

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**

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

## **1.1. Introduction**

Information (which includes records, documents and data) are 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: <http://bcs.jiscinfonet.ac.uk/he/default.asp> 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 in March 2017, endorsed by Information Governance Group on 16<sup>th</sup> March 2017 and accepted by University Senior Management Team on 27<sup>th</sup> April 2017. The next review of the schedule will take place in June 2018.

M Sarah Wickham and Amy-Jo Cameron-Williams  
University Archivists & Records Managers

### 1. Retention and disposal schedule: teaching, learning and assessment records

Ref	Records about:	Retention period	Rationale	Master held
1.1	University and Schools Teaching & Learning, SAVP and similar committee papers	Permanent	Of enduring value UoH decision	UniFunctions (earlier records with units)
1.2	Internal & external quality assurance and audits	Current academic year + 5 years	JISC recommendation	Registry, Schools
1.3	Programme and Module specifications	Permanent	Of enduring value UoH decision	Wisdom (earlier records with Schools)
1.4	Module boxes	Current academic year + 5 years	UoH decision	Schools, Module Leaders
1.5	Design and development of (modules of) taught programmes – including sample work, teaching materials	Life of programme + 10 years	JISC recommendation	Schools
1.6	External accreditation/review of (modules of) taught programmes including external examiners' reports.	Termination of Accreditation + 1 year	JISC recommendation	Registry, Schools
1.7	Internal review of taught programmes	Current academic year + 5 years	JISC recommendation Nov 2011  Registry requested subject reviews to be kept for current year + 10 years	Registry, Schools
1.8	Delivery of taught programmes including materials for teaching and assessment	Life of programme + 10 years	JISC recommendation	Schools
1.9	Programme background documents	Permanent	UoH decision	Schools, Module Leaders
1.10	Work submitted for assessment (including examination scripts)  See also 3.2.16.	Confirmation of marks/grades by Course Assessment Boards + 4 months	UoH Regulations	Schools
1.11	Feedback, guidance & support given by tutors to individual students	Completion of student's programme + 6 years	1980 c. 58 s 5	Schools

See separate section for applicant and student administration for [individual student records \(3.1\)](#). [Main contents list](#).

## 2. Retention and disposal schedule: research, innovation and enterprise records

Ref	Records about:	Retention period	Rationale	Master held
2.1	University and Schools Research Committees	Permanent	Of enduring value	UniFunctions (earlier records with units)
2.2	Internal & external quality assurance of research	Current academic year + 5 years	JISC recommendation	Registry
2.3	Research and enterprise business development	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 (Limitation Act)	Schools, Research & Enterprise
2.5	Research and enterprise projects design and planning – not undertaken	Current academic year + 5 years	JISC recommendation	Schools, Research & Enterprise, PAPA in Agresso
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	JISC recommendation	Schools, Research & Enterprise, PAPA in Agresso
2.8	Funding bids – successful	Completion of project + 6 years	1980 c. 58 s 5	Schools, Research & Enterprise
2.9	Management of externally funded research and enterprise projects – from initiation to completion	Completion of project + 6 years	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.	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	Records, documents and data documenting the protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the Medical Research Council.	Completion of project + 30 years	Medical Research Council, <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.	Stated or implied requirements of UK Research Councils and other significant research sponsors.  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	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 3.1.9	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 tutors to individual students	Completion of student's programme + 6 years	1980 c. 58 s 5	Schools, Research & Enterprise

2.20	Postgraduate theses	Permanent retention (1 copy) in the University Repository or, where necessary, 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	Library Services
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### **3. Retention and disposal schedule: applicant and student administration records**

#### **3.1. Individual student records**

Ref	Records about:	Retention period	Rationale	Master held
3.1.1	Individual applications for admissions - unsuccessful	Completion of admissions process + 1 year	SI 2006/1031 Regulations 23, 39 and 42 SI 2003/1660 Regulations 20, 31 and 34 SI 2003/1661 Regulations 20, 31 and 34	MCSR, Int. Office, Schools
3.1.2	Individual application for admissions – shared with regulatory bodies	Completion of admissions process + 2 years	Ofsted regulations	Schools (SEPD)
3.1.3	Individual application for admissions – for reporting, statistical analysis and business improvement, where 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 UoH decision	PINS Int. Office
3.1.4	Individual applications for admissions – successful (i.e. applicant becomes a student)	End of student relationship + 6 years	1980 c. 58 s 5	Finance, Schools



3.1.5	Core student record: personal details, records allowing transcript to be provided, courses followed + grades, final degree, academic distinctions	Permanent	Enduring value	Finance, (ASIS); Schools (records prior ASIS)
3.1.6	Immigration documents (copies of passport, UK biometric data card)	End of student relationship + 6 years	1980 c. 58 s 5 Guidance from UK Border Agency on Immigration Rules made under 1971 c.77 (HC 413 2008/9)	Finance, (Wisdom <sup>1</sup> ) International Office
3.1.7	Other administrative data including registration/enrolment onto programmes; academic progress; placements; 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 <sup>2</sup>	Finance (ASIS) supported by student files in Schools and Registry
3.1.8	Appeals & complaints including formal disciplinary proceedings against a student	Last action on case + 6 years	1980 c. 58 s 5	Schools, Registry
3.1.9	Attendance/submission of work; extenuating circumstances.  Also see 2.16.	Current academic year + 6 years	1980 c. 58 s 5	Schools, Registry
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

<sup>1</sup> Where the retention period relates to the end of student relationship we have taken the longest student relationship for a course currently (10Yrs) and added it to the date a student folder is opened in Wisdom.  
End Student Relationship + 6Yrs = Date Folder Opened plus 16yrs

<sup>2</sup> Note that JISC advises it has checked specifically with external bodies (e.g. Nursing & Midwifery Council) and they have no requirement for this information to be kept for longer than the institution decides

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
3.1.12	Use of support services by individual students (including disability support, careers advice, Library borrower record, Occupational Health)	Completion of student's programme + 6 years	1980 c. 58 s 5	Services
3.1.13	Use of Counselling service by individual student: case notes/process notes (These records cannot be disassociated from records in 3.1.10)	Completion of student's programme + 6 years	1998 c. 29, BACP Recommendation	Student Services: Counselling team
3.1.14	Requests for transcripts, references etc.	Last action on request + 1 year	JISC recommendation	Schools, Registry
3.1.15	ICT account/mailbox	Completion of student's programme + 1 year	UoH decision	Computing Services
3.1.16	DBS clearance Certificates	Date of clearance + up to a maximum of 6 months	DBS code of practice	Schools, SCLS, Student Services
3.1.17	DBS checks documentation, including DBS panel minutes and appeals	End of Student Relationship + 6 years	UoH decision	Schools, SCLS, Student Services
3.1.18	Concerns about vulnerable groups that University refers on to children's social care, Social Services or the Police	Last contact + 6 years, unless a legal case has been brought within that time	1980 c. 58 s 5	Vulnerable Groups Safeguarding Officer
3.1.19	Concerns about students who work with vulnerable groups	After student leaves the University + 6 years, unless a legal case has been brought	1980 c. 58 s 5	Schools

See also [Health & Safety \(4.2\)](#) section for H&S records relating to individual students e.g. expectant mothers, young people. For health surveillance of students on clinical courses, please consult [Occupational Health \(5.3\)](#).

### 3.2. Other academic administration records

Ref	Records about:	Retention period	Rationale	Master held
3.2.1	Academic administration policies and procedures	Superseded + 10 years	JISC recommendation	Registry
3.2.2	Student support policies and procedures	Superseded + 10 years	JISC recommendation	Student Services
3.2.3	Recruitment campaigns	Completion + 5 years	JISC recommendation	MCSR, Research & Enterprise
3.2.4	Enquiries from prospective students	Last contact + 6 years	UoH decision 1980 c. 58	MCSR (ASIS), Int. Office
3.2.5	Reports/statistical analysis of enquiries	Current academic year + 5 years	JISC recommendation	MCSR (ASIS), Int. Office, SCLS
3.2.6	Clearing administration	Current academic year + 1 years	JISC recommendation	MCSR
3.2.7	Statistical summaries/reports – overall numbers etc.	Permanent	Enduring value	PINS, Research & Enterprise, PURE
3.2.8	Application as a tier 4 licensed sponsor	Lifetime of sponsorship	1980 c. 58 s 5 Guidance from UK Border Agency on Immigration Rules made under 1971 c.77 (HC 413 2008/9)	Int. Office
3.2.9	Induction programmes/events	Current academic year + 1 years	JISC recommendation	SCLS, Student Services, Research & Enterprise
3.2.10	Destination of Leavers/First Destination surveys – conduct, design, reporting	Current academic year + 5 years	JISC recommendation	PINS
3.2.11	Destination of Leavers/First Destination surveys – individual responses	Completion of analysis	JISC recommendation	PINS
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

3.2.13	Statistical & anonymised summaries/reports for Counselling service	Current year + 6 years	UoH decision	Student Services: Counselling team
3.2.14	Administration of programmes: including timetabling; compiling class and tutorial lists; scheduling submission/ marking/ return of assessed work; class attendance lists; organising required work placements; issuing attendance certificates for postgraduate research students.	Current academic year + 3 years	JISC recommendation	Schools, MCSR (ASIS), Research and Enterprise
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
3.2.16	Work submitted for assessment (including examination scripts)  See also 1.10.	Confirmation of marks/grades by Course Assessment Board + 4 months	UoH Regulations	Schools
3.2.17	Course Assessment Boards committee papers	Permanent	UoH decision: enduring business reason	Schools
3.2.18	Extenuating Circumstances Panels committee papers	Current academic year + 15 years	2018 c. 12 Allow for maximum course length	Schools
3.2.19	Awards ceremonies administration policies	Permanent	Enduring value	Registry
3.2.20	Notification of awards & issuing of certificates	Conferment + 1 year	JISC recommendation	Registry
3.2.21	Inviting/receiving/considering nominations for honorary awards; responses received	Conferment + 1 year	JISC recommendation	Registry
3.2.22	Organisation of award ceremonies	Completion of ceremony + 1 year	JISC recommendation	Registry
3.2.23	Academic assessment policies/regulations	Permanent	Enduring value	Registry
3.2.24	Selection/appointment of external examiners	Termination of appointment + 1 year	JISC recommendation	Registry

3.2.25	Financial support policies & procedures	Superseded + 5 years	JISC recommendation	Student Finance
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

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#### 4. Retention and disposal schedule: university management (performance, risk, audit, health & safety) records

See separate section for [University Resources \(5\)](#) to cover estate/facilities, finances, HR, collections, IPR, ICT, equipment, insurance, procurement.

##### 4.1. General

Ref	Records about:	Retention period	Rationale	Master held
4.1.1	Planning & performance management, including risk management	Permanent	Enduring value	Schools, Services
4.1.2	Identification/assessment of risk (non-Health & Safety risks)	Superseded + 1 year	JISC recommendation	Schools, Services
4.1.3	Implementation of Freedom of Speech and External Speakers Policy	Current academic year + 6 years	1980 c. 58 s 5	Schools, Services
4.1.4	Formulation/testing/maintenance of disaster response/recovery plans	Superseded + 1 year	JISC recommendation	Schools, Services
4.1.5	Quality audit strategy & procedures	Superseded + 5 years	JISC recommendation	Schools, Services
4.1.6	Quality audit conduct, results and action reporting	Completion of audit + 3 years	JISC recommendation	Schools, Services
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
4.1.8	Environmental hazard identification/risk assessment	Assessment updated + 5 years	JISC recommendation	Estates, H&S, Schools
4.1.9	Environmental incident investigations	Closure of investigation + 40 years	JISC recommendation	Estates, H&S, Schools
4.1.10	Notification/reporting of reportable environmental incidents	Date of notification + 5 years	JISC recommendation	Estates, H&S, Schools
4.1.11	Handling of information governance enquiries	Date of last action on request + 6 years	1980 c.58	Wisdom and VCO

4.1.12	Legal Advice Clinic client case files	Date of last action / file closure + 6 years	1980 c.58	LAC
4.1.13	Equality Impact Assessments for disabled people, racial groups and gender	Permanent	UoH decision	HR
4.1.14	Information governance policies and procedures	Permanent	Enduring value	VCO
4.1.15	Anonymised statistics and reports of information governance requests	Current year + 10 years	JISC recommendation	VCO
4.1.16	Records documenting notification of data controller details to the Information Commissioners Office	Current year + 1 year (Notifications must be renewed annually)	ICO	VCO
4.1.17	Publication Scheme maintenance and development	Revision of scheme + 5 years	JISC recommendation	VCO
4.1.18	FOI requests	Date of last action + 10 years	UoH decision	VCO
4.1.19	ICT Systems design and implementation	Completion of project + 5 years	JISC recommendation	System Owner
4.1.20	ICT Systems maintenance, upgrades, service agreements and contracts	Decommissioning of system + 5 years	JISC recommendation	System Owner
4.1.21	ICT Systems support and guidance	Superseded + 1 year	JISC recommendation	System Administrator
4.1.22	ICT Systems strategy	Superseded + 5 years	JISC recommendation	CLS Computing Director
4.1.23	Air conditioning system inspection reports	Most recent report made by an energy assessor must be kept until superseded	SI 2012/3118 Regulation 20(1)	Estates
4.1.24	Non-hazardous waste transfer notes	Waste leaves site + 3 years	SI 2011/988 Regulation 35(6)	Estates
4.1.25	Hazardous waste transfer notes	Waste leaves site + 3 years	SI 2005/894 Regulation 48(6A)(i)	Estates
4.1.26	Podiatry Clinic patient case files - Adults	Discharge or patient last seen + 8 years	NHS standard	Wisdom/SHUM
4.1.27	Podiatry Clinic patient case files - Children	Until the patient turns 26 <sup>3</sup>	NHS standard	Wisdom/SHUM

<sup>3</sup> 8 years after the patient becomes an adult at 18 years' old

## 4.2. Health and safety

Ref	Records about:	Retention period	Rationale	Master held
4.2.1	Health & Safety strategy, policies & procedures	Permanent	Enduring value	H&S
4.2.2	H&S committees	Permanent	Enduring value	UniFunctions (earlier records with units)
4.2.3	H&S Reports	Permanent	Enduring value	Wisdom (earlier records with units)
4.2.4	H&S inspection and audits (other than on specific topics listed below eg. hazardous substances)	Current year + 5 years	JISC recommendation	H&S, Units
4.2.5	Safety representatives – appointment, training, consultation	Current year + 50 years	JISC recommendation	Units
4.2.6	Display screen equipment (including risk assessments; information/instruction /training; maintenance/monitoring; incident reports)	Superseded + 10 years	JISC recommendation	H&S, Units
4.2.7	Fire safety (including risk assessments; information/instruction /training; maintenance/monitoring; incident reports; evacuation practices)	Superseded + 5 years	JISC recommendation	H&S, Units
4.2.8	First Aid (including appointment/training of First Aiders, assessment of first aid needs)	Current + 5 years	JISC recommendation	Occ Health, Units
4.2.9	General H&S training	Superseded + 10 years	JISC recommendation	H&S, Units
4.2.10	RIDDOR-reportable incidents	Closure of investigation + 40 years	In line with SI 2013/1471 Regulation 12 (2)	H&S



4.2.11	Expectant and new mothers (including risk assessments; information/instruction /training; maintenance/monitoring; incident reports)	Date of notification of pregnancy + 22 years <sup>4</sup> (unless exposure to hazardous substances and physical agents in which case + 40/50 years as specified below)	1980 c. 58 s 11	H&S, Units
4.2.12	Young persons at work (under 18) (including risk assessments; information/instruction /training; maintenance/monitoring; incident reports)	Date joined + 8 years <sup>5</sup> (unless exposure to hazardous substances and physical agents in which case + 40/50 years as specified below)	1980 c. 58 s 11	H&S, Units
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	SI 2002/2677 Regulation 7(10) and Schedule 3, para. 4(3) SI 2002/2676 Regulation 10(5) SI 2012/632 Regulation 19(4) SI 2012/632 Regulations 19 and 22 SI 2013/1471 Regulation 12	H&S, Units
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	SI 2017/1075 Regulation 22(3)(a) SI 2010/1140 Regulation 3(6 and 7) and Regulation 6 (3 and 5)  UoH decision	H&S, Units

<sup>4</sup> Applying the entitlement of a child to bring a claim up to 3 years after their 18th birthday; retention period includes the period of pregnancy.

<sup>5</sup> Applying the entitlement of a child to bring a claim up to 3 years after their 18th birthday, on the basis that children under 13 years of age are generally prohibited from employment.

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	JISC recommendation	H&S, Units
4.2.16	Incidents involving potential exposure to biological agents but where no cross-contamination has occurred	Superseded + 10 years	Occupational Health best practice	H&S
4.2.17	General H&S risk assessments (other than specific topics above)	Superseded + 5 years	JISC recommendation	H&S, Units
4.2.18	Employer's liability insurance certificates	Commencement/renewal of policy + 40 years	SI 1998/2573 Regulation 4(4)	H&S
4.2.19	General H&S incident reports (other than for specific topics listed above)	Closure + 3 years	1980 c.58 s 11	H&S, Units

For health surveillance, please consult [Occupational Health \(5.3\)](#).

All other H&S matters: please consult the University Records Manager and the Office of Health & Safety who will use the JISC retention schedule for guidance <http://www.jiscinfonet.ac.uk/partnerships/records-retention-he>

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

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**5. Retention and disposal schedule: university resources (finance and purchasing; staff; equipment) records**

See separate section for [University Management \(4\)](#) to cover planning, performance, governance, management of risk, audit, legal affairs, equality & diversity, health & safety, environment/waste.

**5.1. General**

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 para. 5.2	Finance
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 European funding 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 para. 5.2	Finance
5.1.6	Master copies of procedures relating to the management of equipment and consumables.	Superseded + 3 years	JISC recommendation	Finance, Units
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

5.1.8	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
5.1.9	Work equipment, including lifting equipment and pressure systems	Life of item + 6 years	JISC recommendation	Units
5.1.10	Specifications for, selection, development & installation, testing, inspection & maintenance of equipment/consumables: other items	Life of item	JISC recommendation	Units
5.1.11	Stock inventory, stocktaking/checking for equipment/consumables.	Superseded	JISC recommendation	Finance
5.1.12	Monitoring of the condition of stored equipment/consumables.	Current year + 1 year	JISC recommendation	Units

## 5.2. Individual staff records

Ref	Records about:	Retention period	Rationale	Master held
5.2.1	Recruitment – unsuccessful applications including interview notes	Completion of recruitment process + 1 year  (If candidate appointed is a sponsored migrant then records for all candidates interviewed for the vacancy need to be retained and should be forwarded to HR)	2010 c. 15 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	HR
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
5.2.3	Individual staff: Major injuries arising from workplace accidents	Termination of employment + 40 years	1980 c. 58 s 11	H&S
5.2.4	Individual staff files including but not limited to:  Advert, application forms + supporting recruitment documentation, job description  Personal details & copies of eligibility to work documents  Contract(s) Terms & conditions incl. changes, regrading / promotions  Termination of employment by resignation, redundancy, retirement, dismissal, exit interviews	Termination of employment + 6 years	1980 c. 58 s 5  Data Protection Act	HR

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
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
5.2.7	Health Assessments including reports from Occupational Health	Termination of employment + 6 years	The Working Time Regulations 1998 (SI 1998/1833)	HR
5.2.8	Employee timesheets (required for payroll purposes)	Current financial year + 2 years	1970 c. 9 s 34 SI 2016/49 Regulation 11	HR
5.2.9	Annual leave and Flexitime records	End of holiday year + 2 years	The Working Time Regulations 1998 (SI 1998/1833)	Schools, Services
5.2.10	Individual staff: Statutory leave entitlement e.g. parental leave	Completion of entitlement + 6 years	SI 1999/3312	HR
5.2.11	Individual staff: other including Induction Training & development Personal protective/special equipment issued to employee	Termination of employment + 6 years	1980 c. 58 s 5	Schools, Services
5.2.12	Individual staff: Income Tax and NI; correspondence with HMRC	Current tax year + 6 years	E11 (2010)	HR
5.2.13	Job evaluation documentation for all roles evaluated or matched	Paper copies retained indefinitely	Best practice	HR

5.2.14	Individual staff: Statutory sick pay and statutory maternity pay and leave	Current tax year + 3 years	E14 (2010)  SI 1982/894 Regulation 13  SI 1986/1960 Regulation 26  (Requirements to keep SSP records removed but agreed to keep in line with other statutory payments for best practice)	HR
5.2.15	Individual staff: Pensions	Birth date + 100 years	Records kept for the lifetime of the individual.  The period is recommended by the Pension's Regulator	HR
5.2.16	Individual staff: Provision of references	If successful add to individual staff file.  If unsuccessful destroy after provision of reference + 1 year	JISC recommendation	Schools, Services, HR
5.2.17	DBS clearance documentation	Date of clearance + up to a maximum of 6 months	DBS code of practice	HR
5.2.18	Individual staff email account	Date of leaving + 2 months	UoH recommendation	CLS
5.2.19	Individual ex-staff now pensioners	Cessation of benefits + 12 years	CIPD recommendation	HR
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

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	Child Protection Unit (NSPCC)	HR
5.2.22	Individual affiliate records	End of relationship + 6 years	1980 c. 58 s 5	Schools, Services, IT
5.2.23	Staff appraisal records	Current Academic Year + 5 years	Best practice	Schools, Services

See also [Health & Safety \(4.2\)](#) section for H&S records relating to individual staff eg. expectant mothers.

### 5.3. Occupational health

Ref	Records about:	Retention period	Rationale	Master held
5.3.1	Non-COSHH (Control of Substances Hazardous to Health) records  Staff and Student case files	6 years after departure (end of student relationship <sup>6</sup> or end of employment for staff)	UoH decision BMA 2017 Updated Guidelines	Occ Health

<sup>6</sup> Where the retention period relates to the end of student relationship we have taken the longest student relationship for a course currently (10Yrs) and added it to the date a student folder is opened in Cohort.

End Student Relationship + 6Yrs = Date Folder Opened plus16y



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 regulations 10 and 11	Occ Health
5.3.3	Control of asbestos at work records	Date of last entry + 40 years	SI 2002/2677 regulations 10 and 11 SI 2012/632 regulations 19 and 22	Occ Health
5.3.4	Ionising radiations regulations records	30 years or until age 75 whichever is longer	SI 2017/1075 regs 22(3)(a), 24(2)(c), 25(2)(c), 26(2)(b)	Occ Health
5.3.5	Non-starters records	Date of entry+6 months	UoH decision	Occ Health
5.3.6	Non clinical records: policy documents and codes of practice	10 years after they are superseded	JISC recommendation	Occ Health
5.3.7	Non clinical records: clinical audit reports	3 years	UoH decision	Occ Health
5.3.8	Non clinical records: Updated forms / policy documents	Will be assigned Version numbers and archived electronically	UoH decision	Occ Health
5.3.9	Non clinical records: Diaries	3 years	UoH decision	Occ Health

#### 5.4. Archive management

Ref	Records about:	Retention period	Rationale	Master held
5.4.1	Archives accession register and depositor/donor agreements	Permanent	To accompany lifetime of archives	Heritage Quay
5.4.2	De-accessioning register	Permanent	UoH decision	Heritage Quay
5.4.3	Archive catalogues and finding aids	Permanent	To accompany lifetime of archives	Heritage Quay
5.4.4	Records concerning access to archives: sign-in sheets, document request slips, strongroom swipe card access records	Last action on enquiry + 10 years	UoH decision	Heritage Quay, Estates, Topdesk
5.4.5	Records concerning access to archives containing personal data	100 years	1998 c. 29	Heritage Quay

5.4.6	Copyright Declaration Forms	Permanent	To accompany lifetime of archives	Heritage Quay
5.4.7	Events photograph permission forms	100 years	1998 c. 29	Heritage Quay
5.4.8	Archive loan paperwork	Return of items + 6 years	1980 c.58 s. 5	Heritage Quay
5.4.9	Records concerning the monitoring and control of the storage of archives	Date of records + 10 years	UoH decision	Heritage Quay, Estates
5.4.10	Records documenting conservation work undertaken on items in the archives.	Permanent	To accompany lifetime of archives	Heritage Quay
5.4.11	Records relating to archive enquiries	Last action of enquiry + 1 year	UoH decision	TopDesk

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**6. Retention and disposal schedule: corporate relations (including complaints and enquiries, events and visits)**

See forthcoming schedule for Corporate Relations to cover PR, media relations, HE/FE relations, community relations, alumni relations, fundraising, student relations, Government/Parliamentary relations, Students' Union relations, marketing.

Ref	Records about:	Retention period	Rationale	Master held
6.1	Visitor security passes	Date of issue + 1 year	UoH decision	Estates
6.2	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
6.3	Planning and evaluation of student events	Current academic year + 1 year	JISC recommendation	MCSR, Units
6.4	Planning and evaluation of public events	Completion of event + 1 year	JISC recommendation	MCSR, Units
6.5	Organisation and administration of events	Completion of event + 1 year	JISC recommendation	MCSR, Units
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
6.7	University Council members – Register of Interests	Completion of post + 12 years	UoH decision	VCO
6.8	Publications	Permanent	Enduring value	MCSR
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
6.10	Formal responses to consultations conducted by HE/FE sector organisations	Last action on consultation + 3 years	JISC recommendation	VCO
6.11	Preparation and submission of reports to HE/FE regulatory bodies	Submission of report + 3 years	JISC recommendation	VCO, PINS

6.12	Membership of & participation in local community organisations	Termination of membership + 1 year	JISC recommendation	Units
6.13	Establishment and operation of Student Panels	Permanent	Enduring value	Schools
6.14	Market research data: data relating to identifiable individuals	Completion of analysis of data	JISC recommendation	MCSR, Units
6.15	Market research data: aggregated data and analyses	Completion of research + 5 years	JISC recommendation	MCSR, Units
6.16	Design, implementation and review of marketing campaigns	Completion of campaign + 3 years	JISC recommendation	MCSR
6.17	Marketing materials	Permanent (1 copy) Otherwise completion of campaign or superseded	UoH decision	University Archives
6.18	Press Releases	Permanent (1 copy)	UoH decision	MCSR
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

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## 7. 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
2018 c. 12	Data Protection Act 2018
2010 c. 15	Equality Act 2010

### Statutory Instruments of the UK Parliament

SI 2017/1075	The Ionising Radiations Regulations 2017
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 2003/1660	The Employment Equality (Religion or Belief) Regulations 2003
SI 2003/1661	The Employment Equality (Sexual Orientation) Regulations 2003
SI 2006/1031	The Employment Equality (Age) Regulations 2006
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 2016/49	The Working Time Regulations 2016

### Other provisions

HC 413 (2008-9)	House of Commons Paper 413 (Session 2008-9)
GOV.UK	<a href="#">DBS Code of Practice (2015)</a>
GOV.UK	Starting the tax year: Employer Helpbook ( <a href="https://www.gov.uk/payee-for-employers/payee-and-payroll">https://www.gov.uk/payee-for-employers/payee-and-payroll</a> )
GOV.UK	Statutory Sick Pay (SSP): Employer Guide ( <a href="https://www.gov.uk/employers-sick-pay/overview">https://www.gov.uk/employers-sick-pay/overview</a> )
BMA	The occupational physician (2017)
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).

### 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
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
p/t	Part-time

PINS	Planning and Information Systems
PR	Public relations
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

## 8. Policy sign-off and ownership details

Document name:	University Retention and Disposal Schedule
Version Number:	2.0
Equality Impact Assessment:	8 March 2017
Approved by:	<p>University Senior Management Team on 28/11/2008.</p> <p>Version 2.0 endorsed by Information Governance Group on 16/03/2017 and approved by University Senior Management Team on 27/04/2017.</p> <p>Reverted back to version 1.0 due to introduction of Policy Framework 2017/2018</p> <p>Version 2.0 endorsed by Information Governance Group on 12/07/2018 and approved by University Senior Management Team on 13/09/2018.</p>
Effective from:	13 September 2018
Date for Review:	13 August 2019
Author:	Sarah Wickham, Amy-Jo Cameron-Williams, Robert Clegg
Owner (if different from above):	University Archivist & Records Manager
Document Location:	<p><a href="http://wisdom:3797/Records-Management/Policy/Retention-Schedule.doc">http://wisdom:3797/Records-Management/Policy/Retention-Schedule.doc</a> and published to the web from <a href="https://www.hud.ac.uk/media/policydocuments/Retention-Schedule.pdf">https://www.hud.ac.uk/media/policydocuments/Retention-Schedule.pdf</a></p>
Compliance Checks:	Staff training via information governance online training package and associated monitoring
Related Policies/Procedures:	<p>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</p> <p>University Business Classification Scheme, Mini Retention Schedule</p>

## 9. Revision history

Version	Date	Revision description/Summary of changes	Author
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.	Amy-Jo Cameron-Williams
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)	Amy-Jo Cameron-Williams
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)	Robert Clegg/ Sarah Wickham
V1.7	Dec 2015	Annual review (minor amends not requiring committee approval)	Amy-Jo Cameron-Williams
V1.6	Dec 2014	Annual review (minor amends not requiring committee approval)	Amy-Jo Cameron-Williams
V1.5	Dec 2013	Annual review (minor amends not requiring committee approval)	Amy-Jo Cameron-Williams
V1.4	Dec 2012	Annual review (minor amends not requiring committee approval)	Amy-Jo Cameron-Williams
V1.3	Dec 2011	Annual review (minor amends not requiring committee approval)	Amy-Jo Cameron-Williams
V1.2	Dec 2010	Annual review including consultation and full legislation check (minor amends not requiring committee approval)	Sarah Wickham
V1.1	Dec 2009	Annual review (minor amends not requiring committee approval)	Sarah Wickham
V1.0	Nov 2008	Original policy signed off by Senior Management Team	Sarah Wickham