

Records Retention Policy

[QP1.48]

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1.0 Policy

The College is responsible for ensuring that all documents and records created, received and maintained in the course of carrying out its corporate functions are stored and retained in a manner which meets legal and audit requirements.

The Records Retention Schedule annexed to this policy document is based on the generic JISC Further Education Records Retention Schedule, amended for College use particularly in respect of European Project funding audit requirements.

It is the policy of the College that records retention will conform to the Records Retention Schedule which will be reviewed on an annual basis for accuracy and currency.

The policy of the College is also:

- to ensure that decisions to retain records containing personal information about individuals take account of the provisions of the Data Protection Act 1998
- to ensure that all decisions to retain or destroy records are formally authorised by appropriate senior Managers
- to have procedures for the regular checking of retention periods

2.0 Justification

Records contain information that is an important corporate asset and which must be held in a manner that enables the College to conform to legal requirements, particularly relating to:

- Freedom Of Information (Scotland) Act 2002
- Data Protection Act 1998

3.0 Responsibilities

The College has corporate responsibility to maintain its record keeping systems in accordance with the regulatory environment. The Director of Corporate Services has overall responsibility for the policy and procedures.

Senior Managers have overall responsibility for the management of records generated by their activities in their area of responsibility, namely to ensure that records created, received and controlled by them are managed in a way that meets the aims of the records retention policy.

4.0 Exemptions

This policy applies to all staff of the Adam Smith College, Fife.

5.0 Related Procedures

Guidance on implementation of this policy is available in related procedures, as detailed below:

- QP2.33 Records Retention Procedure

Annexe:

Records Retention Schedule

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Governance/Corporate Management	1.1 Legal Framework	Records documenting the establishment and development of the institution's legal framework.	Life of institution	Articles of Government Charter, Act of Parliament	Archival
Governance/Corporate Management	1.2 Governance Structure	Records documenting the establishment and development of the institution's governance structure.	Life of institution	NA	NA
Governance/Corporate Management	1.3 Governing Body	Records documenting the appointment of members of the institution's governing body.	Termination of appointment + 6 years	Standing Orders for Appointments	Review for archival value.
Governance/Corporate Management	1.3 Governing Body	Records documenting the provision of training and development for members of the institution's governing body.	Current year + 3 years	NA	NA
Governance/Corporate Management	1.3 Governing Body	Register of Interests of members of the Governing Body, senior staff and others covered by conflict of interest policies.	Termination of appointment + 6 years	Codes of Conduct governing conflict of interest.	NA
Governance/Corporate Management	1.3 Governing Body	Records documenting the organisation of meetings of the institution's governing body.	Current year + 1 year	NA	NA
Governance/Corporate Management	1.3 Governing Body	Records documenting the conduct and proceedings of meetings of the institution's governing body.	Current year + 50 years	NA	Review for archival value.
Governance/Corporate Management	1.4 Management of Executive Committees	Records documenting the development and establishment of terms of reference for the institution's executive committees.	Life of committee	NA	Review for archival value.
Governance/Corporate Management	1.4 Management of Executive Committees	Records documenting the provision of training and development for members of the institution's executive committees.	Current year + 3 years	NA	NA
Governance/Corporate Management	1.4 Management of Executive Committees	Records documenting the organisation of meetings of the institution's executive committees.	Current year + 1 year	Notices of Meetings	NA
Governance/Corporate Management	1.4 Management of Executive Committees	Records documenting the conduct and proceedings of meetings of the institution's executive committees.	Current year + 50 years	NA	Review for archival value.
Governance/Corporate Management	1.5 Appointment of Senior Officers	Records documenting the appointment and designation of the institution's senior officers.	Termination of appointment + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.6 Strategic Planning and Performance	Records documenting the development of the institution's policies on strategic planning and performance management.	Superseded + 10 years	NA	Review for archival value.
Governance/Corporate Management	1.6 Strategic Planning and Performance	Records documenting the development of the institution's overall strategic plan.	Superseded + 10 years	NA	Review for archival value.
Governance/Corporate Management	1.6 Strategic Planning and Performance	Records containing reports on the institution's performance against its strategic plan.	Current academic year + 10 years	NA	Review for archival value.
Governance/Corporate Management	1.6 Strategic Planning and Performance	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Current academic year + 5 years	Planning and implementation of measures to improve performance.	Review for archival value.
Governance/Corporate Management	1.7 Organisational Strategy, Development and Performance	Records documenting the development of the institution's organisational development strategy.	Superseded + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.7 Organisational Strategy, Development and Performance	Records documenting the development of plans for the implementation of the institution's organisational development strategy.	Superseded + 5 years	NA	Review for archival value.

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Governance/Corporate Management	1.7 Organisational Strategy, Development and Performance	Records documenting the conduct and results of audits and reviews of the organisational development function, and responses to the results.	Current year + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.7 Organisational Strategy, Development and Performance	Records documenting the development of the institution's organisational development procedures.	Superseded + 3 years	NA	Review for archival value.
Governance/Corporate Management	1.7 Organisational Strategy, Development and Performance	Records documenting the management of individual organisational restructuring processes.	Completion of process + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.8 Contingency/Risk Planning and Management	Records documenting the development and testing of the institution's risk management strategy.	Current Year+10	NA	Review for archival value.
Governance/Corporate Management	1.8 Contingency/Risk Planning and Management	Records documenting the development and establishment of the institution's risk management strategy.	Superseded + 5 years	Contingency Plans/ Business Recovery Plans/ Disaster Plans	Review for archival value.
Governance/Corporate Management	1.8 Contingency/Risk Planning and Management	Records documenting the development and establishment of the institution's risk management procedures.	Superseded + 3 years	NA	NA
Governance/Corporate Management	1.8 Contingency/Risk Planning and Management	Records documenting the conduct and results of audits and reviews of the risk management function, and responses to the results.	Current Year+5	NA	Review for archival value.
Governance/Corporate Management	1.8 Contingency/Risk Planning and Management	Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year	NA	NA
Governance/Corporate Management	1.9 Quality Management	Records documenting the development and establishment of the institution's overall quality management policies.	Superseded + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.9 Quality Management	Records documenting the development of the institution's quality management procedures.	Superseded + 3 years	NA	NA
Governance/Corporate Management	1.9 Quality Management	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years	NA	Review for archival value.
Governance/Corporate Management	1.9 Quality Management	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	NA	Review for archival value.
Governance/Corporate Management	1.9 Quality Management	Complaints System and Procedures.	5 years	NA	NA
Governance/Corporate Management	1.9 Quality Management	Public Complaints.	3 years	NA	Part of FOI/DP Monitoring
Governance/Corporate Management	1.10 Competitor Monitoring	Records of the strategies, activities, and performance of the Institution's competitors.	current year +2	NA	A suggestion not a recommendation
Governance/Corporate Management	1.11 Audit	Records documenting the institution's audit strategy.	Superseded + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.11 Audit	Records documenting the development and establishment of the institution's audit policies.	Superseded + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.11 Audit	Records documenting the development of the institution's audit procedures.	Superseded + 3 years	NA	NA
Governance/Corporate Management	1.11 Audit	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years	NA	Review for archival value.

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Governance/Corporate Management	1.12 Legal Matters	Records documenting the development and establishment of the institution's policies on legal affairs and the acquisition/provision of legal services.	Superseded + 5 years	NA	Review for archival value.
Governance/Corporate Management	1.12 Legal Matters	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the institution and third parties: - agreements and contracts under seal.	Termination of contract + 12 years	NA	Review for archival value.
Governance/Corporate Management	1.12 Legal Matters	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the institution and others: - other contracts and agreements.	Termination of contract + 6 years	NA	Review for archival value.
Governance/Corporate Management	1.12 Legal Matters	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	NA	Review for archival value.
Governance/Corporate Management	1.12 Legal Matters	Records documenting legal advice requested by, and provided to, the institution concerning: - interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations - proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations - the institution's relationships with government bodies and HE regulators - industrial relations issues - health, safety and environmental issues.	Life of institution	NA	Review for archival value.
Financial Resources	2.1 Financial Planning, Policies and Procedures	Records documenting the formulation of plans for the implementation of the institution's finance strategy.	Superseded + 10 years	NA	Review for archival value.
Financial Resources	2.1 Financial Planning, Policies and Procedures	Records containing data on, and analyses of, performance against the plans for the implementation of the institution's finance strategy.	Current financial year + 1 year	NA	NA
Financial Resources	2.1 Financial Planning, Policies and Procedures	Records containing reports of performance against the plans for the implementation of the institution's finance strategy.	Current financial year + 10 years	NA	NA
Financial Resources	2.1 Financial Planning, Policies and Procedures	Records documenting the conduct and results of audits and reviews of the finance management function, and responses to the results.	Current financial year + 10 years	NA	Review for archival value.
Financial Resources	2.1 Financial Planning, Policies and Procedures	Records documenting the development and establishment of the institution's finance management policies.	Superseded + 10 years	NA	Review for archival value.
Financial Resources	2.1 Financial Planning, Policies and Procedures	Records documenting the development of the institution's finance management procedures.	Superseded + 10 years	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Financial Resources	2.2 Financial Audit	Records documenting the conduct and results of financial audits, and action taken to address issues raised.	Lasr action on audit + 6 years	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the issue of sales invoices and the processing of incoming payments.	From 1999/2000 onwards	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the receipt and payment of purchase invoices.	From 1999/2000 onwards	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the payment and/or reimbursement of employees' expenses.	From 1999/2000 onwards	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the payment of honoraria to third parties. * * Unless honoraria are administered through the payroll.	Current financial year + 6 years	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the handling of petty cash.	From 1999/2000 onwards	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the receipt and processing of students' fees.	Current financial year +6 years	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the preparation of annual accounts.	Current financial year + 6 years	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Annual Accounts.	Current financial year + 6 years	NA	Review for archival value.
Financial Resources	2.3 Financial and Management Accounting	Records documenting analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the preparation of the institution's statutory accounts.	Current financial year +6 years	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	From 1999/2000 onwards	NA	NA
Financial Resources	2.3 Financial and Management Accounting	Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years	NA	NA
Financial Resources	2.4 Funding	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	From 1999/2000 onwards	NA	NA
Financial Resources	2.4 Funding	ESF Project Funding.	From 1999/2000 onwards	NA	NA
Financial Resources	2.5 Budgeting	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	NA	NA
Financial Resources	2.6 Payroll and Pensions	Records documenting employees' authorisation for non-statutory payroll deductions.	From 1999/2000 onwards	NA	NA
Financial Resources	2.6 Payroll and Pensions	Records documenting calculation and payment of payroll payments to employees.	from 1999/2000 onwards	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Financial Resources	2.6 Payroll and Pensions	Records documenting the operation of the Statutory Sick Pay scheme.	Current tax year + 3 years	NA	NA
Financial Resources	2.6 Payroll and Pensions	Records documenting the operation of the Statutory Maternity Pay scheme.	Current tax year + 3 years	NA	NA
Financial Resources	2.6 Payroll and Pensions	Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.	Termination of appointment + 75 years	NA	NA
Financial Resources	2.6 Payroll and Pensions	Records documenting payments of the institution's employees' contributions to pension schemes.	Termination of appointment + 75 years	NA	NA
Financial Resources	2.7 Cash, Investments and Assets	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	NA	NA
Financial Resources	2.7 Cash, Investments and Assets	Records documenting standing orders, direct debits etc.	From 1999/2000 onwards	NA	NA
Financial Resources	2.7 Cash, Investments and Assets	Records documenting routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions, bank statements etc.)	From 1999/2000 onwards	NA	NA
Financial Resources	2.7 Cash, Investments and Assets	Records documenting the purchase / sale of investments.	From 1999/2000 onwards	NA	NA
Financial Resources	2.7 Cash, Investments and Assets	Records documenting the overall management of the institution's financial investment portfolio.	Divestment + 6 years	NA	NA
Financial Resources	2.7 Cash, Investments and Assets	Records documenting the value of the institution's capital assets.	From 1999/2000 onwards	NA	NA
Financial Resources	2.7 Cash, Investments and Assets	Records documenting decisions (and authorisations) to dispose of capital assets.	From 1999/2000 onwards	NA	NA
Financial Resources	2.8 Procurement	Records documenting the formulation of plans for the implementation of the institution's procurement strategy.	Superseded + 5 years	NA	Review for archival value.
Financial Resources	2.8 Procurement	Records documenting the development and establishment of the institution's procurement policies.	Superseded + 5 years	NA	Review for archival value.
Financial Resources	2.8 Procurement	Records documenting the development of the institution's procurement procedures.	Superseded + 3 years	NA	NA
Financial Resources	2.8 Procurement	Records documenting supplier evaluation criteria.	Superseded + 5 years	NA	NA
Financial Resources	2.8 Procurement	Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval	NA	NA
Financial Resources	2.8 Procurement	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers.	Termination of approval	NA	NA
Financial Resources	2.8 Procurement	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection + 1 year	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Financial Resources	2.8 Procurement	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	NA	NA
Financial Resources	2.8 Procurement	Records documenting Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years (if for ESF work may be longer)	NA	NA
Financial Resources	2.8 Procurement	Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year (will be longer if for ESF work)	NA	NA
Financial Resources	2.8 Procurement	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders.	Award of supply contract + 1 year (will be longer if for ESF work)	NA	NA
Financial Resources	2.8 Procurement	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Termination of supply contract awarded + 6 years (may be longer if for ESF work)	NA	NA
Financial Resources	2.8 Procurement	Contract award report (as required by the Regulations cited).	Termination of supply contract awarded + 6 years (may be longer if for ESF work)	NA	NA
Financial Resources	2.8 Procurement	Statistical reports to HM Treasury on contracts awarded (as required by the regulations cited).	Current year + 3 years	NA	NA
Financial Resources	2.8 Procurement	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years (may be longer if for ESF work)	NA	NA
Financial Resources	2.8 Procurement	Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	NA	NA
Financial Resources	2.8 Procurement	Records documenting purchasing authorisation limits.	Superseded + 1 year	NA	NA
Financial Resources	2.8 Procurement	Records documenting internal authorisation for procurement.	From 1999/2000 onwards	NA	NA
Financial Resources	2.8 Procurement	Purchase Orders.	From 1999/2000 onwards	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Financial Resources	2.8 Procurement	Goods Received Notes / Goods Inwards Notes.	From 1999/2000 onwards	NA	NA
Financial Resources	2.9 Insurance	Records documenting the development and establishment of the institution's insurance management policies.	Superseded + 5 years	NA	Review for archival value.
Financial Resources	2.9 Insurance	Records documenting the development of the institution's insurance management procedures.	Superseded + 3 years	NA	NA
Financial Resources	2.9 Insurance	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: employers' liability insurance.	Commencement of policy + 40 years OR Renewal of policy + 40 years *	NA	NA
Financial Resources	2.9 Insurance	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: all other insurance.	Expiry of policy + 6 years	NA	NA
Financial Resources	2.9 Insurance	Records documenting claims made under insurance policies.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	NA	NA
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting the development of the institution's personnel strategy.	Superseded + 10 years	NA	Review for archival value.
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting the formulation of plans for the implementation of the institution's personnel strategy.	Superseded + 10 years	NA	Review for archival value.
Human Resources	3.1 Human Resources Strategy and Planning	Records containing data on, and analyses of, performance against the plans for the implementation of the institution's personnel strategy.	Current year + 1 year	NA	NA
Human Resources	3.1 Human Resources Strategy and Planning	Records containing reports of performance against the plans for the implementation of the institution's personnel strategy.	Current year + 10 years	NA	Review for archival value.
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting the conduct and results of audits and reviews of the personnel management function, and responses to the results.	Current year + 10 years	NA	Review for archival value.
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting the development and establishment of the institution's personnel management policies.	Superseded + 10 years	NA	Review for archival value.
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting the development of the institution's personnel management procedures.	Superseded + 10 years	NA	NA
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	NA	Review for archival value.
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting management succession plans.	Superseded + 5 years	NA	Review for archival value.
Human Resources	3.1 Human Resources Strategy and Planning	Records documenting the development and evaluation of job specifications.	Superseded + 5 years	NA	NA
Human Resources	3.2 Recruitment	Records documenting internal authorisation for recruitment.	Current year + 1 year	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Human Resources	3.2 Recruitment	Records documenting the advertising of vacancies.	Completion of appointment + 6 months	NA	NA
Human Resources	3.2 Recruitment	Records documenting enquiries about vacancies and requests for application forms.	Completion of appointment	NA	NA
Human Resources	3.2 Recruitment	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of appointment + 6 months	NA	NA
Human Resources	3.2 Recruitment	Records documenting the handling of applications for vacancies: successful applications.	Termination of appointment + 6 years	NA	see employee contracts
Human Resources	3.2 Recruitment	Records containing summary statistical information about job applicants e.g. ethnicity/gender analyses.	Current year + 5 years	NA	NA
Human Resources	3.2 Recruitment	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	NA	NA
Human Resources	3.2 Recruitment	Records documenting the handling of unsolicited applications for employment.	Last action on application + 1 year	NA	NA
Human Resources	3.3 Induction, Training and Development	Records documenting the development, overall delivery and assessment of induction programmes for new employees. For records documenting individual employees' induction programmes, see Employee Contract Management.	Current year + 5 years	NA	NA
Human Resources	3.3 Induction, Training and Development	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	NA	NA
Human Resources	3.3 Induction, Training and Development	Records containing summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.	Current year + 5 years	NA	NA
Human Resources	3.3 Induction, Training and Development	Records documenting the development of training and development programmes to meet defined needs.	Completion of programme + 5 years	NA	NA
Human Resources	3.3 Induction, Training and Development	Records containing individual feedback on training and development programmes.	Completion of analysis of feedback	NA	NA
Human Resources	3.3 Induction, Training and Development	Records documenting (anonymised) workforce feedback on training and development programmes.	Current year + 5 years	NA	NA
Human Resources	3.3 Induction, Training and Development	Records documenting management analyses of the impact of training and development programmes.	Current year + 5 years	NA	NA
Human Resources	3.4 Performance and Reward	Records documenting the development of workforce performance assessment systems.	Life of system + 5 years	NA	Review for archival value.

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Human Resources	3.4 Performance and Reward	Records containing summary (anonymised) results of employees' performance assessments.	Current year + 3 years	NA	NA
Human Resources	3.4 Performance and Reward	Records documenting management analyses of the impact of workforce performance assessment systems.	Current year + 5 years	NA	NA
Human Resources	3.4 Performance and Reward	Records documenting the development of the institution's remuneration structure.	Current year + 10 years	NA	Review for archival value.
Human Resources	3.4 Performance and Reward	Records documenting pay reviews.	Current year + 5 years	NA	Review for archival value.
Human Resources	3.4 Performance and Reward	Records documenting special reward schemes e.g. Merit Reviews.	Termination of scheme + 5 years	NA	Review for archival value.
Human Resources	3.5 Workforce Welfare	Records documenting the development of workforce welfare schemes and services e.g. counselling services.	Current year + 5 years	NA	Review for archival value.
Human Resources	3.5 Workforce Welfare	Records documenting the monitoring of hours worked by employees, as required by the Regulations cited.	Date of record + 2 years *	NA	NA
Human Resources	3.6 Workforce Relations	Records documenting the design of workforce surveys and consultations.	Completion of survey + 5 years	NA	Review for archival value.
Human Resources	3.6 Workforce Relations	Records containing (identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	NA	NA
Human Resources	3.6 Workforce Relations	Records containing summary (anonymised) results of workforce surveys and consultations.	Completion of survey + 5 years	NA	Review for archival value.
Human Resources	3.6 Workforce Relations	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	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting an employee's initial application for employment with the institution.	Termination of appointment + 6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Supporting documentation (e.g. references) for an employee's initial application for employment with the institution. For records documenting pre-employment health screening, see Health & Safety Management, Employee Health Surveillance.	Termination of appointment + 6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting an employee's subsequent applications for other jobs within the institution.	Termination of appointment + 6 years	NA	May be included in Student record 5.6 above
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting an employee's contract(s) of employment with the institution.	Termination of appointment + 6 years or from 1999/2000 onwards	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting changes to an employee's terms and conditions of employment.	Termination of appointment + 6 years or from 1999/2000 onwards	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting the job descriptions of positions held by an employee within the institution.	Duration of appointment + 1 year or from 1999/2000 onwards	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting induction programmes attended by an employee.	Completion of induction programme + 1 year	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting an employee's identified training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting job-specific statutory/regulatory training requirements for an employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR superseded + 6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting routine assessments of an employee's performance, and any consequent action taken.	Superseded + 3 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting disciplinary proceedings against an employee, where employment continues.	Closure of case + 6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting disciplinary proceedings against an employee, where employment does not continue.	Closure of case + 6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting an employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Current year + 3 years current year +6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records relating to the administration of an employee's contractual holiday entitlement.	Current Year+ 1	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting an employee's absence due to sickness.	Termination of employment + 40 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current tax year + 3 years *	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records containing an employee's basic personal details (e.g. address, next of kin, emergency contacts).	While current	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	Termination of employment + 40 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	NA	NA
Human Resources	3.7 Contracts/Conditions of Employment	Records documenting references provided in confidence in support of an employee's application(s) for employment by another organisation.	Provision of reference + 1 year	NA	NA
Human Resources	3.8 Pensions	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belong.	Termination of relationship + 5 years	NA	NA
Human Resources	3.8 Pensions	Records documenting routine communications with the pension schemes. For administration of individual employees' relationships with the pension schemes, use Employee Contract Management.	Current year + 5 years	NA	NA
Human Resources	3.8 Pensions	For administration of individual employees' relationships with the pension schemes, use Employee Contract Management.	NA	NA	NA
Human Resources	3.9 Trades Unions/Industrial Relations	Records documenting institutional recognition/derecognition of trades unions.	Derecognition + 6 years	NA	NA
Human Resources	3.9 Trades Unions/Industrial Relations	Records documenting agreements with trades unions.	Termination of agreement + 10 years	NA	NA
Human Resources	3.9 Trades Unions/Industrial Relations	Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	NA	Review for archival value.
Human Resources	3.9 Trades Unions/Industrial Relations	Records documenting consultations/negotiations with trades unions on specific issues.	Last action on issue + 20 years	NA	Review for archival value.
Human Resources	3.10 Health and Safety (see 4.4)	(hyperlink to 4.4)	NA	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the development and establishment of the institution's estate strategy.	Superseded + 10 years	NA	Review for archival value.
Physical Resources	4.1 Estate Management	Records documenting the conduct and results of audits and reviews of the estate management function, and responses to the results.	Current year + 10 years	NA	Review for archival value.
Physical Resources	4.1 Estate Management	Records documenting the development and establishment of the institution's estate management policies.	Superseded + 10 years	NA	Review for archival value.
Physical Resources	4.1 Estate Management	Records documenting the acquisition of ownership of properties.	Ownership of property	NA	NA
Physical Resources	4.1 Estate Management	Deeds and certificates of title for properties owned by the institution.	Ownership of property	NA	Transfer to new owner when property is disposed of
Physical Resources	4.1 Estate Management	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the acquisition of use of properties by lease or rental.	Disposal of property + 6 years	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
		Note: For retention of formal legal agreements, see Legal Affairs Management - Contracts & Agreements Management.			
Physical Resources	4.1 Estate Management	Records documenting the development of properties.	Ownership of property	NA	Transfer to new owner when property is disposed of
Physical Resources	4.1 Estate Management	Records documenting the restoration of contaminated land.	Ownership of land	NA	Transfer to new owner when property is disposed of
Physical Resources	4.1 Estate Management	Records documenting inspection, maintenance and repair of properties.	Completion of work + 2 years	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the history of major maintenance works on properties.	Ownership of property	NA	Transfer to new owner when property is disposed of
Physical Resources	4.1 Estate Management	Records documenting inspections undertaken to assess whether asbestos is (or is liable to be) present in a building or on land.	Review of assessment *	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the removal of hazardous materials from properties.	Removal of material + 5 years	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the disposal of properties.	Disposal of property + 6 years	NA	NA
Physical Resources	4.1 Estate Management	Fire Certificates.	Issue of new certificate	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the conduct and results of security inspections of properties, and action taken to address issued raised.	Completion of subsequent inspections	NA	NA
Physical Resources	4.1 Estate Management	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	NA	NA
Physical Resources	4.1 Estate Management	CCTV Recordings.	Creation +1 Month	NA	Result of Risk Assessment and local advice
Physical Resources	4.1 Estate Management	Records of security passes issued to visitors.	Expiry of pass + 1 year	NA	NA
Physical Resources	4.1 Estate Management	Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the conduct of routine security surveillance of properties.	Creation +1 Month	NA	NA
Physical Resources	4.1 Estate Management	Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year	NA	NA
Physical Resources	4.1 Estate Management	Records documenting leasing-out arrangements for properties.	Termination of lease + 6 years	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the specification of requirements for facilities.	Next fit-out + 1 year	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the carrying out of interior decoration and fitting-out works.	Next fit-out + 1 year	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the conduct and results of inspections of facilities, and action taken to address issues raised.	Completion of subsequent inspection	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the carrying out of repairs to interior decoration, fixtures and fittings.	Current year + 1 year	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the conduct and results of inspections of facilities by enforcing authorities, and action taken to address issues raised.	Completion of subsequent inspection	NA	Longer retention periods may be required by enforcing authorities concerned with particular types of facilities

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.1 Estate Management	Records documenting plans for the relocation of facilities within buildings or to other buildings.	Completion of relocation + 10 years	NA	NA
Physical Resources	4.1 Estate Management	Records documenting the physical relocation of facilities.	Completion of relocation + 2 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the formulation of plans for the implementation of the institution's equipment and consumables management strategy.	Superseded + 5 years	NA	Review for archival value.
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the development and establishment of the institution's equipment and consumables management policies.	Superseded + 5 years	NA	Review for archival value.
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the development of the institution's equipment and consumables management procedures.	Superseded + 3 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items.	Life of item + 6 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations.	Life of item + 40 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items.	Life of item	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting routine stocktaking and stock checking.	Current year + 1 year	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the movement of stock into and from storage.	Current year + 1 year	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the installation of equipment/consumables: major items.	Decommissioning removal + 6 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the installation of equipment/consumables: items which are safety critical or associated with hazardous operations.	Decommissioning removal + 40 years	NA	Potential long-term liability
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the installation of equipment/consumables: other items.	Decommissioning removal + 1 year	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Reports of pre-commissioning examinations of lifting equipment, as required by the Regulations cited.	Decommissioning *	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Reports of pre-commissioning examinations of accessories for lifting, as required by the Regulations cited.	Issue of report + 2 years *	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Reports of post-installation examinations of lifting equipment, as required by the Regulations cited.	Decommissioning *	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the inspection and testing of equipment/consumables.	Completion of subsequent inspection record OR Disposal of item + 1 year	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the inspection and testing of equipment/consumables: items which are safety critical or are associated with hazardous operations.	Disposal of item + 5 years	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the examination, testing and repair of equipment/consumables provided to control exposure to hazardous substances.	Date of action + 5 years *	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the examination, testing and repair of equipment/consumables provided to control exposure to asbestos.	Creation + 5 years *	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the 'inspection' of lifting equipment, as defined in the Regulations cited.	Completion of subsequent inspection record *	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Reports of inspection and 'thorough examination' of lifting equipment, as required by the Regulations cited.	Completion of subsequent report OR Issue of report + 2 years, whichever is the longer	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the maintenance of equipment / consumables: major items.	Decommissioning removal + 6 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the maintenance of equipment / consumables: items which are safety critical or are associated with hazardous operations.	Decommissioning removal + 40 years	NA	Potential long-term liability
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the maintenance of equipment / consumables provided to control exposure to asbestos.	Creation + 5 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the maintenance of equipment provided to meet the requirements of the Control of Asbestos at Work Regulations 2002.	Creation + 5 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting authorisation for the disposal of equipment / consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the cleaning / sanitisation of equipment / consumables prior to disposal: items used in connection with operations involving substances hazardous to health.	Disposal of item + 6 years	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the cleaning / sanitisation of equipment / consumables prior to disposal: other items.	Disposal of item + 1 year	NA	NA
Physical Resources	4.2 Equipment and Consumables Management	Records documenting the transfer of ownership of equipment / consumables.	Disposal of item + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the development and establishment of the institution's ICT systems strategy.	Superseded + 5 years	NA	Review for archival value.
Physical Resources	4.3 ICT Systems Management	Records containing reports of performance against the plans for the implementation of the institution's ICT systems strategy.	Current academic year + 5 years	NA	Review for archival value.
Physical Resources	4.3 ICT Systems Management	Records documenting the conduct and results of audits and reviews of the ICT systems management function, and responses to the results.	Current academic year + 5 years	NA	Review for archival value.

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.3 ICT Systems Management	Records documenting the development and establishment of the institution's ICT systems management policies.	Superseded + 5 years	NA	Review for archival value.
Physical Resources	4.3 ICT Systems Management	Records documenting the development of the institution's ICT systems management procedures.	Superseded + 3 years	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting the removal / return of mobile ICT systems hardware and software from / to the institution's premises.	Return of equipment + 3 months	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.3 ICT Systems Management	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	NA	NA
Physical Resources	4.3 ICT Systems Management	Records documenting user requests for technical and application support, and assistance provided.	Last action on request + 1 year	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the development and establishment of the institution's health and safety management strategy.	Superseded + 50 years	NA	Review for archival value.
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of audits and reviews of the health and safety management function, and responses to the results.	Current year + 10 years	NA	Review for archival value.
Physical Resources	4.4 Health and Safety	Records documenting the development and establishment of the institution's health and safety management policies.	Superseded + 50 years	NA	Review for archival value.
Physical Resources	4.4 Health and Safety	Records documenting the development of the institution's health and safety management procedures.	Superseded + 50 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of health and safety audits, and action taken to address issues raised.	Completion of audit + 5 years	NA	Review for archival value.
Physical Resources	4.4 Health and Safety	Records documenting notifications of appointments of safety representatives by trade unions under the Safety Representatives and Safety Committees Regulations 1977.	Termination of appointment + 1 year	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977.	Current year + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977.	Current year + 50 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the formation of a safety committee under the Safety Representatives and Safety Committees Regulations 1977. Includes records documenting the objectives, role, functions, composition and administration of the committee.	Life of committee + 50 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977.	Termination of membership + 1 year	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977.	Current year + 50 years	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.4 Health and Safety	Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996.	Termination of appointment + 1 year	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996, or with all employees directly.	Current year + 50 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996.	Current year + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996.	Current year + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the provision of information, instruction and training for employees, students and others on health and safety in the institution's premises. For role-specific training for fire wardens and first-aiders, see Health & Safety Emergency Planning.	Current year + 5 years	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.4 Health and Safety	Records documenting the content of information and instruction on health and safety matters provided for members of the public and others who have legitimate access to the premises, and the methods of delivery.	Superseded+5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the identification of general health and safety hazards to the institution's employees, and others on its premises, and the conduct and results of risk assessments in relation to plant, equipment, machinery and processes.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures (as required by the Regulations).	Review of arrangements + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting hazardous substances present / in use.	Updated + 40 years	NA	NA
Physical Resources	4.4 Health and Safety	List of employees exposed to Group 3 or Group 4 biological agents (defined in the Regulations).	Last entry + 40 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting accidents and incidents involving Group 3 or Group 4 biological agents (defined in the Regulations).	Date of recording + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of risk assessments for work involving substances hazardous to health, as defined in the Regulations cited.	Elimination of asbestos + 5 years OR Review of assessment + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health.	Date of examination	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of monitoring of exposure of employees to substances hazardous to health: general exposure.	Date of action + 5 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of monitoring of exposure of employees to substances hazardous to health: exposure of identifiable individual employees.	Date of monitoring + 40 years *	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of risk assessments of work which exposes employees to lead.	Elimination of asbestos + 5 years OR Review of assessment + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead.	Date of examination / test / repair + 5 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: where exposure requires individual employees to be under medical surveillance under Regulation 10.	Date of monitoring + 40 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: in all other cases.	Date of monitoring + 5 years *	NA	NA
Physical Resources	4.4 Health and Safety	Health surveillance records of identifiable individual employees who are exposed to lead.	Date of last entry on record + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting assessments to determine the presence of asbestos.	Elimination of asbestos + 5 years OR Review of assessment + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of risk assessments of work which exposes employees to asbestos: where the exposure of employees may exceed the action level.	Duration of work to which assessment relates * Recommended: Completion of all work to which the plan relates + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of risk assessments of work which exposes employees to asbestos: in all other cases.	Completion of work to which the assessment relates + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting written plans of work (as defined in the Regulations) for undertaking work with asbestos.	Duration of work to which plan relates * Recommended: Completion of all work to which the plan relates + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting notifications of work with asbestos to the enforcing authorities.	Duration of work	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: where exposure requires health records to be kept for individual employees under Regulation 21.	Date of monitoring + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: in all other cases.	Date of monitoring + 5 years *	NA	NA
Physical Resources	4.4 Health and Safety	Health surveillance records of identifiable individual employees who are exposed to asbestos.	Date of last entry on record + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Certificates of medical examination of identifiable individual employees who are exposed to asbestos.	Date of certificate + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the conduct and results of health and safety inspections of	Current year + 5 years	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
		the institution's land, buildings, facilities or operations, and action taken to address issues raised.			
Physical Resources	4.4 Health and Safety	Records documenting the recording of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Date of recording + 3 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years	NA	Potential long-term liability
Physical Resources	4.4 Health and Safety	Reporting of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification + 3 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting accidents and incidents involving Group 3 or Group 4 biological agents (defined in the Regulations).	Date of recording + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting pre-employment health screening of an employee.	Termination of employment + 40 years	NA	NA
Physical Resources	4.4 Health and Safety	Health (surveillance) records of identifiable individual employees, other than those specified below.	Date of last surveillance action + 40 years	NA	NA
Physical Resources	4.4 Health and Safety	Health (surveillance) records of identifiable individual employees who are exposed to substances hazardous to health, as defined by the Regulations cited.	Date of last entry on record + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Health (surveillance) records of identifiable individual employees who are exposed to lead, as required by the Regulations cited.	Date of last entry on record + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Health (surveillance) records of individual employees who are exposed to asbestos, as required by the Regulations cited.	Date of last entry on record + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Certificates of medical examinations of individual employees who are exposed to asbestos, as required by the Regulations cited.	Date of last entry on record + 40 years *	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the nomination/appointment of fire wardens.	Termination of appointment	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the provision of role-specific training for fire wardens.	Termination of appointment + 5 years	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.4 Health and Safety	Records documenting assessment of requirements for fire-fighting systems and equipment.	Review of assessment + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the appointment of official first aiders.	Termination of appointment	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting the provision of approved training (specifically related to their functions as first aiders) for first aiders.	Termination of appointment + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting assessment of requirements for first aid facilities and equipment.	Re-assessment + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting specifications for first aid facilities and equipment.	Superseded + 5 years	NA	NA
Physical Resources	4.4 Health and Safety	Records documenting arrangements with external emergency service organisations.	Review of arrangements + 5 years	NA	NA
Physical Resources	4.5 Environmental Management	Records documenting the development and establishment of the institution's environmental management strategy.	Superseded + 10 years	NA	Review for archival value.
Physical Resources	4.5 Environmental Management	Records documenting the conduct and results of audits and reviews of the environmental management function, and responses to the results.	Current academic year + 5 years	NA	Review for archival value.
Physical Resources	4.5 Environmental Management	Records documenting the development and establishment of the institution's environmental management policies.	Superseded + 10 years	NA	Review for archival value.
Physical Resources	4.5 Environmental Management	Records documenting the development of the institution's environmental management procedures.	Superseded + 10 years	NA	NA
Physical Resources	4.5 Environmental Management	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	NA	Review for archival value.
Physical Resources	4.5 Environmental Management	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	NA	NA
Physical Resources	4.5 Environmental Management	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year	NA	Review for archival value.
Physical Resources	4.5 Environmental Management	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current year + 5 years	NA	Review for archival value.
Physical Resources	4.5 Environmental Management	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years	NA	Potential long-term liability

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Physical Resources	4.5 Environmental Management	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years	NA	Potential long-term liability
Physical Resources	4.5 Environmental Management	Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	NA	NA
Physical Resources	4.5 Environmental Management	Records documenting routine monitoring of the institution's use and consumption of energy.	Current year + 5 years	NA	NA
Physical Resources	4.5 Environmental Management	Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.	Completion of review + 5 years	NA	NA
Physical Resources	4.5 Environmental Management	Records documenting the classification, collection and storage of 'controlled waste' prior to removal from the premises for disposal.	Removal of waste consignment + 2 years	NA	NA
Physical Resources	4.5 Environmental Management	Register of 'controlled waste' removed from the premises for disposal by registered/licensed contractors.	Removal of waste consignment + 2 years *	NA	NA
Physical Resources	4.5 Environmental Management	Records documenting the classification, collection and storage of 'special waste' prior to removal from the premises for disposal.	Removal of waste consignment + 3 years	NA	NA
Physical Resources	4.5 Environmental Management	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors.	Removal of waste consignment + 3 years *	NA	NA
Physical Resources	4.6 Internal Services	Records documenting the development and establishment of the institution's internal services strategy.	Superseded + 5 years	NA	Review for archival value.
Physical Resources	4.6 Internal Services	Records documenting the conduct and results of audits and reviews of the overall management of internal services, and the responses to the results.	Current year + 5 years	NA	Review for archival value.
Physical Resources	4.6 Internal Services	Records documenting the development and establishment of the institution's policies on the overall management and development of internal services.	Superseded + 5 years	NA	Review for archival value.
Physical Resources	4.6 Internal Services	Records documenting the development of the institution's procedures for the overall management and development of internal services.	Superseded + 3 years	NA	NA
Physical Resources	4.6 Internal Services	Records documenting the planning of the management and operation of an internal service.	Current year + 3 years	NA	Review for archival value.
Physical Resources	4.6 Internal Services	Records documenting the conduct and results of audits and reviews of an internal service, and the responses to the results.	Current year + 3 years	NA	Review for archival value.
Physical Resources	4.6 Internal Services	Records documenting the development and establishment of policies on the operation, management and development of an internal service.	Superseded + 5 years	NA	Review for archival value.
Student Administration and Support	5.1 Course Information	Records detailing the Structure and Content of each programme.	Master copy kept permanently	Course Prospectuses, Qualifications offered	Archive

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Student Administration and Support	5.1 Course Information	Records of Tuition and other course fees.	Length of course +6 years	NA	Treat as a contractual obligation
Student Administration and Support	5.2 Student Administration Development and Planning	Records documenting the development and establishment of the institution's student administration strategy.	Superseded + 10 years	NA	Review for archival value.
Student Administration and Support	5.2 Student Administration Development and Planning	Records documenting the development and establishment of the institution's student administration policies.	Superseded + 10 years	NA	Review for archival value.
Student Administration and Support	5.2 Student Administration Development and Planning	Records documenting the development and establishment of the institution's student administration procedures.	Superseded + 10 years	NA	NA
Student Administration and Support	5.3 Student Recruitment	Records documenting the design, operation and summary results of student recruitment schemes.	Current academic year + 5 years OR Termination of scheme + 5 years	NA	Review for archival value.
Student Administration and Support	5.3 Student Recruitment	Records documenting the issue of student recruitment materials in bulk to schools and other organisations.	Current academic year	NA	NA
Student Administration and Support	5.3 Student Recruitment	Records documenting the handling of enquiries from prospective students.	Current academic year + 1 year	NA	NA
Student Administration and Support	5.3 Student Recruitment	Records containing summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	Student qualifications on entry, Range of students classified by age, gender, ethnicity, socio-economic background, disability and geographical origin as returned to LSC, Student Progression, retention and completion data, data on qualifications awarded, data on employment/training outcomes for graduates/students	Statistical Information recommended to be made available by the Cooke Report (2002)
Student Administration and Support	5.4 Student Admission Policies and Procedures	Records documenting the development and establishment of the institution's admission criteria and policies.	Superseded + 10 years	NA	Review for archival value.
Student Administration and Support	5.4 Student Admission Policies and Procedures	Records documenting the handling of applications for admission: successful applications.	End of student relationship + 6 years	NA	NA
Student Administration and Support	5.4 Student Admission Policies and Procedures	Records documenting the handling of applications for admission: unsuccessful applications.	Current academic year + 1 year	NA	NA
Student Administration and Support	5.4 Student Admission Policies and Procedures	Records documenting the administration of the clearing process.	Current academic year + 1 year	NA	Appropriate for Colleges involved in degree level courses
Student Administration and Support	5.4 Student Admission Policies and Procedures	Records containing data on overall student numbers.	From 1999/2000 onwards	NA	NA
Student Administration and Support	5.5 Student Admission and Registration/Enrolment	Records documenting the registration of individual students on programmes.	From 1999/2000 onwards	NA	NA
Student Administration and Support	5.5 Student Admission and Registration/Enrolment	Records documenting the initial assessment of Students.	From 1999/2000 onwards	1.Student Qualifications on Entry 2. Key Skills Assessments 3.Care Student Assessments	NA
Student Administration and Support	5.5 Student Admission and Registration/Enrolment	Records containing summaries and analyses of data on registration of students on programmes.	Current academic year + 5 years	NA	NA
Student Administration and Support	5.5 Student Admission and Registration/Enrolment	Records documenting the design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	IT Security Policies for Students, IT illegal/inappropriate Use, Disciplinary procedures Plagiarism/copyright, Financial/payments of Fees	NA
Student Administration and Support	5.5 Student Admission and Registration/Enrolment	Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Student Administration and Support	5.6 Student Record Administration	Records about the collection, maintenance, and use of personal information about students.	Superseded + 6 years minimum	NA	Archival value Policies to be kept permanently?
Student Administration and Support	5.6 Student Record Administration	Records containing full personal data on individual students.	From 1999/2000 onwards	NA	NA
Student Administration and Support	5.6 Student Record Administration	Core student data.	From 1999/2000 onwards	NA	Life-long learner record will fall into this category. Ceases to be a personal record on death of student
Student Administration and Support	5.6 Student Record Administration	Records of administration of Student Financial and employment support.	From 1999/2000 onwards	New Deal Records. Modern Apprenticeship Records. Access Fund Applications. Individualised Student Record (ISRS). Individualised Learner Records	NA
Student Administration and Support	5.6 Student Record Administration	Records containing standard analyses of data from individual students' records.	From 1999/2000 onwards	NA	Review for archival value.
Student Administration and Support	5.6 Student Record Administration	Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year	NA	NA
Student Administration and Support	5.6 Student Record Administration	Records documenting the handling of individual students'/ employers requests for statements of results/transcripts.	From 1999/2000 onwards	NA	NA
Student Administration and Support	5.6 Student Record Administration	First Destination Surveys: individual responses.	From 1999/2000 onwards	NA	NA
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress.	From 1999/2000 onwards	NA	May be included in Student record 5.6 above
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the withdrawal of individual students from the institution.	From 1999/2000 onwards	NA	May be included in Student record 5.6 above
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the termination of individual students' programmes.	From 1999/2000 onwards	NA	NA
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the development and establishment of the institution's assessment and examination rules and procedures.	Superseded + 10 years	NA	Review for archival value.
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the selection, appointment and training of external examiners.	Termination of appointment + 1 year	NA	NA
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year	NA	NA
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the timetabling of examinations.	Current academic year + 1 year	NA	NA
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 1 year	NA	NA
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.	Current academic year + 1 year (Minimum)	NA	May have to be held longer as part of continuous assessment process or record retained if part of disciplinary/plagiarism case
Student Administration and Support	5.7 Student Progress and Assessment Administration	Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years	NA	NA
Student Administration and Support	5.7 Student Progress and Assessment	Arrangements for Assessments and	Current year + 6 years	1.Exam Timetables 2.Procedures	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Student Administration and Support	Administration 5.7 Student Progress and Assessment Administration	examinations. Pass/Qualification/Awards lists.	Completion of programme +10 years OR from 1999/2000 onwards	3.Regulations 4.Appeals Procedures NA	External certification may rely on examining body to maintain records e.g. RSA etc.
Student Administration and Support	5.8 Student Discipline	Policies and Procedures for disciplinary proceedings against students.	Superseded +6 Years	NA	Should be considered for permanent retention
Student Administration and Support	5.8 Student Discipline	Records documenting the conduct and results of disciplinary proceedings against individual students.	Last action on case + 6 years	NA	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the development and establishment of the institution's student support services strategy.	Superseded + 10 years	NA	Review for archival value.
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the development and establishment of the institution's student support services management policies.	Superseded + 10 years	NA	Review for archival value.
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the development of the institution's student support services management procedures.	Superseded + 5 years	NA	Review for archival value. Detail may be included in the Student Handbook
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the development of procedures for the operation, management and development of a student support service.	Superseded + 3 years	NA	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the development and establishment of service standards for a student support service.	Superseded + 1 year	NA	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the conduct and results of independent reviews of service quality, and the responses to the results.	Current year + 5 years	NA	Review for archival value.
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the provision of Welfare/Advice Services to individual students.	current year +6 years	NA	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Student Counselling Services.	current year +2	Counselling Files	Confidential
Student Administration and Support	5.9 Student Support and Welfare Management	Student Health Services.	Medical Records permanent	Health Files	Confidential
Student Administration and Support	5.9 Student Support and Welfare Management	Records relating to the provision of Sports and Recreational facilities.	Current Year +3	NA	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Records Relating to Careers Advice.	Duration of enrolment +3 years	NA	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Records relating to the provision of Student Accommodation.	Current + 6 Years	NA	Policies and development of properties will be found in 4.1 above
Student Administration and Support	5.9 Student Support and Welfare Management	Records relating to Learning Support for Students with specific needs.	From 1999/2000 onwards	Initial Assessments, Blind Students-Deaf Students, Physically handicapped Students	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Records documenting the handling of user/customer complaints about a student support service.	Last action on complaint + 6 years	NA	NA
Student Administration and Support	5.9 Student Support and Welfare Management	Chaplaincy Services.	permanent	NA	NA
Student Administration and Support	5.10 Student Liaison	Records relating to Meetings of Staff /Student Bodies.	permanent	Minutes of Meetings	Publish under FOI?

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Student Administration and Support	5.10 Student Liaison	Records documenting the design and conduct of surveys of Student satisfaction.	Completion of survey + 3 years	NA	NA
Student Administration and Support	5.10 Student Liaison	Results of user/customer surveys: individual responses.	Completion of analysis of survey responses	NA	NA
Student Administration and Support	5.10 Student Liaison	Results of student surveys: summaries and analyses of responses.	Completion of survey + 3 years	NA	Publish under FOI?
Student Administration and Support	5.11 Student Complaint Handling	Records documenting policies and procedures for handling student complaints.	permanent	Harassment and bullying policy, Complaints procedures	Archival
Student Administration and Support	5.11 Student Complaint Handling	Records documenting the handling of formal complaints made by individual students against the institution.	Last action on case + 6 years	NA	NA
Student Administration and Support	5.11 Student Complaint Handling	Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years	NA	May include informal complaints about harassment, bullying or discrimination, dealt with as a matter of internal discipline in the first instance
Student Administration and Support	5.12 Student Associations and Unions	Records relating to the operation and activities of the Students Union, and other clubs, associations and non-academic activities organised by students.	permanent	Rag Week activities. Constitution of S.U., and other clubs etc. Codes of Practice. Lists of Officers.	NA
Student Administration and Support	5.12 Student Associations and Unions	Student Publications.	permanent	Newspaper, Event programmes	Keep 2 clean sets for Archive
Information Services	6.1 Information Resources Management	Records documenting the development and establishment of the institution's information resources management strategy.	Superseded + 5 years	NA	Review for archival value.
Information Services	6.1 Information Resources Management	Records documenting the development and establishment of the institution's information resources management policies.	Superseded + 5 years	NA	Review for archival value.
Information Services	6.1 Information Resources Management	Records documenting the development of the institution's information resources management procedures.	Superseded + 3 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the institution's notification of data controller details to the Office of the Information Commissioner.	Expiry of notification + 6 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the handling of requests for access to personal information held by the institution under the Data Protection Act 1998.	Last action on request + 6 years	NA	NA
Information Services	6.1 Information Resources Management	Records containing (anonymised) management statistics, analyses and reports of requests for access to personal information held by the institution under the Data Protection Act 1998.	Current year + 10 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Acts.	Completion of revision of Publication Scheme + 5 years	NA	Subject to revision and direction from the Information Commissioners
Information Services	6.1 Information Resources Management	Records documenting the handling of requests for access to information held by the institution under the Freedom of Information Acts.	Last action on request + 6 years	NA	Subject to revision and direction from the Information Commissioners

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Information Services	6.1 Information Resources Management	Records containing (anonymised) management statistics, analyses and reports of requests for access to information held by the institution under the Freedom of Information Acts.	Current year + 10 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting applications for permission to copy material outside the scope of the Higher Education Licence Agreement, and the results.	Last action on application + 6 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting routine monitoring of copying.	Current year + 1 year	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal and contractual provisions.	Last action on inspection + 1 year	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the handling of requests from third parties to use material in which the institution owns the copyright.	Last action on request + 5 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting classification and indexing schemes for business and other records.	Superseded + 5 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the monitoring and control of the storage of records.	Current year + 1 year	NA	NA
Information Services	6.1 Information Resources Management	Final versions of Records Retention Schedules.	Life of institution	NA	NA
Information Services	6.1 Information Resources Management	Records documenting authorisation for the disposal of redundant business records.	Life of records + 6 years	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the transfer of records to the institution's archives, where this is required by established Records Retention Schedules.	Completion of transfer + 1 year	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	NA	NA
Information Services	6.1 Information Resources Management	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	NA	NA
Information Services	6.1 Information Resources Management	Records of the administration of Archive Material.	NA	Rules governing access and use of Archive material, Catalogues/Guides	NA
Information Services	6.1 Information Resources Management	Records documenting authorisation for the disposal of de-accessioned records.	Life of archives	NA	Detailed Information about archive administration not included here
Information Services	6.1 Information Resources Management	Records documenting the development and establishment of the institution's selection/acceptance criteria for collections and publications.	NA	NA	Detailed Information about Library and Collection management not included here
Information Services	6.1 Information Resources Management	Records documenting policies governing availability and access to Library Facilities.	Life of Policy+6 years	Opening Hours of Libraries, General Conditions of Use, Library Discipline, Catalogues/Guides to materials	Review all policies for archival value
Information Services	6.2 Intellectual Property Management	Records documenting the development and establishment of the institution's intellectual property management strategy.	Superseded + 5 years	NA	Review for archival value.

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Information Services	6.2 Intellectual Property Management	Records documenting the development and establishment of the institution's intellectual property management policies.	Superseded + 5 years	NA	Review for archival value.
Information Services	6.2 Intellectual Property Management	Records documenting the development and establishment of the institution's intellectual property management procedures.	Superseded + 3 years	NA	NA
Information Services	6.2 Intellectual Property Management	Original patent documents.	Life of patent	NA	Review for archival value.
Information Services	6.2 Intellectual Property Management	Records documenting the assignment of institutional patents to third parties.	Termination of assignment + 6 years OR Life of patent + 6 years	NA	NA
Information Services	6.2 Intellectual Property Management	Records documenting the licensing of institutional patents to third parties.	Termination of licence + 6 years OR Life of patent + 6 years	NA	NA
Information Services	6.2 Intellectual Property Management	Records documenting administration of patent licensing agreements and collection of fees.	Termination of licence + 6 years	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the development and establishment of the institution's ICT systems strategy.	NA	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the formulation of plans for the implementation of the institution's ICT systems strategy.	Superseded + 5 years	NA	Review for archival value.
Information Services	6.3 Information and Communications Systems Management	Records containing reports of performance against the plans for the implementation of the institution's ICT systems strategy.	Current academic year + 5 years	NA	Review for archival value.
Information Services	6.3 Information and Communications Systems Management	Records documenting the conduct and results of audits and reviews of the ICT systems management function, and responses to the results.	Current academic year + 5 years	NA	Review for archival value.
Information Services	6.3 Information and Communications Systems Management	Records documenting the development and establishment of the institution's ICT systems management policies.	Superseded + 5 years	Mission Statements	Review for archival value.
Information Services	6.3 Information and Communications Systems Management	Records documenting the development of the institution's ICT systems management procedures.	Superseded + 3 years	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	NA	NA

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Information Services	6.3 Information and Communications Systems Management	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting user requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the removal / return of mobile ICT systems hardware and software from / to the institution's premises.	Return of equipment + 3 months	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records documenting user requests for technical and application support, and assistance provided.	Last action on request + 1 year	NA	NA
Information Services	6.3 Information and Communications Systems Management	Records governing the policies for availability and conditions of use of computing facilities.	Life of Policy+6 years	Information Security Policy, Email Policy, Janet Acceptable Use rules and Athens Rules.	Review all policies for archive
Teaching and Learning	7.1 Course Information	Records detailing information available about current courses, programmes, Departments, Schools, Facilities for Students	Superseded +2 years	Course handbooks, Term Dates, Structure of Courses, Qualifications gained, Work Experience, List of Validating Bodies.	Master copy of material to retained for Archive
Teaching and Learning	7.2 Institutional Teaching Policies and Procedures	Records documenting the development and establishment of the institution's teaching strategy.	Superseded + 10 years	NA	Review for archival value.
Teaching and Learning	7.2 Institutional Teaching Policies and Procedures	Records documenting the development and establishment of the institution's teaching policies.	Superseded + 10 years	NA	Review for archival value.
Teaching and Learning	7.2 Institutional Teaching Policies and Procedures	Records documenting the development and establishment of the institution's teaching procedures.	Superseded + 5 years	NA	Review for archival value.

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Teaching and Learning	7.2 Institutional Teaching Policies and Procedures	Records documenting the development of taught course assessment procedures.	Life of course	NA	Review for archival value.
Teaching and Learning	7.2 Institutional Teaching Policies and Procedures	Final versions of taught course assessment procedures.	Life of course	NA	Review for archival value.
Teaching and Learning	7.3 Teaching Quality Assurance and Monitoring	Records documenting the development of the institution's internal quality assurance processes.	While current	NA	Review for archival value.
Teaching and Learning	7.3 Teaching Quality Assurance and Monitoring	Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.	Current academic year + 5 years	NA	Review for archival value.
Teaching and Learning	7.3 Teaching Quality Assurance and Monitoring	Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	Next Review completed + 5 years	NA	Review for archival value.
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records documenting the development of the institution's programmes.	Superseded + 10 years	Programme/Course specifications. Qualifications. Key Outcomes. Assessment Procedures/Appeals. Periodic Reports of departmental programme reviews.	Review for archival value.
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records documenting monitoring of external developments and trends to inform the development of the institution's programmes.	Current academic year + 5 years	NA	NA
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records documenting the conduct and results of formal reviews of the institution's programmes and courses and responses to the results.	Current academic year + 10 years	Roles, Responsibilities and Authority of bodies involved in monitoring and review processes. Accreditation and monitoring reports.	Review for archival value.
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records documenting the monitoring of programme developments in other FE institutions.	Current academic year + 1 year	NA	NA
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records documenting the process of obtaining approval and/or accreditation for taught programmes from professional, statutory or other accreditation bodies.	Life of programme	NA	NA
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years	NA	NA
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	NA	NA
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Records documenting the development of the institution's courses.	Life of course + 10 years	NA	Review for archival value.
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Final versions of taught course materials.	Life of course	NA	Check for copyright implications between institution and course compiler. Review for archival value.
Teaching and Learning	7.4 Development and Execution of Programmes and Courses	Working papers documenting the planning and conduct of teaching events.	Current academic year + 1 year	NA	NA
Teaching and Learning	7.5 Internal and External Review of Courses	Records containing data on, and analyses of, student numbers and other taught course statistics.	Current academic year + 5 years	NA	NA
Teaching and Learning	7.5 Internal and External Review of Courses	Records documenting routine solicited feedback on taught courses from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	NA	May be required as part of OFSTED review
Teaching and Learning	7.5 Internal and External Review of Courses	Records documenting routine solicited feedback on taught courses from students: individual feedback.	Completion of analysis of feedback	NA	NA

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
Teaching and Learning	7.5 Internal and External Review of Courses	Records containing (anonymised) summaries and analyses of routine solicited feedback on taught courses from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year	NA	May also be required as part of OFSTED review
Teaching and Learning	7.5 Internal and External Review of Courses	Records containing reports of routine internal reviews of taught courses.	Current academic year + 5 years	NA	Review for archival value.
Teaching and Learning	7.5 Internal and External Review of Courses	Records documenting the conduct and results of formal reviews of taught courses, and the responses to the results.	Current academic year + 5 years	NA	Review for archival value.
Teaching and Learning	7.6 Course Administration	Timetabling of Courses	From 1999/2000 onwards	NA	NA
Teaching and Learning	7.6 Course Administration	Assignment of students to classes/groups	From 1999/2000 onwards	NA	NA
Teaching and Learning	7.6 Course Administration	Course Assignment Registers	From 1999/2000 onwards	NA	NA
External Relations	8.1 Government and Regulator Relations	Records containing information that institutions are legally obliged to provide to the funding Bodies	From 1999/2000 onwards	Statistical Returns e.g. Classification of student entry. Student retention rates. Employment & Training Data. Data on ethnicity, disability etc.	Should be reviewed for archive
External Relations	8.1 Government and Regulator Relations	Inspection Reports	permanent	Reviews and follow-up reports. Subject Reviews and follow up reports	Should be reviewed for archive
External Relations	8.1 Government and Regulator Relations	Reports/Returns made to standards bodies, professional bodies, other government departments.	permanent	NA	Should be reviewed for archive
External Relations	8.1 Government and Regulator Relations	Records dealing with the management of relationships with regulatory bodies	Current Year +6	Instructions. Correspondence. Negotiations. Copy minutes of meetings.	NA
External Relations	8.1 Government and Regulator Relations	Monitoring of and participation in the development of policies which will affect the institution	permanent	NA	NA
External Relations	8.2 Institutional Relations	Records documenting the development and establishment of the institution's sector relations strategy.	Superseded + 5 years	NA	Review for archival value.
External Relations	8.2 Institutional Relations	Records documenting the development and establishment of the institution's sector relations management policies.	Superseded + 5 years	NA	Review for archival value.
External Relations	8.2 Institutional Relations	Records documenting the institution's general communications with other institutions, other educational institutions, professional associations and bodies.	Current year + 5 years	NA	Review for archival value.
External Relations	8.2 Institutional Relations	Records documenting general enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given.	Last action of enquiry + 1 year	NA	NA
External Relations	8.2 Institutional Relations	Records relating to cooperative partnerships	end of partnership+6 years	Knowledge Transfer partnerships, Joint venture agreements	NA
External Relations	8.2 Institutional Relations	Records documenting the establishment and maintenance of corporate or individual (institutionally-funded) membership of professional associations and other organisations in the sector.	Renewal Termination of membership + 1 year	NA	NA
External Relations	8.2 Institutional Relations	Records documenting the institution's official representation on committees of professional and other organisations in the sector.	Termination of membership of organisation	NA	NA
External Relations	8.3 Community Relations	Records documenting the development and establishment of the institution's community relations strategy.	Superseded + 5 years	NA	Review for archival value.

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Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
External Relations	8.3 Community Relations	Records documenting the development and establishment of the institution's community relations management policies.	Superseded + 5 years	NA	Review for archival value.
External Relations	8.3 Community Relations	Records documenting enquiries from members of the community and the responses provided.	Last action of enquiry + 2 years	NA	To be treated as an FOI request
External Relations	8.3 Community Relations	Records documenting complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	NA	Assuming that the substance of the complaint is not covered by specific legislation
External Relations	8.3 Community Relations	Records documenting the organisation and administration of local community events.	Completion of event + 1 year	NA	NA
External Relations	8.4 Marketing and Recruitment	Records documenting the development and establishment of the institution's marketing policy.	Superseded + 5 years	NA	Review for archival value.
External Relations	8.4 Marketing and Recruitment	Design and control of the institution's corporate identity	permanent	Designs. Promotional materials/items.	Review for archival value.
External Relations	8.4 Marketing and Recruitment	Identification and exploitation of promotional opportunities	Superseded + 5 years	NA	NA
External Relations	8.4 Marketing and Recruitment	Student Recruitment information and materials	From 1999/2000 onwards	Prospectus. Open Days. Own-Language materials for minority groups.	Review for archival value.
External Relations	8.4 Marketing and Recruitment	Planning and execution of Marketing Campaigns and impact assessment	permanent	NA	Review for archival value.
External Relations	8.5 Public Relations	Records documenting the development and establishment of the institution's public relations policies.	Superseded + 5 years	NA	Review for archival value.
External Relations	8.5 Public Relations	Records documenting the institution's media contacts.	Superseded	NA	NA
External Relations	8.5 Public Relations	Records documenting the planning and organisation of media briefings.	Last action on briefing + 1 year	NA	NA
External Relations	8.5 Public Relations	Transcripts of media briefings and Interviews	Last action on briefing + 5 years	NA	NA
External Relations	8.5 Public Relations	Press Releases	From 1999/2000 onwards	NA	Review for archival value.
External Relations	8.5 Public Relations	Records documenting the monitoring and analysis of media coverage of the institution.	Creation + 5 years	NA	Review for archival value.
External Relations	8.5 Public Relations	Design and Management of WWW sites	From 1999/2000 onwards	NA	Review for archival value.
External Relations	8.6 Fundraising/Grants	Records documenting the formulation of plans for the implementation of the institution's fundraising strategy.	Superseded + 5 years	NA	Review for archival value.
External Relations	8.6 Fundraising/Grants	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years	Promotional Material. Prospectus.	Review for archival value.
External Relations	8.6 Fundraising/Grants	Records containing details of individual responses to fundraising campaigns.	Completion of analysis of data	NA	Retention must comply with the provisions of 1998 c.29
External Relations	8.6 Fundraising/Grants	Records relating to funds administered under the Knowledge Expansion Fund	Current Year +6	NA	NA
External Relations	8.6 Fundraising/Grants	Records relating to funds administered under the European Social Fund	From 1999/2000 onwards	NA	NA
External Relations	8.7 Alumni Relations	Records documenting the development and establishment of the institution's alumni relations management policies.	Superseded + 5 years	NA	Review for archival value.
External Relations	8.7 Alumni Relations	Records containing personal data on individual alumni.	While current (or likely to be current)	NA	Retention must comply with the provisions of 1998 c.29

RECORDS RETENTION SCHEDULE

Group Of Classes	Class No.	Description	Retention	Examples	Notes/Comments
External Relations	8.7 Alumni Relations	Summary (anonymised) statistical records of alumni.	Current year + 10 years	NA	Review for archival value.
External Relations	8.7 Alumni Relations	Records documenting the design, planning and production of official alumni communications.	Issue of communication + 1 year	NA	NA
External Relations	8.7 Alumni Relations	Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	NA	Review for archival value.
External Relations	8.7 Alumni Relations	Records documenting the organisation and administration of institutional events for alumni.	Completion of event + 1 year	NA	NA
External Relations	8.8 Welsh and Gaelic Language	Records documenting the development of the institution's language policy.	permanent	Welsh Language Schemes	Review for archival value.
External Relations	8.8 Welsh and Gaelic Language	Records documenting the implementation of the institution's language policy.	Current year + 6 years	NA	NA
External Relations	8.8 Welsh and Gaelic Language	Records monitoring and auditing the implementation of the language policy	completion of next audit + 3 years	NA	NA