

## RECORDS RETENTION SCHEDULE<sup>1</sup>

### INTRODUCTION AND GUIDANCE NOTES

This Records Retention Schedule (Schedule) sets out the length of time that the records of Roehampton University (the University) should be retained to ensure the University's compliance with its legal and regulatory obligations under Data Protection Legislation and statutes such as the Freedom of Information Act 2000 and the Limitations Act 1980. It is also designed to meet the University's operational requirements.

In this Schedule, "Data Protection Legislation" means the Data Protection Act 1998 (DPA) and from 25 May 2018, unless and until the GDPR is no longer directly applicable in the UK, the General Data Protection Regulation ((EU) 2016/679) and any national implementing laws, regulations and secondary legislation, as amended or updated from time to time, in the UK and then any successor legislation to the GDPR or the DPA. The terms "Data Controller", "Data Processor", "Personal Data", "Sensitive Personal Data" and "Special Categories of Personal Data" have the same meaning as in the Data Protection Legislation.

This Schedule should be read in conjunction with the University's Data Protection Policy.

This Schedule has been prepared by the Legal Services Office in consultation with departments and offices across the University and in accordance with applicable legislation and with reference to the best practice recommendations contained in guidance issued by the Joint Information Systems Committee (JISC).

The University Secretariat has responsibility for the operation of the University's archives and together with the Legal Services Office will maintain this Schedule. Questions regarding the storage of hard copy records should be directed to the University Secretariat and questions regarding the electronic storage of records and archiving should be directed to the IT department.

### USER GUIDANCE NOTES

The following guidance notes are designed to assist users of this Schedule. The Schedule is presented in the following format:

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
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#### 1. Record type

This column describes the type of record held (whether paper or electronic) which is created, received and/ or maintained by the University and its staff in the course of University business.

<sup>1</sup> Revised April 2018. Approved by the Data Working Group on 17 April 2017 and subject to approval by the Audit Committee.

## 2. Document owner

It is the responsibility of each department and office to ensure legal compliance of their record keeping and maintain an effective records management system for their area of work.

The Schedule takes a functional approach based on record types but also follows the University's organisational structure. There may therefore be situations where some records are maintained by more than one department or office.

## 3. Retention Period

This column shows the period for which the University's records should to be retained. The retention periods were determined based on factors including:

- Statutory requirements such as:
  - (i) the Data Protection Legislation which makes provision for the length of time personal information can be held, the manner in which the University uses and stores personal information and grants individuals certain rights in relation to the access of and use/misuse of their personal information;
  - (ii) The Freedom of Information Act 2000 ("FOIA") which makes provision for access by the public to the University's records and the public have the right following a relevant request to be informed whether the University holds information and to receive that information (subject to certain exemptions) within 20 working days of making a request. The deliberate withholding or destruction of information to prevent disclosure constitutes an offence under both the FOIA and DPA; and
  - (iii) The Limitation Act 1980 which sets out time periods during which individuals (for example former students, employees or third parties) can bring actions against the University. It also determines the period for which the University can retain and use files as evidence.
- JISC Guidance: The best practice recommendations have been used in instances where legal or regulatory requirements are not available.
- The cost of storing and maintaining records.

## 4. Proposed Action

The recommended subsequent action for records at the end of the designated retention period is set out under this column. This section does not deal with the method of storage of records.

## 5. Legal or Regulatory Requirement/ Best Practice

This column cites the applicable legislation, regulation, other requirement or best practice, with reference to the [Records Retention Schedule for Higher Education Institutions](#) developed by JISC. Please note that this schedule has been last updated in 2007.

Where an act, statutory instrument, regulation or government requirement has been cited, the retention of the mentioned record for the relevant period of time is mandatory (if not otherwise stated in that piece of legislation).

Where the period of time has been set following the JISC model (cited "JISC") or where the decision has been made by the University (cited "RU"), the retention of that record for the relevant period of time is a recommendation only. Therefore each Document Owner can decide which period would be best suitable for their department but bearing in mind the best practice.

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Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
<b>1 CORPORATE GOVERNANCE</b>					
<b>1.1 STRATEGIES, POLICIES AND PROCEDURES</b>					
Governance documents	University Secretariat	Superseded + 5 Y	Archive	RU, JISC	
Policies, Procedures and Regulations	University Secretariat, Finance, HR, Registry, Departments	Superseded + 5 Y	Archive	RU, JISC	
Working papers used in developing and updating policies, procedures and regulations	University Secretariat, Finance, HR, Registry, Departments	Approval date + 1 Y	Destroy/ Retain Anonymised	RU, JISC	
University Strategies	University Secretariat	Superseded + 5 Y	Archive	RU, JISC	
<b>1.2 COMMITTEES, BOARDS, WORKING GROUPS</b>					
Council and Senate: agenda, minutes and papers	Committee Secretary	Current academic Y + 6 Y	Archive	RU Limitation Act 1980 c 58 s 5	
Statutory committees: agenda, minutes and papers	Committee Secretary	Current academic Y + 6 Y	Archive	RU Limitation Act 1980 c 58 s 5	
Agendas, minutes and papers for all other committees and working groups	Committee Secretary	Current academic Y + 6 Y	Archive	RU Limitation Act 1980 c 58 s 5	
Committee membership and appointment records	Committee Secretary	End of an individual's tenure + 6 Y	Destroy/ Retain Anonymised	RU Limitation Act 1980 c 58 s 5 Data Protection Legislation	
External committee papers	Committee Secretary	Current + 6 Y	Destroy/ Retain Anonymised	JISC Limitation Act 1980 c 58 s 5 Data Protection Legislation	
<b>1.3 GOVERNMENT AND HEFCE / OfS RELATIONS</b>					
Records relating to the management of relationships with HEFCE / OfS and other Government organisations	Vice-Chancellor's Office	Superseded + 6 Y	Destroy/ Retain Anonymised	JISC Limitation Act 1980 c 58 s 5	
Funding Agreements between HEFCE / OfS and RU	Vice-Chancellor's Office	End of agreement + 6 Y	Archive	Limitation Act 1980 c 58 s 5	
Records of the University's formal participation in governmental or parliamentary or public inquiries	Vice-Chancellor's Office	Completion of inquiry + 10 Y	Archive	RU	
Records relating to the management of relationship with other institutions or sector-wide bodies	Vice-Chancellor's Office	Superseded + 6 Y	Destroy/ Retain Anonymised	JISC Limitation Act 1980 c 58 s 5	
Statutory reports to HEFCE / OfS	Vice-Chancellor's Office	Superseded + 6 Y	Archive	JISC Limitation Act 1980 c 58 s 5	
Prevent Policies and Procedures	Pro Vice-Chancellor	Superseded + 5 Y	Archive	Counter-Terrorism and Security Act 2015 JISC	
Prevent Annual Return to HEFCE / OfS	Pro Vice-Chancellor	Submission of return + 6 Y	Archive	Counter-Terrorism and Security Act 2015 JISC Limitation Act 1980 c 58 s 5	This return is to demonstrate active and effective implementation of the Prevent duty in the previous years
<b>2 LEGAL SERVICES</b>					
Records of legal support, representation and litigation regarding claims by or against RU	Legal Services Office	Settlement or withdrawal + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 2, 5 Data Protection Legislation	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Records of legal advice on interpretation of legislation affecting RU's legal framework or responsibilities, relationship with central government or regulators, employee relations, or health, safety and environmental matters	Legal Services Office	Permanent	-	JISC	
Records of legal advice on other matters	Legal Services Office	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Litigation files	Legal Services Office	<b>Records setting precedents:</b> Permanent  <b>Records not setting precedents:</b> Settlement + 6 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Arbitration/Settlement files	Legal Services Office	Last action on case + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Contracts and legal agreements (including supporting documents)	Legal Services Office/ Other Departments	Termination date + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Leases and lease agreements	Legal Services Office/ Estates and Campus Services	Expiry of lease + 15 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 14B Data Protection Legislation	
Deeds (excluding Title Deeds)	Legal Services Office/ Estates and Campus Services	Termination date + 12 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 8 Data Protection Legislation	
Title Deeds	Legal Services Office/ Estates and Campus Services	Disposal of property + 12 Y	Archive	RU Limitation Act 1980 c 58	
Records relating to Trusts	Legal Services Office	Until Trust wound up or subsumed	Archive	RU	
Roehampton University statutory registers	University Secretariat	Permanent	-	RU	
Subsidiary Companies statutory registers	Legal Services Office	Permanent	-	RU	
Subsidiary Companies files	Legal Services Office	Life of company + 10 Y	Destroy/ Retain Anonymised	RU	
Applications for patents and patent certificates.	Legal Services Office	Life of patent + 50 Y	Destroy/ Retain Anonymised	JISC	
Applications for and certificates of registration of other forms of IPR protection (registered trademarks, registered designs)	Legal Services Office	End of registration + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
<b>3 COLLABORATIVE PARTNERSHIPS</b>					
<b>3.1 FRANCHISE AND COLLABORATIONS</b>					
Collaboration Agreements including franchise and validation agreements, collaborative research degrees and joint taught degrees	Franchise and Collaborations	<b>Deeds:</b> Termination of contract + 12 Y  <b>Contracts:</b> Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
EU Grant Agreements	Franchise and Collaborations	Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Records and supporting documentation created as a result of or in relation to any of the EU Grant Agreements	Partnerships	Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	The European Commission sets as a rule keeping original records and supporting documentation for a period of 5 years from the date of the payment of the balance for any grants offered by it, unless a longer duration is required by the national law. The period will be longer if there are any on-going

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
					audits, appeals, litigation or pursuit of claims concerning the grant. A period of 6 years from the termination of the contract is compliant with both those requirements and the Limitation Act 1980.
Operational Manuals	Franchise and Collaborations	<b>Deeds:</b> Termination of contract + 12 Y <b>Contracts:</b> Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Documents belonging to the other party and completed forms received following the due diligence process	Franchise and Collaborations	Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Due diligence working documents	Franchise and Collaborations	Termination of contract	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Programme Specifications	Franchise and Collaborations	Termination of contract + 3 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Student applications for partnered programmes	Admissions	<b>Successful applications:</b> End of contract with student + 6 Y <b>Unsuccessful applications:</b> Submission date + 6 M	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation RU	
Agreements with students	Admissions	End of contract with student + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Enrolment to courses data	Admissions / Franchise and Collaborations	End of programme + 3 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Enrolment audit report	Admissions / Franchise and Collaborations	End of programme + 3 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Student records containing personal data	Admissions / Franchise and Collaborations	End of contract with student	Pass to Registry	Limitation Act 1980 c 58 s 5 Data Protection Legislation	Please see section 5 – Core student records for more information.
Staff CVs	Franchise and Collaborations	End of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Invoices	Franchise and Collaborations	End of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
<b>3.2 PARTNERSHIPS</b>					
Study Abroad agreements, including EU Grant Agreements, student exchange agreements, Erasmus + agreements and direct enrol agreements	Partnerships	<b>Deeds</b> Termination of contract + 12 Y <b>Contracts:</b> Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Records and supporting documentation created as a result of or in relation to any of the Study Abroad agreements	Partnerships	Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	The European Commission sets as a rule keeping original records and supporting documentation for a period of 5 years from the date of the payment of the balance for any grants offered by it, unless a longer duration is required by the national law. The period will be longer if there are any on-going audits, appeals, litigation or pursuit of claims concerning the grant. A period of 6 years from the termination of the contract is compliant with both those requirements and the Limitation Act 1980.
Student applications for Study Abroad programmes	Partnerships	<b>Successful applications:</b> End of programme + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
		<b>Unsuccessful applications:</b> Submission date + 6 M		RU	
Study abroad agreements with students	Partnerships	End of contract with student + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Student records containing personal data	Partnerships	End of contract with student	Pass to Registry	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Invoices	Partnerships	End of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Documents belonging to the partner and completed forms received following the due diligence process (where applicable)	Partnerships	End of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
<b>4 PLANNING</b>					
Strategic Plan, including Mission Statement	Planning	Superseded + 5 Y	Archive	JISC	
Statutory returns, such as: Higher Education Student Early Statistics (HESES); Provider Profile; HESA Student record; HESA Initial Teacher Training ITT; HESA Aggregate Offshore return; Unistats; DLHE and DLHE longitudinal.	Planning	Submission of report + 3 Y	Archive	RU	
Access Agreement and Access Agreement Monitoring Return	Planning	Submission of return + 3 Y	Archive	RU	
Planning Process documents and risk registers, such as: High Level RR; Academic RR; Professional Services RR.	Planning	Superseded + 3 Y	Destroy/ Retain Anonymised	RU	
Teaching Excellence Framework (TEF) metrics, underlying data and submission	Planning	Superseded + 3 Y	Destroy/ Retain Anonymised	RU	
Taught programmes statistics	Planning	Life of programme + 10 Y	Destroy/ Retain Anonymised	JISC	
Student survey results, analysis and reports	Planning	Completion of analysis of feedback	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
First Destination Surveys	Planning	<b>Individual responses:</b> Completion of analysis of responses <b>Anonymised summaries and analysis:</b> Current academic Y + 5 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Records containing data on, and analyses of, student numbers and other programme statistics	Planning	Current academic Y + 5 Y	Destroy/ Retain Anonymised	JISC	
<b>5 STUDENT ADMINISTRATION</b>					
Student files, including core student records: (a) basic personal details; (b) information gathered at application and registration;	Registry	Records containing personal data on individual students:	Electronic records: Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	See JISC Guidance on Retention of Student Records.

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
(d) degree courses and papers undertaken, including relevant dates of teaching and assessment; (e) information on academic progress and performance, including assessment outcomes; (f) summary information on academic appeals, complaints, discipline and academic misconduct; (g) transcript; (h) reference(s) from the University.		Recommended maximum retention: Termination of relationship with student + 6 Y	Paper records: Destroy/ Retain Anonymised		
Tier 4 Visa Holders Recruitment records (ie identity details, contact details, applications, recruitment decision summary grid etc), and documents relating to sponsorship application	HR	- 1 Y from the date the sponsorship of the migrant has ended or - if the migrant is no longer sponsored by RU, the point at which a compliance officer has examined and approved them, whichever period is shorter	Destroy/ Retain Anonymised	Home Office requirement	Some documents kept as part of the sponsorship duties may also need to be kept for other purposes and for longer periods of time. RU must ensure that it meets any other legal requirements for record keeping, such as ones set by UKVI or another government department.  Please see UKVI guidance - <a href="#">Appendix D: keeping documents guidance for sponsors.</a>
Policies, procedures and regulations	Recruitment, International and Admissions Office	Current academic Y + 5 Y	Archive	JISC	
<b>5.1 STUDENT RECRUITMENT AND ADMISSIONS</b>					
Design, conduct and summary results of student recruitment campaigns, events and schemes	Recruitment	Current academic Y + 5 Y	Destroy/ Retain Anonymised	JISC	
Admissions Criteria	Admissions	Superseded + 10 Y	Destroy/ Retain Anonymised	JISC	
Enquiries from prospective students	Recruitment	Current academic Y + 3 Y	Destroy/ Retain Anonymised	JISC	
Student applications	Admissions	<b>Successful applications:</b> Held as part of Core Student records  <b>Unsuccessful applications:</b> Completion of admissions process + 6 M minimum and + 1 Y recommended	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5; Data Protection Legislation	Minimum: Actions under discrimination legislation must usually be brought within 6 Ms.
Summaries and analyses of data on registration of students on programmes	Registry/Academic Departments / Academic Office	Current academic Y + 5 Y	Destroy/ Retain Anonymised	JISC	
<b>5.2 STUDENT ASSESSMENT</b>					
All grades records	Registry	Board of Examiners meeting + 1 Y	Archive	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	
Pass lists	Registry / Academic departments	Board of Examiners meeting + 1 Y	Archive	RU	
Graduation lists	Registry	Board of Examiners meeting + 1 Y	Archive	RU	
Formative assessments, essays	Academic Departments / Digital Learning Services	Board of Examiners meeting + 1 Y	Destroy/ Retain Anonymised	JISC, RU	
Summative assessments	Academic Departments / Digital Learning Services	Board of Examiners meeting + 1 Y	Destroy/ Retain Anonymised	JISC, RU	
Exam Papers and Scripts	Registry/Academic Departments / Academic Office	Board of Examiners meeting + 1 Y	Archive	RU	



Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
External Examiner's reports	Academic Departments/ Academic Office	<b>Academic Departments:</b> Current academic Y + 3 Y	Destroy/ Retain Anonymised	RU	
Mitigating Circumstances records	Academic Departments	Current academic Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Dissertations	Registry/Academic Departments / Academic Office	Board of Examiners meeting + 1 Y	Archive	RU	
PhD theses	Registry/Academic Departments / Academic Office / Library	Board of Examiners meeting + 1 Y	Archive	JISC	
Award of bursaries, scholarships and fellowships to individual students.	Registry/ Academic Office/ Finance	Current financial/academic Y + 6 Y	Archive	Limitation Act 1980 c 58 s 5	
<b>5.3 STUDENT COMPLAINTS</b>					
Records documenting the conduct and results of formal disciplinary proceedings against individual students.	University Secretariat	Last action on case + 6 Y  Other departments: Last action on case then pass to Secretariat	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	Any documents relating to the case and any correspondence involving other members of staff/ students should be passed to the University Secretariat at the end of the case and any copy deleted from personal records.
Records documenting the conduct and results of informal disciplinary proceedings against individual students.	Academic Departments / Student Development and Support	Last action on case + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Student fitness to study / fitness to practice case files that have reached a final stage of consideration (i.e. a hearing)	University Secretariat	Last action on case + 6 Y  Other departments: Last action on case then pass to Secretariat	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	Any documents relating to the case and any correspondence involving other members of staff/ students should be passed to the University Secretariat at the end of the case and any copy deleted from personal records.
Student fitness to study / fitness to practice case files that have not reached a final stage of consideration (i.e. a hearing)	Academic Departments / Student Development and Support	Last action on case + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Student complaints	University Secretariat	<b>Formal complaints:</b> Last action on case + 6 Y <b>Informal complaints:</b> Last action on complaint + 3 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation JISC	Any documents relating to the case and any correspondence involving other members of staff/ students should be passed to the University Secretariat at the end of the case and any copy deleted from personal records.
Academic appeal files	University Secretariat	<b>Formal complaints:</b> Last action on case + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	Any documents relating to the case and any correspondence involving other members of staff/ students should be passed to the University Secretariat at the end of the case and any copy deleted from personal records.
<b>5.4 STUDENT SUPPORT</b>					
Counselling students, key documents and files	Student Counselling Service	Current academic Y + 6 Y	Destroy/ Retain Anonymised	BACP recommendation Data Protection Legislation	
Emails	Student Counselling Service	Current academic Y + 1 Y	Destroy/ Retain Anonymised	Data Protection Legislation	
Learning support including procedures and delivery	Student Counselling Service	Current academic Y + 5 Y	Destroy/ Retain Anonymised	JISC	
Disability support for individual students	Disability Services	Current academic Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	
<b>5.5 STUDENT ACCOMMODATION</b>					
Accommodation booking forms	Accommodation Office	Retain until termination of agreement + 1 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Accommodation lists	Accommodation Office	Retain until termination of agreement + 1 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Student accommodation files	Accommodation Office	Retain until termination of agreement + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Kinetics records	Accommodation Office	Retain until termination of agreement + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
<b>5.6 WIDENING PARTICIPATION PROGRAMMES</b>					
Participant Applications for Pathways to Law programme	Recruitment and International Development	<b>Successful applications:</b> end of programme + 10 Y <b>Unsuccessful applications:</b> submission date + 6 M	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Participant Applications for Class of 2020 programme	Recruitment and International Development	<b>Successful applications:</b> end of programme + 10 Y <b>Unsuccessful applications:</b> submission date + 6 M	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
Participant Applications for WP programmes (not otherwise specified)	Recruitment and International Development	<b>Successful applications:</b> end of programme + 4 Y <b>Unsuccessful applications:</b> submission date + 6 M	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
<b>6 TEACHING</b>					
<b>6.1 PROGRAMME ADMINISTRATION</b>					
Academic administration policies, procedures and key documents	Registry/Academic Office	Superseded + 5 Y	Archive	JISC	
Teaching and Learning Strategy and procedures	Academic Office	Superseded + 5 Y	Archive	JISC	
Design of new curricula – Reports and other key documents	Registry/Academic Office	Life of programme + 10 Y	Destroy/ Retain Anonymised	JISC	
Monitoring, evaluations and development of existing curricula – Reports and key documents	Registry/Academic Office	Life of programme + 10 Y	Destroy/ Retain Anonymised	JISC	
Identification of accreditation requirements for courses and obtaining accreditation and reaccreditation	Registry/Academic Office	Retain for the life of the programme	Destroy/ Retain Anonymised	JISC	
Programme specifications	Registry	Current academic Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Course timetables	Academic Services	Current academic Y + 1 Y	Destroy/ Retain Anonymised	JISC	
Programme Validation documents and Review Reports	Registry/Academic Office	Current + 5 Y	Destroy/ Retain Anonymised	JISC	
Teaching Quality Assessments – Final Reports	Registry/Academic Office	Current + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Records documenting the design and development of assessments	Registry/Academic Office	Life of programme	Destroy/ Retain Anonymised	JISC	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
<b>6.2 MODULE ADMINISTRATION</b>					
Design and development of taught modules	Academic Departments	Life of programme + 10 Y	Archive	JISC	
Creation of new modules and development of current modules	Academic Departments	Life of programme + 10 Y	Archive	JISC	
Subject Review – Final report and other significant records	Registry/Academic Office	Current + 5 Y	Archive	JISC	
Modules guides	Academic Departments / Digital Learning Services	Current academic Y + 6 Y	Destroy/ Retain Anonymised	RU	
Prospectuses (Undergraduate and Postgraduate)	Academic Departments / Digital Learning Services	Completion of programme + 5 Y	Destroy/ Retain Anonymised	JISC	
Student Handbooks	Academic Departments / Digital Learning Services	Current academic Y + 2 Y	Destroy/ Retain Anonymised	RU	
Teaching materials (including tutorial materials)	Academic Departments / Digital Learning Services	Life of course	Destroy/ Retain Anonymised	RU	
Module assignment registers	Academic Departments / Digital Learning Services	Current academic Y + 2 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Module attendance registers	Academic Services	Current academic Y + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Tutorial attendance registers	Registry	Current academic Y + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Module examination Regulations	Registry	Current + 10 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
External Examiner Membership records	Registry/Academic Office	Termination of appointment + 1 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
<b>7 RESEARCH</b>					
Research Committee Agendas, Minutes and Papers	Secretary to Research Committee	Current academic Y + 6 Y	Archive	RU	
Research Policies. Procedures and regulations	Research Office	Superseded + 5 Y	Archive	JISC	
Research Grant Proposals / Applications	Research Office	<b>Successful proposals:</b> Completion of project + 6 Y <b>Unsuccessful proposals:</b> Abandonment of plans + 1 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation JISC	
Records documenting the design and planning of research projects which are undertaken	Research Office	Completion of project + 6 Y or longer if required by funder / sponsor / regulatory body	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Research contracts	Research Office	Termination of contract + 6 Y	Archive / Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	
Research Grant Agreements offered by the ERC	Research Office	Termination of contract + 6 Y	Archive / Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	The European Commission sets as a rule keeping original records and supporting documentation for a period of 5 years from the date of the payment of the balance for any grants offered by it, unless a longer duration is required by the national law. The period will be longer if there are any on-going audits, appeals, litigation or pursuit of claims concerning the grant. A period of 6 years from the termination of the contract is compliant with both those requirements and the Limitation Act 1980.

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Records and supporting documentation created as a result of or in relation to any of the Research Grant Agreements	Research Office	Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	The European Commission sets as a rule keeping original records and supporting documentation for a period of 5 years from the date of the payment of the balance for any grants offered by it, unless a longer duration is required by the national law. The period will be longer if there are any on-going audits, appeals, litigation or pursuit of claims concerning the grant. A period of 6 years from the termination of the contract is compliant with both those requirements and the Limitation Act 1980.
Formal reports to sponsors	Research Office	Current Y + 5 Y	Archive	JISC Data Protection Legislation	
Formal reports to ethics and regulatory bodies	Research Office	Current Y + 5 Y	Archive	JISC Data Protection Legislation	
Formal assessments of work undertaken by research students	Research Office	Completion of student's programme + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c.58 s 5 Data Protection Legislation	
Formal external reviews (e.g. REF) of general University research quality and standards: final reports and core working papers	Research Office	Current + 10 Y	Archive	JISC Data Protection Legislation	
Data subject consent forms for trials and studies	Research Office	<b>MRC funded research:</b> Completion of project + 30 Y  <b>Other:</b> Completion of project + 6 Y	Destroy/ Retain Anonymised	Medical Research Council, Personal Information in Medical Research, section 7.1.2  Data Protection Legislation	
Research data produced through the life of the project	Individual Researcher/ Research Office	Completion of the project + 10 Y (or longer if required by funder/ sponsor / regulatory body)  <b>MRC:</b> Completion of project + 10 Y but research records relating to clinical or public health studies should be retained for 20 Y.	Archive	Stated or implied requirements of UK Research Councils and other significant research sponsors.  Medical Research Council, Good Research Practice, section 5.2 Medical Research Council, Personal Information in Medical Research, section 7.1.2  Data Protection Legislation	Retention periods may vary according to specific contractual requirements.  Ensure that MRC-specific retention periods are in line with the funder's current requirements
Records containing data on, and analyses of, student numbers and other programme statistics relating to research projects	Research Office	Current academic Y + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Case files relating to allegations of research misconduct	Research Office / University Secretariat	End of research contract + 6 Y	Destroy/ Retain Anonymised	Data Protection Legislation	
Closed research account project files	Research Office	Current financial Y + 6 Y	Archive	Limitation Act 1980 c.58 s 5 Data Protection Legislation	
<b>8 ALUMNI</b>					
Reports of major fundraising campaigns	Alumni	Last action on campaign + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Reports of Alumni events and associated ephemera	Alumni	Completion of event + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Records documenting the organisation and administration of official visits.	Alumni Development and Careers	Completion of visit + 1 Y (transfer any significant records, ephemera or photographs to Archive)	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Records documenting the organisation and administration of graduation ceremonies	Alumni Development and Careers	Completion of ceremony + 1 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Graduation Programme / DVD	Alumni Development and Careers	Completion of ceremony + 1 Y	Archive	JISC Data Protection Legislation	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Records documenting the organisation of special events (e.g.. opening of new buildings / facilities)	Alumni Development and Careers	Completion of visit + 1 Y (transfer any significant records, ephemera or photographs to Archives)	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Records containing personal data on individual alumni.	Alumni	Indefinitely provided that full consent is given	-	JISC Data Protection Legislation	
Summary (anonymised) statistical records of alumni	Alumni	Current Y + 10 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Prize lists	Alumni	Current Y + 3 Y	Archive	RU Data Protection Legislation	
Alumni surveys	Alumni	<b>Individual responses:</b> Completion of analysis of survey responses <b>Summaries:</b> Completion of survey+ 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Records documenting requests for contact details for alumni, action taken and the responses	Alumni	Last action on request + 1 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Progress reports to sponsors	Alumni	Current Y + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Donors / sponsors surveys	Alumni	Current Y + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Donation Forms	Alumni	Current Y + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	A shorter/longer period may be appropriate for small/substantial donations.
Donor agreements / contracts	Alumni	<b>By deed:</b> Termination of contract + 12 Y  <b>Other contracts:</b> Termination of contract + 6 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	A shorter/longer period may be appropriate for small/substantial donations.
Gift aid completed forms	Alumni	Current Y + 6 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
<b>9 CAREERS</b>					
Policies and Procedures	Careers	Superseded + 5 Y	Archive	JISC	
Careers related publications (e.g. leaflets/ booklets)	Careers	Superseded + 1 Y	Destroy/ Retain Anonymised	JISC	
Records documenting career advice to individual students	Careers	Current + 6 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation Limitation Act 1980 c. 58 s 5	
Careers events	Careers	Current + 3 Y	Destroy/ Retain Anonymised	JISC	
<b>10 FINANCE</b>					
Finance and Estates Committee Agenda, Minutes and Papers	Finance/ Secretary to Finance and Estates Committee	Superseded + 5 Y	Archive	RU	
Financial Regulations	Finance	Superseded + 5 Y	Archive	RU	
Financial forecasts	Finance	Current Y + 1 Y	Destroy/ Retain Anonymised	RU	
Annual reports	Finance	Current Y + 1 Y	Archive	RU	
Audit reports	Finance	Completion of audit + 5 Y	Destroy/ Retain Anonymised	JISC	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
HESA Finance returns	Finance	Submission of report + 3 Y	Archive	RU	
<b>11.1 UNIVERSITY ACCOUNTING</b>					
Purchase orders, purchase invoices, sales invoices, credit card records, expenses payments, petty cash handling, retail sales transactions and other transaction records	Finance / Procurement	Current financial Y + 6 Y	Destroy/ Retain Anonymised	VAT Act 1994 c 23, Limitation Act 1980 c 58 s 5 Tax Act 1970 c. 9 s 34 HMRC 700/21 para. 2	
Monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances	Finance / Procurement	Current financial Y + 1 Y	Destroy/ Retain Anonymised	JISC	To be retained while necessary for future planning
Preparation of annual operating budgets.	Finance / Procurement	Current financial Y + 1 Y	Destroy/ Retain Anonymised	JISC	To be retained while necessary for future planning
Preparation of annual accounts	Finance	Current financial Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5	
Annual accounts	Finance	Current financial Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5	
<b>11.2 STUDENT FINANCE</b>					
Receipt and processing of tuition fees.	Finance	End of student contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980; Tax Act 1970 c. 9 s 34 Data Protection Legislation	
Records documenting the handling of applications for remission of tuition fees: successful applications.	Finance	Determination of application + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
General administration of financial aid, emergency or hardship funds, scholarships and bursaries	Finance	Current financial Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Tax Act 1970 c. 9 s 34 Data Protection Legislation	
<b>11.3 PAYROLL ADMINISTRATION</b>					
Processing of non-statutory deductions from salaries, deduction authorisations, tax code notices	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	
Payroll Payments, salary advises, bank transfer reports	Finance	<b>Minimum:</b> Current tax Y + 3 Y <b>Recommended:</b> Current tax Y + 4 Y	Destroy/ Retain Anonymised	<b>Minimum:</b> SI 2003/2682 Regulation 97(8) <b>Recommended:</b> Tax Act 1970 c. 9 s 34 Data Protection Legislation	
Reports and payments to HMRC	Finance	Current tax Y + 3 Y	Destroy/ Retain Anonymised	SI 2003/2682 Regulation 97(8) Data Protection Legislation	
Employee leave and sickness absences	Finance	Current tax Y + 3 Y	Destroy/ Retain Anonymised	SI 2003/2682 Regulation 97(8) Data Protection Legislation	
Tax code notices	Finance	Current tax Y + 3 Y	Destroy/ Retain Anonymised	SI 2003/2682 Regulation 97(8) Data Protection Legislation	
Taxable expenses or benefits	Finance	Current tax Y + 3 Y	Destroy/ Retain Anonymised	SI 2003/2682 Regulation 97(8) Data Protection Legislation	
Payroll Giving Scheme documents, including the agency contract and employee authorisation forms	Finance	Current tax Y + 3 Y	Destroy/ Retain Anonymised	SI 2003/2682 Regulation 97(8) Data Protection Legislation	
Staff pension records	HR / Pensions	Retain until termination of employment/ retirement + 75 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 32 Data Protection Legislation	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Notifications to staff of their employment relations tax liabilities	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Data Protection Legislation	
<b>11.4 FUNDING ADMINISTRATION</b>					
Administration of annual funding allocations from HEFCE / OfS and other funding bodies	Finance	End of current financial Y + 10 Y	Destroy/ Retain Anonymised	JISC	
Administration of research grants from Funding Research Councils, the EU or other funders	Finance	End of grant + 6 Y (or longer if required by the funding agreement)	Destroy/ Retain Anonymised	Limitation Act 1980 c.58 s 5	
Administration of scholarship funds	Finance	Current financial Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c.58 s 5 Data Protection Legislation	
<b>11.5 CASH, INVESTMENT AND ASSET MANAGEMENT</b>					
Credit share certificates	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Capital asset register	Finance	Current financial Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s Tax Act 1970 c. 9 s 34	
Valuations of capital assets		Superseded + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Opening and closing of bank accounts	Finance	Closure of account + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Standing order and direct debit instructions	Finance	End of instruction + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Bank statements and associated documentation	Finance	End of current financial Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Purchase and sale of investments	Finance	Date of transaction + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Investment instructions	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s Tax Act 1970 c. 9 s 34	
<b>11.6 TAX</b>					
Assessment of VAT liabilities	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	VAT Act 1994	
VAT return	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	VAT Act 1994, c. 23 s 58 and Schedule 11, para 6(3) SI 1995/2518 s 31 HMRC 700/21 para. 2	
Corporation tax returns and assessments	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Tax Act 1970 c. 9 s 34	
Other tax returns	Finance	Current tax Y + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Tax Act 1970 c. 9 s 34	
<b>11.7 INSURANCE</b>					
Liability Insurance Certificates	Finance	Commencement/Renewal of policy + 40 Y	Destroy/ Retain Anonymised	SI 1998/2573 Regulation 4(4)	
Insurance policies	Insurance	Retain until policy terminated + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c.58 s 5	
Insurance claims	Insurance	Retain until settlement of claim + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c.58 s 5	
Insurance reports	Insurance	Retain until settlement of claim + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c.58 s 5	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Insurance inspection reports for equipment	Insurance	Retain for life of equipment + 6 Y	Destroy/ Retain Anonymised	SI 1998/2306 Regulation 5(2) Limitation Act 1980 c. 58 s 5	
<b>11 PROCUREMENT</b>					
Contract Documents / Orders	Procurement, Legal Services Office	Retain until end of project + 12 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Tender Invite Documents	Procurement	Termination of supply contract awarded + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 s 5 Consumer Protection Act 1987	
Tender Evaluation, Return and Report	Procurement	Termination of supply contract awarded + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Tender received (Successful Contractor)	Procurement	Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	
Unsuccessful tenders	Procurement	Award of supply contract + 1 Y	Destroy/ Retain Anonymised	JISC	
Contract award notices sent to the Official Journal	Procurement	Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5	SI 2006/5 does not prescribe a retention period for these records.
Internal authorisation for procurement	Procurement	Current financial Y + 1 Y	Destroy/ Retain Anonymised	JISC	
Supplier evaluation reports	Estates and Campus Services, Procurement	Date of inspection + 5 Y	Destroy/ Retain Anonymised	JISC	Retaining inspection records provides evidence of effective property management.
Register of approved suppliers	Procurement	Current Y + 5 Y	Destroy/ Retain Anonymised	Consumer Protection Act 1987, JISC	
Framework Supplier files	Procurement	Retain until termination of relationship + 2 Y	Destroy/ Retain Anonymised	RU	
Framework Supplier performance reviews	Procurement	Retain until termination of supply contract + 6 Y	Destroy/ Retain Anonymised	RU, Limitation Act 1980 c 58 s 5	
Requests for proposals / Proposal evaluation documentation	Procurement	<b>Successful proposals:</b> Retain until termination of supply contract + 6 Y <b>Unsuccessful proposals:</b> 1 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 5 Consumer Protection Act 1987	
Consultant Fee Proposals / Appointment	Procurement	Retain until end of project + 12 Y	Destroy/ Retain Anonymised	RU	
<b>12 PROPERTY MANAGEMENT</b>					
Title deeds	Legal Services Office / Estates and Campus Services	Disposal of property + 12 Y	Archive	Limitation Act 1980 c. 58 s 8; JISC	
Leases	Legal Services Office / Estates and Campus Services	Expiry of lease + 15 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 14B	
Mortgage deeds	Legal Services Office / Estates and Campus Services	Termination of contract + 12 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 8	
Planning Applications and Consents	Legal Services Office / Estates and Campus Services	Disposal of property or expiry of consent.	Destroy/ Retain Anonymised	JISC	Planning consents which are valid when a property is sold are transferred to the new owner.
Building Plans / drawings	Estates and Campus Services	Disposal of property + 12 Y	Archive	RU Limitation Act 1980 c. 58 s 8	
Collateral Warranties	Estates and Campus Services	<b>By deed:</b>	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 8	



Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
		Termination of contract + 12 Y <b>Other contracts:</b> Termination of contract + 6 Y			
Novation Agreements	Estates and Campus Services / Legal Services Office	<b>By deed:</b> Termination of contract + 12 Y <b>Other contracts:</b> Termination of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 8	
<b>12.1 PROPERTY MAINTENANCE</b>					
Health and Safety File for a structure, as required by Regulation 12 of Construction (Design and Management) Regulations 2015/51	Estates and Campus Services	Demolition of property or Disposal of interest in property	Destroy/ Retain Anonymised	Construction (Design and Management) Regulations 2015/51 Regulation 12	Construction (Design and Management) Regulations 2015/51 does not prescribe a retention period for these records
Manuals (digital and hard copy), policies and procedures	Estates and Campus Services	Superseded + 10 Y	Destroy/ Retain Anonymised	JISC	
Acquisition of objects for the institution's collections; Accession records	Estates and Campus Services / University Secretariat	Disposal of object + 12 Y	Archive	RU, SPECTRUM Version 3.1 Acquisition Procedure, para. 12	
Loan records including loans of objects to the institution by other organisations or by individuals.	Estates and Campus Services /University Secretariat	Disposal of object + 12 Y	Archive	RU, SPECTRUM Version 3.1 Loans In Procedure, para. 25	
Handover Certificates	Estates and Campus Services	Retain until end of project + 12 Y	Destroy/ Retain Anonymised	RU Limitation Act 1980 c. 58 s 8	
Final Accounts	Estates and Campus Services / Finance	Retain until end of project + 12 Y	Destroy/ Retain Anonymised	RU Limitation Act 1980 c. 58 s 8	
Practical Completion Certificates	Estates and Campus Services	Retain until end of project + 12 Y	Destroy/ Retain Anonymised	RU Limitation Act 1980 c. 58 s 8	
Project Filing	Estates and Campus Services	Current Y + 6 Y	Destroy/ Retain Anonymised	RU Limitation Act 1980 c. 58 s 8	
Building Reg. Approval	Estates and Campus Services	Disposal of property or expiry of approval	Destroy/ Retain Anonymised	JISC	
Plant maintenance, tests, statutory inspections and corrective action	Estates and Campus Services	Retain for life of equipment + 6 Y	Destroy/ Retain Anonymised	SI 1998/2306 Regulation 5(2) Limitation Act 1980 c. 58 s 5	
<b>12.2 EQUIPMENT MAINTENANCE</b>					
Inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations	Estates and Campus Services; Health & Safety and Environment	Decommissioning/Disposal + 15 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c.58 s 14	SI 1997/1840 Regulation 6 requires the maintenance of fire detection and fire-fighting equipment but does not prescribe a retention period for records in relation to this activity.
Inspections of equipment, under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Estates and Campus Services, Departments	Completion of subsequent inspection	Destroy/ Retain Anonymised	SI 1998/2306 Regulation 6(3)	
Inspection, testing and maintenance of pressure systems equipment under Reg 14 of the Pressure Systems Safety Regulations 2000	Estates and Campus Services, Departments	Date of examination/test/repair + 5 Y	Destroy/ Retain Anonymised	RU	
Inspection, testing and maintenance of any gas appliance, installation pipework or flue	Estates and Campus Services, Departments	Date of examination/test/repair + 5 Y	Destroy/ Retain Anonymised	RU Reg 36 of the Gas Safety (Installation and Use) Regulations 1998	Reg 36 places a duty on landlords to keep a record in respect of any appliance or flue checked for a period of 2 years from the date of that check.

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
under Reg 35 and 36 of the Gas Safety (Installation and Use) Regulations 1998					
All reports of statutory examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Estates and Campus Services, Departments	Decommissioning	Destroy/ Retain Anonymised	SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)	
Maintenance logs for equipment	Estates and Campus Services	Retain for life of equipment + 6 Y	Destroy/ Retain Anonymised	SI 1998/2306 Regulation 5(2) Limitation Act 1980 c. 58 s 5	
Corrective action schedules	Estates and Campus Services	Current + 2 Y	Destroy/ Retain Anonymised	RU	
Inspection certificates	Estates and Campus Services	Retain for life of equipment + 6 Y	Destroy/ Retain Anonymised	SI 1998/2306 Regulation 5(2) Limitation Act 1980 c. 58 s 5 SI 1998/2306 Regulation 6(3)	
Maintenance certificates	Estates and Campus Services	Retain for life of equipment + 6 Y	Destroy/ Retain Anonymised	SI 1998/2306 Regulation 5(2) Limitation Act 1980 c. 58 s 5	
General repair reports	Estates and Campus Services	Retain for life of equipment + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5	
<b>13 SECURITY</b>					
Courier logs	Security - Post	Current + 1 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Postage logs	Security - Post	Current + 1 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Key issue / return logs	Security	Current + 1 Y	Destroy/ Retain Anonymised	Data Protection Legislation JISC	
Visitor logs	Estates and Campus Services / Security	Current + 1 Y	Destroy/ Retain Anonymised	Data Protection Legislation JISC	
Access logs	Estates and Campus Services / Security	Current + 1 Y	Destroy/ Retain Anonymised	Data Protection Legislation JISC	
Incident logs	Estates and Campus Services / Security	Last action on incident + 1 Y	Destroy/ Retain Anonymised	Data Protection Legislation JISC	
<b>14 HEALTH AND SAFETY</b>					
Health and Safety policy	Health & Safety and Environment	Superseded + 5 Y	Archive	JISC	"The Health and Safety at Work etc. Act 1974 (c.37), s 2(3) requires every employer to have '... a written statement of his general policy with respect to the health and safety at work of his employees and the organisation and arrangements for carrying out that policy'.  These records also meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).
Health and Safety Committee agendas, minutes and papers	University Secretariat / Health and Safety Committee Chair and Secretary	Current academic Y + 6 Y	Archive	JISC	
Departmental Health and Safety Committee Minutes	All Departments	Current academic Y + 6 Y	Archive	RU, JISC	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Records of injuries, dangerous occurrences and notifiable diseases to meet statutory duties under SI 2013/1471	Estates and Campus Services, Health & Safety and Environment, Occupational Health	Date of notification + 3 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 11 The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 - SI 2013/1471 Data Protection Legislation	
Formal investigations and reports into injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises	Estates and Campus Services/ Health & Safety and Environment/ Occupational Health	Closure of investigation + 40Y	Destroy/ Retain Anonymised	RU SI 2002/2677 regs 10(5)(a), 11(3), Sch 3 para 4(3) SI 2012/632 regs 19(4)(a), 2(1)(b) Data Protection Legislation	
Documentation of training and instruction carried out to meet statutory duties under SI 2005/1643, 2002/2677, 2012/632, 1999/3242	Health & Safety and Environment/ Occupational Health	End of employment + 40 years	Destroy/ Retain Anonymised	RU SI 2002/2677 SI 2005/1643 SI 2012/632 SI 1999/3242 Data Protection Legislation	
Accident Report Form F2508	Estates and Campus Services / Health & Safety and Environment	Retain from date of entry + 3 Y	Destroy/ Retain Anonymised	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995; In line with Regulation 7(3) Data Protection Legislation	
Conduct, review and revision of fire safety risk assessments under Article 9 of the Regulatory Reform ( <b>Fire Safety</b> ) Order 2005 (SI 2005/1541) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5).	Estates and Campus Services / Health & Safety and Environment	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records.
Fire safety arrangements including PEEP procedures	Estates and Campus Services / Health & Safety and Environment	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	SI 2005/1541 does not prescribe a retention period for these records.
Conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel under Regulation 3 of the Health and Safety ( <b>First Aid</b> ) Regulations 1981 (SI 1981/917).	Health and Safety, Occupational Health	Superseded + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	SI 1981/917 does not prescribe a retention period for these records.
Conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, under Regulation 6 of the Control of Substances Hazardous to Health ( <b>COSHH</b> ) Regulations 2002 (SI 2002/2677).	Estates and Campus Services / Health & Safety and Environment / Departments	<b>Regulation 6 (assessments):</b> Current + 10 Y <b>Regulation 10 (personal exposures):</b> Current + 40 Y	Archive	Control of Substances Hazardous to Health Regulations 1994 Health and Safety Display Regulations 1992 Health and Safety at Work Act JISC Data Protection Legislation	SI 2002/2677 does not prescribe a retention period for these records.
Conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made under Regulation 5 of the Control of <b>Noise</b> at Work Regulations 2005 (SI 2005/1643).	Health & Safety and Environment	Superseded + 10 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	SI 2005/1643 does not prescribe a retention period for these records.
Conduct and results of examinations to prevent exposure to lead under Regulations 8, 9 and 10 of the Control of <b>Lead</b> at Work Regulations 2002 (SI 2002/2676).	Health & Safety and Environment	Superseded + 10 Y	Destroy/ Retain Anonymised	SI 2002/2676, Regulations 8(4), 9(4) and 9(5) Data Protection Legislation	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Conduct and results of examinations to prevent exposure to asbestos, under Regulations 6(4), 7(2), 13(3), 19(4), and 22(4) of the Control of <b>Asbestos</b> Regulations 2012 (SI 2012/632).	Estates and Campus Services/ Health & Safety and Environment	Subsequent + 10 Y	Archive	JISC SI 2012/632 Regulations 6(4), 7(2), 13(3), 19(4), and 22(4) Data Protection Legislation	SI 2012/632 Regulations 6(4), 7(2) and 9(4), do not specify a retention period for these records. JISC recommends a period of at least 10 years.
Conduct, review and revision of assessments of the risks to health and safety created by working with <b>Genetically Modified Organisms</b>	Department of Life Sciences	Completion of work + 10 Y	Destroy/ Retain Anonymised	Genetically Modified Organisms (Contained Use) Regulations 2014 ('the GMO (CU) Regulations'). Data Protection Legislation	
Display Screen Equipment (DSE)	Health & Safety and Environment	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	SI 1992/2792 does not prescribe a retention period for these records. As a minimum, risk assessments should be retained until they are superseded.
Risk Assessments and health and safety inspections	All Departments	Superseded + 5 Y <b>COSSH</b> : Regulation 10 (personal exposures): Current + 40 Y	Destroy/ Retain Anonymised Archive	Management of H & S at Work Regulations 1992 Workplace H, S & Welfare Regulations 1992 Data Protection Legislation	
Health and safety training records, including fire safety training and first aid training records	All Departments, Health & Safety and Environment	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity: SI 1989/635; SI 1989/682; SI 1992/2792; SI 1992/2793; SI 1996/341; SI 1998/2306; SI 1999/3242; SI 1981/917.
Permit to work	Estates and Campus Services / Health & Safety and Environment	Current Y + 3 Y	Destroy/ Retain Anonymised	RU, Limitation Act 1980 Data Protection Legislation	
<b>15.1 ENVIRONMENT</b>					
Attainment and maintenance of under established environmental management schemes.	Health & Safety and Environment	Termination/ expiry of certification + 1 Y	Destroy/ Retain Anonymised	JISC	
Environmental incidents/ accidents and investigation of those incidents	Health & Safety and Environment	Last action on incident + 40 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Environmental audits, and action taken to address issues raised.	Health & Safety and Environment	Completion of audit + 5 Y	Destroy/ Retain Anonymised	JISC	
Reviews of the use and consumption of energy.	Energy Manager, Estates and Campus Services	Current Y + 5 Y	Destroy/ Retain Anonymised	JISC	
Records documenting non-hazardous waste disposal	Estates and Campus Services	Removal of waste + 2 Y	Destroy/ Retain Anonymised		
Records documenting hazardous waste disposal (clinical and chemical) in accordance with Regulations 47, 48, 49 and 51 of the Hazardous Waste Regulations SI 2005/894	Estates and Campus Services// Department of Life Sciences	Removal of waste + 3 Y	Destroy/ Retain Anonymised	Hazardous Waste Regulations SI 2005/894 Regulations 47, 48, 49 and 51.	SI 2005/894 Regulation 49(1) specifies the content of these records.
Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of	Estates and Campus Services/ Department of Life Sciences	Removal of waste consignment + 3 Y	Destroy/ Retain Anonymised	SI 1996/972 Regulation 15(4)	SI 2005/894 repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
the Special Waste Regulations 1996 (SI 1996/972).					1996/972 Regulation 15(4) to be retained for the period specified here.
Records documenting historic occurrences, management and removal of 'invasive plants' listed in schedule 9 of the Wildlife and Countryside Act 1981 e.g. Japanese Knotweed	Estates and Campus Services (Grounds)	Permanent	-	Wildlife and Countryside Act 1981	
Records documenting evidence of vehicle service records and MOT certificates for ECS Vehicle fleet	Estates and Campus Services	Duration of vehicle ownership	Destroy/ Retain Anonymised	Road Traffic (Vehicle Emissions) (Fixed Penalty) (England) Regulations SI 2002/1808	
Records documenting drain types and location e.g. surface water and foul drains	Estates and Campus Services	Permanent	Destroy/ Retain Anonymised	Water Resources Act 1991 SI 1991/57 – control of pollution of water resources  Control of Pollution (Oil Storage) (England) Regulations 2001	
Records documenting the energy performance of buildings	Estates and Campus Services	Duration of validity + 2Y	Destroy/ Retain Anonymised	SI 2015/609 The Energy Performance of Building Regulations 2015	
Records documenting Fluorinated Gases and Ozone Depleting Substances in air conditioning and refrigeration equipment, records of equipment tests and competency records of those testing equipment	Estates and Campus Services	Date of test + 5 Y	Destroy/ Retain Anonymised	SI 2015/310 Fluorinated Greenhouse Gases Regulations 2015  SI 2015/168 Ozone Depleting Substances Regulations 2015	
<b>15.2 RADIATION RECORDS</b>					
Environmental Permit 'Open sources' (to keep/use radioactive substances)	Department of Life Sciences / Department of Education	Retain until notified to the contrary by an authorised person / auditor.	Destroy/ Retain Anonymised	The Environmental Permitting (England and Wales) Regulations 2016	Display only in areas used by radiation workers and give access to all radiation workers.
Environmental Permit 'Accumulate and dispose of radioactive waste'.	Department of Life Sciences / Department of Education	Retain until notified to the contrary by an authorised person / auditor.	Destroy/ Retain Anonymised	The Environmental Permitting (England and Wales) Regulations 2016	Display only in areas used by radiation workers and give access to all radiation workers.
Enforcement notices	Department of Life Sciences / Department of Education	Retain until notified to the contrary by an authorised person / auditor.	Destroy/ Retain Anonymised	The Environmental Permitting (England and Wales) Regulations 2016	
Records required by EPR2016 or the Environment Agency, including decommissioning.	Department of Life Sciences / Department of Education	For anything pertaining to the permit(s): Retain until notified to the contrary by an authorised person / auditor.  For records relating to 'Exemption' i.e. Department of Education: Retain at least 2 Y but advised to keep indefinitely.	Destroy/ Retain Anonymised	The Environmental Permitting (England and Wales) Regulations 2016	
Building histories	Department of Life Sciences / Department of Education / Estates and Campus Services	Life of building for 'Permit' work.	Destroy/ Retain Anonymised	The Environmental Permitting (England and Wales) Regulations 2016	Keep records in building safety file of services of the history of use of radionuclides and evidence of survey and decommissioning to show that all contamination has been removed. Evidence must be kept to show that no contamination was left behind.
Authorisation of specific practices (e.g. use of radiation generators)	Department of Life Sciences / Department of Education / Estates and Campus Services	Retain indefinitely.	-	The Ionising Radiations Regulations 1999 (SI 1999/3232). Regulation 5.	Authorisation (IRR99 Reg 5) is generic but evidence that the employer has authorised use of

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
					radiation sources and generators should also be kept. Includes X-ray generators.
Notification of specified work	Department of Life Sciences / Department of Education / Estates and Campus Services	Retain indefinitely.	-	The Ionising Radiations Regulations 1999 (SI 1999/3232). Regulation 6	
Conduct, review and revision of assessments of the risks to health created by work with ionising radiation, under Regulation 7 of the Ionising Radiations Regulations 1999	Department of Life Sciences / Department of Education / Estates and Campus Services	Keep at least the current version at hand. Recommend; indefinitely.	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 (SI 1999/3232).  Regulation 7	SI 1999/3232 Regulation 7 does not prescribe a retention period for these records.
Notifications of pregnancy / breastfeeding	Occupational Health / Student Welfare	Retain for at least 50 Y, in addition to health record (OH).	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 (SI 1999/3232).  Data Protection Legislation	It is highly recommended that a radiation worker declares their pregnancy (or is a nursing mother) in writing to the employer. The RPA may be consulted for a special risk assessment.
Contingency Plans, under Regulation 12 of the Ionising Radiations Regulations 1999 (SI 1999/3232)	Department of Life Sciences / Department of Education / Estates and Campus Services	Keep at least the current version at hand. Recommend; keep indefinitely.	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 (SI 1999/3232).	SI 1999/3232 does not prescribe a retention period for these records.
Local rules	Department of Life Sciences / Department of Education / Estates and Campus Services	Keep at least the current version at hand. Recommend; keep indefinitely.	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 (SI 1999/3232).	SI 1999/3232 does not prescribe a retention period for these records.
Monitoring of levels of ionising radiation in designated/ controlled areas, under Regulation 19 of the Ionising Radiations Regulations 1999	Department of Life Sciences / Department of Education / Estates and Campus Services	Date of monitoring + 2 Y Recommend: keep indefinitely.	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 (SI 1999/3232). SI 1999/3232 Regulation 19(4)(c)	SI 1999/3232 does not prescribe a retention period for these records.
Monitoring equipment records (tests and maintenance)	Department of Life Sciences / Department of Education / Estates and Campus Services	Date of maintenance/testing + 2 Y Recommend; indefinitely.	Destroy/ Retain Anonymised	SI 1999/3232 Regulation 10 (2); 19(4)(c)	
Summary of dose records for classified persons	Department of Life Sciences / Department of Education / Estates and Campus Services	Retain for at least 2 Y from the end of the year to which the summary relates (kept by the dosimetry service until the employee is 75yo or at least for 50 Y)	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 SI 1999/3232 Regulation 21 (3) (7) and 22(4)	
Assessments of accidents/ occurrences where people received a dose that exceeds the higher limit	Department of Life Sciences / Department of Education / Estates and Campus Services	Retain until the employee is 75yo or at least for 50 Y	Destroy/ Retain Anonymised	1999/3232 Regulation 23(2)(b)  Data Protection Legislation	
Overexposure investigations	Health & Safety and Environment / Department of Life Sciences / Occupational Health	Date of report of investigation + 2 Y [for immediate investigations] 50 Y [for investigations to prevent future occurrences]  Highly recommended to keep indefinitely.	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 SI 1999/3232 Regulation 25(2)(a)  Data Protection Legislation	
Sealed source tests, including for condition and leak testing.	Department of Life Sciences / Department of Education	Retain for 2 Y after the article is disposed of or until a further record is made.	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 SI 1999/3232 Regulation 27(2)(a)	
Routine accounting for radioactive substances, including quantity and location	Department of Life Sciences / Department of Education	Checks made monthly. Retain for 2 Y from the date of the record and in addition for 2 Y from the date of disposal of the substance.	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 SI 1999/3232 Regulation 28	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Notification of accidental release or theft of ionising radiations	Estates and Campus Services (Radiation Protection Officer)	Notification of accident + 50 Y	Destroy/ Retain Anonymised	The Ionising Radiations Regulations 1999 SI 1999/3232 SI 1999/3232 Regulation 30	All theft should be reported to the police. Other notification to the EA and HSE will depend upon the radionuclide and activity. There is an annual allowance. Consult the RPA.
Legacy waste disposals	Estates and Campus Services / Department of Life Sciences / Department of Education	Retain indefinitely	-	The Environmental Permitting (England and Wales) Regulations 2016	
Consignment docs	Estates and Campus Services / Department of Life Sciences / Department of Education	Retain 2 Y (minimum)	Destroy/ Retain Anonymised	The Carriage of <b>Dangerous Goods</b> and Use of Transportable Pressure Equipment Regulations 2009 /ADR	
<b>15 CONFERENCES AND EVENTS</b>					
Kinetics records	Conferences	Termination date + 6 Y	Destroy/ Retain Anonymised	Limitation Act c 58 s 5 Data Protection Legislation	Records held on Kinetics include location bookings, all catering records, attendees, billing management details including invoices, event plans and calendars.  All records arising from the contract with the client must be kept for a minimum of 6 Y running from the termination of the contract, as per S 5 of the Limitation Act.
Venue hire contracts	Conferences	Termination date + 6 Y	Destroy/ Retain Anonymised	Limitation Act c 58 s 5 Data Protection Legislation	
Supplier contracts	Conferences	Termination date + 6 Y	Destroy/ Retain Anonymised	Limitation Act c 58 s 5 Data Protection Legislation	
<b>16 HUMAN RESOURCES</b>					
HR, Regulations, Policies and Codes of Practice	HR	Superseded + 5 Y	Archive	JISC Data Protection Legislation	
Definition of staffing requirements and evaluation of employment options	HR / All Departments	Current Y + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Remuneration structures and Records documenting the calculation employees' salaries	HR/ Finance	Superseded + 6 Y	Archive	Limitation Act c 58 s 5 Data Protection Legislation	
Restructuring documents	HR / All Departments	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Core records of individual members of staff, including: (a) basic personal details (b) initial application for employment, supporting documentation and related correspondence (e.g. references, statutory checks, work permits) (c) contract(s) of employment and records of changes to terms and conditions	HR	Termination of employment + 6 Y	Electronic records: Archive  Paper records: Destroy/ Retain Anonymised  Destroy/ Retain Anonymised [due to Princ 5 DPA and Art 5 (1) (e) GDPR]	Limitation Act 1980 Data Protection Act 1998 JISC	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005).  These records refer to both paper records and CHRIS records.
Tier 2 and Tier 5 Visa Holders Recruitment records (ie applications, interview notes, recruitment decision summary grid etc), absence records (ie sickness, family leave and annual leave records) and documents relating to sponsorship application (ie	HR	- 1 Y from the date the sponsorship of the migrant has ended or - if the migrant is no longer sponsored by RU, the point at which a compliance officer has examined and approved them, whichever period is shorter	Destroy/ Retain Anonymised	Home Office requirement Data Protection Legislation	Some documents kept as part of the sponsorship duties may also need to be kept for other purposes and for longer periods of time. RU must ensure that it meets any other legal requirements for record keeping, such as ones set by UKVI or another government department.

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
qualification certificate, job adverts, job description, allowance valuations)					Please see UKVI guidance - <a href="#">Appendix D: keeping documents guidance for sponsors.</a>
Recruitment documentation including authorisation to recruit, adverts, shortlisting notes etc.	Departments / HR	Completion of recruitment process + 3 Ms	Destroy/ Retain Anonymised	Equality Act 2010 Employment Practices Code, Section 1.7.1 (Information Commissioner's Office, 2005) Data Protection Legislation	A recruitment process is completed when an offer of employment has been made and has been accepted, AND when all unsuccessful applicants have been notified.
Job descriptions	HR / All Departments	Added to staff file Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	
Job application forms	Departments / HR	<b>Successful candidates:</b> Termination of employment + 6 Y (as part of employee contract records) <b>Unsuccessful candidates:</b> Completion of recruitment process + 3 Ms	Destroy/ Retain Anonymised	Equality Act 2010 Limitation Act 1980 c. 58 s 5 Data Protection Legislation	
Copy of right to work check documents	HR	Termination of employment + 2 Y	Destroy/ Retain Anonymised	Home Office requirement. Data Protection Legislation	
Records of induction programmes attended	HR	Completion of programme + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Records of general training and development programmes attended	HR	Completion of programme + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Statutory training records (for COSHH training records please see s. 15)	HR	Expiry of certificate + 6 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Employee leave and sickness absences	HR	Current tax Y + 3 Y	Destroy/ Retain Anonymised	SI 2003/2682 Regulation 97(8) Data Protection Legislation	
Maternity/Adoption/Paternity leave records	HR	Current tax Y + 3 Y	Destroy/ Retain Anonymised	Statutory Maternity Pay (General) Regulations 1986 Maternity and Parental Leave etc. Regulations 1999/3312 SI 2003/2682 Regulation 97(8)  Data Protection Legislation	
Parental leave records	HR	18 Y from the birth/adoption of the child	Destroy/ Retain Anonymised	Maternity and Parental Leave etc. Regulations 1999/3312  Data Protection Legislation	
Appraisal forms	All Departments	Termination of employment + 6 Y	Destroy/ Retain Anonymised	JISC Limitation Act c 58 s 5 Data Protection Legislation	
Staff disciplinary / grievance case files	HR	<b>HR:</b> Closure of case + 6 Y <b>Departments:</b> Closure of case then pass to HR	Destroy/ Retain Anonymised	JISC Limitation Act c 58 s 5 Data Protection Legislation	Any documents relating to the case and any correspondence involving other members of staff/ students should be passed to the University Secretariat at the end of the case and any copy deleted from personal records.
Agreements and negotiations with recognised trades unions	HR	Current Y + 20 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Redundancy details, calculation of payments, refunds, notification to the Secretary of State	HR	Termination of employment + 6 Y	Destroy/ Retain Anonymised	Limitation Act c 58 s 5 Data Protection Legislation	
Retirement records	HR	Termination of employment + 6 Y	Destroy/ Retain Anonymised	Limitation Act c 58 s 5 Data Protection Legislation	
Exit questionnaire reports	HR	Current + 5 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	



Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
References provided by the University to third parties about an employee	HR	Termination of employment + 6 Y	Destroy/ Retain Anonymised	Limitation Act c 58 s 5 Data Protection Legislation	
<b>17 OCCUPATIONAL HEALTH</b>					
Documentation of health monitoring and surveillance carried out to meet statutory duties under SI 2005/1643, 2002/2677, 2012/632, 1999/3242	Occupational Health/ Health & Safety and Environment	End of employment + 40 Y	Destroy/ Retain Anonymised	Control of Substances Hazardous to Health Regulations 1994 Health and Safety Display Regulations 1992 SI 2002/2676 Regulation 10(5)  Data Protection Legislation	
Conduct, review and revision of assessments of the risks to health created by work involving lead	Occupational Health / Health & Safety and Environment	Current Y + 10 Y	Destroy/ Retain Anonymised	Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676)  Data Protection Legislation	SI 2002/2676 Regulation 5 implies that the records should be retained until the risk assessment is superseded.  A longer retention period may be appropriate if there have been potentially dangerous exposures.
Occupational Health records for individual employees	Occupational Health / Health & Safety and Environment	End of employment + 6 Y	Destroy/ Retain Anonymised	RU  Data Protection Legislation	
Medical records as specified by the COSHH Regulations (including Health Surveillance Forms)	Occupational Health / Health & Safety and Environment	Current + 40 Y	Destroy/ Retain Anonymised	Control of Substances Hazardous to Health Regulations 1994 SI 2002/2677 Regulation 7(10) and Schedule 3, para. 4(3)  Data Protection Legislation	
Medical records under the Control of Asbestos at Work Regulations	Occupational Health / Health & Safety and Environment	Current + 40 Y	Destroy/ Retain Anonymised	Control of Asbestos at Work Regulations 1987  Data Protection Legislation	
Health records under the Ionising Radiations Regulations 1999, Regulation 24 (3)	Occupational Health / Health & Safety and Environment	Until the person is 75yo or at least 50 Y from the date of the last entry	Destroy/ Retain Anonymised	Ionising Radiations Regulations 1999, 24 (3)  Data Protection Legislation	
Health surveillance of employees who are exposed to noise, carried out to fulfil the duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Occupational Health / Health & Safety and Environment	Date of last entry in record + 40 Y	Destroy/ Retain Anonymised	JISC  Data Protection Legislation	SI 2005/1643 does not specify a retention period for these records.
<b>18 EQUALITY AND DIVERSITY</b>					
Equality and Diversity Committee agenda, minutes and papers	Committee Secretary	Superseded + 5 Y	Archive	RU	
Policies, procedures and regulations (including strategy)	University Secretariat/ Legal Services Office/ Disability Services/ Estates/ Recruitment/ HR	Superseded + 5 Y	Archive	JISC	
Annual Equality Report	Legal Services Office	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	
Annual reports on the implementation of the institution's Disability Equality Scheme.	Disability Services	Current Y + 5 Y	Destroy/ Retain Anonymised	JISC	SI 2005/2966 does not prescribe a retention period for these records.  SSI 2005/565 does not prescribe a retention period for these records.

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Formal complaints about discrimination by or within the institution.	University Secretariat/ Legal Services Office	Last action on case + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 2 Data Protection Legislation	
Assessments of the impact of the institution's policies on equality	HR, Student Support, Students Union	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	SI 2001/3458 does not prescribe a retention period for these records.
Monitoring, by racial group, of student and employee admission/ career and progress.	Recruitment Office, HR	Current Y + 5 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	SI 2001/3458 does not prescribe a retention period for these records.
Annual reports on the implementation of the institution's Gender Equality Scheme.	HR, Student Support, Students Union	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	SI 2006/2930 does not prescribe a retention period for these records.
<b>19 MARKETING AND COMMUNICATIONS</b>					
Press releases and media communications	Marketing and Communications	Date of issue + 10 Y	Destroy/ Retain Anonymised	RU	
Press clippings relating to Roehampton University	Marketing and Communications	Permanent (transfer to Archive periodically)	-	RU	
Roehampton News and other internal communications	Marketing and Communications	Permanent (transfer to Archive periodically)	-	RU	
Media enquiries and responses	Marketing and Communications	Last action on enquiry + 5 Y	Destroy/ Retain Anonymised	RU	
Prospectuses (Undergraduate and Postgraduate)	Marketing and Communications	Completion of programme + 5 Y	Destroy/ Retain Anonymised	JISC	
Other University official publications	Marketing and Communications	Permanent (transfer to Archive periodically)	-	RU	
Records detailing the design of University branding (logos, etc.)	Marketing and Communications	Superseded	Archive	RU	
Records detailing the design and conduct of marketing and advertising campaigns	Marketing and Communications	Completion of campaign + 6 Y	Destroy/ Retain Anonymised		
Homepage	Marketing and Communications	Permanent	-	RU	
Records documenting the organisation of Inaugural / Special Lectures	Marketing and Communications	Completion of event + 1 Y	Archive key docs	RU	
Events schedule	Marketing and Communications	Completion of event + 1 Y	Archive	RU	
<b>20 INFORMATION TECHNOLOGY</b>					
Information System Policies and Codes of Practice	IT	Superseded + 5 Y	Archive	JISC	
Development, implementation, modification and maintenance of IT systems	IT	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	
Specification of functional and technical requirements for IT hardware, software and networks	IT	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	
Records of testing and operation of hardware, software and networks	IT	Current + 1 Y	Destroy/ Retain Anonymised	JISC	
Management of data storage, including backup, archiving	IT	Retain while current + 1	Destroy/ Retain Anonymised	JISC	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
Outsourced software product development, implementation and technical support	IT / Procurement	End of contract + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980	
Software licences	IT	Superseded + 6 M	Destroy/ Retain Anonymised	RU	
Security arrangements for IT systems, certificates	IT	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	
Monitoring use and breaches of IT systems	IT	End of action on case + 6 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation Limitation Act 1980	
Reports of maintaining network security, analysis reports	IT	Superseded + 5 Y	Destroy/ Retain Anonymised	JISC	
Records documenting faults reported by users to IT Helpdesk, and action taken to investigate and resolve the problem.	IT	Last action on fault + 1 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Records documenting faults reported by users to Estates Helpdesk, and action taken to investigate and resolve the problem.	IT	Last action on fault + 1 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
<b>21 INFORMATION COMPLIANCE</b>					
Granted permissions to copy from published works which are not covered by Copyright Licensing Agency (CLA) licences	Library / Legal Services Office	Period for which permission is granted + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5	
Copyright Licences and Permissions (CLA; PRS; etc)	Library / Legal Services Office	Termination date + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5	
Copyright agreements (including assignments, licences to use, etc)	Legal Services Office / Library / Departments	<b>Deeds:</b> Termination date + 12 Y <b>Contracts:</b> Termination date + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5	
Information compliance policies and procedures	University Secretariat	Superseded + 5 Y	Archive	JISC	
Notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by s 2 of the Data Protection Act 1998 (c. 29).	University Secretariat/ Legal Services Office	Current Y + 1 Y	Destroy/ Retain Anonymised	JISC	
Development and maintenance of the Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36) and Environmental Information Regulations	University Secretariat	Completion of revision of Publication Scheme + 5 Y	Destroy/ Retain Anonymised	JISC	
Requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) and Environmental Information Regulations	University Secretariat	Completion of request handling process + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation Limitation Act 1980	The National Archives recommends '3 Y after date of creation'. See Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).
Correspondence with ICO regarding compliance with Data Protection Act, Freedom of Information Act and Environmental Information Regulations	University Secretariat	Current + 3 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	
Requests for personal information under the Data Protection Act 1998	University Secretariat	Last action on request + 6 Y	Destroy/ Retain Anonymised	RU Limitation Act 1980 c. 58 s 5	

Record Type	Document owner	Retention period	Proposed Action	Legal Requirement/ Best Practice	Notes
				Data Protection Legislation	
Anonymised reports and statistics of requests for information	University Secretariat	Current Y + 10 Y	Destroy/ Retain Anonymised	JISC Data Protection Legislation	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).
Investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	University Secretariat	Closure of case + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c. 58 s 5 Data Protection Legislation	
Record retention authorisations	University Secretariat	Superseded + 6Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 s 8	
Records retention schedules	University Secretariat	Superseded + 1 Y	Archive	JISC	
Records storage location register	University Secretariat (Archives)	Permanent	-	RU	
Enquiry records	University Secretariat (Archives)	Date of enquiry + 1 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
<b>22 LIBRARY</b>					
Inter-library loan forms	Library Services	Current + 6 Y	Destroy/ Retain Anonymised	Limitation Act 1980 c 58 Data Protection Legislation	
Enquiry forms	Library Services	Current + 3 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Loans records	Library Services	Current + 3 Y	Destroy/ Retain Anonymised	RU Data Protection Legislation	
Library membership application forms	Library Services	Current	Destroy/ Retain Anonymised	RU Data Protection Legislation	

**ANNEX 1**  
**Examples of records which may be routinely destroyed**

As a rule, the following types of records have no significant operational, informational or evidential value. They can therefore be destroyed as soon as they have served their primary purpose.

- Announcements and notices of meetings and other events, and notifications of acceptance or apologies;
- Requests for stock information such as maps and travel directions, brochures etc;
- Requests for, and confirmations of, reservations for internal services (e.g. meeting rooms, car parking spaces, pool cars) where no internal charges are made;
- Transmission documents: letters, FAX cover sheets, e-mail messages, routing slips, compliments slips and similar items which accompany documents but do not add any value to them;
- Message slips;
- Superseded address lists, distribution lists etc;
- Duplicate documents such as: 'CC' and 'FYI' copies, unaltered drafts, 'Day Files' (chronological copies of correspondence);
- Personal diaries, address books etc.;
- Working papers, where the results have been written into an official document and which are not required to support it; and
- Published or reference materials received from other parts of the institution or from vendors or other external organisations which require no action and are not needed for 'record' purposes, e.g. trade magazines, vendor catalogues, flyers, newsletters.