

NB. When viewing this document electronically, hyperlinks to the individual sections can be followed from the table of contents and throughout the document by **CTRL & click**

## Contents

1.1.	Introduction .....	1
1.2.	What is a retention and disposal schedule? .....	2
1.3.	How are retention periods decided? .....	2
1.4.	How is this schedule implemented? .....	3
1.	Academic Administration.....	4
1.1.	Teaching, learning and assessment records.....	4
1.2.	Quality assurance records.....	7
1.3.	Individual applicant and student records .....	8
1.4.	Other academic administration records .....	12
2.	Research, Innovation and Enterprise records, including research programmes.....	15
3.	University Management .....	19
3.1.	General.....	19
3.2.	Risk, quality and environmental records .....	21
3.3.	Health and safety .....	22
3.4.	Committees.....	25
4.	Human Resources .....	26
4.1.	Individual staff records .....	26
4.2.	Occupational health.....	31
5.	University Resources.....	33
5.1.	Finance, insurance, procurement .....	33
5.2.	Estates, facilities, equipment .....	33
5.3.	ICT records .....	34
5.4.	Sports and physical activity facilities .....	35
5.5.	Patient and clinic records.....	36
5.6.	Intellectual property and copyright .....	36
6.	Information Compliance .....	37
6.1.	Information governance .....	37
6.2.	Archive management.....	38
7.	Communications .....	39
8.	Appendix: list of citations and abbreviations.....	42
	Policy sign-off and ownership details.....	44
	Revision history .....	45

[Short version of schedule](#) (displaying information for disposal by time period)

### 1.1. Introduction

Information (which includes records, documents and data) is generated as part of the business activity of the University. They may be in any format and held in hard or soft (electronic) copy, including

- electronic e.g. data in databases, Excel documents on the SAN, Word documents in Wisdom, webpages, Squirrel CDs, emails;
- manuscript/printed e.g. letters, minutes, plans, blueprints;
- audio-visual e.g. photographs, films, videos, DVDs.

This retention and disposal schedule is intended to cover information which is generated by functions which are common to more than one School or Service. Where types of information listed is not already held by an individual School or Service, its inclusion in the schedule should not be taken as a requirement that it must be kept regardless of whether it is generated in the normal course of business in a particular School or Service.

If this schedule does not meet your requirements, please contact the Records Management Service (<https://www.hud.ac.uk/cls/records-management/>) who will help to scope your requirements and incorporate them into the schedule.

## **1.2. What is a retention and disposal schedule?**

A retention and disposal schedule promotes consistency by ensuring that the same type of information is kept for the same amount of time no matter where it is held. The schedule

- promotes control over the University's information;
- enables staff to dispose confidently of information which is no longer needed;
- ensures the retention of the minimum volume of information consistent with economy and efficiency.

The retention of unnecessary information consumes staff time, space and equipment. It also incurs liabilities in terms of the need to service information requests made under the General Data Protection Regulations (GDPR), the Data Protection Act 2018, the Freedom of Information Act 2000 and the Environmental Information Regulations 2004.

The Data Protection Act requires personal data to be kept for no longer than necessary; the University can be sued for retaining unnecessary information if this causes damage to someone. It may be a personal criminal offence to destroy information requested under either of these Acts; the retention and disposal schedule will help with accountability under this legislation by enabling the University to demonstrate that any destruction has been undertaken in accordance with proper procedures and requirements. Destruction undertaken without a retention and disposal schedule will be open to accusations of improper practice.

The Code of Practice issued by the Information Commissioner under s 46 of the Freedom of Information Act 2000 specifically requires organisations subject to this legislation to have retention schedules for all their records. Although compliance with the Code is not mandatory, it is seen as indicative of whether or not an organisation has complied with the legislation.

## **1.3. How are retention periods decided?**

Minimum retention periods may be stated in Acts of Parliament and Statutory Instruments, or recommended in codes of practice and business regulations.

Where there are specific requirements from a funding or other body these will be incorporated into the schedule. The University Records Manager should be notified of any omissions and queries.

JISC has produced a comprehensive Records Retention Schedule for HE institutions: <https://www.jisc.ac.uk/guides/records-retention-management> on which this schedule is based.

#### **1.4. How is this schedule implemented?**

In any dispute it is important that the University is able to demonstrate that normal practice was followed. This schedule represents normal practice.

As the University's academic and financial years are co-terminous, in most cases an annual round of disposals is appropriate, with a summary log kept to record the fact of the disposal having taken place. Where duplicates and working papers are held relating to regular events and processes, and no other retention period is specified, these may be kept for one year before disposition. Schools and Services are responsible for applying the retention periods to the information they control on their shared network drives and in hard copy.

Information marked for permanent retention (including student records of predecessor bodies) should be transferred to the University Archives for permanent preservation and provision of access.

Where information is held in University recordkeeping systems, each system owner is responsible for ensuring that disposal is undertaken at the expiry of a retention period. The Wisdom records management system and the Unifunctions records management system will incorporate the agreed retention periods.

This schedule was accepted by the University Senior Management Team on 28<sup>th</sup> November 2008. The schedule was last reviewed August-October 2021, endorsed by Information Governance Group on 27 October 2021 and accepted by University Senior Leadership Team on 05 December 2021. The next review of the schedule will take place from August 2022.

The schedule was restructured and re-referenced in 2021. The previous reference numbers are listed in small print for each entry.

Amy-Jo Cameron-Williams  
University Records Manager

## 1. Academic Administration

### 1.1. Teaching, learning and assessment records for taught programmes

Ref	Records about:	Retention period	Rationale	Master held
1.1.1 (prev 1.3)	Programme and module specifications	All versions must be retained permanently	Institutional need for life of prog/mod + 6 years  Enduring archival value	Schools (Wisdom)
1.1.2 (prev 1.18)	Programme and module handbooks	Retain for at least 6 years after the programme or module ceases to be offered May be transferred to University Archive for permanent retention	Limitations Act (1980 c. 58 s5)	Schools (Wisdom)
1.1.3 (prev 1.8)	Module materials and resources, including: <ul style="list-style-type: none"> <li>Teaching resources in Brightspace or audiovisual formats (excluding lecture/class recordings – see 1.12)</li> <li>Module Report, including statistical analysis and action plan</li> <li>Module Evaluation, eg student survey+analysis</li> <li>Record of internal and external moderation</li> <li>Sample work</li> </ul>	Retain for 6 years after the end of the current academic year  (In Brightspace, module materials and resources cannot be separated from assessments (1.1.6) and feedback from tutors (1.1.7). Therefore, records in Brightspace will be retained for the longer period in 1.1.6 and 1.1.7.)	Institutional needs  Limitations Act (1980 c. 58 s5) for records of moderation	Schools (Brightspace; Wisdom; audiovisual platforms)

1.1.4 (prev 1.19)	Routine solicited feedback on taught programmes or modules from students	Dispose of data immediately after the completion of the analysis (unless anonymised)  (In Brightspace, feedback from students cannot be separated from module materials (1.1.3), assessments (1.1.6) and feedback from tutors (1.1.7). Therefore, records in Brightspace will be retained for the longer period in 1.1.6 and 1.1.7.)	Jisc recommendation	CLS (Brightspace)
1.1.5 (prev 1.14)	Examination papers and summative assessments ( <i>not</i> students' submissions – see 1.1.6 for student work)	Retain final copies permanently	Institutional need for life of prog/mod  Archival value	Schools (Wisdom)
1.1.6 (prev 1.10)	Work submitted for formative and summative assessment (including examination scripts)	Retain until the completion of the student's course + 6 years  If this is not practicable due to the nature of the material (eg portfolios, physical assets), retain for confirmation of marks/grades by Course Assessment Boards + 4 months (eg offer students opportunity to collect)	Limitations Act (1980 c. 58 s 5)	Schools (Brightspace; TurnItIn; Panopto); R+E
1.1.7 (prev 1.11)	Feedback on academic progress, and general academic guidance and support, given to individual taught students	Retain until the completion of the student's course + 6 years  (Where necessary, this can be interpreted as longest course + 6 years)	Limitations Act (1980 c. 58 s 5)  (Jisc recommendation)	Schools (Brightspace; TurnItIn; Panopto)

1.1.8 (prev 1.12)	Audio visual recordings of Teaching and Learning events (eg Lecture Capture, Teams recordings)	Retain for current academic year + 2 years (Unless earlier removal is requested under 7.7 of the policy)	UoH decision/ <a href="#">Audio and Video Recording Policy</a>	CLS (Panopto; Stream/Office 365)
1.1.9 (prev 1.13)	Consent for audio visual recordings of Teaching and Learning events (eg Lecture Capture, Teams recordings)	Retain for current academic year + 2 years (ie retain for the same period as the relevant recording)	UoH decision/ <a href="#">Audio and Video Recording Policy</a>	Schools
1.1.10 (prev 1.15)	Data extracted from Unilearn (decommissioned VLE) - feedback to students	Date Unilearn decommissioned (31 July 2019) + longest course duration (7 years) + 6 years	Limitations Act (1980 c. 58 s 5); UoH decision based on ability to implement in the system	CLS
1.1.11 (prev 1.16)	Data extracted from Unilearn (decommissioned VLE) - all data except feedback to students	No requirement to retain	Institutional needs (Much of the data was migrated to Brightspace or downloaded by users prior to decommissioning)	CLS
1.1.12 (prev 1.17)	Modules representing teaching during the COVID-19 pandemic: All modules for 2018/19 (for normal practices), 2019/20 (for time of change), and 2020/21 (for new practices). Includes specifications, exam papers and materials (not handbooks).	Retain permanently for the University Archive	Archival value	Heritage Quay (Wisdom)

See separate section for applicant and student administration for [individual student records \(1.3\)](#).

## 1.2. Quality assurance records

Ref	Records	Retention period	Rationale	Master held
1.2.1 (prev 1.5)	Validation of programmes and modules See Section B4 of the Quality Assurance procedures	Life of programme/module + 10 years	Institutional needs (Audit requirements)	Registry and Schools (Wisdom)
1.2.2 (prev 1.6)	External accreditation	Life of programme or module	Institutional needs (Jisc recommendation)	Registry and Schools (Wisdom)
1.2.3 (prev 1.7)	Internal review of taught programmes, including: <ul style="list-style-type: none"> <li>Annual evaluation (see <a href="#">Section L of the Quality Assurance procedures</a>)</li> <li>Reports of routine internal reviews of taught programmes</li> <li>Documentation of formal independent reviews of taught programmes, and the responses to the results</li> </ul>	Current academic year + 5 years	Institutional needs (Jisc recommendation)	Registry; Schools
1.2.4 (prev 1.2)	Quality Appraisals and Internal Quality Audits See <a href="#">Section F of the Quality Assurance procedures</a>	Current academic year + 5 years (Lists of past appraisals may be retained permanently.)	Institutional needs (Jisc recommendation)	Registry
1.2.5 (prev 1.20)	Subject Review See <a href="#">Section G of the Quality Assurance procedures</a>	Current academic year + 6 years	Institutional needs (Audit requirements)	Registry
1.2.6 (prev 1.21)	Thematic reviews See <a href="#">Section H of the Quality Assurance procedures</a>	Current academic year + 10 years	Institutional needs (Registry request)	Registry
1.2.7 (prev 1.22)	Collaborative Provision See <a href="#">Section I of the Quality Assurance procedures</a>	Retain records for all courses with a partner until 10 years after the end of the collaboration with that partner	Institutional needs (Audit requirements)	Registry

### 1.3. Individual applicant and student records

Note: Where the retention period relates to the end of student relationship and records are held in Wisdom, we have taken the longest student relationship for a course currently (10 years) and added it to the date a student folder is opened in Wisdom: End Student Relationship + 6 years = Date Folder Opened + 16 years.

See also [Health & Safety \(3.3\)](#) section for H&S records relating to individual students eg expectant mothers, young people, training. For health surveillance of students on clinical courses, please consult [Occupational Health \(4.2\)](#).

Ref	Records about:	Retention period	Rationale	Master held
1.3.1 (prev 3.1.1)	Individual applications for admissions - unsuccessful or applicant declined offer (documents)	Completion of admissions process + 1 year	UoH decision 2010 c. 15 (Part 6; Part 9, Chapter 2, 114, 118)  OfS, <a href="#">Transparency Return guidance</a> , 2019, point 53 Ofsted, <a href="#">Initial Teaching Education Framework and Handbook</a> , 2021	MCSR; Int. Office; Schools (Wisdom)
1.3.2 (prev 3.1.3)	Individual application for admissions – unsuccessful or applicant declined offer (data) Note: from end of process+1 year, this data is for reporting, statistical analysis, and business improvement; no decision is being made about individuals and profiling isn't being carried out	Completion of admissions process + 6 years	1980 c. 58 s 5  OfS, <a href="#">Transparency Return guidance</a> , 2019, point 53 Ofsted, <a href="#">Initial Teaching Education Framework and Handbook</a> , 2021	MCSR; Int. Office; Schools (ASIS) Planning (extracts from ASIS)

1.3.3 (prev 3.1.4)	Individual applications for admissions – successful, ie applicant becomes a student (documents and data)	End of student relationship + 6 years	1980 c. 58 s 5  OfS, <a href="#">Transparency Return guidance</a> , 2019, point 53 Ofsted, <a href="#">Initial Teaching Education Framework and Handbook</a> , 2021	Student Records; Schools (Wisdom; ASIS) Planning (extracts from ASIS)
1.3.4 (prev 3.1.5)	Core student record: personal details, records allowing transcript to be provided, courses followed + grades, final degree, academic distinctions	Permanent	Enduring value	Student Records, (ASIS); Schools (records prior ASIS)
1.3.5 (prev 3.1.6)	Immigration documents (eg copies of passport, UK biometric data card)	End of student relationship + 6 years	UoH decision 1980 c. 58 s 5 UK Visas and Immigration guidance: <a href="#">Tier 4 of the points-based system: Guidance for sponsors: Sponsorship duties</a> (2.4-2.5) <a href="#">Appendix D: guidance for sponsors on keeping documents</a>	Student Records; Int. Office; (Wisdom)
1.3.6 (prev 3.1.21)	Visa advice for international students – individual student/applicant files	End of student relationship + 6 years  In the case of applicants who do not become students, last contact + 6 years	<a href="#">OISC Code of Standards 2016</a> (item 57)	International Office

1.3.7 (prev 3.1.22)	Start-up visa holders, including quarterly reviews	End of endorsement + 1 year	UK Visas and Immigration guidance: <a href="#">Start-up and Innovator visa endorsing bodies</a> (version 10/2020, pp. 28-29)	Research & Enterprise
1.3.8 (prev 3.1.9)	Conduct of assessments/submission of work, including extenuating circumstances. Also see 2.17.	Current academic year + 6 years	1980 c. 58 s 5	Schools, Registry
1.3.9 (prev 3.1.7)	Other administrative data including registration/enrolment onto programmes; academic progress; placements; internships; actions taken to deal with unsatisfactory progress; transfer to new programmes/course withdrawal/ suspension	End of student relationship + 6 years	1980 c. 58 s 5  (Note: JISC advises it has checked with external bodies (eg Nursing & Midwifery Council) and they have no requirement for this information to be kept for longer than the institution decides)	Student Records (ASIS) supported by student files in Schools and Registry (Wisdom)
1.3.10 (prev 3.1.11)	Feedback, guidance & support given by tutors to individual students	Completion of student's programme + 6 years	1980 c. 58 s 5	Schools (Brightspace)
1.3.11	Attendance monitoring data (ie data in and exported from the attendance monitoring system, <i>not</i> any local class lists – see 3.2.14)	Retain for current academic year + 6 years	<a href="#">Conditions B and F3 of registration</a> with the Office for Students; OfS, <a href="#">Regulatory Advice 15: Monitoring and intervention</a> , 2020, sections 56-62	CLS; Planning

1.3.12 (prev 3.1.8)	Appeals and complaints, such as formal disciplinary proceedings against a student or complaints made by a student. (For complaints from members of the public, see 7.2)	Last action on case + 6 years	1980 c. 58 s 5	Schools, Registry
1.3.13 (prev 3.1.12)	Use of support services by individual students (including disability support, careers advice, Library borrower record, Occupational Health, and counselling service case/process notes)	Completion of student's programme + 6 years	1980 c. 58 s 5 For counselling: UoH decision based on BACP Good Practice in Action 067 and 2018 c. 12	Student Services (Titanium; 10to8); Occupational Health; Careers Service; CLS (Alma)
1.3.14 (prev 3.1.20)	Participation in Researcher Development initiatives, including Central Induction, workshops, drop-in, online training, etc (attendance records)	End of student relationship + 6 years	1980 c. 58 s 5	Research & Enterprise (SkillsForge)
1.3.15 (prev 3.1.14)	Requests for transcripts, references etc.	Last action on request + 1 year	JISC recommendation	Schools; Registry
1.3.16 (prev 3.1.16)	DBS certificates and supporting documentation	Date of DBS panel (or conclusion of appeal) + up to a maximum of 6 months (Anonymised case notes may be retained for longer)	UoH decision – <a href="#">DBS Policy</a> <a href="#">Government guidance on DBS certificates</a> <a href="#">DBS code of practice</a>	Schools; SCLS
1.3.17 (prev 3.1.17)	DBS panel minutes and appeals	End of student relationship + 1 year (Anonymised minutes may be retained for longer)	UoH decision based on requirements of professional bodies	Schools; SCLS
1.3.18 (prev 3.1.10)	Provision of financial aid/bursaries/hardship funds/scholarships to individual students	Current financial/academic year + 6 years	1980 c. 58 s 5	Student Finance
1.3.19 (prev 3.1.15)	ICT account/mailbox	Until the end of the calendar year in which the student graduates, withdraws, or otherwise leaves the University	UoH decision	CLS

#### 1.4. Other academic administration records

Ref	Records about:	Retention period	Rationale	Master held
1.4.1 (3.2.1)	Academic administration policies and procedures	Retain each version for at least 10 years after they are superseded	UoH decision based on Jisc recommendation	Policy owners
1.4.2 (3.2.2)	Student support policies and procedures	Retain each version for at least 10 years after they are superseded	UoH decision based on Jisc recommendation	Policy owners
1.4.3 (3.2.4)	Enquiries from prospective students	Last contact + 6 years	UoH decision 1980 c. 58 s 5	MCSR (ASIS); Int. Office; Research & Enterprise
1.4.4 (3.2.5)	Reports/statistical analysis of enquiries	Current academic year + 5 years	JISC recommendation	MCSR (ASIS); Int. Office; SCLS
1.4.5 (3.2.6)	Clearing administration	Current academic year + 3 years	UoH decision	MCSR
1.4.6 (3.2.7)	Statistical summaries/reports – overall numbers etc.	Permanent	Enduring value	Planning Service; Research & Enterprise; PURE
1.4.7 (3.2.9)	Induction programmes/events	Current academic year + 1 years	JISC recommendation	SCLS; Student Services; Research & Enterprise
1.4.8 (3.2.10)	Destination of Leavers/First Destination surveys – conduct, design, reporting	Current academic year + 5 years	JISC recommendation	Planning Service
1.4.9 (3.2.11)	Destination of Leavers/First Destination surveys – individual responses	Completion of analysis	JISC recommendation	Planning Service
1.4.10 (3.2.12)	Careers information, advice and guidance projects	Completion + 7 years (11 years may be required in some cases)	HESA audit requirement	Student Services
1.4.11 (3.2.13)	Statistical & anonymised summaries/reports for Counselling service	Current year + 6 years	UoH decision	Student Services: Counselling team

1.4.12 (3.2.14)	Administration of programmes: including compiling class and tutorial lists; scheduling submission/ marking/ return of assessed work; class attendance lists; organising required work placements (See also 1.3.11 for attendance monitoring)	Current academic year + 3 years	JISC recommendation	Schools; Student Records (ASIS); Research and Enterprise
1.4.13 (3.2.15)	Administration of examinations, including selection/appointment of invigilators; control of papers & scripts; timetabling; special arrangements	Current academic year + 1 year	JISC recommendation	Schools; Registry
1.4.14 (3.2.17)	Course Assessment Boards committee papers	Permanent  Consider arranging transfer to <a href="#">University Archives</a> when papers are no longer required in the School.	UoH decision: enduring business reason	Schools
1.4.15 (3.2.18)	Extenuating Circumstances Panels committee papers	Current academic year + 15 years	2018 c. 12 Allow for maximum course length	Schools
1.4.16 (3.2.19)	Awards ceremonies administration policies	Permanent, including all previous versions  Past versions can be transferred to the <a href="#">University Archives</a> .	Enduring value - UoH decision based on Jisc recommendation	Policy owners  (Past versions can be transferred to Heritage Quay)
1.4.17 (3.2.20)	Notification of awards & issuing of certificates	Conferment + 1 year	JISC recommendation	Registry
1.4.18 (3.2.21)	Inviting/receiving/considering nominations for honorary awards; responses received	Conferment + 1 year	JISC recommendation	Registry
1.4.19 (3.2.22)	Organisation of award ceremonies	Completion of ceremony + 1 year	JISC recommendation	Registry; Research & Enterprise

1.4.20 (3.2.23)	Academic assessment policies/regulations	Permanent, including all previous versions  Past versions can be transferred to the <a href="#">University Archives</a> .	Enduring value - UoH decision based on Jisc recommendation	Policy owners  (Past versions can be transferred to Heritage Quay)
1.4.21 (3.2.24)	Selection/appointment of external examiners	Termination of appointment + 1 year	JISC recommendation	Registry
1.4.22 (3.2.25)	Financial support policies & procedures	Retain each version for at least 10 years after they are superseded	UoH decision based on Jisc recommendation	Policy owners
1.4.23 (3.2.26)	Progression Module – pass lists	Year of pass list + 100 years	UoH decision – evidence for UCAS points for the lifetime of the individual	SCLS
1.4.24 (3.2.27)	Timetabling (except examinations)	Current academic year + 10 years	UoH decision	Planning Service (Resource Booker)

## 2. Research, Innovation and Enterprise records, including research programmes

Ref	Records about:	Retention period	Rationale	Master held
2.1	Media articles relating to a University academic's work or research	For as long as required for REF purposes	Research Excellence Framework	R+E (Pure; Box)
2.2	Internal & external quality assurance of research	Current academic year + 5 years	JISC recommendation	Registry
2.3	Research and enterprise business development (For business contact information, see 6.20)	Current academic year + 5 years	JISC recommendation	Registry; Research & Enterprise; (Dynamics)
2.4	Research and enterprise partnerships – formation and management	Life of partnership or arrangement + 6 years	1980 c. 58 s 5	Schools; Research & Enterprise
2.5	Research and enterprise projects design and planning – not undertaken	Current academic year + 5 years	JISC recommendation	Schools; Research & Enterprise
2.6	Funding bids – not successful	Receipt of notification + 5 years	UoH decision	Schools; Research & Enterprise; (PAPA in Agresso)
2.7	Research and enterprise projects design and planning – undertaken	Completion of project + 10 years  Some sources of funding, especially European, may specify the retention of records a longer period. Please consult Research & Enterprise for advice.	JISC recommendation	Schools; Research & Enterprise
2.8	Funding bids – successful	Completion of project + 10 years  Some sources of funding, especially European, may specify the retention of records a longer period. Please consult Research & Enterprise for advice.	UoH decision 1980 c. 58 s 5	Schools; Research & Enterprise; (PAPA in Agresso)

2.9	Management of externally funded research and enterprise projects – from initiation to completion	Completion of project + 6 years  Some sources of funding, especially European, may specify the retention of records a longer period. Please consult Research & Enterprise for advice.	1980 c. 58 s 5	Schools; Research & Enterprise
2.10	Management of internally funded research and enterprise projects – from initiation to completion	Completion of project + 3 years	JISC recommendation	Schools; Research & Enterprise
2.11	Conduct of research, including data, funded by the Medical Research Council	Completion of project + 10 years	Medical Research Council, <a href="#">Good Research Practice</a> , section 2B	Schools
2.12	Conduct of clinical or public health studies, including data, funded by the Medical Research Council, except specific categories of records in studies for which consent was obtained (see 2.13).	Completion of project + 20 years	Medical Research Council, <a href="#">Good Research Practice</a> , section 2B; Medical Research Council, <a href="#">Personal Information in Medical Research</a> , section 7.1.2	Schools
2.13	The protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the Medical Research Council.	Completion of project + 30 years	Medical Research Council, <a href="#">Personal Information in Medical Research</a> , section 7.1.2	Schools
2.14	Conduct of all other research, including data, funded by all organisations other than the Medical Research Council.	Completion of project + 10 years  Unless retention is legally, ethically or subject-specified.  A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor	Stated or implied requirements of UK Research Councils and other significant research sponsors.	Schools

2.15	Design and development of research programmes	Life of programme +10 years	JISC recommendation	Schools, Research & Enterprise
2.16	External & internal review of taught research programmes	Current academic year + 5 years	JISC recommendation	Registry, Schools
2.17	Conduct of formal assessments, awards/classifications including extenuating circumstances  Also see 1.3.8	Current academic year + 6 years	1980 c. 58 s 5	Schools
2.18	Appointment of supervisors	Termination of appt. + 1 year	JISC recommendation	Schools
2.19	Feedback, guidance & support given by supervisors to individual students	Completion of student's programme + 6 years	1980 c. 58 s 5	Schools, Research & Enterprise; (Brightspace)
2.20	Postgraduate theses	1 copy should be retained permanently in the appropriate repository (currently ePrints) Or, where necessary, a permanent copy in the library of both the University and any Collaborating Establishment unless the provisions regarding confidentiality of the <a href="#">Regulations for Awards</a> apply	UoH Regulations	CLS (ePrints)
2.21	Research outputs of support staff	1 copy should be retained permanently in the appropriate repository (currently ePrints)	UoH decision Archival value	CLS (ePrints from 2007)
2.22	Publications of the University Press	1 (electronic) copy should be retained permanently in the appropriate repository (currently Janeway) 1 physical copy (where possible) should be retained permanently in the University Archives.	UoH decision Archival value	CLS (ePrints 2007-2018; Janeway from Oct 2018)

2.23	Research outputs of academic staff and students (excluding postgraduate theses; see 2.20)	1 copy should be retained permanently in the appropriate repository (currently Pure)	UoH decision Archival value	Research & Enterprise (Pure, from 2014) 2007-2017: CLS (ePrints)
2.24	Research policies	Permanent, including all previous versions  Past versions can be transferred to the <a href="#">University Archives</a> .	Enduring value - UoH decision based on Jisc recommendation	Policy owners  (Past versions can be transferred to Heritage Quay)

### 3. University Management

This section covers records about the management and governance of the University, such as planning, performance, governance, management of risk, audit, legal affairs, equality & diversity, health & safety, environment/waste.

#### 3.1. General

Ref	Records about:	Retention period	Rationale	Master held
3.1.1 (prev 5.1.14)	All policies under the Policy Framework (except for 1.4.16, 1.4.20, 3.3.1, 5.6.1 and 6.1.3)	Retain each version for at least 10 years after they are superseded	UoH decision based on Jisc recommendation	Policy owners
3.1.2 (prev 4.1.1)	Planning & performance management, including risk management	Permanent	Enduring value	Schools; Services
3.1.3 (prev 4.1.31)	Lost property (ie details of item, finder and collector)	Item found + 3 months  If an item is collected within 3 months, the information can be disposed of immediately  Once items are passed from Units to Security, any forms held by Units can be destroyed.	UoH decision	Security (Planon); Units
3.1.4 (prev 4.1.32)	CCTV images	Date of capture + 28 days  (unless there is an investigation requiring the footage, in which case it will be retained for the duration of the investigation + 1 year)	UoH decision <a href="#">UoH's CCTV Policy</a> <a href="#">ICO's CCTV Code of Practice</a> <a href="#">Surveillance Camera Commissioner's Code of Practice</a>	Security

3.1.5	Prevent referrals	Retain for 6 years after the date of referral, then destroy (If the case is referred on to another service within the University or a third party service, those subsequent records will be managed as part of that service; eg see 1.3.13 for Wellbeing Service records.)	2015 c. 6 s 32 Office for Students guidance, <a href="#">Prevent duty: Framework for monitoring in higher education in England</a> , 2018 Government proposal, 2021: <a href="#">Higher education: free speech and academic freedom</a>	Student Services (SharePoint)
3.1.6	Safeguarding referrals, including: <ul style="list-style-type: none"> <li>• About a student</li> <li>• About a staff member</li> <li>• About a child or vulnerable adult who is not a student or staff</li> <li>• Concerns about conduct of staff or students</li> </ul> (Records of initial referrals only - for further records post-referral, eg support services or disciplinary proceedings, see 1.3.12, 1.3.13, 4.1.5.)	Delete the referral forms and associated emails as soon as the information has been added to the relevant record in the appropriate system (currently Titanium)  Retain the referral information on the relevant record (currently in Titanium) until: <ul style="list-style-type: none"> <li>• for students, 6 years after the completion of their course</li> <li>• for staff, 6 years after the end of their employment</li> <li>• for non-students/staff, 6 years after the last contact</li> </ul> For retention of further records post-referral (eg support services or disciplinary proceedings), see 1.3.12, 1.3.12, 4.1.5.	1980 c. 58 s 5 2006 c. 47	Student Services (Forms; Titanium)

### 3.2. Risk, quality and environmental records

Ref	Records about:	Retention period	Rationale	Master held
3.2.1 (prev 4.1.2)	Identification/assessment of risk (non-Health & Safety risks)	Superseded + 1 year	JISC recommendation	Schools; Services
3.2.2 (prev 4.1.3)	Freedom of speech (including external speakers log) (See <a href="#">Freedom of Speech and External Speakers Policy</a> )	Retain for 6 years after the date of the event or activity (or after the end of the academic year, if not event-specific)	1980 c. 58 s 2 Government proposal, 2021: <a href="#">Higher education: free speech and academic freedom</a>	Schools; Services
3.2.3 (prev 4.1.4)	Formulation/testing/maintenance of disaster response/recovery plans	Superseded + 1 year	JISC recommendation	Schools; Services
3.2.4 (prev 4.1.5)	Quality audit strategy & procedures	Superseded + 5 years	JISC recommendation	Schools; Services
3.2.5 (prev 4.1.6)	Quality audit conduct, results and action reporting	Completion of audit + 3 years	JISC recommendation	Schools; Services
3.2.6 (prev 4.1.7)	Attainment & maintenance of accreditation under established independent quality management schemes (eg. Customer Service Excellence)	Termination of accreditation + 1 year	JISC recommendation	Services
3.2.7 (prev 4.1.8)	Environmental hazard identification/risk assessment	Assessment updated + 5 years	JISC recommendation	Estates; H&S; Schools
3.2.8 (prev 4.1.9)	Environmental incident investigations	Closure of investigation + 40 years	JISC recommendation	Estates; H&S; Schools
3.2.9 (prev 4.1.10)	Notification/reporting of reportable environmental incidents	Date of notification + 5 years	JISC recommendation	Estates; H&S; Schools
3.2.10 (prev 4.1.23)	Air conditioning system inspection reports	Most recent report made by an energy assessor must be kept until superseded	SI 2012/3118 reg. 20(1)	Estates
3.2.11 (prev 4.1.24)	Non-hazardous waste transfer notes (written description of the waste)	Waste leaves site + 3 years	UoH decision SI 2011/988 reg. 35(6)	Estates
3.2.12 (prev 4.1.25)	Hazardous waste consignment notes	Waste leaves site + 3 years	SI 2005/894 reg. 49	Estates

### 3.3. Health and safety

For health surveillance, please consult [Occupational Health \(4.2\)](#).

For equipment, see section for [University Resources \(5\)](#).

Ref	Records about:	Retention period	Rationale	Master held
3.3.1 (prev 4.2.1)	Health & Safety strategy, policies & procedures	Permanent, including all previous versions  Past versions can be transferred to the <a href="#">University Archives</a> .	Enduring value - UoH decision based on Jisc recommendation	Policy owners  (Past versions can be transferred to Heritage Quay)
3.3.2 (prev 4.2.18)	Employer's liability insurance certificates	Commencement/renewal of policy + 40 years	Good practice (Previously SI 1998/2573 reg. 4(4); superseded by 2008/1765)	H&S
3.3.3 (prev 4.2.3)	H&S reports	Permanent	Enduring value	Wisdom (earlier records with units)
3.3.4 (prev 4.2.4)	H&S inspection and audits (except for specific topics listed at 3.3.13 – 3.3.18)	Current year + 5 years	JISC recommendation	H&S; Units
3.3.5 (prev 4.2.19)	General H&S incident reports (except for specific topics listed at 3.3.10 – 3.3.18)	End of calendar year + 3 years	1980 c.58 s 11	H&S; Units
3.3.6 (prev 4.2.9)	General H&S training (except for specific topics at 3.3.9 and 3.3.13 – 3.3.18)	Superseded + 10 years	UoH decision	H&S; Units
3.3.7 (prev 4.2.17)	General H&S risk assessments (except specific topics at 3.3.13 – 3.3.18)	Superseded + 5 years	JISC recommendation	H&S; Units
3.3.8 (prev 4.2.5)	Safety representatives – appointment, training, consultation	Current year + 50 years	JISC recommendation	Units
3.3.9 (prev 4.2.8)	First Aid (including appointment/training of First Aiders, assessment of first aid needs)	End of calendar year + 5 years	UoH decision	Occ Health; Units

3.3.10 (prev 4.2.10)	RIDDOR-reportable incidents ( <a href="#">Reporting of Injuries, Diseases and Dangerous Occurrences Regulations</a> )	End of calendar year + 40 years	UoH decision SI 2013/1471 reg 12 (2)	H&S
3.3.11 (prev 4.2.16)	Incidents involving potential exposure to biological agents but where no cross-contamination has occurred	End of calendar year + 10 years	Occupational Health best practice	H&S
3.3.12 (prev 4.2.11)	Expectant and new mothers (including risk assessments reviews and incident reports)	Date of notification of pregnancy + 22 years (ie 3 years after the child's 18 <sup>th</sup> birthday) (For incident reports, end of calendar year + 22 years)  (Unless exposure to hazardous substances and physical agents in which case + 40/50 years instead, as specified in 3.3.16-18.)	1980 c. 58 s 11	H&S (incident reports); HR (risk assessment reviews)
3.3.13 (prev 4.2.12)	Young persons at work (under 18) (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports)	Date joined + 8 years (ie 3 years after the young person's 18 <sup>th</sup> birthday, and assuming that children under 13 cannot be employed) (For incident reports, end of calendar year + 8 years)  (Unless exposure to hazardous substances and physical agents in which case + 40/50 years instead, as specified in 3.3.16-18)	1980 c. 58 s 11	H&S; Units
3.3.14 (prev 4.2.6)	Display screen equipment (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports)	Superseded + 10 years (For incident reports, end of calendar year + 10 years)	UoH decision, based on JISC recommendation	H&S; Units
3.3.15 (prev 4.2.7)	Fire safety (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports; evacuation practices)	Superseded + 5 years (For incident reports and evacuation, end of calendar year + 5 years)	JISC recommendation	H&S; Units

3.3.16 (prev 4.2.13)	Hazardous substances - including biological agents, asbestos and lead (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports; audits)	Superseded + 40 years (For incident reports, end of calendar year + 40 years)	UoH decision, based on: SI 2002/2677 reg. 7(10) and sch. 3, para. 4(3); SI 2002/2676 reg. 10(5) SI 2012/632; reg. 19(4) and 22; SI 2013/1471 reg. 12	H&S; Units
3.3.17 (prev 4.2.14)	Physical agents – including ionising radiation and optical radiation (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports; audits)	Superseded + 50 years (For incident reports, end of calendar year + 50 years)	UoH decision, based on: Jisc recommendation SI 2017/1075; SI 2010/1140 regs. 3(6 and 7) and 6(3 and 5)	H&S; Units
3.3.18 (prev 4.2.15)	Physical agents - including noise, hand-arm and whole-body vibration (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports; audits)	Superseded + 40 years (For incident reports, end of calendar year + 40 years)	UoH decision, based on JISC recommendations	H&S; Units
3.3.19	Reports of positive tests for Covid-19 or showing symptoms for Covid-19, and associated contact tracing	Retain for a minimum of 6 months from the date of the report. Data may be deleted or anonymised after 6 months.  Retain for no longer than the end of the contact tracing scheme or 3 years after the date of the report, whichever is soonest	Public Health England requirement UoH decision	VCAP (Outlook, Teams, Qualtrics, Planning database)
3.3.20	Evidence of negative Covid-19 tests for participation in activities, if required. (This may be a copy of the formal notification of the negative test result or confirmation an individual's negative result has been seen by the local responsible person.)	Retain for 1 month after the date of collection	UoH decision to allow time for a positive test result potentially attributable to an activity to be investigated	H&S; Units (Wisdom)

### 3.4. Committees

Ref	Records about:	Retention period	Rationale	Master held
3.4.1 (4.3.1)	The appointment/election/designation of members of a committee	Termination of appointment + 6 years	1980 c. 58 s 5	VCO; Units
3.4.2 (4.3.2)	Training undertaken by individual members of a committee	Termination of appointment + 6 years	1980 c. 58 s 5	VCO; Units
3.4.3 (prev 4.3.3, 6.7)	Register of interests of members of University Council and senior staff	Termination of appointment + 12 years	UoH decision 1980 c. 58 s 5	VCO
3.4.4 (4.3.4)	The development of induction and training programmes for members of a committee	Superseded + 6 years	UoH decision	VCO; Units
3.4.5 (4.3.5)	The arrangements for meetings of a committee	Current year + 1 year	Jisc recommendation	VCO; Units
3.4.6 (4.3.6)	The conduct of the business of a committee: agenda, minutes and supporting papers (including development of terms of reference, rules, and procedures)	Permanent  Transfer to Archives at end of academic year + 6 years.	Jisc recommendation	VCO; University Archives; Units; (Unifunctions)
3.4.7 (4.3.7)	The conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions	Current year + 3 years	UoH decision	VCO; Units
3.4.8 (4.3.8)	The conduct of reviews of the effectiveness and performance of a committee	Completion of three subsequent reviews	UoH decision	VCO; Units

#### 4. Human Resources

##### 4.1. Individual staff records

See also [Health & Safety \(3.3\)](#) section for H&S records relating to individual staff eg. expectant mothers.

Ref	Records about:	Retention period	Rationale	Master held
4.1.1 (prev 5.2.1 a)	Recruitment – unsuccessful applications including interview notes (unless the candidate appointed is a sponsored migrant, in which case see 4.1.2)	Completion of recruitment process + 6 months	UoH decision 2010 c. 15 (Part 5; Part 9, Chapter 3, 123)	HR (iTrent); Schools/Services (for the interview notes)
4.1.2 (prev 5.2.1 b)	Recruitment - where the candidate appointed is a sponsored migrant (Records for <b>all</b> candidates interviewed for the vacancy need to be retained and should be forwarded to HR)	End of employment of the sponsored migrant + 1 year  (Or, if the migrant is no longer sponsored, until the point at which a compliance officer has examined and approved them)	UK Visas and Immigration guidance: <a href="#">Tier 2 and 5 of the points-based system: guidance for sponsors</a> (15.1) <a href="#">Appendix D: guidance for sponsors on keeping documents</a>	HR (shared drive; DLX)  (Any records held elsewhere should be passed to HR)
4.1.3 (prev 5.2.2)	Individual staff: job-specific statutory/regulatory training requirements for the employee, and the training provided to meet the requirements	Expiry of certification + 6 years OR termination of employment + 6 years	1980 c. 58 s. 5	HR (DLX)

4.1.4 (prev 5.2.4)	Individual staff files including but not limited to: <ul style="list-style-type: none"> <li>• Advert, application forms + supporting recruitment documentation, job description</li> <li>• Personal details &amp; copies of eligibility to work documents</li> <li>• Contract(s)</li> <li>• Terms &amp; conditions incl. changes, regrading / promotions</li> <li>• Termination of employment by resignation, redundancy, retirement, dismissal, exit interviews</li> </ul> (See also 4.1.23)	Termination of employment + 6 years  For staff with a pension, retain personal details, contractual and termination information as in 4.1.16	1980 c. 58 s 5 2018 c. 12	HR (data = iTrent; documents = DLX)
4.1.5 (prev 5.2.5)	Formal disciplinary proceedings and grievances raised by staff, the institution's response, action taken and the outcome.	Termination of employment + 6 years	1980 c. 58 s 5	HR (data = iTrent; documents = DLX)
4.1.6 (prev 5.2.6)	Investigation or disciplinary against employee – no formal action taken	Termination of employment + 6 years for record but last action on case + 1 year for consideration of further action	UoH decision	HR (data = iTrent; documents = DLX)
4.1.7 (prev 5.2.7)	Health Assessments including reports from Occupational Health	Termination of employment + 6 years	1980 c. 58 s 5 SI 1998/1833 regs 7 and 9	HR (DLX)
4.1.8 (prev 5.2.8)	Employee timesheets	Date timesheet processed + 3 years  (Minimum = current financial year + 2 years)	Institutional needs  (Minimum = SI 1998/1833 reg. 9)	HR; Schools; Services

4.1.9 (prev 5.2.9a)	Annual leave records	Termination of employment + 6 years  (Minimum = end of holiday year + 2 years)  For records from the 2018/19 year and earlier, retain for end of holiday year + 2 years  For staff with a pension, this information (post-2019) is currently retained as in 4.1.16	UoH decision SI 1998/1833 reg. 9	HR (iTrent)  (Pre-18/19, Schools/Services)
4.1.10 (prev 5.2.9b)	Flexitime records	End of holiday year + 2 years	SI 1998/1833 reg. 9	Schools; Services
4.1.11 (prev 5.2.10)	Individual staff: Statutory leave entitlement e.g. parental leave	For staff without a pension: Termination of employment + 6 years For staff with a pension: Retain as in 4.1.16	1980 c. 58 s 5 SI 1999/3312 SI 2002/2788 SI 2014/3050	HR (iTrent)
4.1.12 (prev 5.2.11)	Individual staff: other records, including Induction Training & development Personal protective/special equipment issued to employee	Termination of employment + 6 years	1980 c. 58 s 5	Schools; Services
4.1.13 (prev 5.2.12)	Individual staff: Income Tax and NI; correspondence with HMRC	For staff without a pension: Retain until at least end of tax year + 3 years For staff with a pension: Retain as in 4.1.16	SI 2003/2682 reg. 97 <a href="#">CIPD recommendation</a> <a href="#">HMRC guidance</a>	HR (iTrent; DLX)
4.1.14 (prev 5.2.13)	Job evaluation documentation for all roles evaluated or matched	Paper copies retained indefinitely	Best practice	HR (DLX)

<p>4.1.15 (prev 5.2.14)</p>	<p>Individual staff: Statutory sick pay and statutory maternity, paternity, adoption and shared parental pay</p>	<p>For staff without a pension: Termination of employment + 6 years (Minimum = current tax year + 3 years) For staff with a pension: Retain as in 4.1.16</p>	<p>Minimum: SI 1986/1960 reg. 26 SI 2002/2820 reg. 9 SI 2014/2929 reg. 9</p> <p>(Requirement in SI 1982/894 reg 13 to keep SSP records was revoked, but agreed to keep in line with other statutory payments for best practice)</p>	<p>HR (iTrent)</p>
<p>4.1.16 (prev 5.2.15)</p>	<p>Individual staff: Pensions</p>	<p>Retain for the lifetime of the individual  (This is interpreted by the current system as termination of employment + 84 years.)</p>	<p>Required for duration of pension provision <a href="#">Pensions Regulator guidance</a></p> <p>(Note: Where records in 4.1.9 are retained in line with pensions as indicated above, this is a University decision due to system requirements, rather than a pension requirement, and will be regularly reviewed.)</p>	<p>HR (iTrent; DLX)</p>
<p>4.1.17 (prev 5.2.16)</p>	<p>Individual staff: Provision of references to the University in support of an application</p>	<p>If successful, add to individual staff file (see 4.1.4).  If unsuccessful, destroy after provision of reference + 6 months</p>	<p>UoH decision in line with 4.1.1</p>	<p>Schools; Services; HR (DLX)</p>

4.1.18 (prev 5.2.17)	DBS clearance documentation	Date of clearance + up to a maximum of 6 months	UoH decision – <a href="#">DBS Policy</a> <a href="#">Government guidance on DBS certificates</a> <a href="#">DBS code of practice</a>	HR (First Advantage)
4.1.19 (prev 5.2.20)	Concerns about University staff who work with vulnerable groups – personnel files and training records	After employment ceases + 6 years, unless a legal case has been brought.	1980 c. 58 s 5	HR (DLX)
4.1.20 (prev 5.2.21)	Concerns about the behaviour of staff who are working with children where they have behaved in a way that has harmed, or may have harmed, a child; possibly committed a criminal offence against, or related to, a child; or behaved towards a child in a way that indicates s/he is unsuitable to work with children.	Keep until retirement age or for 10 years if that is longer	<a href="#">NSPCC guidance</a> 2019	HR (DLX)
4.1.21 (prev 5.2.22)	Individual affiliate records	End of relationship + 6 years	1980 c. 58 s 5	Schools; Services; CLS
4.1.22 (prev 5.2.23)	Routine assessments/reviews of the employee's performance, and any consequent actions taken (eg appraisal records)	Current academic year + 5 years	UoH decision	Schools; Services
4.1.23 (prev 5.2.24)	Staff data required for purpose of REF submission	End of external REF assessment period (usually 1 year after REF submission)	To enable REF audit ( <a href="#">REF audit guidance</a> )	Research & Enterprise (Pure)
4.1.24 (prev 5.2.25)	Conversations conducted using the 'Chat' function in Microsoft Teams (ie informal, ephemeral conversations)	Date of message + 12 months	Institutional needs	Microsoft Teams

4.1.25 (prev 5.2.18a)	Individual staff and affiliate email accounts (During employment, individual emails should be managed in accordance with the relevant entries on the Retention Schedule; this entry covers the retention of emails that remain in a personal mailbox after a member of staff has left.)	Date of leaving + 90 days	UoH decision	CLS
4.1.26 (prev 5.2.18b)	Individual staff and affiliate documents (ie K drive) (During employment, individual documents should be managed in accordance with the relevant entries on the Retention Schedule; this entry covers the retention of documents that remain in a personal storage location after a member of staff has left.)	Date of leaving + 90 days	UoH decision	CLS

#### 4.2. Occupational health

Ref	Records about:	Retention period	Rationale	Master held
4.2.1 (5.3.1)	Occupational Health Clinical Records: Staff and Student case files  (Statutory Health Records are kept separately – see 4.2.2-4)	End of student relationship / end of staff employment + 6 years  (For these records, 'end of student relationship' is treated as the date a student folder is opened in Cohort + 10 years, which is the longest possible course.)	<a href="#">BMA 2017 guidelines</a>	Occ Health
4.2.2 (5.3.2)	COSHH (Control of Substances Hazardous to Health) records (includes vaccination and blood test results): Staff and Student case files	Date of last entry + 40 years	SI 2002/2677 regs. 10 and 11	Occ Health
4.2.3 (5.3.3)	Control of asbestos at work records: Staff and Student case files	Date of last entry + 40 years	SI 2012/632 reg. 22	Occ Health

4.2.4 (5.3.4)	Ionising radiations regulations records: Staff and Student case files	Date of last entry + 30 years or until age 75, whichever is longer	SI 2017/1075 regs 22(3)(a), 24(2)(c), 25(2)(c) and 26(2)(b)	Occ Health
4.2.5 (5.3.5)	Non-starters records	Date of record + 6 months	UoH decision	Occ Health
4.2.6 (5.3.6)	Non clinical records: policy documents and codes of practice	Superseded + 10 years	JISC recommendation	Occ Health
4.2.7 (5.3.7)	Non clinical records: clinical audit reports	Date of report + 3 years	UoH decision	Occ Health
4.2.8 (5.3.8)	Non clinical records: form templates and procedures, including superseded versions	Retain for as long as past versions may be of use	UoH decision	Occ Health
4.2.9 (5.3.9)	Non clinical records: Diaries	Date of last entry + 3 years	UoH decision	Occ Health

## 5. University Resources

This section covers records relating to the University's resources, such as estates/facilities, finance/insurance/procurement, IPR/copyright, ICT, equipment, and publishing.

### 5.1. Finance, insurance, procurement

Ref	Records about:	Retention period	Rationale	Master held
5.1.1	Financial accounting: payments/expenditure including tuition fees, petty cash	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 2.4	Finance; Units
5.1.2	Financial accounting: expenses	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	Finance
5.1.3	Administration of research and enterprise grants	Termination of grant + 6 years  NB some sources of funding, especially European, may specify the retention of records a longer period. Please consult Research & Enterprise for advice.	1980 c. 58 s 5	Research & Enterprise
5.1.4	Planning & budgeting – monitoring reports	Current financial year + 1 years	JISC recommendation	Units
5.1.5	Purchase Orders Goods Received Notes/Goods Inwards Notes	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 2.4	Finance

### 5.2. Estates, facilities, equipment

Ref	Records about:	Retention period	Rationale	Master held
5.2.1 (5.1.6)	Master copies of procedures relating to the management of equipment and consumables.	Superseded + 3 years	JISC recommendation	Finance; Units

5.2.2 (5.1.7)	Major items Specifications for, selection, development & installation, testing, inspection & maintenance of equipment/consumables for.	Life of item + 6 years	1980 c.58 s 5	Units
5.2.3 (5.1.8)	Items which are safety critical or associated with hazardous operations Specifications for, selection, development & installation, testing, inspection & maintenance of equipment/consumables:	Life of item + 40 years	JISC recommendation	Units
5.2.4 (5.1.9)	Work equipment, including lifting equipment and pressure systems	Life of item + 6 years	JISC recommendation	Units
5.2.5 (5.1.10)	Specifications for, selection, development & installation, testing, inspection & maintenance of equipment/consumables: other items	Life of item	JISC recommendation	Units
5.2.6 (5.1.11)	Stock inventory, stocktaking/checking for equipment/consumables.	Superseded	JISC recommendation	Finance
5.2.7 (5.1.12)	Monitoring of the condition of stored equipment/consumables.	Current year + 1 year	JISC recommendation	Units

### 5.3. ICT records

Ref	Records about:	Retention period	Rationale	Master held
5.3.1 (prev 4.1.19)	ICT Systems project management	Completion of project + 5 years	JISC recommendation	System Owner
5.3.2 (prev 4.1.20)	ICT Systems development (including design and implementation; maintenance; upgrades; service agreements and contracts; security arrangements)	Decommissioning of system + 5 years	JISC recommendation	System Owner
5.3.3 (prev 4.1.21)	ICT Systems support and guidance	Superseded + 1 year	JISC recommendation	System Administrator
5.3.4 (prev 4.1.22)	ICT Systems strategy	Superseded + 5 years	JISC recommendation	CLS Computing Director

5.3.5 (prev 4.1.28)	University website – anonymised Google analytics data	Current academic year + 2 years	UoH decision	MCSR (Google Analytics)
5.3.6 (prev 4.1.29)	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies (includes database of external websites accessed by users)	Retain for no longer than 2 years from date of capture	Institutional requirements	CLS (Web filtering system; SIEM)
5.3.7 (prev 4.1.30)	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year	JISC recommendation	Information Security (Topdesk)
5.3.8	Central phone system - callee/caller telephone numbers	Delete 24 months after the date of the call	Institutional needs (quality management and customer service for repeat callers)	CLS (Teams Voice Switchboard)
5.3.9	Central phone system - configuration data and logs	Delete 30 days after date of log	Institutional needs (trouble-shooting and performance management)	CLS (Teams Voice Switchboard)

#### 5.4. Sports and physical activity facilities

Ref	Records about:	Retention period	Rationale	Master held
5.4.1	Membership (including personal details, bookings, payment history)	Destroy 6 years after the end of the membership (Paper/electronic forms can be disposed of as soon as the details have been entered into the Leisure Management System)	1980 c. 58 s 2, 5, 11	Student Services (Leisure Management System)
5.4.2	Visits and bookings for non-members (including fixed-term activities, eg holiday clubs)	Destroy 6 years after the date of the visit (Paper/electronic forms can be disposed of as soon as the details have been entered into the Leisure Management System)	1980 c. 58 s 2, 5, 11	Student Services (Leisure Management System)

5.4.3	Health questionnaires (eg PAR-Q, exercise referrals, etc)	Destroy immediately after the end of the membership or activity to which the questionnaire relates	2018 c. 12 (data minimisation – there is no longer a need for this health data when the person is no longer using the facilities)	Student Services
-------	---	--	---	------------------

### 5.5. Patient and clinic records

Ref	Records about:	Retention period	Rationale	Master held
5.5.1 (prev 4.1.26)	Patient case files – Adults (eg podiatry clinic, optometry clinic)	Discharge or patient last seen + 8 years	<a href="#">Records Management Code of Practice for Health and Social Care 2021</a>	SHUM
5.5.2 (prev 4.1.27)	Patient case files – Children (eg podiatry clinic, optometry clinic)	Until the patient turns 26 (ie 8 years after the patient becomes an adult at 18 years old) (Can be until patient turns 25 if they were 16 or under when treatment ended)	<a href="#">Records Management Code of Practice for Health and Social Care 2021</a>	SHUM

### 5.6. Intellectual property and copyright

Ref	Records about:	Retention period	Rationale	Master held
5.6.1 (prev 5.1.13)	Intellectual Property Rights policies	Permanent, including all previous versions  Past versions can be transferred to the <a href="#">University Archives</a> .	Enduring value - UoH decision based on Jisc recommendation	Policy owners  (Past versions can be transferred to Heritage Quay)

## 6. Information Compliance

### 6.1. Information governance

Ref	Records about:	Retention period	Rationale	Master held
6.1.1 (prev 4.1.12)	Legal Advice Clinic client case files	Date of last action / file closure + 6 years	1980 c.58 s 5	HBS Legal Advice Clinic
6.1.2	Legal Office case files	Date of last action / file closure + 7 years	1980 c.58 s 5 SRA Standards and Regulations UoH decision	VCO Legal Office
6.1.3 (prev 4.1.13)	Equality Impact Assessments for disabled people, racial groups and gender	Permanent	UoH decision	HR
6.1.4 (prev 4.1.14)	Information governance policies and procedures	Permanent, including all previous versions  Past versions can be transferred to the <a href="#">University Archives</a> .	Enduring value - UoH decision based on Jisc recommendation	Policy owners (Past versions can be transferred to Heritage Quay)
6.1.5 (prev 4.1.15)	Anonymised statistics and reports of information governance requests	Current year + 10 years	JISC recommendation	VCO
6.1.6 (prev 4.1.16)	Records documenting notification of data controller details to the Information Commissioners Office	Current year + 1 year  (Notifications must be renewed annually)	UoH decision	VCO
6.1.7	Data breach log	Retain for 6 years from date of breach report, then delete	1980 c.58 s 5 GDPR Article 33	VCO (Post-Mar 2018: SharePoint; pre-Mar 2018: Wisdom)
6.1.8 (prev 4.1.17)	Publication Scheme maintenance and development	Revision of scheme + 5 years	JISC recommendation	VCO
6.1.9 (prev 4.1.18)	Freedom of Information (FOI) requests	Date of last action + 5 years	UoH decision	VCO
6.1.10 (prev 4.1.33)	Handling of Subject Access Requests	Date of last action + 1 year	Jisc recommendation	VCO
6.1.11	Training materials	Retain for at least 6 years after superseded or cease to be used	1980 c. 58 s 5	VCO

## 6.2. Archive management

Ref	Records about:	Retention period	Rationale	Master held
6.2.1 (5.4.1)	Archives accession register and depositor/donor agreements	Permanent	To accompany lifetime of archives	Heritage Quay
6.2.2 (5.4.2)	De-accessioning register	Permanent	UoH decision	Heritage Quay
6.2.3 (5.4.3)	Collections management data (including, but not limited to, published catalogues and finding aids)	Permanent	To accompany lifetime of archives	Heritage Quay
6.2.4 (5.4.5)	Access to archives containing personal data	End of academic year + 100 years (ie assumed potential life span of the data subject)	UoH decision 2018 c.12	Heritage Quay
6.2.5 (5.4.6)	Copyright declaration forms	Permanent	To accompany lifetime of archives	Heritage Quay
6.2.6 (5.4.8)	Loans in and out of archive collections	Return of items + 6 years	1980 c.58 s. 5	Heritage Quay
6.2.7 (5.4.9)	The monitoring and control of the storage of archives	End of academic year + 10 years	UoH decision	Heritage Quay; Estates
6.2.8 (5.4.10)	Conservation work undertaken on items in the archives	Permanent	To accompany lifetime of archives	Heritage Quay
6.2.9 (5.4.11)	Archive enquiries	Last action on enquiry + 1 year	JISC recommendation	Topdesk
6.2.10 (5.4.12)	Sign in sheets	End of academic year + 6 years	UoH decision 1980 c. 58 s 5	Heritage Quay
6.2.11 (5.4.13)	Document request slips	End of academic year + 6 years	UoH decision 1980 c. 58 s 5	Heritage Quay
6.2.12 (5.4.14)	Strongroom swipe card access reports	End of academic year + 6 years	UoH decision 1980 c. 58 s 5	Heritage Quay

## 7. Communications

This section covers complaints, enquiries, events, visits, PR, media relations, HE/FE relations, community relations, alumni relations, student relations, Government/Parliamentary relations, Students' Union relations, fundraising, and marketing.

Ref	Records about:	Retention period	Rationale	Master held
7.1 (6.1)	Visitor security passes	Date of issue + 1 year	UoH decision	Estates
7.2 (6.2a)	Complaints from members of the public, the internal handling of these complaints and the responses provided	Last action on complaint + 3 years	UoH decision	Units, VCO (Topdesk)
7.3 (6.2b)	Complaints from applicants, the internal handling of these complaints and the responses provided	Last action on complaint + 3 years <i>or</i> date of application + 6 years, whichever is the longest	UoH decision	MCSR
7.4 (6.3)	Planning, organisation, administration and evaluation of events	Review after completion of event + 5 years (then review annually and destroy when no longer required)	UoH decision	MCSR, Units
7.5 (6.6)	Formal communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies	Current year + 6 years	UoH decision	VCO, Units
7.6 (6.8)	Publications	Permanent	Enduring value	MCSR
7.7 (6.9)	Formal enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given	Last action of enquiry + 1 year	JISC recommendation	Units
7.8 (6.10)	Formal responses to consultations conducted by HE/FE sector organisations	Last action on consultation + 3 years	JISC recommendation	VCO
7.9 (6.11a)	Preparation and submission of reports to HE/FE regulatory bodies (excluding Research and Enterprise)	Submission of report + 3 years	JISC recommendation	VCO, Planning Service
7.10 (6.11b)	Preparation and submission of Research and Enterprise-related reports to HE/FE regulatory bodies	Submission of report + 6 years	UoH decision	Research and Enterprise

7.11 (6.12)	Membership of & participation in local community organisations	Termination of membership + 1 year	JISC recommendation	Units
7.12 (6.13)	Establishment and operation of Student Panels	Permanent	Enduring value	Schools
7.13 (6.14)	Market research data: data relating to identifiable individuals	Completion of analysis of data	JISC recommendation	MCSR, Units
7.14 (6.15)	Market research data: aggregated data and analyses	Completion of research + 5 years	JISC recommendation	MCSR, Units
7.15 (6.16)	Design, implementation and review of marketing campaigns (including student recruitment campaigns)	Completion of campaign + 3 years	JISC recommendation	MCSR
7.16 (6.17)	Marketing materials	Permanent (1 copy) Otherwise completion of campaign or superseded	UoH decision	University Archives; Units
7.17 (6.18)	Press releases	Permanent (1 copy)	UoH decision	MCSR
7.18 (6.19)	Formal documentation relating to the establishment of contractual relationships with other HE/FE institutions, other educational institutions, professional associations and learned bodies	Termination of contractual relationship + 6 years	1980 c.58 s 5	Registry, Schools
7.19 (6.20)	Business and customer contact information in Customer Relationship Management systems	For as long as there is potential to do business with the contact or organisation  (Where consent is withdrawn, data will be deleted but a basic record to document the withdrawal of consent will be retained.)	UoH decision	CRM systems (Dynamics; Sendinblue)

7.20 (6.21)	Photographs and recordings (eg events, webinars, promotional purposes, etc) (See 1.1.8 for recordings of teaching events)	Retain for as long as the photograph or recording may have a use; regularly review photographs and dispose of them when no longer required. (Note that photos/recordings contain personal data, so should never be kept longer than necessary.)  Contact University Archives before disposal if you consider that the photos/recordings may have archival value.	UoH decision 2018 c.12	MCSR (Be the Brand); School/Service that commissioned it
7.21 (6.22)	Photograph permission forms	Retain for as long as the related photograph is retained or retain for the lifetime of the individual, whichever is the shorter  This can implemented as: For adult forms, end of academic year + 82 years For child forms, end of academic year + 100 years (ie assumed potential life span of the data subject)	UoH decision 2018 c.12	School/Service responsible for taking the photograph
7.22 (6.23)	University website (pages starting <a href="http://www.hud.ac.uk/">www.hud.ac.uk/</a> and <a href="https://ipark.hud.ac.uk/">https://ipark.hud.ac.uk/</a> )	Permanent	UoH decision Archival value	Heritage Quay (British Library)

## 8. Appendix: list of citations and abbreviations

### Acts of the UK Parliament

1970 c. 9	Taxes Management Act 1970
1971 c. 77	Immigration Act 1971
1980 c. 58	Limitation Act 1980
1994 c. 23	Value Added Tax Act 1994
2010 c. 15	Equality Act 2010
2018 c. 12	Data Protection Act 2018

### Statutory Instruments of the UK Parliament

SI 1986/1960	The Statutory Maternity Pay (General) Regulations 1986
SI 1998/1833	The Working Time Regulations 1998
SI 1998/2573	The Employers' Liability (Compulsory Insurance) Regulations 1998
SI 1999/3312	The Maternity and Parental Leave etc. Regulations 1999
SI 2002/2676	The Control of Lead at Work Regulations 2002
SI 2002/2677	The Control of Substances Hazardous to Health Regulations 2002
SI 2002/2820	The Statutory Paternity Pay and Statutory Adoption Pay (Administration) Regulations 2002
SI 2005/894	The Hazardous Waste (England and Wales) Regulations 2005
SI 2010/1140	The Control of Artificial Optical Radiation at Work Regulations 2010
SI 2011/988	The Waste (England and Wales) Regulations
SI 2012/632	The Control of Asbestos Regulations
SI 2012/3118	The Energy Performance of Buildings (England and Wales) Regulations
SI 2013/1471	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations
SI 2014/2929	The Statutory Shared Parental Pay (Administration) Regulations 2014
SI 2016/49	The Working Time Regulations 2016
SI 2017/1075	The Ionising Radiations Regulations 2017

### Other provisions

GOV.UK	<a href="#">DBS Code of Practice (2015)</a> <a href="#">Government guidance on DBS certificates</a>
BMA 2017 guidance	<a href="#">The occupational physician (2017)</a>
HMRC 700/21	<a href="#">VAT Notice 700/21: keeping VAT records (2016)</a>
(EU) 2016/679	EU regulation on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation).
	Medical Research Council, <a href="#">Good Research Practice</a> , section 2B
	Medical Research Council, <a href="#">Personal Information in Medical Research</a> , section 7.1.2
	UK Visas and Immigration guidance: <a href="#">Tier 4 of the points-based system: Guidance for sponsors: Sponsorship duties</a> (2.4-2.5) UK Visas and Immigration guidance: <a href="#">Tier 2 and 5 of the points-based system: guidance for sponsors</a> (15.1) <a href="#">Appendix D: guidance for sponsors on keeping documents</a>
	<a href="#">Records Management Code of Practice for Health and Care 2021</a>
BACP Good Practice in Action 067	' <a href="#">Practical aspects of record keeping within the counselling professions</a> ', BACP, August 2018 (accessible by members only; see <a href="#">list of publications.</a> )

OfS, Transparency Return guidance, 2019	Office for Students, <a href="#">Guidance for providers on submitting the transparency return 2019</a>
OISC Code of Standards 2016	<a href="#">Code of Standards</a> , Office of the Immigration Services Commissioner, 2016
NSPCC guidance 2019	<a href="#">'Child protection records retention and storage guidelines'</a> , NSPCC, 2019

#### Abbreviations used in the schedule

ASIS	Student records system
CIPD	Chartered Institute of Personnel and Development
CLS	Computing and Library Services
DBS	Disclosure and Barring Service
DLX	Document Logistix (document management system)
FE	Further Education
H&S	Health and Safety (department); health and safety (function)
HE	Higher Education
HR	Human Resources (department); human resources (function)
ICT	Information and communications technology
Int. Office	International Office
IPR	Intellectual property rights
JISC	Joint Information Systems Committee
MCSR	Marketing, Communications and Student Recruitment
PR	Public relations
R+E	Research and Enterprise
RIDDOR	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (SI 2013/1471)
SCLS	Schools and Colleges Liaison Service
UoH	University of Huddersfield
VCO	Vice-Chancellor's Office

**Policy sign-off and ownership details**

Document name:	University Retention and Disposal Schedule
Version Number:	5.0
Equality Impact Assessment:	8 March 2017
Approved by:	University Senior Leadership Team on 02/12/2021
Effective from:	02/12/2021
Date for Review:	01/11/2022
Author:	The Records Management Service
Owner (if different from above):	University Records Manager
Document Location:	<a href="https://www.hud.ac.uk/media/policydocuments/Retention-Schedule.pdf">https://www.hud.ac.uk/media/policydocuments/Retention-Schedule.pdf</a>
Compliance Checks:	All records in the University's Electronic Document and Records Management systems (Wisdom and Unifunctions) have retention policies attached.
Related Policies/Procedures:	Records Management Policy Data Protection Policy Computing Regulations IT Security Policy Financial Regulations Human Resources policies Occupational Health Policy Health and Safety Policy Student Handbook of Regulations Regulations for Awards Policy Statement on Secure Storage, Use and Retention of DBS Certificates Intellectual Property Policy University Business Classification Scheme, Mini Retention Schedule

## Revision history

Version	Date	Revision description/Summary of changes	Author
V5.0	Oct 2021	Annual review: Sections re-arranged to follow new Jisc schedule and have clearer breakdown; entries re-referenced; assessments extension; Subject Review reduction; unsuccessful applications reduction; student DBS checks reduction; email accounts extension; IT monitoring extension; additions: attendance monitoring, Prevent, safeguarding, freedom of speech, Covid contact tracing and test evidence, phone system, sports centre, data breach log, info gov training, and recordings; minor amendments and clarifications	Assistant Records Manager and Archivist
V4.1	May 2021	University logo updated	Assistant Records Manager and Archivist
V4.0	Nov 2020	Annual review: Quality Assurance section created out of T+L section; T+L and QA entries revised and clarified; handbooks added; HR section clarified, inc pensions and systems; additions: Teams chat, permanent preservation of certain modules re Covid-19 for archival record, research outputs, Start-Up Visas, SARs, photographs, and University website; policy versions clarified; FoI reduced; further minor amendments, additions, and phrasing style changes.	Assistant Records Manager and Archivist
V3.0	Oct 2019	Annual review: Updates to many rationales and terminology; a number of new periods added; systems used added; Committees section added; periods re modules and programmes adjusted	Assistant Records Manager and Archivist
V2.0	June 2018	Major redraft: expanded to include information (records, documents and data); Podiatry incorporated; changes made to Human Resources retention and Research and Enterprise retention; changes to applicant data retention; reference to the General Data Protection Regulations and Data Protection Act 2018 added and changes made to reflect The Ionising Radiations Regulations 2017. The Data Protection Officer has approved the schedule. After SMT approved the schedule, changes were made to reflect where records are held since ARO was disbanded.	University Archivist & Records Manager
V1.0	Aug 2017	Reverted to V1.0 due to introduction of Framework Minor amendments not requiring committee approval. Brought to attention of Information Governance Group (September 2017)	University Archivist & Records Manager
V2.0	Mar 2017	Major redraft: Item references added; occupational health, archive management and counselling records incorporated; all legislation checked and relevant statutory instruments added. Approved by Information Governance Group (March 2017) and University Senior Management Team (April 2017)	University Archivist & Records Manager
V1.7	Dec 2015	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.6	Dec 2014	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager

V1.5	Dec 2013	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.4	Dec 2012	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.3	Dec 2011	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.2	Dec 2010	Annual review including consultation and full legislation check (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.1	Dec 2009	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.0	Nov 2008	Original policy signed off by Senior Management Team	University Archivist & Records Manager