

# University of Bolton Records Retention Schedule

This records retention schedule is based on the JISC document “Higher Education Business Classification Scheme and Records Retention Schedules” [http://bcs.jiscinfonet.ac.uk/he/default\\_recordgroup.asp](http://bcs.jiscinfonet.ac.uk/he/default_recordgroup.asp)

It has been greatly condensed, but retains (as far as possible) the same retention periods for any given type of record.

The Authority column records the origin of the retention period. In many cases, this will be the experts that the JISC consulted in drawing up the original guidance.

- Acts of the UK Parliament are cited by year and chapter number. For example: **Limitations Act 1980** is cited as **1980 c.58**
- UK Statutory Instruments are cited by year and serial number. For example: **Disability Discrimination (Public Authorities) (Statutory Duties) Regulations 2005** is cited as **SI 2005/2966**
- Other documents Codes of practice and other guidance documents are cited by reference number, if applicable. For example: **HM Revenue & Customs Notice 700/21 Keeping records and accounts** is cited as **HMRC 700/21**
- Otherwise, the full title is given. For example: **Chartered Institute of Personnel and Development, Retention of personnel and other related records, December 2006**

All records created and held by the University (paper and electronic form) and data held in databases are subject to the University records retention and disposal policy. Where a record contains personal data the retention period in this schedule must be followed unless an exception has been discussed and approved by the Data Protection Officer.

Emails that constitute a record that is required to be retained must be stored in an appropriate filing system relevant to its content and importance.

Reference	Record Group	Retention	Authority
<b>0</b>	<b>General</b>		
<b>0.1</b>	<b>Strategy &amp; Policy Development</b>		
0.1.1	Development and establishment of strategy and policy: key records. <sup>1</sup>	Superseded + 10 years	JISC
0.1.2	Development and establishment of strategy and policy: working papers. <sup>1</sup>	Issue of strategy / policy + 1 year	JISC
<b>0.2</b>	<b>Procedures</b>		
	Development of the procedures. <sup>1</sup>	Issue of procedures + 1 year	JISC

<sup>1</sup> Except where there is a more specific requirement

	Master copies of the procedures. <sup>1</sup>	Superseded + 5 years	JISC
<b>1</b>	<b>Learning and Teaching</b>		
<b>1.1</b>	<b>Teaching Quality &amp; Standards Management</b>		
1.1.1	Development of the institution's internal quality assurance processes.	While current	JISC
1.1.2	Conduct and results of formal internal reviews, external reviews and audits of teaching quality, and responses to the results	Current academic year + 5 years	JISC
<b>1.2</b>	<b>Taught Programme Development, Delivery and Review</b>		
1.2.1	Design and development of (modules of) taught programmes.	Life of programme + 10 years	JISC
1.2.2	Process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Life of programme	JISC
1.2.3	Materials and event planning <sup>2</sup>	Current academic year + 1 year	JISC
1.2.4	Solicited programme feedback	Staff and examiners: Current academic year + 5 years OR Life of course + 1 year Students: completion of analysis	JISC
1.2.5	Programme reviews <sup>3</sup>	Current academic year + 5 years	JISC
<b>1.3</b>	<b>Taught Student Assessment, Monitoring and Support</b>		
1.3.1	Design and development of assessments	Life of programme	JISC
1.3.2	Submitted/completed assessments: formative assessments.	Current academic year	JISC
1.3.3	Submitted/completed assessments: summative assessments.	Confirmation of marks/grades by Board of Examiners + 1 year.	JISC
1.3.4	Submitted/completed assessments: summative assessments subject to Academic Appeal/Academic Misconduct	Date Appeal/Academic Misconduct logged + 2 years	
1.3.5	Marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications. <sup>4</sup>	Current academic year + 6 years	1980 c. 58 s 5
1.3.6	Feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years	1980 c. 58 s 5
1.3.7	Learning support resource development and delivery	Life of resource + 2 years	JISC

<sup>2</sup> Records documenting the preparation of teaching and learning materials and the planning and conduct of teaching and learning events.

<sup>3</sup> Examples include programme statistics and analyses, review reports. Applies to both internal and formal independent reviews.

<sup>4</sup> See section on Individual Student Records below (reference no. 4)

1.3.8	Records documenting the appointment of supervisors for research students.	Termination of appointment + 1 year	JISC
<b>2</b>	<b>Research</b>		
<b>2.1</b>	<b>Quality Management</b>		
2.1.1	The conduct and results of formal internal and external reviews of research quality, and responses to the results.	Current academic year + 5 years	JISC
<b>2.2</b>	<b>Partnerships and Project Management</b>		
2.2.1	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	1980 c. 58 s 5
2.2.2	Records documenting the management of externally-funded research projects. <sup>5</sup>	Completion of project + 6 years	1980 c. 58 s 5
<b>2.3</b>	<b>Planning, Design and Conduct</b>		
2.3.1	Records of clinical or public health studies funded by MRC	End of research + 20 years	MRC GRP B.3
2.3.2	Records of other research funded by MRC	End of research + 10 years	MRC GRP B.3
2.3.3	Records documenting the conduct of all other research funded by all other organisations. <sup>6</sup>	Completion of project + 10 years	Stated or implied requirements of UK Research Councils and other significant research sponsors.
<b>2.4</b>	<b>Funding</b>		
2.4.1	Preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award). <sup>7</sup>	Completion of project (i.e. termination of award) + 6 years	1980 c. 58 s 5
<b>3</b>	<b>Knowledge Transfer &amp; Enterprise</b>		
<b>3.1</b>	<b>Intellectual Property Rights</b>		

<sup>5</sup> A longer retention period for these records may be required by a research sponsor or funding provider.

<sup>6</sup> A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor.

<sup>7</sup> Where application was not successful, 1 year from notification

3.1.1	Negotiation and completion of IPR assignments or licence agreements to third parties.	Life of IPR or termination of licence agreement + 6 years	1980 c. 58 s 5
<b>3.2</b>	<b>Consultancy</b>		
3.2.1	Directories of expertise <sup>8</sup>	Current	JISC
3.2.2	Unsuccessful enquiries / bids	Last action + 1 year	JISC
3.2.3	Proposals, tenders and contracts	Termination of contract + 6 years	1980 c. 58 s 5
3.2.4	Management and substantive work of consultancy projects.	Termination of contract + 3 years	Common audit requirement
3.2.5	Project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract + 6 years	1980 c. 58 s 5
<b>3.3</b>	<b>Education and Training</b>		
3.3.1	See section 1		
<b>4</b>	<b>Student/Academic Administration</b>		
<b>Individual Student Records</b>			
Most student information should be kept for 6 years after the student's relationship with the University has ended. This is to comply with the Limitation Act 1980 and data protection laws. Only basic information for students should be kept for longer periods: name, dates of relationship with the University and final award classification. A full record of programme modules taken and the marks should be kept for at least 40 years for each student for the purposes of student transcript construction.			
<b>4.1</b>	<b>Student recruitment</b>		
4.1.1	Design, conduct and summary results of student recruitment campaigns, events and schemes	Completion of campaign, event or scheme + 5 years	JISC
4.1.2	Handling of enquiries from prospective students.	Current academic year + 1 year	JISC
4.1.3	Summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	JISC
<b>4.2</b>	<b>Student Admission and Registration</b>		
4.2.1	Development and establishment of the institution's admission criteria.	Superseded + 10 years	JISC
4.2.2	Handling of applications for admission: successful applications.	End of student relationship + 6 years	1980 c. 58 s 5
4.2.3	Handling of applications for admission: unsuccessful applications.	Completion of admissions process + 1 year.	SI 2006/1031 Regulations 23, 39 and 42

<sup>8</sup> Retention of these records must comply with the provisions of data protection laws.

			SI 2003/1660 Regulations 20, 31 and 34 SI 2003/1661 Regulations 20, 31 and 34
4.2.4	Administration of the clearing process.	Current academic year + 1 year	JISC
4.2.5	Summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	JISC
4.2.6	Design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	JISC
<b>4.3</b>	<b>Student Records</b>		
4.3.1	Records containing personal data on individual students	End of 'registered student' relationship with institution + 6 years	1980 c. 58 s 5
4.3.2	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	JISC
4.3.3	Handling of individual students' requests for statements of results/transcripts and confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request + 1 year	JISC
4.3.4	Design, conduct, (anonymised) summaries and analyses of the results of First Destination Surveys. <sup>9</sup>	Current academic year + 5 years	JISC
<b>4.4</b>	<b>Disciplinary, Academic Appeals and Complaints</b>		
4.4.1	The conduct and results of disciplinary proceedings against, academic appeals by and formal complaints by individual students.	Last action on case + 6 years	1980 c. 58 s 5
4.4.2	Handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years	JISC
<b>4.5</b>	<b>Programme Administration</b>		
4.5.1	Administration of academic programmes. <sup>10</sup>	Completion of academic year + 3 years	JISC
<b>4.6</b>	<b>Awards and Assessment</b>		

<sup>9</sup> Individual responses to be discarded on completion of analyses.

<sup>10</sup> Timetabling teaching; compiling class and tutorial lists etc

4.6.1	Student and honorary awards	Conferment of award + 1 year	JISC
4.6.2	Ceremonies and award certificates	Completion of ceremony + 1 year	JISC
4.6.3	Selection and appointment of external examiners and exam invigilators.	Termination of appointment + 1 year	
4.6.4	Control of exam papers and scripts, timetabling and exam facilities, student attendance at exams, submission of assessed work, handling of mitigating circumstances, compilation of results lists.	Current academic year + 1 year	JISC
4.6.5	Pass Lists/Awards lists	Issue of list + 10 years	JISC
4.6.6	Exam board papers	Current academic year + 6 years	1980 c. 58 s 5
4.6.7	Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.	Current academic year + 5 years	JISC
4.6.8	List of prize winners	While prize is awarded	JISC
<b>4.7</b>	<b>Student Finance</b>		
4.7.1	Handling of applications for remission of tuition fees <sup>11</sup>	Determination of application + 6 years	1980 c. 58 s 5
4.7.2	Process of determining tuition fees.	Current + 5 years	JISC
4.7.3	Records documenting the collection of tuition fees. <sup>12</sup>	Current academic year + 1 year	JISC
4.7.4	Records documenting the provision of financial aid funds, bursaries, Scholarships, and Fellowships to individual students.	Current financial/academic year + 6 years	1980 c. 58 s 5
<b>5</b>	<b>Corporate Management</b>		
<b>5.1</b>	<b>Planning and Performance Management</b>		
5.1.1	Development of the institution's strategic plan: key records.	Superseded + 10 years	JISC
5.1.2	Development of the institution's annual operating plans: key records.	Current year + 5 years	JISC
5.1.3	Development of the institution's strategic and annual operating plans: working papers.	Current year + 1 year	JISC
5.1.4	Data on, and analyses of, the institution's performance against its strategic plan.	Current academic year + 5 years	JISC

<sup>11</sup> 1980 c. 58 s 5 only applies for successful applications.

<sup>12</sup> These are records documenting the *collection/receipt* of fees only. Financial records documenting the payment of fees, and the processing of the payments, are listed under Finance.

5.1.5	Reports on the institution's performance against its strategic plan.	Current academic year + 10 years	JISC
5.1.6	Results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Current academic year + 5 years	JISC
5.1.7	Development of the institution's key performance indicators.	Superseded	JISC
5.1.8	Performance monitoring and analysis, benchmarking exercises with other comparable institutions.	Current year + 1 year	JISC
<b>5.2</b>	<b>Governance</b>		
5.2.1	Development of the institution's legal framework, governance structure and rules, and the terms of reference, and the rules and procedures, for statutory committees.	Life of institution	JISC
5.2.2	Development and establishment of the terms of reference, and the rules and procedures, for a non-statutory committee.	Life of institution	Institutional specific requirement
5.2.3	Appointment/election/designation, induction and training of members of a committee. Register of interest for members of the governing body. Appointment of senior officers.	Life of institution	Institutional specific requirement
5.2.4	Statutory committees: agenda, minutes and supporting papers.	Life of institution	JISC
5.2.5	Non-statutory committees: agenda, minutes and supporting papers.	Life of institution	Institutional specific requirement
5.2.6	Committees: correspondence and other records	Life of institution	Institutional specific requirement
5.2.7	Reviews of the effectiveness and performance of a statutory committee. <sup>13</sup>	Life of institution	Institutional specific requirement
5.2.8	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	Closure of case + 6 years	1980 c. 58 ss 2 and 5
<b>5.3</b>	<b>Risk Management</b>		
5.3.1	Identified risks to the institution & assessments of those risks, and the formulation, testing & maintenance of disaster response & recovery plans.	Superseded + 1 year	JISC
<b>5.4</b>	<b>Quality Management</b>		

<sup>13</sup> Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews.

5.4.1	Conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years	JISC
5.4.2	Attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	JISC
<b>5.5</b>	<b>Audit</b>		
5.5.1	Conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years	JISC
<b>5.6</b>	<b>Legal Affairs</b>		
5.6.1	Negotiation, establishment and review of contracts and agreements between the institution and third parties: agreements and contracts under seal (by deed).	Termination of contract + 12 years	1980 c. 58 s 8
5.6.2	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: other contracts and agreements.	Termination of contract + 6 years	1980 c. 58 s 8
5.6.3	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 are settled by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	1980 c. 58 ss 2 and 5
5.6.4	Records documenting litigation between the institution and third parties where legal precedents are set.	Life of institution	JISC
5.6.5	Records documenting litigation between the institution and third parties which does not set legal precedents.	Settlement of case + 6 years	1980 c. 58 ss 2 and 5
5.6.6	Records documenting legal advice requested by, and provided to, the institution concerning e.g.: <ul style="list-style-type: none"> <li>• interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations</li> <li>• proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations</li> <li>• the institution's relationships with government bodies and HE regulators</li> <li>• industrial relations issues</li> <li>• health, safety and environmental issues</li> </ul>	Life of institution	JISC



5.6.7	legal advice on other matters requested by, and provided to, the institution.	Superseded + 5 years	JISC
<b>5.7</b>	<b>Organisational Development</b>		
5.7.1	Records documenting the management of individual organisational restructuring processes.	Completion of process + 5 years	JISC
<b>5.8</b>	<b>Equality and Diversity</b>		
5.8.1	Records containing summary statistical information resulting from equality monitoring.	Current year + 5 years	
5.8.2	Records documenting the development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	
5.8.3	Records documenting the handling of formal complaints about discrimination by or within the institution.	Last action on case + 6 years	1980 c. 58 s 2
5.8.4	Records documenting the handling of individual applications for national Ethnic Minority Mentoring Scheme and monitoring of the mentor-mentee relationship and outcomes.	Completion of the Scheme + 1 year	JISC
5.8.5	Records documenting: <ul style="list-style-type: none"> <li>the preparation/revision of the institution's Disability Equality Scheme, preparation of annual reports on the implementation.<sup>14</sup></li> <li>assessments of the impact of the institution's policies and practices on equality for disabled persons.<sup>15</sup></li> <li>the preparation of the institution's race equality policy, assessments of the impact of the institution's policies on equality between different racial groups, the monitoring by racial group of student admission and progress &amp; employee recruitment and career progress.<sup>16</sup></li> <li>the preparation/revision of the institution's Gender Equality Scheme, the preparation of annual reports on the implementation and</li> </ul>	Superseded + 5 years	JISC

<sup>14</sup> SI 2005/2966 does not prescribe a retention period for these records. SSI 2005/565 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.

<sup>15</sup> Retaining previous versions provides evidence of compliance and effective management of equality over time.

<sup>16</sup> SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.

	assessments of the impact of the institution's policies and practices on equality for men and women. <sup>17</sup>		
<b>5.9</b>	<b>Health and Safety</b>		
5.9.1	Records documenting the development and establishment of the institution's policies and procedures on health and safety: key records. <sup>18</sup>	Superseded + 50 years	JISC
5.9.2	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, and the conduct and results of health and safety audits.	Current year + 5 years OR Superseded + 1 year	JISC
5.9.3	Appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500) or the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or the election of members of a safety committee of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). <sup>19</sup>	Termination of appointment + 1 year	JISC
5.9.4	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) or the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). <sup>19</sup>	Current year + 5 years	JISC
5.9.5	Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500), or the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly. <sup>19</sup>	Current year + 50 years	JISC

<sup>17</sup> SI 2006/2930 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.

<sup>18</sup> The Health and Safety at Work etc. Act 1974 (c.37), s 2(3) requires every employer to have '... a written statement of his general policy with respect to the health and safety at work of his employees and the organisation and arrangements for ... carrying out that policy ...'. These records also meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242). Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

<sup>19</sup> SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.

5.9.6	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. <sup>19</sup>	Dissolution of committee + 50 years	JISC
5.9.7	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). <sup>19</sup>	Current year + 50 years	JISC
5.9.8	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. <sup>20, 37</sup>	Current year + 5 years or Superseded + 5 years	JISC
5.9.9	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. <sup>21</sup>	Superseded + 5 years	JISC
5.9.10	Records documenting the conduct, review and revision of assessments of risks to health and safety created by: <ul style="list-style-type: none"> <li>• Display Screen Equipment Regulations<sup>22</sup></li> <li>• exposure to noise<sup>23</sup></li> <li>• work with substances hazardous to health<sup>24,25</sup></li> <li>• work involving lead<sup>25,26</sup></li> <li>• exposure to asbestos, and by work with ionising radiation<sup>27</sup></li> </ul>	Superseded + 10 years	JISC

<sup>20</sup> The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity: SI 1989/635; SI 1989/682; SI 1992/2792; SI 1992/2793; SI 1996/341; SI 1998/2306; SI 1999/3242.

<sup>21</sup> SI 1999/3242 does not prescribe a retention period for these records. As a minimum, risk assessments should be retained until they are superseded. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

<sup>22</sup> SI 1992/2792 does not prescribe a retention period for these records. As a minimum, risk assessments should be retained until they are superseded.

<sup>23</sup> SI 2005/1643 does not prescribe a retention period for these records

<sup>24</sup> SI 2002/2677 does not prescribe a retention period for these records.

<sup>25</sup> A longer retention period may be appropriate if there have been potentially dangerous exposures.

<sup>26</sup> SI 2002/2676 Regulation 5 implies that the records should be retained until the risk assessment is superseded.

<sup>27</sup> SI 1999/3232 Regulation 7 does not prescribe a retention period for these records.

	and <ul style="list-style-type: none"> <li>the assessments of the presence and condition of asbestos<sup>28</sup></li> <li>the assessment of fire safety risk<sup>29</sup>.</li> </ul>		
5.9.11	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). <sup>30</sup>	Return of issued equipment + 1 year	Common audit requirement
5.9.12	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). <sup>23</sup>	Date of last entry in record + 40 years	JISC
5.9.13	Records documenting the provision of information, instruction and training for employees who are exposed to noise <sup>23</sup> , or asbestos <sup>28</sup> .	Superseded + 10 years	JISC
5.9.14	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents, required by Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4.	Current + 40 years	SI 2002/2677 Regulation 7(10) and Schedule 3, para. 4(3)
5.9.15	Records documenting the maintenance of equipment provided to control exposure to: <ul style="list-style-type: none"> <li>substances hazardous to health</li> <li>lead</li> <li>asbestos</li> <li>noise<sup>23</sup></li> </ul> of personal and other protective equipment provided to control exposure to ionising radiation <sup>31</sup> , and equipment to monitor levels of ionising radiation.	Date of examination/test/repair + 5 years	SI 2002/2677 Regulation 9(4), SI 2002/2676 Regulation 8(4), SI 2006/2739 Regulation 13(3)
5.9.16	Records documenting the conduct and results of monitoring the personal exposures of individual employees to: <ul style="list-style-type: none"> <li>substances hazardous to health</li> <li>lead</li> </ul>	Last entry + 40 years	SI 2002/2677 Regulation 10(5)(a), SI 2002/2676 Regulation 10(5), SI

<sup>28</sup> SI 2006/2739 does not prescribe a retention period for these records.

<sup>29</sup> Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records.

<sup>30</sup> A record of the issue of personal protective equipment should be included in an employee's staff record.

<sup>31</sup> SI 1999/3232 Regulation 10(2) specifies a retention period of 2 years for personal protective equipment and monitoring equipment, and does not specify a retention period for other protective equipment. 5 years is suggested to be in line with PPE for other hazards.

	<ul style="list-style-type: none"> <li>asbestos (for employees who are required to be under medical surveillance)</li> </ul>		2006/2739 Regulation 19(4)(a)
5.9.17	<p>Records documenting the conduct and results of monitoring employees' general exposure to</p> <ul style="list-style-type: none"> <li>substances hazardous to health</li> <li>lead (in air), or</li> <li>asbestos</li> </ul>	Last entry + 5 years	SI 2002/2677 Regulation 10(5)(b), SI 2002/2676 Regulation 9(4), SI 2006/2739 Regulation 19(4)(b)
5.9.18	<p>Records documenting health surveillance of individual employees who are exposed to</p> <ul style="list-style-type: none"> <li>substances hazardous to health</li> <li>asbestos</li> </ul>	Date of last entry in record + 40 years	SI 2002/2677 Regulation 11(3), SI 2006/2739 Regulation 22(1)(b)
5.9.19	<p>Records documenting the provision of information, instruction and training for employees who are exposed to</p> <ul style="list-style-type: none"> <li>substances hazardous to health<sup>32</sup></li> <li>lead</li> <li>ionising radiation<sup>33</sup>.</li> </ul>	Superseded + 10 years	JISC
5.9.20	<p>Records documenting the development of plans and information to deal with, and the institution's response to accidents, incidents and emergencies involving:</p> <ul style="list-style-type: none"> <li>substances hazardous to health<sup>32</sup></li> <li>the presence of lead<sup>Error! Bookmark not defined.</sup></li> <li>the presence of asbestos<sup>28</sup></li> <li>radiation accidents<sup>33</sup></li> </ul>	Superseded / last action on event + 10 years	JISC
5.9.21	Records documenting the preparation of written plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Completion of work to which plan relates.	SI 2006/2739 Regulation 7(2)

<sup>32</sup> SI 2002/2677 does not prescribe a retention period for these records. Retaining records provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.

<sup>33</sup> SI 1999/3232 does not prescribe a retention period for these records.

5.9.22	Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739) <sup>28</sup> .	Duration of work + 10 years	JISC
5.9.23	Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos, as required by Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739). <sup>34</sup>	Date of certificate + 4 years	SI 2006/2739 Regulation 22(4)
5.9.24	Records documenting the monitoring of levels of ionising radiation in designated controlled areas, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of monitoring + 2 years	SI 1999/3232 Regulation 19(4)(c)
5.9.25	Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant, to fulfil the institution's duties under Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232) <sup>35</sup> .	Date of assessment + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 21(3)(a)
5.9.26	Summaries of dose records, as required by Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Current year + 2 years	SI 1999/3232 Regulation 21(7)
5.9.27	Records documenting investigations into the exposure of 'classified persons' to ionising radiation, to fulfil the institution's duties under Regulation 22 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report of investigation + 2 years	SI 1999/3232 Regulation 22(4)
5.9.28	Records documenting assessments of individual doses of ionising radiation received as a result of a radiation accident, to fulfil the institution's duties under Regulation 23 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of accident + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 23(2)(b)
5.9.29	Records documenting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance, to fulfil the institution's duties under Regulation 24 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of last entry + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 24(3)
5.9.30	Reports of immediate investigations into possible overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report of investigation + 2 years	SI 1999/3232 Regulation 25(2)(a)

<sup>34</sup> In practice, these are likely to be retained as part of the health records required by Regulation 22 of SI 2006/2739.

<sup>35</sup> Dose records are usually made and maintained by a dosimetry service on behalf of an employer. A dosimetry service provides summaries of dose records to an employer on whose behalf it makes and maintains the records.

5.9.31	Reports of investigations into occurrences of overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of report + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	SI 1999/3232 Regulation 25(2)(b)
5.9.32	Records documenting tests to detect leakage from articles containing or embodying radioactive substances, to fulfil the institution's duties under Regulation 27 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Completion of subsequent test on article OR Disposal of article + 2 years.	SI 1999/3232 Regulation 27(3)
5.9.33	Records of the quantity and location of radioactive substances, to fulfil the institution's duties under Regulation 28 of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Disposal of radioactive substance + 2 years OR Date of record + 2 years, whichever is the longer.	SI 1999/3232 Regulation 28
5.9.34	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 1999 (SI 1999/3232).	Date of report + 2 years	SI 1999/3232 Regulation 30
5.9.35	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 1999 (SI 1999/3232).	Date of report + 50 years	SI 1999/3232 Regulation 30
5.9.36	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises, to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) <sup>36</sup> .	Date of recording + 3 years	SI 1995/3163 Regulation 7(3) SI 1993/2113 Regulation 2
5.9.37	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years	1980 c. 58 s 11
5.9.38	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	In line with SI 1995/3163 Regulation 7(3)
5.9.39	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) <sup>37</sup> .	Superseded + 5 years	JISC

<sup>36</sup> The contents of records to be kept are specified in Schedule 4 of SI 1995/3163.

<sup>37</sup> SI 2005/1541 does not prescribe a retention period for these records.

5.9.40	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) <sup>37</sup> .	Termination of status as 'competent person' (fire warden or similar)	JISC
5.9.41	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) <sup>37</sup> .	Current year + 5 years OR Superseded + 5 years	JISC
5.9.42	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) <sup>37</sup> .	Review of assessment + 5 years	JISC
5.9.43	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) <sup>37</sup> .	Current year + 5 years	JISC
5.9.44	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) <sup>37</sup> .	Termination of status as 'competent person'	JISC
5.9.45	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) <sup>37</sup> .	Current year + 5 years OR Superseded + 5 years	JISC
5.9.46	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) <sup>37</sup> .	Current year + 5 years OR Superseded + 5 years	JISC
5.9.47	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) <sup>37</sup> .	Current year + 5 years	JISC
5.9.48	Records documenting the appointment of first aiders.	Termination of appointment	JISC



5.9.49	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) <sup>38</sup> .	Current year + 3 years OR Superseded + 3 years	JISC
5.9.50	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) <sup>38</sup> .	Superseded + 3 years	JISC
5.9.51	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) <sup>38</sup> .	Superseded + 3 years	JISC
<b>5.10</b>	<b>Environmental</b>		
5.10.1	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	JISC
5.10.2	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	JISC
5.10.3	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year	JISC
5.10.4	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current + 5 years	JISC
5.10.5	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years	JISC
5.10.6	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years	JISC
5.10.7	Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	JISC
5.10.8	Records documenting routine monitoring of the institution's use and consumption of energy.	Current year + 5 years	JISC
5.10.9	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	JISC

<sup>38</sup> SI 1981/917 does not prescribe a retention period for these records.

5.10.10	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) <sup>39</sup> .	Removal of waste consignment + 3 years	SI 1996/972 Regulation 15(4)
5.10.11	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) <sup>40</sup> .	Removal of waste + 3 years	SI 2005/894 Regulation 49(3)
<b>6</b>	<b>Corporate Resources</b>		
<b>6.1</b>	<b>Estates</b>		
6.1.1	Master copies of procedures relating to estate management.	Superseded + 10 years	JISC
6.1.2	Records documenting the acquisition of ownership of properties. <sup>41</sup>	Disposal of property + 12 years	1980 c. 58 s 8
6.1.3	Deeds of title for properties owned by the institution <sup>42</sup> .	Disposal of property	
6.1.4	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	1980 c. 58 s 2
6.1.5	Records documenting the negotiation of leases and original lease agreements.	Expiry of lease + 15 years	1980 c. 58 s 14B
6.1.6	Records documenting the development of properties <sup>43</sup> .	Disposal of property	JISC
6.1.7	Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140) <sup>44</sup>	Demolition of property OR Disposal of interest in property	SI 1994/3140 Regulation 12
6.1.8	Records documenting applications for planning consents required to (re)develop property and consents granted <sup>45</sup> .	Disposal of property or expiry of consent.	JISC
6.1.9	Records documenting routine inspections of property.	Date of inspection + 5 years	JISC
6.1.10	Records documenting major maintenance works on property <sup>43</sup> .	Disposal of property	JISC
6.1.11	Records documenting minor maintenance works on property.	Completion of works + 15 years	1980 c. 58 s 14B

<sup>39</sup> SI 2005/894 repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here.

<sup>40</sup> SI 2005/894 Regulation 49(1) specifies the content of these records.

<sup>41</sup> 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.

<sup>42</sup> Deeds of title for a property are transferred to the new owner when the property is sold.

<sup>43</sup> Some of these records may be transferred to the new owner when property is sold.

<sup>44</sup> SI 1994/3140 does not prescribe a retention period for these records, but Regulation 12 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.

<sup>45</sup> Planning consents which are valid when a property is sold are transferred to the new owner.

6.1.12	Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739) <sup>46</sup> .	Review of assessment + 10 years	JISC
6.1.13	Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Removal of asbestos + 10 years OR Subsequent inspection + 10 years	Retaining these records provides evidence of compliance with SI 2006/2739.
6.1.14	Records documenting the disposal of properties by sale, transfer or donation <sup>41</sup> .	Disposal of property + 12 years	1980 c. 58 s 8
6.1.15	Records documenting leasing-out arrangements for properties <sup>41</sup> .	Expiry of lease + 12 years	1980 c. 58 s 8
6.1.16	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	JISC
<b>6.2</b>	<b>Security</b>		
6.2.1	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.	Completion of subsequent inspection	JISC
6.2.2	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	JISC
6.2.3	Records of security passes issued to visitors	Expiry of pass + 1 month	JISC
6.2.4	Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year	JISC
6.2.5	Records documenting the conduct of routine security surveillance of properties and facilities.	Creation + 1 month	JISC
6.2.6	Records documenting security breaches, incidents or unauthorised access to facilities, and action taken.	Last action on incident + 1 year	JISC
6.2.7	Records documenting the conduct and outcomes of security inspections of facilities.	Completion of two subsequent inspections	JISC
<b>6.3</b>	<b>Facilities</b>		
6.3.1	Master copies of procedures relating to facilities management.	Superseded + 10 years	JISC
6.3.2	Records documenting the specification of requirements for facilities, the development of interior design and fit-out schemes and the carrying out of interior decoration and fitting-out works.	Completion of works + 15 years	1980 c. 58 s 14

<sup>46</sup> SI 2006/2739 does not prescribe a retention period for these records.

6.3.3	Records documenting routine inspections of facilities.	Completion of two subsequent inspections	JISC
6.3.4	Records documenting the carrying out of major maintenance works within facilities.	Completion of works + 15 years	1980 c. 58 s 14B
6.3.5	Records documenting the carrying out of minor maintenance works within facilities.	Current year + 5 years	JISC
6.3.6	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities <sup>47</sup> .	Completion of subsequent inspection	JISC
6.3.7	Original licences and certificates	Superseded	JISC
<b>6.4</b>	<b>Finance</b>		
6.4.1	Records documenting the issue of sales invoices and the processing of incoming payments and the receipt and payment of purchase invoices.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2
6.4.2	Records documenting <ul style="list-style-type: none"> <li>• the payment and/or reimbursement of employees' expenses</li> <li>• the payment of honoraria to third parties (unless honoraria are administered through the payroll)</li> <li>• the payment of expenses to third parties (e.g. honorary appointees).</li> </ul>	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5
6.4.3	Records documenting the handling of petty cash.	Current financial year + 6 years	1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2
6.4.4	Records documenting the receipt and processing of tuition fees.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5
6.4.5	Annual Accounts and their preparation.	Current financial year + 6 years	1980 c. 58 s 5
6.4.6	Records documenting analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year	JISC

<sup>47</sup> A longer retention period may be advisable for particular types of facilities (e.g. where there are significant health and safety risks) in order to maintain evidence of effective management over time.

6.4.7	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	JISC
6.4.8	Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	JISC
6.4.9	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	JISC
6.4.10	Records documenting the administration of research grants provided by research councils or corporate sponsors.	Termination of grant + 6 years	1980 c. 58 s 5
6.4.11	Records documenting the administration of funding from European Structural Funds <sup>48</sup> .	Final payment on the programme to the UK + 3 years (see note)	EC No. 1260/1999 Article 38
6.4.12	Records documenting the administration of scholarship funds.	Current financial year + 6 years	1980 c. 58 s 5
6.4.13	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	JISC
6.4.14	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 1 year	JISC
6.4.15	Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	1980 c. 58 s 5
6.4.16	Records documenting calculation and payment of employees' salaries and other payments.	<u>Minimum:</u> Current tax year + 3 years <u>Recommended:</u> Current tax year + 6 years	<u>Minimum:</u> SI 1999/584 Regulation 38(7) SI 2003/2682 Regulation 97(8) <u>Recommended:</u> 1970 c. 9 s 34
6.4.17	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 <sup>49</sup> .	Current tax year + 3 years	SI 2003/2682 Regulation 97(8)
6.4.18	Records documenting the administration of payments made under the Statutory Sick Pay scheme.	Current tax year + 3 years	SI 1982/894 Regulation 13
6.4.19	Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	Current tax year + 3 years	SI 1986/1960 Regulation 26

<sup>48</sup> It is advisable to retain all documents relating to ESF funded projects until a Government Office advises that they may be destroyed.

<sup>49</sup> 'PAYE records' are defined in Regulation 97(2) of the Income Tax (Paye As You Earn) Regulations 2003 (SI 2003/2682).

6.4.20	Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years	1970 c. 9 s 34
6.4.21	Records documenting the institution's accounting for VAT.	Current tax year + 6 years	1994 c. 23 s 58 and Schedule 11, para. 6(3) SI 1995/2518 s 31 HMRC 700/21 para. 5.2
6.4.22	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	1980 c. 58 s 5
6.4.23	Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	1980 c. 58 s 5
6.4.24	Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5
6.4.25	Records documenting the overall management of the institution's financial investment portfolio.	Divestment + 6 years	1980 c. 58 s 5
6.4.26	Records documenting the purchase/sale of investments.	Current financial year (of transaction) + 6 years	1970 c. 9 s 34
6.4.27	Records documenting the value of the institution's capital assets.	Current financial year + 6 years	1970 c. 9 s 34
6.4.28	Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	1970 c. 9 s 34 1980 c. 58 ss 2 and 5
<b>6.5</b>	<b>Human Resources</b>		
6.5.1	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	JISC
6.5.2	Records documenting management succession plans.	Superseded + 5 years	JISC
6.5.3	Records documenting the development and evaluation of job specifications.	Superseded + 5 years	JISC
6.5.4	Records documenting internal authorisation for recruitment.	Current year + 1 year	JISC
6.5.5	Records documenting the advertising of vacancies.	Completion of recruitment process <sup>50</sup> + 3 months	1975 c. 65 1976 c. 74 1995 c. 50

<sup>50</sup> A recruitment process is completed when an offer of employment has been made and has been accepted, AND when all unsuccessful applicants have been notified.

			SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 <i>Employment Practices Code,</i> Section 1.7.1 (Information Commissioner's Office, 2005)
6.5.6	Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process	JISC
6.5.7	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process + 3 months	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34
6.5.8	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	1980 c. 58 s 5

		to the ongoing employment relationship.	
6.5.9	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	JISC
6.5.10	Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	JISC
6.5.11	Records documenting the development, overall delivery and assessment of induction programmes for new employees.	Current year + 5 years	JISC
6.5.12	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	JISC
6.5.13	Records containing summary information on workforce training and development needs, anonymised workforce feedback on training and development programmes and management analyses of the impact of training and development programmes.	Current year + 5 years	JISC
6.5.14	Records documenting the development of training and development programmes to meet defined needs.	Completion of programme + 5 years	JISC
6.5.15	Records containing individual feedback on training and development programmes.	Completion of analysis of feedback	JISC
6.5.16	Records documenting the development of workforce performance assessment systems.	Life of system + 5 years	JISC
6.5.17	Records containing summary (anonymised) results of employees' performance assessments.	Current year + 3 years	JISC
6.5.18	Records documenting management analyses of the impact of workforce performance assessment systems.	Current year + 5 years	JISC
6.5.19	Records documenting the development of the institution's remuneration structure.	Current year + 10 years	JISC
6.5.20	Records documenting pay reviews.	Current year + 5 years	JISC
6.5.21	Records documenting special reward schemes (e.g. Merit Reviews).	Termination of scheme + 5 years	JISC
6.5.22	Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	SI 1998/1833 Regulations 5 and 9



6.5.23	Records documenting health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	SI 1998/1833 Regulations 5 and 9
6.5.24	Records documenting the design and summary (anonymised) results of workforce surveys and consultations.	Completion of survey/consultation + 5 years	JISC
6.5.25	Records containing (identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	JISC
6.5.26	Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.	Last action on case + 6 years	1980 c. 58 s 5
6.5.27	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks) <sup>51</sup> .	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	1980 c. 58 s 5
6.5.28	Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of job + 1 year	JISC
6.5.29	Records documenting the employee's contract(s) of employment with the institution and any changes to the employee's terms and conditions of employment.	Termination of employment + 6 years	1980 c. 58 s 5
6.5.30	Records documenting the job descriptions of positions held by the employee within the institution.	Duration of job + 1 year	JISC
6.5.31	Records documenting induction programmes attended by the employee.	Completion of induction + 1 year	JISC
6.5.32	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	JISC
6.5.33	Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	1980 c. 58 s 5
6.5.34	Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	JISC

<sup>51</sup> See Section 1.7 of the *Employment Practices Code* (Information Commissioner's Office, 2005).

6.5.35	Records documenting disciplinary proceedings against the employee, where employment continues, and any grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case + 6 years	Common HR practice
6.5.36	Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	<u>Minimum:</u> Current tax year + 3 years  <u>Recommended:</u> Current tax year + 6 years	1980 c. 58 s 5  <u>Minimum:</u> SI 2003/2682 Regulation 97(8) SI 1999/584 Regulation 38(7) <u>Recommended:</u> 1970 c. 9 s 34
6.5.37	Records relating to the administration of the employee's contractual holiday entitlement, and the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	JISC
6.5.38	Records documenting the employee's absence due to sickness.	Termination of employment + 40 years	IR CA30
6.5.39	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	SI 1999/3312
6.5.40	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	SI 1986/1960 Regulation 26
6.5.41	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	JISC
6.5.42	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.	
6.5.43	Records documenting pre-employment health screening of an employee: other employees.	Termination of employment + 6 years	1980 c. 58 s 5
6.5.44	Records documenting the issue of personal protective equipment/other special equipment to an employee.	Termination of employment + 6 years	1980 c. 58 s 5
6.5.45	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	1980 c. 58 s 11

6.5.46	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	1980 c. 58 s 5
6.5.47	Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	JISC
6.5.48	Records documenting institutional recognition/derecognition of trades unions.	Derecognition + 6 years	1980 c. 58 s 5
6.5.49	Records documenting agreements with trade unions.	Termination of agreement + 10 years	Chartered Institute of Personnel and Development, <i>Retention of personnel and other related records</i> (2006)
6.5.50	Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	JISC
6.5.51	Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	JISC
6.5.52	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs.	Termination of relationship + 5 years	JISC
6.5.53	Records documenting routine communications with the pension schemes.	Current year + 5 years	JISC
<b>6.6</b>	<b>Information and Records Management</b>		
6.6.1	Records documenting the institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by Data Protection Laws <sup>52</sup> .	Current year + 1 year	JISC
6.6.2	Records documenting the handling of requests for access to personal information held by the institution under the Data Protection Laws <sup>53</sup> .	Last action on request + 1 year	Common practice
6.6.3	Records containing (anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under Data Protection Laws.	Current year + 10 years	JISC

<sup>52</sup> Notification must be renewed annually to maintain an entry in the public register of data controllers.

<sup>53</sup> Data Protection Laws do not prescribe a retention period for these records.

6.6.4	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	JISC
6.6.5	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) <sup>54</sup> .	Completion of request handling process + 3 years	<i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The JISCtioJISCI Archives).</i>
6.6.6	Records containing (anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Current year + 10 years	<i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The JISCtioJISCI Archives).</i>
6.6.7	Records containing (anonymised) management statistics, analyses and reports of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Current year + 10 years	<i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The</i>

<sup>54</sup> The National Archives recommends '3 Years after date of creation'. See Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives). Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records.

			JISCtioJISCI Archives).
6.6.8	Records documenting classification and indexing schemes for records.	Superseded + 5 years	JISC
6.6.9	Records documenting storage locations of records.	Superseded	JISC
6.6.10	Records documenting the movement of records to/from storage, or the provision of access to records	Return / access of records + 1 year	JISC
6.6.11	Records Retention Schedules <sup>55</sup>	Permanent	JISC
6.6.12	Records documenting authorisation for the disposal of redundant records, and review of individual records to determine requirements for ongoing retention	Disposal of records + 25 years	JISC
6.6.13	Records documenting the conduct and results of records surveys/audits.	Completion of subsequent comparable survey/audit	JISC
<b>6.7</b>	<b>Archives</b>		
6.7.1	Records documenting the development and establishment of the selection criteria for records to be preserved as archives, and the accessioning of records acquired.	Life of archives	JISC
6.7.2	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	JISC
6.7.3	Records documenting the institution's scheme of arrangement, standard descriptive model and record descriptions for its archives.	Life of records arranged according to the scheme / model	JISC
6.7.4	Records documenting the monitoring and control of the storage of archives, the movement of archives from/to storage, and requests for access to archives.	Current year /return/ completion of request + 1 year	JISC
6.7.5	Records documenting conservation work undertaken on items in the archives.	Life of records	JISC
6.7.6	Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process + 6 years	1980 c. 58 s 5
<b>6.8</b>	<b>Collections</b>		
6.8.1	Records documenting enquiries about collections and the responses given.	Last action on enquiry + 1 year	JISC
6.8.2	Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, the authorised use of collections or objects, and	Request / completion of use + 5 years.	JISC

<sup>55</sup> Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.

	actions taken to facilitate, monitor or control use (e.g. checking environmental conditions, handling / operating objects; taking samples from objects)		
6.8.3	Records documenting the receipt of objects which are not currently part of the institution's collections.	Current year + 10 years	
6.8.4	Records documenting: <ul style="list-style-type: none"> <li>• loans of objects to the institution by other organisations or by individuals</li> <li>• the acquisition of objects for the institution's collections</li> <li>• the location and movement of objects within the institution's premises</li> <li>• key information about objects in the institution's collection.</li> </ul>	Permanent	SPECTRUM
6.8.5	Records documenting objects which have left the institution's premises, and loans of objects to other organisations or to individuals.	Return of item + 10 years	SPECTRUM
<b>6.9</b>	<b>Publications</b>		
6.9.1	Records documenting the process of selecting publications to purchase.	Completion of purchase	JISC
6.9.2	Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	JISC
6.9.3	Records documenting the institution's scheme(s) for classifying and cataloguing publications.	Until all catalogues based on the scheme are superseded	JISC
6.9.4	Catalogues/indexes	Superseded	JISC
6.9.5	Records documenting the monitoring and control of storage conditions.	Current year + 1 year	JISC
6.9.6	Records documenting the movement of items from/to storage.	Return of items + 1 year	JISC
6.9.7	Records documenting conservation work undertaken on publications.	Life of items	JISC
6.9.8	Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications + 1 year	JISC
6.9.9	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences.	Application + 1 year (permission not granted) or Period for which permission is granted + 6 years	1980 c. 58 s 5
6.9.10	Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	Current year + 1 year	JISC
6.9.11	Records documenting the results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	Current + 5 years	JISC

6.9.12	Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements.	Last action on case + 1 year	JISC
<b>6.10</b>	<b>Intellectual Property Rights Management</b>		
6.10.1	Records documenting the institution's applications for patents and patent certificates.	Life of patent + 50 years	Legal opinion given to JISC
6.10.2	Records documenting the institution's applications for other forms of IPR protection (registered trade marks, registered designs) and certificates of registration	End of registration + 6 years	1980 c. 58 s 5
6.10.3	Records documenting applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration	JISC
6.10.4	Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR.	Current year + 5 years	JISC
6.10.5	Records documenting identified infringements of the institution's IPR, and action taken other than litigation.	Last action on case + 6 years	1980 c.58 s 5
<b>6.11</b>	<b>Information &amp; Communications Technology (ICT) Systems Management</b>		
6.11.1	Records documenting: <ul style="list-style-type: none"> <li>the management of ICT systems development projects</li> <li>the initial development, and (if implemented) the post-implementation modification and maintenance of ICT systems</li> <li>the security arrangements for ICT systems.</li> </ul>	Completion of project +5 years / last action of development +5 years/ decommissioning of system +5 years	JISC
6.11.2	Records documenting: <ul style="list-style-type: none"> <li>the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance</li> <li>the management of system data storage, including the operation of routine data backup, archiving and deletion routines</li> <li>the routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.</li> </ul>	Current year + 1 year	JISC
6.11.3	Records documenting: <ul style="list-style-type: none"> <li>faults reported by users of ICT systems, and action taken to investigate and resolve the problem</li> </ul>	Last action on fault/incident + 1 year	JISC

	<ul style="list-style-type: none"> <li>attempted or actual security breaches of the institution's ICT systems, and action taken.</li> </ul>		
6.11.4	Records documenting user requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	JISC
6.11.5	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	JISC
6.11.6	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	JISC
6.11.7	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	JISC
6.11.8	Records documenting the removal/return of mobile ICT systems hardware and software from/to the institution's premises.	Return of equipment + 3 months	JISC
6.11.9	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	JISC
6.11.10	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	JISC
<b>6.12</b>	<b>Equipment &amp; Consumables Management</b>		
6.12.1	Records documenting the development of specifications for, and the selection of, equipment/consumables.	Life of item + 6 years (major items) + 40 years (safety critical or associated with hazardous operations <sup>56</sup> ) + 0 years (other items)	1980 c.58 s 5
6.12.2	Records documenting: <ul style="list-style-type: none"> <li>the monitoring of the condition of stored equipment/consumables.</li> <li>routine stocktaking and stock checking</li> <li>the movement of stock into and from storage</li> </ul>	Current year + 1 year	JISC
6.12.3	Records documenting the stock inventory for equipment/consumables.	Superseded	JISC
6.12.4	Records documenting the installation of equipment	Decommissioning/removal + 6 years (major items)	JISC

<sup>56</sup> Retaining these records for a long period is in line with requirements/recommendations for retention of Health & Safety records.



		+ 40 years (safety critical or associated with hazardous operations) + 0 years (other items)	
6.12.5	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) <sup>57</sup> .	Decommissioning/removal of plant	SI 1994/3140 Regulation 12
6.12.6	Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Decommissioning	SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)
6.12.7	Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	SI 1998/2307 Regulation 11(2)(a)(ii)
6.12.8	Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item + 1 year	JISC
6.12.9	Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/Removal + 6 years	1980 c.58 s 5
6.12.10	Maintenance logs for equipment	Life of equipment + 6 years	SI 1998/2306 Regulation 5(2) 1980 c. 58 s 5
6.12.11	Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	SI 1998/2306 Regulation 6(3)
6.12.12	Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Decommissioning/Disposal + 15 years	1980 c.58 s 14
6.12.13	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to: <ul style="list-style-type: none"> <li>substances hazardous to health, as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677)</li> </ul>	Date of examination/test/repair + 5 years	SI 2002/2677 Regulation 9(4) SI 2006/2739 Regulation 13(3)

<sup>57</sup> SI 1994/3140 does not prescribe a retention period for these records but implies that the Health and Safety File for a structure should be retained for the life of the structure. A Health and Safety File is transferred to the new owner when a structure is sold.

	<ul style="list-style-type: none"> <li>asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739)</li> <li>lead, as required by Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676)</li> <li>ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 1999 (SI 1999/3232) (other than PPE)</li> </ul>		SI 2002/2676 Regulation 8(4)
6.12.14	Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation, as required by Regulation 10(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 2 years	SI 1999/3232 Regulation 10(2)
6.12.15	Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, as required by Regulation 19(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of maintenance/testing + 2 years	SI 1999/3232 Regulation 19(4)(c)
6.12.16	Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of subsequent report OR Date of report + 2 years, whichever is the later	SI 1998/2307 Regulation 11(2)(a)(iv)
6.12.17	Records documenting authorisation for the disposal of equipment/consumables, the evaluation of alternative methods of disposal, and the transfer of ownership of equipment/consumables	Disposal of item + 1 year	JISC
6.12.18	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal.	Disposal of item + 15 years (items used in connection with operations involving substances hazardous to health) + 6 years (other items)	1980 c.58 s 14
<b>6.13</b>	<b>Insurance</b>		
6.13.1	Records documenting the arrangement and renewal of insurance policies.	Expiry of policy + 6 years	1980 c.58 s 5
6.13.2	Employers' Liability Insurance Certificates	Commencement/Renewal of policy + 40 years	SI 1998/2573 Regulation 4(4)
6.13.3	Records documenting claims, and the outcomes of claims, against insurance policies.	Settlement of claim + 6 years	1980 c.58 s 5
<b>6.14</b>	<b>Procurement</b>		

6.14.1	Records documenting supplier evaluation criteria.	Superseded + 5 years	JISC
6.14.2	Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval	JISC
6.14.3	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome.	Rejection + 1 year / Termination of approval	JISC
6.14.4	Supplier database	While current	JISC
6.14.5	Records documenting: <ul style="list-style-type: none"> <li>the process of inviting and evaluating pre-qualification submissions from prospective suppliers</li> <li>the issue of Invitations to Tender and handling of incoming tenders</li> <li>the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process for rejected tenders</li> </ul>	Award of supply contract + 1 year	JISC
6.14.6	Records documenting: <ul style="list-style-type: none"> <li>invitations to Tender and tender evaluation criteria</li> <li>the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process for accepted tenders</li> <li>Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2006 (SI 2006/5) or by Regulation 31 of the Public Contracts (Scotland) Regulations 2006 (SSI 2006/1)</li> </ul>	Termination of supply contract awarded + 6 years	1980 c. 58 s 5
6.14.7	Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5) or by Regulation 32(14) of the Public Contracts (Scotland) Regulations 2006 (SSI 2006/1)	Termination of contract + 10 years	1980 c. 58 s 5
6.14.8	Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2006 (SI 2006/5) or for the Scottish Ministers, as required by the Public Contracts (Scotland) Regulations 2006 (SSI 2006/1)	Current year + 3 years	JISC
6.14.9	Records documenting purchasing authorisation limits.	Superseded + 1 year	JISC

6.14.10	Records documenting internal authorisation for procurement.	Current financial year + 1 year	JISC
6.14.11	Purchase Orders, Goods Received Notes/Goods Inwards Notes	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2
6.14.12	Records documenting variations to contracts (e.g. revisions, extensions), the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	1980 c. 58 s 5
<b>6.15</b>	<b>Publishing</b>		
6.15.1	Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	JISC
6.15.2	Records documenting the distribution of publications.	Current year + 1 year	JISC
6.15.3	Records documenting the development of marketing plans for publications.	Life of publication	JISC
<b>6.16</b>	<b>Management Information Collection, Analysis &amp; Reporting</b>		
6.16.1	Dataset specifications and protocols for submission and collation of data <sup>58</sup> .	Superseded	JISC
6.16.2	Management information reports	Current year + 3 years	JISC
<b>7</b>	<b>Corporate Relations</b>		
<b>7.1</b>	<b>Public Relations Management</b>		
7.1.1	Records documenting: <ul style="list-style-type: none"> <li>enquiries from members of the public/local community/alumni and the responses provided</li> <li>unsolicited feedback from members of the public/local community/alumni, the internal handling of this feedback and the responses provided</li> <li>complaints from members of the public/local community, the internal handling of these complaints and the responses provided</li> </ul>	Last action on enquiry / feedback / complaint + 1 year	JISC
7.1.2	Public surveys: <ul style="list-style-type: none"> <li>the design and conduct of public/local community/alumni surveys</li> <li>summaries and analyses of responses</li> </ul>	Completion of survey + 3 years	JISC
7.1.3	Results of public/local community/alumni surveys: individual responses	Completion of analysis of survey responses	JISC

<sup>58</sup> If datasets are archived, dataset specifications and protocols should be archived with them.

7.1.4	Records documenting the planning and impact/results of public/local community/alumni events.	Completion of event + 3 years	JISC
7.1.5	Records documenting the organisation and administration of public/local community/alumni events and official visits.	Completion of event / visit + 1 year	JISC
7.1.6	Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship + 6 years	1980 c. 58 s 5
7.1.7	Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns).	Duration of relationship + 6 years	1980 c. 58 s 5
7.1.8	Records documenting the process of making donations to third parties.	Last action on donation + 6 years	1980 c. 58 s 5
<b>7.2</b>	<b>Media Relations Management</b>		
7.2.1	Records documenting the institution's media contacts.	Superseded	JISC
7.2.2	Records documenting the planning and organisation of media briefings and media interviews	Date of event + 1 year	JISC
7.2.3	Transcripts of media briefings and media interviews.	Date of event + 5 years	JISC
7.2.4	Press Releases	Current year + 5 years	JISC
7.2.5	Records documenting media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry + 3 years	JISC
7.2.6	Records documenting the monitoring and analysis of media coverage of the institution.	Current year + 5 years	JISC
7.2.7	Press cuttings	Creation + 1 year	
<b>7.3</b>	<b>HE/FE Sector Relations Management</b>		
7.3.1	Records documenting the institution's general communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies.	Current year + 5 years	JISC
7.3.2	Records documenting the production of publications specifically intended for the HE and/or FE sector(s).	Publication + 1 year	JISC
7.3.3	Publications	While current + 1 year	JISC
7.3.4	Records documenting general enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given.	Last action of enquiry + 1 year	JISC
7.3.5	Records documenting the preparation of the institution's formal responses to consultations conducted by HE/FE sector organisations (including records of internal consultation processes).	Last action on consultation + 1 year	JISC

7.3.6	Records documenting the institution's formal responses to consultations conducted by HE/FE sector organisations.	Last action on consultation + 3 years	JISC
7.3.7	Records documenting the preparation and submission of reports to HE/FE regulatory bodies.	Submission of report + 3 years	JISC
7.3.8	Records documenting the planning and impact/results of events for the HE sector.	Completion of event + 3 years	JISC
7.3.9	Records documenting the organisation and administration of events for the HE sector.	Completion of event + 1 year	JISC
7.3.10	Records documenting the institution's membership of organisations and participation in the activities of external organisations (including committees).	Termination of membership + 1 year	JISC
7.3.11	Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions.	Termination of contractual relationship + 6 years	1980 c. 58 s 5
<b>7.4</b>	<b>Alumni</b>		
7.4.1	Records containing personal data on individual alumni.	While current (or likely to be current)	To be compliant with Data Protection Laws
7.4.2	Summary (anonymised) statistical records of alumni	Current year + 10 years	JISC
7.4.3	Official alumni communications and records documenting their design, planning and production.	Issue of communication + 1 year	JISC
7.4.4	Records documenting the handling of complaints from alumni <sup>59</sup> .	Last action on complaint + 3 years	JISC
7.4.5	Records documenting requests from alumni associations for financial or other support, the internal handling of these requests and the responses provided.	Last action on request + 1 year	JISC
7.4.6	Records documenting the administration of financial and other support to alumni organisations.	Current financial year +1 year	JISC
7.4.7	Records documenting requests for contact details for alumni, action taken, and the responses provided.	Last action on request + 1 year	JISC
<b>7.5</b>	<b>Fundraising</b>		
7.5.1	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years	JISC
7.5.2	Records containing details of individual responses to fundraising campaigns.	Completion of analysis of data	JISC

<sup>59</sup> Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.

7.5.3	Records documenting the handling of enquiries about making donations to the institution.	Last action on enquiry + 1 year	JISC
7.5.4	Records documenting donations to the institution <sup>60</sup> .	Current year + 5 years	JISC
<b>7.6</b>	<b>Student Relations</b>		
7.6.1	Records documenting the establishment and operation of staff-student liaison committees.	Life of committee + 3 years	JISC
7.6.2	Records documenting the operation of staff-student liaison committees.	Current academic year + 3 years	JISC
7.6.3	Records documenting the design and conduct of student surveys, and summaries and analyses of responses.	Completion of survey + 5 years	JISC
7.6.4	Results of student surveys: individual responses	Completion of analysis of survey responses	JISC
7.6.5	Records documenting the design of, and overall response to, student suggestion schemes.	Closure of scheme + 5 years	JISC
7.6.6	Records documenting the handling of suggestions from individual students.	Last action on suggestion + 1 year	JISC
<b>7.7</b>	<b>Government &amp; Parliamentary Relations</b>		
7.7.1	Records documenting general correspondence with government/parliamentary bodies.	Current year + 5 years	JISC
7.7.2	Records documenting requests for information from government/parliamentary bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	JISC
7.7.3	Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government/parliamentary bodies (including records of internal consultation processes).	Last action on consultation + 1 year	JISC
7.7.4	Records documenting the institution's formal responses to consultations conducted by government/parliamentary bodies.	Last action on consultation + 5 years	JISC
7.7.5	Records documenting the preparation and submission of reports to government/parliamentary bodies.	Submission of report + 3 years	JISC
7.7.6	Records documenting the institution's participation in formal government/parliamentary or public inquiries.	Last action on inquiry + 10 years	JISC
<b>7.8</b>	<b>Students' Union Relations</b>		

<sup>60</sup> A shorter/longer period may be appropriate for small/substantial donations.

7.8.1	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 <sup>61</sup> .	Issue of revised Code of Practice + 1 year	JISC
7.8.2	Code of Practice required by Section 22(3) of the Education Act 1994.	Superseded + 10 years	
7.8.3	Records documenting the process of reviewing the students' union's constitution, as required by s. 22(2) of the Education Act 1994 <sup>62</sup> .	NA	JISC
7.8.4	Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.	Current financial year + 1 year	JISC
7.8.5	Records documenting the process of reviewing the students' union's budgets, as required by s. 22(2) of the Education Act 1994 <sup>62</sup> .	NA	JISC
7.8.6	Records documenting the monitoring of the students' union's financial affairs, as required by s. 22(2) of the Education Act 1994 <sup>62</sup> .	NA	JISC
7.8.7	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) <sup>62</sup> .	NA	JISC
7.8.8	Records documenting the monitoring of students' union affiliations, as required by s. 22(2) of the Education Act 1994 (1994 c. 30) <sup>62</sup> .	NA	JISC
7.8.9	Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body.	Settlement of complaint + 6 years	1980 c.58 s. 5
<b>7.9</b>	<b>Marketing</b>		
7.9.1	Records documenting the design and development of market research tools, and aggregated research data and analyses.	Completion of research + 5 years	JISC
7.9.2	Market research data: data relating to identifiable individuals.	Completion of analysis of data	JISC
7.9.3	Records documenting the design, implementation and review of marketing campaigns.	Completion of campaign + 3 years	JISC
7.9.4	Records documenting the design of the institution's corporate identity marks (logos etc.), and the development of corporate style guides for official use of corporate identity marks.	Superseded	JISC

<sup>61</sup> 1994 c. 30 does not prescribe a retention period.

<sup>62</sup> The governing body's formal review and approval of the students' union's affairs 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.



7.9.5	Records documenting the development, placement and impact of advertisements.	Current + 5 years	JISC
<b>8</b>	<b>Related Companies</b>		
8.1.1	Records documenting the formation of each related company.	Life of company + 10 years	JISC
8.1.2	Records documenting the oversight and periodic review of the performance of each related company.	Current year + 5 years	JISC
8.1.3	Records documenting the winding-up of each related company or the disposal of the institution's interest in it.	Wind-up/Disposal of company + 6 years	1980 c. 58 s 5
<b>9</b>	<b>Commercial, Corporate and Student Services</b>		
	Records documenting enquiries about the services and the responses provided.	Last action on enquiry + 1 year	JISC
	Records documenting: <ul style="list-style-type: none"> <li>the handling of complaints from customers of the services</li> <li>unsolicited customer feedback on the services and the responses provided</li> <li>the design of service customer surveys and the (anonymised, if necessary) analysis of responses</li> </ul>	Last action on complaint/feedback/survey + 3 years	JISC
	Individual responses to service customer surveys.	Completion of analysis of responses	JISC
<b>10</b>	<b>Business Units</b>		
10.1.1	Records documenting work allocation/scheduling (e.g. duty rosters).	Current year	JISC
10.1.2	Desk diaries (and similar 'official' work planning/scheduling tools) <sup>63</sup> .	Current year + 1 year	JISC
10.1.3	Records documenting the progress of work.	Current year	JISC
10.1.4	Records documenting the arrangements for meetings.	Date of meeting	JISC
10.1.5	Records documenting the conduct of meetings: agenda, minutes and supporting papers.	Current year + 3 years	JISC
10.1.6	Records documenting travel arrangements.	Completion of travel + 3 months	JISC

<sup>63</sup> This recommended retention period assumes that diaries are used for work planning/scheduling only