Legal opinion.	Archive	

F12.07	IPR Protection	Office of Compliance, Governance and Legal Services	Records documenting the institution's applications for other forms of IPR protection (registered trademarks, registered designs) and certificates of registration	End of registration	6 years	Limitation Act 1980 c. 58 s 5.	Review
F12.08	IPR Protection	Office of Compliance, Governance and Legal Services	Applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration		Institutional business requirements.	Archive
F12.09	IPR Protection	Office of Compliance, Governance and Legal Services	Routine monitoring of third-party activity to detect infringements of the institution's IPR.	Current year	5 years	Institutional business requirements.	Destroy
F12.10	IPR Protection	Office of Compliance, Governance and Legal Services	Records documenting identified infringements of the institution's IPR, and action taken other than litigation.	Last action on case	6 years	Limitation Act 1980 c.58 s 5.	Destroy
F12.11	IPR Assignment	Office of Compliance, Governance and Legal Services	Records documenting the negotiation and completion of IPR assignments to third parties.	Life of IPR	6 years	Limitation Act 1980 c. 58 s 5.	Destroy
F12.12	IPR Exploitation Procedure Development	Strategic Development and Delivery	Master copies of procedures relating to IPR exploitation.	Supersession	5 years	Institutional business requirements.	Destroy

Contracts Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
F13.01	Contracts & Agreements Management	Services	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	Limitation Act 1980 c. 58 s 5	Destroy	
F13.02	Contracts & Agreements Management	Services and Schools	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	Limitation Act 1980 c. 58 s 8	Review	

Health and Safety

Health and Safety Governance

	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G01.01	Health & Safety Strategy Development	Health & Safety	Records documenting the development and establishment of the institution's health and safety strategy: key records.	Supersession	10 years	Institutional business requirements.	Archive	
G01.02	Health & Safety Strategy, Policy and Procedures Development	Health & Safety	Records documenting the development and establishment of the institution's health and safety strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
G01.03	Health & Safety Management Policy Development	Health & Safety	Records documenting the development and establishment of the institution's policies on health and safety: key records.	Supersession	5	The Health and Safety at Work etc. Act 1974, Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).	Archive	The Health and Safety at Work etc. Act 1974 (c.37), s 2(3) Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).
G01.04	Health & Safety Management Procedure Development	Health & Safety	Master copies of procedures relating to the management of health and safety.	Supersession	5	Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).	Archive	

Health and Safety Audit and Risk

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G02.01	Health & Safety Inspection	Health & Safety	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.	Date of inspection	1 year	Jisc guidance	Review	
G02.02	Health & Safety Audit	Health & Safety	Records documenting the conduct and results of health and safety audits.	Completion of audit	5 years	Jisc guidance	Review	
G02.03	Health & Safety Hazard Identification & Risk Assessment	Health & Safety	Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule.	Supersession	10 years	Institutional business requirements.		
G02.05	Health & Safety Audit	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy	

Health and Safety Consultation

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G03.01	Health & Safety Consultation	Health & Safety	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	Jisc guidance	Destroy	
G03.02	Health & Safety Consultation	Health & Safety	Consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	End of current year	50 years	Jisc guidance	Destroy	
G03.03	Health & Safety Consultation	Health & Safety	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	Jisc guidance	Destroy	

G03.04	Health & Safety Consultation	Health & Safety	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	Jisc guidance	Destroy
G03.05	Health & Safety Consultation	Health & Safety	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	End of current year	50 years	Jisc guidance	Archive
G03.06	Health & Safety Consultation	Health & Safety	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	Jisc guidance	Destroy
G03.07	Health & Safety Consultation	Health & Safety	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.	End of current year	50 years	Jisc guidance	Destroy

Hazard Exposure Control – Display Equipment

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G04.01	Health & Safety Hazard Exposure Control - Display Screen Equipment	Health & Safety	Records documenting the conduct, review, and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Supersession	10 years	Jisc guidance	Destroy	
G04.02	Health & Safety Hazard Exposure Control - Display Screen Equipment	Health & Safety	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).	Supersession	5 years	Jisc guidance	Destroy	

Hazard Exposure Control – Noise

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G04.03	Health & Safety Hazard Exposure Control - Noise	Health & Safety	Records documenting the conduct, review, and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Supersession	10 years	Jisc guidance	Destroy	
G04.04	Health & Safety Hazard Exposure Control - Noise	Health & Safety	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	Institutional business requirements.	Destroy	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.

G04.05	Health & Safety Hazard Exposure Control - Noise	Health & Safety	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	Jisc guidance	Destroy
G04.06	Health & Safety Hazard Exposure Control - Noise	Health & Safety	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	Jisc guidance	Destroy
G04.07	Health & Safety Hazard Exposure Control - Noise	Health & Safety	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).	Supersession	10 years	Jisc guidance	Destroy

Hazard Exposure Control – Other Hazardous Substances

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G04.08	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	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.	End of currency	40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3)	Destroy	
G04.09	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	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).	Supersession	10 years	Jisc guidance	Review	
G04.10	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	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	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4)	Review	

G04.11	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	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	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(a)	Destroy
G04.12	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	Records documenting the conduct 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).	Last entry	5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(b)	Archive
G04.13	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	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	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 11(3)	Destroy

G04.14	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Supersession	10 years	Jisc guidance	Review
G04.15	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Supersession	10 years	Jisc guidance	Destroy
G04.16	Health & Safety Hazard Exposure Control - Hazardous Substances	Health & Safety	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	Jisc guidance	Destroy

Hazard Exposure Control – Non- Ionizing Radiation

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G04.17	Health & Safety Hazard Exposure Control (Non-Ionising Radiation)	Health & Safety	Records documenting controlling and investigating exposure, assessing the risks to health, providing and maintaining equipment to control exposure following ICNiRP guidelines, providing information, instruction and training for employees who are exposed to non-ionising radiation, monitoring levels of non-ionising radiation, testing to detect leakage from articles or equipment transmitting non-ionising radiations.	Date of inspection/test/repair/training	5 years	EC Directives 2013/35/EC + ICNiRP guidelines	Destroy	

Hazard Exposure Control – Lead

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G04.18	Health & Safety Hazard Exposure Control - Lead	Health & Safety	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).	Supersession	10 years	Jisc guidance	Review	<p>The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 5 implies that the records should be retained until the risk assessment is superseded.</p> <p>A longer retention period may be appropriate if there have been potentially dangerous exposures.</p>
G04.19	Health & Safety Hazard Exposure Control - Lead	Health & Safety	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	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 8(4)	Destroy	

G04.20	Health & Safety Hazard Exposure Control - Lead	Health & Safety	Records documenting the conduct and results of monitoring employees' general exposure to lead (in air), to fulfil the institution's duties under Regulation 9 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last entry	5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 9(4)	Destroy
G04.21	Health & Safety Hazard Exposure Control - Lead	Health & Safety	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	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 10(5)	Destroy
G04.22	Health & Safety Hazard Exposure Control - Lead	Health & Safety	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).	Supersession	10 years	Jisc guidance	Review
G04.23	Health & Safety Hazard Exposure Control - Lead	Health & Safety	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).	Supersession	10 years	Jisc guidance	Destroy

G04.24	Health & Safety Hazard Exposure Control - Lead	Health & Safety	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	Jisc guidance	Destroy
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Hazard Exposure Control – Asbestos

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G04.25	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Completion of work to which the assessment relates	10 years	Jisc guidance	Destroy	
G04.26	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Supersession	10 years	Jisc guidance	Destroy	

G04.27	Health & Safety Hazard Exposure Control – Asbestos	Health & Safety	Plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Completion of work to which plan relates.		Jisc guidance	Destroy	Control of Asbestos Regulations (SI 2012/632) Regulation 7(2)
G04.28	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Completion of work	10 years	Jisc guidance	Destroy	
G04.29	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Supersession	10 years	Jisc guidance	Destroy	
G04.30	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Date of examination/test/repair	40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 13(3)	Destroy	

G04.31	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Supersession	40 years	Jisc guidance	Destroy
G04.32	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Last action on event	10 years	Jisc guidance	Destroy
G04.33	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of monitoring	40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(a)	Destroy
G04.34	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Date of monitoring	40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(b)	Destroy

G04.35	Health & Safety Hazard Exposure Control - Asbestos	Health & Safety	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 2012 (SI 2012/632).	Date of last entry on record	40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 22(1)(b)	Destroy
G04.36	Health & Safety Hazard Exposure Control – Asbestos	Health & Safety	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 2012 (SI 2012/632).	Date of certificate	40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 22(4) In practice, these are likely to be retained as part of the health records required by Regulation 22 of SI 2012/632.	Destroy

Hazard Exposure Control – Ionising Radiation

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G04.37	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	Records documenting the conduct, review and revision of assessments of the risks to health created by work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Supersession	10 years	Jisc guidance	Destroy	
G04.38	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of examination/test/repair	5 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 10(2)	Review	
G04.39	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of examination/test/repair	5 years	Jisc guidance	Review	

G04.40	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Supersession		Jisc guidance	Destroy
G04.41	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Supersession	10 years	Jisc guidance	Destroy
G04.42	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of maintenance/testing	2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)	Destroy
G04.43	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of monitoring	2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)	Destroy

G04.44	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of assessment	50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 21(3)(a)	Destroy	Does UEL have a dosimetry service
G04.45	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	Summaries of dose records, as required by Regulation 21 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	End of current year	2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7)	Destroy	
G04.46	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of report of investigation	2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 22(4)	Destroy	
G04.47	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of accident	50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 23(2)(b)	Destroy	

G04.48	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Date of last entry	50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 24(3)	Destroy
G04.49	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	Reports of immediate investigations into possible overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report of investigation	2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(a)	Destroy
G04.50	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	Reports of investigations into occurrences of overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report	50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(b)	Destroy
G04.51	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	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 2017 (SI 2017/1075).	Completion of subsequent test on article OR Disposal of article	2 years.	Ionising Radiations Regulations (SI 2017/1075) Regulation 27(3)	Destroy

G04.52	Health & Safety Hazard Exposure Control - Ionising Radiation	Health & Safety	Records of the quantity and location of radioactive substances, to fulfil the institution's duties under Regulation 28 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Disposal of radioactive substance/ Date of record whichever is later	2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 28	Destroy
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Health and Safety Incident Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G05.01	Health & Safety Incident Recording, Reporting & Investigation	Health & Safety	Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiations Regulations 2012 (SI 2012/632).	Date of report	2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 30	Destroy	

G05.02	Health & Safety Incident Recording, Reporting & Investigation	Health & Safety	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 Radiations Regulations 2012 (SI 2012/632).	Date of report	50 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 30	Destroy
G05.03	Health & Safety Incident Recording, Reporting & Investigation	Health & Safety	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 2013 (SI 2013/1471).	Date of recording	3 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3) The Social Security (Claims and Payments) Amendment (No. 3) Regulations (SI 1993/2113) Regulation 2 The contents of records to be kept are specified in Schedule 4 of (SI 2013/1471).	Destroy
G05.04	Health & Safety Incident Recording, Reporting & Investigation	Health & Safety	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation	40 years	Limitation Act 1980	Archive

G05.05	Health & Safety Incident Recording, Reporting & Investigation	Health & Safety	Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification	3 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3)	Destroy	
G05.06	Health & Safety Incident Management	Health & Safety	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) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5).	Supersession	5 years	Jisc guidance	Destroy	
G05.07	Health & Safety Incident Management	Health & Safety	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).	Supersession	5 years	Jisc guidance	Destroy	
G05.08	Health & Safety Incident Management	Health & Safety	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'		Jisc guidance	Destroy	Retention must comply with the provisions of the Data Protection Act 2018 and General Data Protection Regulation (GDPR) 'Competent persons' in this context are often referred to as 'fire wardens' or similar.

G05.09	Health & Safety Incident Management	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy	
G05.10	Health & Safety Incident Management	Health & Safety	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	Jisc guidance	Destroy	
G05.11	Health & Safety Incident Management	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy	
G05.12	Health & Safety Incident Management	Health & Safety	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'		Jisc guidance	Destroy	Competent persons' in this context are often referred to as 'fire wardens' or similar.

G05.13	Health & Safety Incident Management	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy
G05.14	Health & Safety Incident Management	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy
G05.15	Health & Safety Incident Management	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy
G05.16	Health & Safety Incident Management	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy

G05.17	Health & Safety Incident Management	Health & Safety	Records documenting the appointment of first aiders.	Termination of appointment		Institutional business requirements.	Destroy
G05.18	Health & Safety Incident Management	Health & Safety	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).	End of current year	3 years	Jisc guidance	Destroy
G05.19	Health & Safety Incident Management	Health & Safety	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).	Supersession	3 years	Jisc guidance	Destroy
G05.20	Health & Safety Incident Management	Health & Safety	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).	Supersession	3 years	Jisc guidance	Destroy

Health and Safety Training

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
G06.01	Health & Safety Information, Instruction & Training Provision	Health & Safety	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).	End of current year	5 years	Jisc guidance	Destroy	
G06.02	Health & Safety Information, Instruction & Training Provision	Health & Safety	Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	End of current year	5 years	Jisc guidance	Destroy	
G06.03	Health & Safety Information, Instruction & Training Provision	Health & Safety	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.	End of current year	10 years (except asbestos related training which should be kept for 40 years)	The Electricity at Work Regulations (SI 1989/635) Health and Safety Information for Employees Regulations (SI 1990/606) The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792) The Manual	Review	

Handling
Operations
Regulations (SI
1992/2793)
The Health and
Safety (Safety
Signs and Signals)
Regulations (SI
1996/341)
The Provision and
Use of Work
Equipment
Regulations (SI
1998/2306)
The Management
of Health and
Safety at Work
Regulations (SI
1999/3242)

Estates and Facilities

Estates and Facilities Governance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
H01.01	Estate Strategy and Policies Development	Estates and Facilities	Records documenting the development and establishment of the institution's estate strategy and policies: key records.	Supersession	10 years	Institutional business requirements.	Archive	
H01.02	Estate Strategy, Policy, and Procedures Development	Estates and Facilities	Records documenting the development and establishment of the institution's estate strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
H01.03	Estate Management Procedure Development	Estates and Facilities	Master copies of procedures relating to estate management.	Supersession	10 years	Institutional business requirements.	Archive	

Property Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
H02.01	Property Acquisition	Estates and Facilities	Records documenting the acquisition of ownership of properties.	Disposal of property	12 years	Limitation Act 1980	Archive	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.
H02.02	Property Acquisition	Estates and Facilities	Deeds of title for properties owned by the institution.	Disposal of property		Institutional business requirements	Destroy	Deeds of title for a property are transferred to the new owner when the property is sold.
H02.03	Property Acquisition	Estates and Facilities	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations	6 years	Limitation Act 1980	Destroy	
H02.04	Property Acquisition	Estates and Facilities	Records documenting the negotiation of leases and original lease agreements.	Expiry of lease	15 years	Limitation Act 1980	Archive	
H02.05	Property Development	Estates and Facilities	Records documenting the development of properties.	Disposal of property		Institutional business requirements.	Review	Some of these records may be transferred to the new owner when property is sold.

H02.06	Property Development	Estates and Facilities	Health and Safety File for a structure, as required by Regulation 12 of the Construction (Design and Management) Regulations 2015 (SI 2015/51).	Demolition of property OR Disposal of interest in property		The Construction (Design and Management) Regulations (SI 2015/51) Regulation 12	Review	SI 2015/51 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.
H02.07	Property Development	Estates and Facilities	Applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent.		Institutional business requirements	Review	Planning consents which are valid when a property is sold are transferred to the new owner.
H02.08	Property Maintenance	Estates and Facilities	Records documenting routine inspections of property.	Supersession	1 year	Institutional business requirements	Destroy	
H02.09	Property Maintenance	Estates and Facilities	Records documenting major maintenance works on property.	Disposal of property		Institutional business requirements	Review	Some of these records may be transferred to new owners when land is sold.

H02.10	Property Maintenance	Estates and Facilities	Records documenting minor maintenance works on property.	Completion of works	15 years	Limitation Act 1980	Destroy
H02.11	Property Maintenance	Estates and Facilities	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 2012 (SI 2012/632).	Review of assessment	40 years	Institutional business requirements.	Review
H02.12	Property Maintenance	Estates and Facilities	Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Removal of asbestos/ Subsequent Inspection	40 years	Retaining these records provides evidence of compliance with SI 2012/632.	Review
H02.13	Property Disposal	Estates and Facilities	Records documenting the disposal of properties by sale, transfer or donation.	Disposal of property	12 years	Limitation Act 1980 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.	Archive
H02.14	Property Security Management	Estates and Facilities	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.	Supersession	1 year	Institutional business requirements.	Destroy

H02.15	Property Security Management	Estates and Facilities	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation	2 years	Institutional business requirements.	Destroy	
H02.16	Property Security Management	Estates and Facilities	Records of security passes issued to visitors	Expiry of pass	1 month	Institutional business requirements.	Destroy	
H02.17	Property Security Management	Estates and Facilities	Records of security passes issued to employees, other staff and students.	Expiry of pass	1 year	Institutional business requirements.	Destroy	
H02.18	Property Security Management	Estates and Facilities	Records documenting the conduct of routine security surveillance of properties.	Creation	1 month	Institutional business requirements.	Review	
H02.19	Property Security Management	Estates and Facilities	Records documenting security breaches or incidents, and action taken.	Last action on incident	1 year	Institutional business requirements.	Destroy	
H02.20	Property Leasing-out	Estates and Facilities	Records documenting leasing-out arrangements for properties.	Expiry of lease	6 years	Institutional business requirements.	Review	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.

Facilities Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
H03.01	Facilities Strategy and Policy Development	Estates and Facilities	Records documenting the development and establishment of the institution's facilities strategy and policies: key records.	Supersession	10 years	Institutional business requirements.	Archive	
H03.02	Facilities Strategy Development	Estates and Facilities	Records documenting the development and establishment of the institution's facilities strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
H03.03	Facilities Management Procedure Development	Estates and Facilities	Master copies of procedures relating to facilities management.	Supersession	10 years	Jisc Guidance	Destroy	
H03.04	Space Management	Estates and Facilities	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit	5 years	Institutional business requirements.	Destroy	
H03.05	Facilities Development	Estates and Facilities	Records documenting the specification of requirements for facilities.	Completion of works	15 years	Jisc Guidance	Destroy	
H03.06	Facilities Development	Estates and Facilities	Records documenting the development of interior design and fit-out schemes.	Completion of works	15 years	Jisc Guidance	Destroy	
H03.07	Facilities Development	Estates and Facilities	Records documenting the carrying out of interior decoration and fitting-out works.	Completion of works	15 years	Institutional business requirements.	Destroy	
H03.08	Facilities Maintenance	Estates and Facilities	Records documenting routine inspections of facilities.	Completion of two subsequent inspections		Institutional business requirements	Destroy	

H03.09	Facilities Maintenance	Estates and Facilities	Records documenting the carrying out of major maintenance works within facilities.	Completion of works	15 years	Limitation Act 1980	Destroy
H03.10	Facilities Maintenance	Estates and Facilities	Records documenting the carrying out of minor maintenance works within facilities.	Current year	5 years	Institutional business requirements.	Destroy
H03.11	Facilities Security Management	Estates and Facilities	Records documenting the conduct and outcomes of security inspections of facilities.	Completion of two subsequent inspections		Institutional business requirements	Destroy
H03.12	Facilities Security Management	Estates and Facilities	Records documenting the conduct of routine surveillance of facilities.	Creation	1 month	Institutional business requirements.	Destroy
H03.13	Facilities Security Management	Estates and Facilities	Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident	1 year	Institutional business requirements.	Destroy
H03.14	Facilities Compliance Management	Estates and Facilities	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection		Institutional business requirements	Review
H03.15	Facilities Compliance Management	Estates and Facilities	Original licences and certificates	Supersession		Institutional business requirements	Review

Sports Facilities

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
H03.16	Sports facilities	Sports Dock	Records relating to provision of sports facilities at UEL	While current		Institutional business requirements	Destroy	
H03.17	Sports facilities	Sports Dock	Membership and payment details of members of Sports Dock	End of member relationship	5 years	Limitation Act 1980	Destroy	
H03.18	Sports facilities	Sports Dock	Policies and procedures relating to conduct and management of sports facilities	Supersession	5 years	Institutional business requirements	Destroy	
H03.19	Sports facilities	Sports Dock	Strategy and planning records for management of sports facilities	Supersession	5 years	Institutional business requirements	Destroy	
H03.20	Sports facilities	Sports Dock	Records of qualifications of professional service providers at Sports Dock	End of service provider relationship	2 years	Institutional business requirements	Destroy	
H03.21	Sports facilities	Sports Dock	Anonymised feedback and statistics of use for sports and fitness services	End of current year	4 years	Institutional business requirements	Destroy	

Equipment Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
H04.01	Equipment & Consumables Strategy and Policy Development	Estates and Facilities	Records documenting the development and establishment of the institution's equipment and consumables strategy and policies: key records.	Supersession	5 years	Institutional business requirements	Destroy	
H04.02	Equipment & Consumables Strategy, Policy and Procedures Development	Estates and Facilities	Records documenting the development and establishment of the institution's equipment and consumables strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements	Destroy	
H04.03	Equipment & Consumables Management Procedure Development	Estates and Facilities	Master copies of procedures relating to the management of equipment and consumables.	Supersession	3 years	Institutional business requirements	Destroy	
H04.04	Equipment & Consumables Selection	Estates and Facilities	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items	End of life of item	6 years	Limitation Act 1980	Destroy	
H04.05	Equipment & Consumables Selection	Estates and Facilities	Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations	End of life of item	40 years	Institutional business requirements	Review	Retaining these records for a long period is in line with requirements/recommendations for retention of Health & Safety records.

H04.06	Equipment & Consumables Selection	Estates and Facilities	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items	End of life of item		Institutional business requirements	Destroy
H04.07	Equipment & Consumables Storage	Estates and Facilities	Monitoring of the condition of stored equipment/consumables.	Current year	1 year	Institutional business requirements	Destroy
H04.08	Equipment & Consumables Storage	Estates and Facilities	Stock inventory for equipment/consumables.	Supersession		Institutional business requirements	Destroy
H04.09	Equipment & Consumables Storage	Estates and Facilities	Routine stocktaking and stock checking.	Current year	1 year	Institutional business requirements	Destroy
H04.10	Equipment & Consumables Storage	Estates and Facilities	Records documenting the movement of stock into and from storage.	Current year	1 year	Institutional business requirements	Destroy
H04.11	Equipment Installation/Commissioning	Estates and Facilities	Records documenting the installation of equipment: major items.	Decommissioning/removal	6 years	Limitation Act 1980	Destroy
H04.12	Equipment Installation/Commissioning	Estates and Facilities	Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal	40 years	Institutional business requirements	Review
H04.13	Equipment Installation/Commissioning	Estates and Facilities	Records documenting the installation of equipment: other items.	Decommissioning/removal		Institutional business requirements	Destroy

H04.14	Equipment Installation/Commissioning	Estates and Facilities	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		Institutional business requirements	Destroy	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.
H04.15	Equipment Installation/Commissioning	Estates and Facilities	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		The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(i) and 11(2)(a)(iii).	Destroy	
H04.16	Equipment Installation/Commissioning	Estates and Facilities	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	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(ii).	Destroy	
H04.17	Equipment Inspection, Testing & Maintenance	Estates and Facilities	Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item	1 year	Institutional business requirements.	Destroy	
H04.18	Equipment Inspection, Testing & Maintenance	Estates and Facilities	Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/Removal	6 years	Limitation Act 1980	Destroy	

H04.19	Equipment Inspection, Testing & Maintenance	Estates and Facilities	Maintenance logs for equipment	Life of equipment	6 years	The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 5(2) Limitation Act 1980	Destroy
H04.20	Equipment Inspection, Testing & Maintenance	Estates and Facilities	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		The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 6(3). Limitation Act 1980	Destroy
H04.21	Equipment Inspection, Testing & Maintenance	Estates and Facilities	Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Decommissioning/Disposal	15 years	Limitation Act 1980	Destroy
H04.22	Equipment Inspection, Testing & Maintenance	Estates and Facilities	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	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4).	Review
H04.23	Equipment Inspection, Testing & Maintenance	Estates and Facilities	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	The Control of Asbestos Regulations (SI 2012/632) Regulation 13(3).	Review

H04.24	Equipment Inspection, Testing & Maintenance	Estates and Facilities	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 2002 (SI 2002/2676).	Date of examination/test/repair	5 years	The Control of Lead at Work Regulations (SI 2002/2676) Regulation 8(4).	Review
H04.25	Equipment Inspection, Testing & Maintenance	Estates and Facilities	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	The Ionising Radiations Regulations (SI 2017/1075) Regulation 11(2)(b).	Review
H04.26	Equipment Inspection, Testing & Maintenance	Estates and Facilities	Records documenting the examination, testing and repair of other equipment provided to control exposure to ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair	5 years	The Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records.	Review
H04.27	Equipment Inspection, Testing & Maintenance	Estates and Facilities	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	The Ionising Radiations Regulations (SI 1999/3232) Regulation 19(4)(c)	Review

H04.28	Equipment Inspection, Testing & Maintenance	Estates and Facilities	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 whichever is the later	2 years	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(iv).	Destroy
H04.29	Equipment & Consumables Disposal	Estates and Facilities	Records documenting the transfer of ownership of equipment/consumables.	Disposal of item	1 year	Institutional business requirements.	Destroy
H04.30	Equipment & Consumables Disposal	Estates and Facilities	Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item	1 year	Institutional business requirements.	Destroy
H04.31	Equipment & Consumables Disposal	Estates and Facilities	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	Limitation Act 1980	Destroy
H04.32	Equipment & Consumables Disposal	Estates and Facilities	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal of item	6 year	Limitation Act 1980	Destroy
H04.33	Equipment Installation/Commissioning	Sports Dock	Records documenting the installation of equipment.	Life of equipment	2 years	Institutional business requirements.	Destroy
H04.34	Equipment Inspection, Testing & Maintenance	Sports Dock	Records documenting the inspection, testing and maintenance of equipment.	Completion of inspection, testing or maintenance	2 years	Institutional business requirements.	Destroy
H04.35	Equipment Inspection, Testing & Maintenance	Sports Dock	Maintenance logs for equipment	Completion of maintenance activity	2 years	Institutional business requirements.	Destroy

Environmental Sustainability Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
H05.01	Environmental Strategy and Policy Development	Estates and Facilities	Records documenting the development and establishment of the institution's environmental management strategy, and policies: key records.	Supersession	10 years	Institutional business requirements.	Destroy	
H05.02	Environmental Management Procedure Development	Estates and Facilities	Master copies of procedures relating to environmental management.	Supersession	10 years	Institutional business requirements.	Destroy	
H05.03	Environmental Audit	Estates and Facilities	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit	5 years	Institutional business requirements.	Review	
H05.04	Environmental Hazard Identification & Risk Assessment	Estates and Facilities	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk / Updating of risk assessment	5 years	Institutional business requirements.	Archive	
H05.05	Environmental Management Scheme Accreditation Management	Estates and Facilities	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation	1 year	Institutional business requirements.	Destroy	
H05.06	Environmental Awareness Promotion	Estates and Facilities	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current	5 years	Institutional business requirements.	Destroy	

H05.07	Environmental Incident Recording, Reporting & Investigation	Estates and Facilities	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident	40 years	Institutional business requirements.	Destroy
H05.08	Environmental Incident Recording, Reporting & Investigation	Estates and Facilities	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation	40 years	Institutional business requirements.	Destroy
H05.09	Environmental Incident Recording, Reporting & Investigation	Estates and Facilities	Notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification	5 years	Institutional business requirements.	Destroy
H05.10	Energy Management	Estates and Facilities	Routine monitoring of the institution's use and consumption of energy.	Current year	5 years	Institutional business requirements.	Destroy
H05.11	Energy Management	Estates and Facilities	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	Institutional business requirements.	Destroy
H05.12	Waste Management	Estates and Facilities	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	The Special Waste Regulations (SI 1996/972) Regulation 15(4)	Destroy

H05.13	Waste Management	Estates and Facilities	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) The Hazardous Waste (England and Wales) Regulations (SI 2005/894) Regulation 49(1) specifies the content of these records.	Destroy
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Communications

Public Relations and Communications

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
I01.01	Public Relations Strategy and Policies Development	External Relations	Records documenting the development and establishment of the institution's public relations strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Review	
I01.02	Public Relations Strategy, Policy, and Procedures Development	External Relations	Records documenting the development and establishment of the institution's public relations strategy, policies, and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
I01.03	Public Relations Procedure Development	External Relations	Master copies of procedures relating to public relations.	Supersession	3 years	Institutional business requirements.	Destroy	
I01.04	Public Communications Management	External Relations	Enquiries from members of the public and the responses provided (unless FOI)	Last action on enquiry	1 year	Institutional business requirements.	Destroy	
I01.05	Public Communications Management	External Relations	Unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.	Last action on feedback	1 year	Institutional business requirements.	Destroy	
I01.06	Public Communications Management	External Relations	Records documenting the design and conduct of public surveys.	Completion of survey	3 years	Institutional business requirements.	Destroy	

I01.07	Public Communication Management	External Relations	Results of public surveys: individual responses.	Completion of analysis of survey responses	The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.	Institutional business requirements.	Destroy
I01.08	Public Communication Management	External Relations	Results of public surveys: summaries and analyses of responses	Completion of survey	3 years	Institutional business requirements.	Destroy
I01.09	Public Communication Management	External Relations	Complaints from members of the public, the internal handling of these complaints and the responses provided.	Last action on complaint	1 year	Institutional business requirements.	Destroy
I01.10	Public Events Management	External Relations	Records documenting the planning and impact/results of public events.	Completion of event	6 years	Institutional business requirements.	Review
I01.11	Public Events Management	External Relations	Records documenting the organisation and administration of public events.	Completion of subsequent year's event	1 year	Institutional business requirements.	Destroy

101.12	Sponsorship Management	External Relations	Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship	6 years	Limitation Act 1980 c. 58 s 5	Destroy
101.13	Graduation Events Management	External Relations	Records documenting the planning and proceedings of Graduation events.	Completion of event	Permanent	Institutional business requirements.	Review

Government and Parliamentary Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
102.01	Parliamentary Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's parliamentary relations strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
102.02	Parliamentary Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's parliamentary relations strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
102.03	Parliamentary Relations Procedure Development	External Relations	Master copies of procedures relating to parliamentary relations.	Supersession	5 years	Institutional business requirements.	Destroy	
102.04	Parliamentary Relations Procedure Development	External Relations	Records documenting the development of the institution's procedures relating to parliamentary relations.	Issue of procedures	3 years	Institutional business requirements.	Destroy	

102.05	Parliamentary Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's parliamentary relations policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy
102.06	Parliamentary Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's parliamentary relations policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy
102.07	Parliamentary Inquiries & Investigations Management	External Relations	Records documenting the institution's participation in formal parliamentary inquiries.	Last action on inquiry	10 years	Institutional business requirements.	Archive
102.08	Parliamentary Communications Management	External Relations	General correspondence with parliamentary bodies.	Current year	1 year	Institutional business requirements.	Review
102.09	Parliamentary Communications Management	External Relations	Requests for information from parliamentary bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request	5 years	Institutional business requirements.	Review
102.10	Parliamentary Consultations Management	External Relations	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	Institutional business requirements.	Destroy
102.11	Parliamentary Consultations Management	External Relations	Records documenting the institution's formal responses to consultations conducted by parliamentary bodies.	Last action on consultation	3 years	Institutional business requirements.	Destroy
102.12	Government Relations Strategy and Policy Development	External Relations	Records documenting the development and establishment of the institution's government relations strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy

102.13	Government Relations Strategy, Policy and Procedures Development	External Relations	Records documenting the development and establishment of the institution's government relations strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
102.14	Government Relations Procedure Development	External Relations	Master copies of procedures relating to government relations.	Supersession	3 years	Institutional business requirements.	Destroy	
102.15	Government Reporting	External Relations	Records documenting the preparation and submission of reports to government bodies.	Submission of report	3 years	Institutional business requirements.	Review	QAE Managers to discuss
102.16	Government Communications Management	External Relations	General correspondence with government bodies.	Current year	5 years	Institutional business requirements.	Destroy	QAE Managers to discuss
102.17	Government Communications Management	External Relations	Requests for information from government bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request	5 years	Institutional business requirements.	Destroy	
102.18	Government Consultations Management	External Relations	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	Institutional business requirements.	Destroy	QAE Managers to discuss
102.19	Government Consultations Management	External Relations	Records documenting the institution's formal responses to consultations conducted by government bodies.	Last action on consultation	5 years	Institutional business requirements.	Review	QAE Managers to discuss
102.20	Government Inquiries/Investigations Management	External Relations	Records documenting the institution's participation in formal government or public inquiries.	Last action on inquiry	10 years	Institutional business requirements.	Archive	QAE Managers to discuss

Official Visits and Representation

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
102.21	Official External Representation	Office of Compliance, Governance and Legal Services	Records documenting the appointment/designation of staff to officially represent the institution.			Termination of representation	Institutional business requirements.	Destroy
102.22	Official Visits Management	External Relations	Records documenting the organisation and administration of official visits.	Completion of visit	1 year	Institutional business requirements.	Destroy	Usually archived e.g. Kings visit

HE/FE Sector Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
103.01	HE/FE Sector Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's HE/FE sector relations policies: key records.	Supersession	5 years	Institutional business requirements.	Review	
103.02	HE/FE Sector Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's HE/FE sector relations policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	

I03.03	HE/FE Sector Relations Procedure Development	External Relations	Records documenting the development of the institution's procedures relating to HE/FE sector relations.	Issue of procedures	1 year	Institutional business requirements.	Destroy
I03.04	HE/FE Sector Relations Procedure Development	External Relations	Master copies of procedures relating to HE/FE sector relations.	Supersession	3 years	Institutional business requirements.	Destroy
I03.05	HE/FE Sector Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's HE/FE sector relations strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy
I03.06	HE/FE Sector Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's HE/FE sector relations strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy
I03.07	HE Sector Collaboration	Strategic Development and Delivery	Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions.	Termination of contractual relationship	6 years	Limitation Act 1980 c. 58 s 5	Destroy
I03.08	HE Sector Consultations Management	Strategic Development and Delivery	Records documenting the preparation of the institution's formal responses to consultations conducted by HE sector organisations (including records of internal consultation processes).	Last action on consultation	1 year	Institutional business requirements.	Destroy
I03.09	HE Sector Consultations Management	Strategic Development and Delivery	Records documenting the institution's formal responses to consultations conducted by HE sector organisations.	Last action on consultation	3 years	Institutional business requirements.	Destroy
I03.10	HE Sector Reporting	Strategic Development and Delivery	Records documenting the preparation and submission of reports to HE regulatory bodies.	Submission of report	3 years	Institutional business requirements.	Destroy

I03.11	HE Sector Representation	Strategic Development and Delivery	Records documenting the institution's membership of organisations.	Termination of membership	1 year	Institutional business requirements.	Destroy
I03.12	HE Sector Representation	Strategic Development and Delivery	Records documenting the institution's participation in the activities of external organisations (including committees).	Termination of involvement	1 year	Institutional business requirements.	Destroy
I03.13	HE Sector Communications Development	External Relations	General communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies.	Current year	5 years	Institutional business requirements.	Destroy
I03.14	HE/FE Sector Communications Development	External Relations	Records documenting the production of publications specifically intended for the HE and/or FE sector(s).	Publication	1 year	Institutional business requirements.	Destroy
I03.15	HE Sector Communications Development	External Relations	Publications	While current	1 year	Institutional business requirements.	Destroy
I03.16	HE Sector Communications Development	External Relations	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	Institutional business requirements.	Destroy
I03.17	HE Sector Events Management	External Relations	Records documenting the planning and impact/results of events for the HE sector.	Completion of event	3 years	Institutional business requirements.	Destroy
I03.18	HE Sector Events Management	External Relations	Records documenting the organisation and administration of events for the HE sector.	Completion of event	1 year	Institutional business requirements.	Destroy

Media Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
104.01	Media Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's media relations policies: key records.	Supersession	5 years	Institutional business requirements.	Review	
104.02	Media Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's media relations policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	
104.03	Media Relations Procedure Development	External Relations	Records documenting the development of the institution's procedures relating to media relations.	Issue of procedure	1 year	Institutional business requirements.	Destroy	
104.04	Media Relations Procedure Development	External Relations	Master copies of procedures relating to media relations.	Supersession	3 years	Institutional business requirements.	Destroy	
104.05	Media Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's media relations strategy: key records.	Supersession	5 years	Institutional business requirements.	Review	
104.06	Media Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's media relations strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
104.07	Media Communications Management	External Relations	Records documenting the institution's media contacts.	Supersession		Institutional business requirements.	Destroy	
104.08	Media Communications Management	External Relations	Records documenting the planning and organisation of media briefings.	Date of briefing	1 year	Institutional business requirements.	Destroy	

104.09	Media Communication Management	External Relations	Transcripts of media briefings	Date of briefing	5 years	Institutional business requirements.	Destroy
104.10	Media Communication Management	External Relations	Records documenting the planning and organisation of media interviews.	Date of interview	1 year	Institutional business requirements.	Destroy
104.11	Media Communication Management	External Relations	Transcripts of media interviews.	Date of interview	5 years	Institutional business requirements.	Review
104.12	Media Communication Management	External Relations	Press releases.	Current year	5 years	Institutional business requirements.	Destroy
104.13	Media Communication Management	External Relations	Records documenting media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry	3 years	Institutional business requirements.	Destroy
104.14	Media Monitoring	External Relations	Records documenting the monitoring and analysis of media coverage of the institution.	Current year	5 years	Institutional business requirements.	Destroy
104.15	Media Monitoring	External Relations	Press cuttings.	Creation	1 year	Institutional business requirements.	Destroy

Fundraising

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
105.01	Fundraising Policy Development	External Relations	Records documenting the development and establishment of the institution's fundraising policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
105.02	Fundraising Policy Development	External Relations	Records documenting the development and establishment of the institution's fundraising policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	
105.03	Fundraising Procedure Development	External Relations	Records documenting the development of the institution's procedures relating to fundraising.	Issue of procedures	1 year	Institutional business requirements.	Destroy	
105.04	Fundraising Procedure Development	External Relations	Master copies of procedures relating to fundraising.	Supersession	3 years	Institutional business requirements.	Destroy	
105.05	Fundraising Strategy Development	External Relations	Records documenting the development and establishment of the institution's fundraising strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
105.06	Fundraising Strategy Development	External Relations	Records documenting the development and establishment of the institution's fundraising strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
105.07	Fundraising Campaign Management	External Relations	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign	5 years	Institutional business requirements.	Destroy	

105.08	Donations Management	External Relations	Records documenting donations to the institution.	Current year	5 years	Institutional business requirements.	Review	A shorter or longer period may be appropriate for small or large donations respectively.
105.09	Fundraising Campaign Management	External Relations	Individual responses to fundraising campaigns.	Completion of analysis of data		Institutional business requirements.	Destroy	
105.10	Donations Management	External Relations	Records documenting the handling of enquiries about making donations to the institution.	Last action on enquiry	1 year	Institutional business requirements.	Destroy	
105.11	Donations Management	External Relations	Records documenting the process of making donations to third parties.	Last action on donation	6 years	Limitation Act 1980 c. 58 s 5	Destroy	
105.12	Donations Management	External Relations	Records of generic or personalised communication of the impact of donations, and sponsorships to donors and sponsors	Termination of donation/grant	6 years	Institutional business requirements. Limitation Act 1980 c. 58 s 5 (personalised communication)	Destroy	
105.13	Donations Management	External Relations	Records of communication with donors	Termination of relationship	6 years	Limitation Act 1980 c. 58 s 5	Destroy	
105.14	Donations Management	External Relations	Administration of donor records	Termination of relationship	6 years	Limitation Act 1980 c. 58 s 5	Destroy	
105.15	Donations Management	External Relations	Records documenting the management of the institution's relationship with donors/sponsors to the institution (other than in response to fundraising campaigns).	Termination of relationship	6 years	Limitation Act 1980 c. 58 s 5	Destroy	

Alumni Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
106.01	Alumni Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's alumni relations policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
106.02	Alumni Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's alumni relations policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	
106.03	Alumni Relations Procedure Development	External Relations	Records documenting the development of the institution's procedures relating to alumni relations.	Issue of procedures	1 year	Institutional business requirements.	Destroy	
106.04	Alumni Relations Procedure Development	External Relations	Master copies of procedures relating to alumni relations.	Supersession	3 years	Institutional business requirements.	Destroy	
106.05	Alumni Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's alumni relations strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
106.06	Alumni Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's alumni relations strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	

106.07	Alumni Support	External Relations	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	Institutional business requirements.	Destroy
106.08	Alumni Support	External Relations	Records documenting the administration of financial and other support to alumni organisations.	Current financial year	1 year	Institutional business requirements.	Destroy
106.09	Alumni Support	External Relations	Requests for contact details for alumni, action taken, and the responses provided.	Last action on request	1 year	Institutional business requirements.	Destroy
106.10	Alumni Communications Management	External Relations	Records documenting the design, planning and production of official alumni communications.	Issue of communication	1 year	Institutional business requirements.	Destroy
106.11	Alumni Communications Management	External Relations	Alumni communications	Issue	1 year	Institutional business requirements.	Destroy
106.12	Alumni Communications Management	External Relations	Records documenting enquiries from alumni and the responses provided.	Last action on enquiry	1 year	Institutional business requirements.	Destroy
106.13	Alumni Communications Management	External Relations	Unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.	Last action on feedback	1 year	Institutional business requirements.	Destroy
106.14	Alumni Communications Management	External Relations	Records documenting the design and conduct of alumni surveys.	Completion of survey	3 years	Institutional business requirements.	Destroy

106.15	Alumni Communication Management	External Relations	Results of alumni surveys: individual responses	Completion of analysis of survey responses		The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.	UK GDPR	Destroy	
106.16	Alumni Communication Management	External Relations	Results of alumni surveys: summaries and analyses of responses	Completion of survey	3 years		Institutional business requirements.	Destroy	
106.17	Alumni Communication Management	External Relations	Records documenting the handling of complaints from alumni.	Last action on complaint	6 years		Institutional business requirements.	Review	Retention for a longer period may be appropriate if the complaint or its handling could be the basis for legal action against the university.
106.18	Alumni Events Management	External Relations	Records documenting the planning and impact/results of institutional events for alumni.	Completion of event	3 years		Institutional business requirements.	Destroy	

106.19	Alumni Events Management	External Relations	Records documenting the organisation and administration of institutional events for alumni.	Completion of event	1 year	Institutional business requirements.	Destroy	
106.20	Alumni Events Management	External Relations	Records documenting the administration of financial and other support given to individual alumni organisations.	Current financial year	1 year	Institutional business requirements.	Destroy	
106.21	Alumni Records Administration	External Relations	Records containing personal data on individual alumni.	While current (or likely to be current)		Institutional business requirements.	Destroy	
106.22	Alumni Records Administration	External Relations	Summary (anonymised) statistical records of alumni	Current year	10 years	Institutional business requirements.	Destroy	
106.23	Alumni Relations	External Relations	Key records documenting alumni relations strategies and policies	Supersession	5 years	Institutional Business Requirement	Review	
106.24	Alumni Relations	External Relations	Records containing personal data on individual alumni	While current	5 years	Data Protection Act 2018	Review	Currency implies engagement with the university such as initiating contact with a college or service at the university, participating in university events or opening targeted communication from the university.
106.25	Alumni Relations	External Relations	Alumni surveys	Completion of analysis of survey	None	Data Protection Act 2018	Destroy	
106.26	Alumni Relations	External Relations	Results of alumni surveys	Completion of analysis of survey	3 years	Data Protection Act 2018	Destroy	

106.27	Alumni Relations	External Relations	Summary statistical records of alumni	End of current year	10 years	Institutional Business Requirement	Review
106.28	Alumni Relations	External Relations	Records documenting the design, planning and production of official alumni communications.	Issue of communication	1 year	Institutional Business Requirement	Destroy
106.29	Alumni Relations	External Relations	Alumni communications	Issue of communication	1 year	Institutional Business Requirement	Destroy
106.30	Alumni Relations	External Relations	Records documenting enquiries from alumni and the responses provided.	Last action on enquiry	1 year	Institutional Business Requirement	Destroy
106.31	Alumni Relations	External Relations	Handling of unsolicited alumni suggestion or complaint	Last action on case	1 year	Institutional Business Requirement	Destroy
106.32	Alumni Relations	External Relations	Records relating to UEL alumni events	Completion of event	1 year	Institutional Business Requirement	Destroy

Marketing

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
I07.01	Marketing Strategy Development	External Relations	Records documenting the development and establishment of the institution's marketing strategy: key records.	Supersession	5 years	Institutional business requirements.	Review	
I07.02	Marketing Strategy Development	External Relations	Records documenting the development and establishment of the institution's marketing strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
I07.03	Marketing Policy Development	External Relations	Records documenting the development and establishment of the institution's marketing policies: key records.	Supersession	5 years	Institutional business requirements.	Review	
I07.04	Marketing Policy Development	External Relations	Records documenting the development and establishment of the institution's marketing policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	
I07.05	Marketing Procedure Development	External Relations	Records documenting the development of the institution's procedures relating to marketing.	Issue of procedures	1 year	Institutional business requirements.	Destroy	
I07.06	Market Research	External Relations	Records documenting the design and development of market research tools.	Completion of research	5 years	Institutional business requirements.	Review	
I07.07	Marketing Procedure Development	External Relations	Master copies of procedures relating to marketing.	Supersession	3 years	Institutional business requirements.	Destroy	
I07.08	Market Research	External Relations	Market research data: data relating to identifiable individuals.	Completion of analysis of data	Anonymised data may be retained up to 10 years	Institutional business requirements.	Review	

107.09	Marketing Campaign Management	External Relations	Records documenting the design, implementation and review of marketing campaigns.	Completion of campaign	3 years	Institutional business requirements. The institution may wish to transfer these records to the archive once they are no longer in active use.	Review	
107.10	Market Research	External Relations	Market research data: aggregated data and analyses.	Completion of research	5 years	Institutional business requirements.	Review	
107.11	Market Research	External Relations	Market research data on courses and curriculum: aggregated data and analyses.	Approval of course	5 years	Institutional business requirements.	Review	Impacts on initial approval process, should keep as long as documents for the design and development of courses.
107.12	Corporate Identity & Brand Management	External Relations	Records documenting the design of the institution's corporate identity marks (logos etc.) and the development of style guides for use of these.	Supersession	Permanent	Institutional business requirements.	Archive	
107.13	Advertising Management	External Relations	Records documenting the development, placement and impact of advertisements.	Current	5 years	Institutional business requirements.	Review	

Publishing and Publications

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
108.01	Publishing Strategy	Library Archives and Learning Services	Records documenting the development and establishment of the institution's publishing strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
108.02	Publishing Strategy	Library Archives and Learning Services	Records documenting the development and establishment of the institution's publishing strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
108.03	Publishing Policy	Library Archives and Learning Services	Records documenting the development and establishment of the institution's publishing policies: key records.	Supersession	5 years	Institutional business requirements.	Archive	
108.04	Publishing Policy	Library Archives and Learning Services	Records documenting the development and establishment of the institution's publishing policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	
108.05	Publishing Procedure	Library Archives and Learning Services	Records documenting the development of the institution's procedures relating to the management of publishing.	Issue of procedures	1 year	Institutional business requirements.	Destroy	
108.06	Publishing Procedure	Library Archives and Learning Services	Master copies of procedures relating to the management of publishing.	Supersession	3 years	Institutional business requirements.	Destroy	
108.07	Publication Production	External Relations	Records documenting the design, commissioning, editing and production of publications.	Issue of publication	1 year	Institutional business requirements.	Destroy	
108.08	Publication Marketing	External Relations	Records documenting the development of marketing plans for publications.	Life of publication		Institutional business requirements.	Destroy	

108.09	Publication Distribution	External Relations	Records documenting the distribution of publications.	Current year	1 year	Institutional business requirements.	Destroy
108.10	Publications Strategy and Policy Development	External Relations	Records documenting the development and establishment of the institution's publications strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy
108.11	Publications Strategy, Policy and Procedures Development	External Relations	Records documenting the development and establishment of the institution's publications strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy
108.12	Publications Management Procedure Development	External Relations	Master copies of procedures relating to publications management.	Supersession	3 years	Institutional business requirements.	Destroy
108.13	Publications Acquisition	Library and Learning Services	Records documenting the process of selecting publications to purchase.	Completion of purchase		Institutional business requirements.	Destroy
108.14	Publications Acquisition	Library and Learning Services	Records documenting decisions to (dis)continue purchase of publications.	Last action on issue	1 year	Institutional business requirements.	Destroy
108.15	Publications Organisation	Library and Learning Services	Records documenting the institution's scheme(s) for classifying and cataloguing publications.	Supersession of all catalogues based on scheme		Institutional business requirements.	Archive
108.16	Publications Organisation	Library and Learning Services	Catalogues/indexes	Supersession		Institutional business requirements.	Archive
108.17	Publications Storage & Handling	Library and Learning Services	Records documenting the monitoring and control of storage conditions.	Current year	1 year	Institutional business requirements.	Destroy
108.18	Publications Storage & Handling	Library and Learning Services	Records documenting the movement of items from/to storage.	Return of items	1 year	Institutional business requirements.	Destroy

108.19	Publications Conservation	Library and Learning Services	Records documenting conservation work undertaken on publications.	Life of items		Institutional business requirements.	Destroy
108.20	Publications Disposal	Library and Learning Services	Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications	1 year	Institutional business requirements.	Destroy

Community Relations Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
109.01	Community Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's community relations strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
109.02	Community Relations Strategy Development	External Relations	Records documenting the development and establishment of the institution's community relations strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
109.03	Community Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's community relations policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
109.04	Community Relations Policy Development	External Relations	Records documenting the development and establishment of the institution's community relations policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	

109.05	Community Relations Procedure Development	External Relations	Records documenting the development of the institution's procedures relating to community relations.	Issue of procedures	1 year	Institutional business requirements.	Destroy	
109.06	Community Relations Procedure Development	External Relations	Master copies of procedures relating to community relations.	Supersession	3 years	Institutional business requirements.	Destroy	
109.07	Community Communications Management	External Relations	Enquiries from members of the local community and the responses provided.	Last action of enquiry	1 year	Institutional business requirements.	Destroy	
109.08	Community Communications Management	External Relations	Unsolicited feedback from members of the local community, the internal handling of this feedback and the responses provided.	Last action on feedback	1 year	Institutional business requirements.	Destroy	
109.09	Community Communications Management	External Relations	Records documenting the design and conduct of community surveys.	Completion of survey	3 years	Institutional business requirements.	Review	
109.10	Community Communications Management	External Relations	Results of community surveys: individual responses.	Completion of analysis of survey responses	See note	The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.	Destroy	
109.11	Community Communications Management	External Relations	Results of community surveys: summaries and analyses of responses.	Completion of survey	3 years	Institutional business requirements.	Review	

109.12	Community Communication s Management	External Relations	Complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint	1 year	Institutional business requirements.	Destroy	
109.13	Community Events Management	External Relations	Records documenting the planning and impact/results of local community events.	Completion of event	3 years	Institutional business requirements.	Destroy	
109.14	Community Events Management	External Relations	Records documenting the organisation and administration of local community events.	Completion of event	1 year	Institutional business requirements.	Destroy	
109.15	Community Representation	External Relations	Records documenting the institution's membership of local community organisations.	Termination of membership	1 year	Institutional business requirements.	Destroy	
109.16	Community Representation	External Relations	Records documenting the institution's participation in the activities of local community organisations (including committees).	Termination of involvement	1 year	Institutional business requirements.	Destroy	
109.17	Community wellbeing and development: Sports	Sports Dock	Records related to provision of sports facilities to East London community		While current	Institutional business requirements.	Destroy	
109.18	Community wellbeing and development: Sports	Sports Dock	Records of activities of community sports clubs	End of current year	Permanent	Institutional business requirements.	Archive	
109.19	Community wellbeing and development: Sports	Sports Dock	Anonymised feedback and statistics of use of sports and fitness facilities by non-university members	End of current year	2 years	Institutional business requirements.	Destroy	
109.20	Community wellbeing and development: Sports	Sports Dock	Records related to externally funded community facing sports programs	End of programme	3 years	Institutional business requirements.	Destroy	

Students Union Relations

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
J01.01	Students' Union Relations Strategy Development	Office for Compliance Governance and Legal Services	Records documenting the development and establishment of the institution's students' union relations strategy: key records.	Supersession	10 years	Institutional business requirements.	Review	
J01.02	Students' Union Relations Strategy Development	Office for Compliance Governance and Legal Services	Records documenting the development and establishment of the institution's students' union relations strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
J01.03	Students' Union Relations Policy Development	Office for Compliance Governance and Legal Services	Records documenting the development and establishment of the institution's policies on students' union relations: key records.	Supersession	5 years	Institutional business requirements.	Archive	
J01.04	Students' Union Relations Policy Development	Office for Compliance Governance and Legal Services	Records documenting the development and establishment of the institution's policies on students' union relations: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	
J01.05	Students' Union Relations Procedure Development	Office for Compliance Governance and Legal Services	Records documenting the development of the institution's procedures relating to students' union relations.	Issue of procedures	1 year	Institutional business requirements.	Destroy	
J01.06	Students' Union Relations Procedure Development	Office for Compliance Governance and Legal Services	Master copies of procedures relating to students' union relations.	Supersession	5 years	Institutional business requirements.	Review	
J01.07	Students' Union Relations Policy Development	Office for Compliance Governance and Legal Services	Code of Practice required by Section 22(3) of the Education Act 1994.	Supersession	10 years	Institutional business requirements.	Archive	

J01.08	Student Union Relations	Student Union	SU constitution	Issue	Permanent	Institutional Business Requirement	Archive
J01.09	Student Union Relations	Student Union	Records on Student Union Mission, Policy and Strategy	Supersession	Permanent	Institutional Business Requirement	Archive
J01.10	Students' Union Constitution Review & Approval	Office for Compliance Governance and Legal Services	Records documenting the process of reviewing the students' union's constitution, as required by s. 22(2) of the Education Act 1994.	Currency of constitution		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.	Archive
J01.11	Students' Union Financial Monitoring	Office for Compliance Governance and Legal Services	Records documenting the monitoring of the students' union's financial affairs, as required by s. 22(2) of the Education Act 1994.	End of financial year	6 years	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 the governing body.	Review Review with governing body

J01.12	Students' Union Financial Monitoring	Office for Compliance Governance and Legal Services	Records documenting the process of reviewing the students' union's budgets, as required by s. 22(2) of the Education Act 1994.	While current	6 years	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.	Review	Review with governing body
J01.13	Students' Union Funding	Office for Compliance Governance and Legal Services	Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.	1 year	Current financial year	Institutional business requirements.	Destroy	
J01.14	Students' Union Relations Policy Development	Office for Compliance Governance and Legal Services	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	1994 c. 30 does not prescribe a retention period.	Destroy	
J01.15	Students' Union Relations	Office for Compliance Governance and Legal Services	SU election records	Current	2 years	Jisc guidance Education Act 1994 Limitation Act 1980	Archive	

J01.16	Students' Union Operations Monitoring	Office for Compliance Governance and Legal Services	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.	Review	Review with governing body
J01.17	Students' Union Operations Monitoring	Office for Compliance Governance and Legal Services	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.	Review	Review with governing body
J01.18	Students' Union Relations	Student Union	Complaints against the SU	Last action on complaint	6 years	Jisc guidance Education Act 1994 Limitation Act 1980	Destroy	

J01.19	Students' Union Operations Monitoring	Office for Compliance Governance and Legal Services	Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body.	6 years	Settlement of complaint	Limitation Act 1980 c.58 s. 5	Destroy
J01.20	Students' Union Relations	Student Union	Regulation of distribution of funding to societies	Supersession	5 years	Institutional Business Requirement	Review
J01.21	Students' Union Relations	Student Union	SU affiliations	Current	2 years	Jisc guidance Education Act 1994 Limitation Act 1980	Destroy
J01.22	Students' Union Relations	Student Union	Student publications		Permanent	Jisc guidance	Archive

Information Technology Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
K01.01	ICT Systems Strategy and Policy Development	Information Communication Technology (ICT)	Records documenting the development and establishment of the institution's ICT systems strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
K01.02	ICT Systems Strategy, Policy and Procedures Development	Information Communication Technology (ICT)	Records documenting the development and establishment of the institution's ICT systems strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
K01.03	ICT Systems Management Procedure Development	Information Communication Technology (ICT)	Master copies of procedures relating to the management of ICT systems.	Supersession	3 years	Institutional business requirements.	Destroy	
K01.04	ICT Systems Development	Information Communication Technology (ICT)	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system	5 years	Institutional business requirements.	Destroy	
K01.05	ICT Systems Development	Information Communication Technology (ICT)	Records documenting the initial development of ICT systems which are not implemented.	Last action on development	5 years	Institutional business requirements.	Destroy	
K01.06	ICT Systems Development	Information Communication Technology (ICT)	Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project	5 years	Institutional business requirements.	Destroy	
K01.07	ICT Systems Operations Management	Information Communication Technology (ICT)	Routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year	1 year	Institutional business requirements.	Destroy	

K01.08	ICT Systems Operations Management	Information Communication Technology (ICT)	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault	1 year	Institutional business requirements.	Destroy
K01.09	ICT Systems Operations Management	Information Communication Technology (ICT)	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year	1 year	Institutional business requirements.	Destroy
K01.10	ICT Systems Operations Management	Information Communication Technology (ICT)	User requests to recover data from backup or archive stores, and action taken.	Last action on request	3 months	Institutional business requirements.	Destroy
K01.11	ICT Systems Operations Management	Information Communication Technology (ICT)	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence		Institutional business requirements.	Destroy
K01.12	ICT Systems Security Management	Information Communication Technology (ICT)	Records documenting the security arrangements for ICT systems.	Decommissioning of system	5 years	Institutional business requirements.	Destroy
K01.13	ICT Systems Security Management	Information Communication Technology (ICT)	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account	1 year	Institutional business requirements.	Destroy
K01.14	ICT Systems Security Management	Information Communication Technology (ICT)	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year	1 year	Institutional business requirements.	Destroy
K01.15	ICT Systems Security Management	Information Communication Technology (ICT)	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident	1 year	Institutional business requirements.	Destroy

K01.16	ICT Systems Security Management	Information Communication Technology (ICT)	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	Institutional business requirements.	Destroy
K01.17	ICT Systems Security Management	Information Communication Technology (ICT)	Records documenting the removal/return of mobile ICT systems hardware and software from/to the institution's premises.	Return of equipment	3 months	Institutional business requirements.	Destroy
K01.18	ICT Systems Security Management	Information Communication Technology (ICT)	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment	1 year	Institutional business requirements.	Destroy
K01.19	ICT Systems Training	Information Communication Technology (ICT)	Records documenting the development of technical and application training for ICT system users.	Supersession	1 year	Institutional business requirements.	Destroy

Consultancy

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
L01.01	Consultancy Strategy and Policy Development	School/ Research Institute	Records documenting the development and establishment of the institution's consultancy strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
L01.02	Consultancy Procedure Development	School/ Research Institute	Master copies of procedures relating to consultancy.	Supersession	3 years	Institutional business requirements.	Destroy	
L02.01	Consultancy Promotion	School/ Research Institute	Directories of expertise	Current		Retention of these records must comply with the provisions of current data protection laws (the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679).	Destroy	
L02.02	Consultancy Prospect Management	School/ Research Institute	Records documenting the handling of enquiries about consultancy, where no further action is taken.	Last action on enquiry	1 year	Institutional business requirements.	Destroy	
L02.03	Consultancy Prospect Management	School/ Research Institute	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	Institutional business requirements.	Destroy	

L02.04	Consultancy Prospect Management	School/ Research Institute	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	Limitation Act 1980 c. 58 s 5	Destroy
L03.01	Consultancy Contract Management	School/ Research Institute	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key records.	Termination of contract	6 years	Limitation Act 1980 c. 58 s 5	Destroy
L03.02	Consultancy Contract Management	School/ Research Institute	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: working papers.	Agreement of contract		Institutional business requirements.	Destroy
L03.03	Consultancy Project Management	School/ Research Institute	Records documenting the management of consultancy projects: key records.	Termination of contract	3 years	Common audit requirement	Destroy
L03.04	Consultancy Project Management and Delivery	School/ Research Institute	Records documenting the management of consultancy projects, scheduling of meetings, interviews, deliverables/outcomes, draft versions and other project work: working papers.	Termination of contract		Institutional business requirements.	Destroy
L03.05	Consultancy Project Delivery	School/ Research Institute	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.	Destroy

L03.06	Consultancy Project Delivery	School/ Research Institute	Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract	6 years	Limitation Act 1980 c. 58 s 5	Destroy
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Related Companies Governance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
L04.01	Related Companies Strategy, Policy, and Procedures Development	UEB	Records documenting the development and establishment of the institution's related companies strategy, policies and procedures: key records.	Supersession	10 years	Institutional business requirements.	Destroy	
L04.02	Related Companies Strategy, Policy and Procedures Development	UEB	Records documenting the development and establishment of the institution's related companies strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	

Information Compliance

Regulatory Compliance

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
M01.01	Information Compliance Strategy and Policy Development	Office for Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's information compliance strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
M01.02	Information Compliance Strategy, Policy and Procedures Development	Office for Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's information compliance strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy	
M01.03	Information Compliance Management Procedure Development	Office for Compliance, Governance and Legal Services	Master copies of procedures relating to information compliance.	Supersession	3 years	Institutional business requirements.	Destroy	
M01.04	Data Protection Compliance	Office for Compliance, Governance and Legal Services	The institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by the Data Protection Act 2018.	Current year	1 year	Data Protection Act 2018	Destroy	Notification must be renewed annually to maintain an entry in the public register of data controllers.

M01.05	Data Protection Compliance	Office for Compliance, Governance and Legal Services	Records documenting the handling of requests for access to personal information held by the institution under the General Data Protection Regulation (GDPR).	Last action on request	1 year		Destroy	Common practice GDPR does not prescribe a retention period for these records and the ICO does not advise a specific retention period. A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals.
M01.06	Data Protection Compliance	Office for Compliance, Governance and Legal Services	(Anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under current data protection laws (the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679).	Current year	10 years	Institutional business requirements.	Destroy	
M01.07	Data Protection Compliance	Office for Compliance, Governance and Legal Services	Privacy notices.	Conclusion of the activity to which the privacy notice relates	6 years	GDPR 5(1) (e) Limitation Act 1980.	Destroy	
M01.08	Publication	External Relations	Annual reports pertaining to finances	Current year	Life of Institution	Institutional Business Requirement	Archive	

M01.09	Management Information Analysis & Reporting	External Relations	Management information and analysis reports	Current year	3 years	Institutional business requirements.	Destroy	
M01.10	Management Information Collection	External Relations	Dataset specifications and protocols for submission and collation of data.	Supersession		If datasets are archived, dataset specifications and protocols should be archived with them.	Archive	
M01.11	Freedom of Information Compliance	Office for Compliance, Governance and Legal Services	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36) and the Freedom of Information (Scotland) Act 2002 (asp 13).	Completion of revision of Publication Scheme	5 years	Freedom of Information Act 2000	Destroy	See: 'Model publication scheme Freedom of Information Act' 2015 (ICO).
M01.12	Freedom of Information Compliance	Office for Compliance, Governance and Legal Services	Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Completion of request handling process	3 years	Jisc guidance	Destroy	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).
M01.13	Freedom of Information Compliance	Office for Compliance, Governance and Legal Services	(Anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Current year	10 years	Freedom of Information Act 2000	Destroy	

M01.14	Freedom of Information Compliance	Office for Compliance, Governance and Legal Services	(Anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Current year	10 years	Freedom of Information Act 2000	Destroy
M01.15	Public Interest Disclosure (Whistle Blowing) Investigation	Office of Compliance, Governance and Legal Services	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998 (c.23).	Closure of case	6 years	Limitation Act 1980 c. 58 ss 2 and 5	Review
M01.16	Environmental Information Compliance	Office for Compliance, Governance and Legal Services	Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Completion of request handling process	3 years	Jisc guidance	Destroy
M01.17	Environmental Information Compliance	Office for Compliance, Governance and Legal Services	(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) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Current year	10 years	Freedom of Information Act 2000	Destroy

Records Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
M02.01	Records Management Strategy Development	Office for Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's records management strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
M02.02	Records Management Strategy Development	Office for Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's records management strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy	
M02.03	Records Management Policy Development	Office for Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's records management policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy	
M02.04	Records Management Policy Development	Office for Compliance, Governance and Legal Services	Records documenting the development and establishment of the institution's records management policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy	
M02.05	Records Management Procedure Development	Office for Compliance, Governance and Legal Services	Records documenting the development of the institution's procedures relating to records management.	Issue of procedures	1 year	Institutional business requirements.	Destroy	
M02.06	Records Management Procedure	Office for Compliance, Governance and	Master copies of procedures relating to records management.	Supersession	3 years	Institutional business requirements.	Destroy	

	Development	Legal Services					
M02.07	Records Creation & Capture	Office for Compliance, Governance and Legal Services	Records documenting recordkeeping requirements for specific business activities and processes.	Supersession		Institutional business requirements.	Destroy
M02.08	Records Storage & Handling	Office for Compliance, Governance and Legal Services	Records documenting storage locations of records.	Supersession		Institutional business requirements.	Destroy
M02.09	Records Storage & Handling	Services	Records documenting the movement of records to/from storage.	Return of records	1 year	Institutional business requirements.	Destroy
M02.10	Records Retention	Office for Compliance, Governance and Legal Services	Records documenting the determination of retention periods for records.	Completion of revised Records Retention Schedule	1 year	Institutional business requirements.	Destroy
M02.11	Records Retention	Office for Compliance, Governance and Legal Services	Final versions of Records Retention Schedules	Supersession	Permanent	Jisc guidance	Archive
M02.12	Records Retention	Office for Compliance, Governance and Legal Services	Review of individual records to determine requirements for ongoing retention, where records are disposed of.	End of life of records	25 years	Institutional business requirements.	Review
M02.13	Records Disposal	Office for Compliance, Governance and Legal Services	Records documenting authorisation for the disposal of redundant records.	Disposal of records	25 years	Institutional business requirements.	Review

M02.14	Records Survey/Audit	Office for Compliance, Governance and Legal Services	Records documenting the conduct and results of records surveys/audits.	Completion of subsequent survey/audit	5 years	Jisc guidance	Review	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.
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Archives and Collections Management

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
M03.01	Archives Strategy and Policy Development	Library Archives and Learning Services	Records documenting the development and establishment of the institution's archives strategy and policies: key records.	Supersession	5 years	Institutional business requirements.	Review	

M03.02	Archives Strategy, Policy and Procedures Development	Library Archives and Learning Services	Records documenting the development and establishment of the institution's archives strategy, policies and procedures: working papers.	Issue of document	1 year	Institutional business requirements.	Destroy
M03.03	Archives Management Procedure Development	Library Archives and Learning Services	Master copies of procedures relating to archives management.	Supersession	3 years	Institutional business requirements.	Destroy
M03.04	Archives Acquisition	Library Archives and Learning Services	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	25 years?	Institutional business requirements.	Archive
M03.05	Archives Acquisition	Library Archives and Learning Services	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	25 years?	Institutional business requirements.	Archive
M03.06	Archives Acquisition	Library Archives and Learning Services	Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	25 years?	Institutional business requirements.	Archive
M03.07	Archives Organisation & Description	Library Archives and Learning Services	Records documenting the institution's scheme of arrangement for its archives.	Implementation of scheme	Life of records arranged according to the scheme	Institutional business requirements.	Archive
M03.08	Archives Organisation & Description	Library Archives and Learning Services	Records documenting the development of the institution's standard descriptive model for its archives.	Description of record	Life of records described using the model	Institutional business requirements.	Archive
M03.09	Archives Organisation & Description	Library Archives and Learning Services	Records containing the descriptions of the records held as archives.		Through life of records	Institutional business requirements.	Archive
M03.10	Archives Storage & Handling	Library Archives and Learning Services	Records documenting the monitoring and control of the storage of archives.	End of current year	1 year	Institutional business requirements.	Destroy

M03.11	Archives Storage & Handling	Library Archives and Learning Services	Records documenting the movement of archives from/to storage.	Return of items	1 year	Institutional business requirements.	Destroy
M03.12	Archives Access Control	Library Archives and Learning Services	Requests for access to archives.	Last action on request	1 year	Institutional business requirements.	Destroy
M03.13	Archives Conservation	Library Archives and Learning Services	Records documenting conservation work undertaken on items in the archives.	Life of records	25 years?	Institutional business requirements.	Archive
M03.14	Archives Disposal	Library Archives and Learning Services	Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process	6 years	Limitation Act 1980 c. 58 s 5	Review
M03.15	Archives Promotion & Exploitation	Library Archives and Learning Services	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Supersession	1 year	Institutional business requirements.	Destroy
M03.16	Archives Promotion & Exploitation	Library Archives and Learning Services	Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	Supersession	3 years	Institutional business requirements.	Destroy
M03.17	Archives Promotion & Exploitation	Library Archives and Learning Services	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	Institutional business requirements.	Destroy
M03.18	Archives Promotion & Exploitation	Library Archives and Learning Services	Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	While current	5 years	Institutional business requirements.	Destroy

M03.19	Archives Promotion & Exploitation	Library Archives and Learning Services	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	Institutional business requirements.	Destroy
M03.20	Archives Promotion & Exploitation	Library Archives and Learning Services	Records documenting loans of items from the archives to third parties.	Termination of loan	6 years	Limitation Act 1980 c.58 s 5	Destroy
M04.01	Collections Strategy Development	Library Archives and Learning Services	Records documenting the development and establishment of the institution's collections strategy: key records.	Supersession	5 years	Institutional business requirements.	Destroy
M04.02	Collections Strategy Development	Library Archives and Learning Services	Records documenting the development and establishment of the institution's collections strategy: working papers.	Issue of strategy	1 year	Institutional business requirements.	Destroy
M04.03	Collections Management Policy Development	Library Archives and Learning Services	Records documenting the development and establishment of the institution's collections management policies: key records.	Supersession	5 years	Institutional business requirements.	Destroy
M04.04	Collections Management Policy Development	Library Archives and Learning Services	Records documenting the development and establishment of the institution's collections management policies: working papers.	Issue of policy	1 year	Institutional business requirements.	Destroy
M04.05	Collections Management Procedure Development	Library Archives and Learning Services	Records documenting the development of the institution's procedures relating to collections management.	Issue of procedures	1 year	Institutional business requirements.	Destroy
M04.06	Collections Management Procedure Development	Library Archives and Learning Services	Master copies of procedures relating to collections management.	Supersession	3 years	Institutional business requirements.	Destroy

M04.07	Collections Promotion	Library Archives and Learning Services	Records documenting the design and development of promotional materials.	While materials are current		Institutional business requirements.	Destroy	Select significant materials for permanent retention.
M04.08	Collections Promotion	Library Archives and Learning Services	Records documenting the design and implementation of promotional events.	Last action on event	5 years	Institutional business requirements.	Destroy	Select key records of significant events for permanent retention.
M04.09	Collections Promotion	Library Archives and Learning Services	Enquiries about collections and the responses given.	Last action on enquiry	1 year	Institutional business requirements.	Destroy	Key information from substantive enquiries may be extracted and indexed to avoid repetitive research.
M04.10	Collections Use	Library Archives and Learning Services	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.	Institutional business requirements.	Destroy	
M04.11	Collections Use	Library Archives and Learning Services	Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are authorised.	Completion of use	5 years.	Institutional business requirements.	Destroy	
M04.12	Collections Use	Library Archives and Learning Services	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.	Institutional business requirements.	Destroy	Information about actions which have a direct impact on the condition of objects should be recorded in the object's catalogue record.

M04.13	Object Receipt	Library Archives and Learning Services	Records documenting the receipt of objects which are not currently part of the institution's collections. SPECTRUM: Object Entry records	Current year	10 years	Institutional business requirements.	Review	
M04.14	Object Borrowing	Library Archives and Learning Services	Records documenting loans of objects to the institution by other organisations or by individuals. SPECTRUM: Loan In records.		Permanent	Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 6.	Archive	https://collectionstrust.org.uk/wp-content/uploads/2016/09/Loans-in-spectrum-factsheet-2015.pdf
M04.15	Object Acquisition	Library Archives and Learning Services	Records documenting the acquisition of objects for the institution's collections. SPECTRUM: Accession records.		Permanent	Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.	Archive	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf
M04.16	Object Location & Movement Control	Library Archives and Learning Services	Records documenting the location and movement of objects within the institution's premises. SPECTRUM: Location and Movement Records.		Permanent	Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.	Archive	
M04.17	Object Cataloguing	Library Archives and Learning Services	Records documenting key information about objects in the institution's collections. SPECTRUM: Catalogue records.		Permanent	Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.	Archive	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf

M04.18	Object Dispatch	Library Archives and Learning Services	Records documenting objects which have left the institution's premises. SPECTRUM: Object Exit Records.	Return of item	10 years	Institutional business requirements.	Destroy
M04.19	Object Lending	Library Archives and Learning Services	Records documenting loans of objects to other organisations or to individuals. SPECTRUM: Loan Out records.	Return of loaned item	10 years	Institutional business requirements.	Destroy

Copyright Administration

Title	Business Activity	School/Service	Record Category	Trigger	Retention Period	Retention Justification	Action	Notes
M05.01	Copyright Compliance Administration	Office for Compliance, Governance and Legal Services	Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	1 year	Last action on application	Institutional business requirements.	Destroy	

M05.02	Copyright Compliance Administration	Office for Compliance, Governance and Legal Services	Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.	6 years	Period for which permission is granted	Limitation Act 1980 c. 58 s 5.	Destroy
M05.03	Copyright Compliance Administration	Office for Compliance, Governance and Legal Services	Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	1 year	Current year	Institutional business requirements.	Destroy
M05.04	Copyright Compliance Administration	Office for Compliance, Governance and Legal Services	Records documenting the institution's participation in surveys / audits undertaken by the Copyright Licensing Agency.		Completion of survey/audit	Institutional business requirements.	Destroy
M05.05	Copyright Compliance Administration	Office for Compliance, Governance and Legal Services	Results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	5 years	Current	Institutional business requirements.	Destroy
M05.06	Copyright Compliance Administration	Office for Compliance, Governance and Legal Services	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.	1 year	Last action on case	Institutional business requirements.	Destroy