

# STATEMENT OF RECORDS MANAGEMENT PRACTICE AND MASTER RECORDS RETENTION SCHEDULE (NOVEMBER 2024)

## PURPOSE AND SCOPE OF THIS DOCUMENT:

This document is designed:

- In the 'Statement of Records Management Practice', to set out the College's framework for the management of its records.
- In the 'Master Records Retention Schedule', to provide recommendations to College's on minimum retention periods for various classes of records, including an indication of those records that are or might be suitable for preservation within the College Archives. Departments are strongly encouraged to follow these recommendations which have been formulated in the context of existing College policies and guidelines, national legislation and sector-wide best practice standards.

## Contact

For questions, advice or guidance about records management please contact the Executive Team on [dataprotection@suffolk.ac.uk](mailto:dataprotection@suffolk.ac.uk), 01473 382453.

For questions, advice or guidance about archiving, and to make arrangements for the formal transfer of relevant records please contact Facilities on 01473 382222.

## CONTENTS

STATEMENT OF RECORDS MANAGEMENT PRACTICE.....	2
1. Scope.....	2
2. Objectives.....	2
3. Responsibilities .....	3
MASTER RECORDS RETENTION SCHEDULE .....	3
INTRODUCTION AND GUIDANCE NOTES.....	3
SECTION 1 GOVERNANCE AND STRATEGY .....	8
SECTION 2 STUDENT ADMINISTRATION .....	15
SECTION 3 TEACHING.....	21
SECTION 4 FINANCE .....	24
SECTION 5 HUMAN RESOURCES .....	30
SECTION 6 ESTATE MANAGEMENT .....	39

SECTION 7	STUDENT AND STAFF SERVICES .....	54
SECTION 8	COMMUNICATIONS .....	56
SECTION 9	LEARNING CURVE.....	58
SECTION 10	IT SERVICES.....	61
SECTION 11	HEALTH AND SAFETY (INCLUDING .....	63
	OCCUPATIONAL HEALTH).....	63
SECTION 12	DEVELOPMENT AND ALUMNI RELATIONS .....	67

## STATEMENT OF RECORDS MANAGEMENT PRACTICE

### 1. Scope

The efficient management of the College's records and information

(Hereafter collectively referred to as 'records') is necessary to support its core functions, to comply with its legal, regulatory and contractual obligations and to contribute to the effective management of its activities. This Statement sets out the College's framework for the management of its records.

This Statement applies to all records created, received or maintained by college staff in the course of carrying out their contractual duties.

Records are defined as all documents and materials, regardless of format, which facilitate the activities carried out by the College. These records may be created, received and maintained in hard copy, electronically (including emails), or both.

Various classes of records, such as research records, also may be subject to external and/or specific contractual record-keeping requirements.

Records of some of the College's activities and functions are maintained using formal electronic document management systems. Where this is the case, the electronic copy of any record is to be regarded as the master record and as legally admissible under relevant legislation, standards and guidance.

### 2. Objectives

Records management is a discipline designed to ensure the effective, efficient and systematic control of the creation, receipt, maintenance, use, access, distribution, transfer, transmission, storage, security, disposal and destruction of records.

Records management helps to:

- ensure that the College conducts itself in an efficient and accountable manner.
- meet legislative and regulatory requirements.
- support and document policy formation and decision-making.
- facilitate the effective performance of activities and delivery of services throughout the College.
- provide continuity in the event of a disaster.
- protect the interests of the College in the event of litigation or otherwise.
- establish and maintain the College's cultural identity and institutional memory.

### 3. Responsibilities

The College has a corporate responsibility to maintain its records and records management systems in accordance with legislation.

The College's Deputy CEO and Head of IT Services are responsible for providing guidance and advice on good records management practice within the context of existing College policies and guidelines, national legislation and sector-wide best practice standards.

Each Department has overall responsibility for the management of the records generated by its activities. A Department's records management systems, policies and procedures should wherever possible be consistent with the guidance and advice provided by the Master Records Retention Schedule in this document.

Individual members of staff should ensure that records for which they are responsible are maintained and disposed of in accordance with any systems, policies and procedures in place within their department.

## MASTER RECORDS RETENTION SCHEDULE

### INTRODUCTION AND GUIDANCE NOTES

1. The recommendations in this Schedule apply equally to records created, received and maintained in hard copy and electronically.
2. This Schedule sets out the recommended periods for which the College's records should be retained and details what should be done with those records once their Retention Periods have elapsed.
3. The College's records may broadly be divided into three categories:

#### (a) Master Records

These are definitive copies of documents (or spreadsheets, databases, presentations, images, sound recordings, etc.) held by the 'Records Owner'. The Records Owner is either the originator of the Master Record or the current member of staff who is formally responsible for the Master Record as part of their duties. **All Retention Periods recommended in this Schedule relate solely to Master Records.**

#### (b) Duplicate Records

These are duplicates of Master Records (for example, multiple sets of committee minutes or copies of correspondence in the possession of staff other than the Records Owner). It is recommended that Duplicate Records should be kept for reference only, and for no longer than the Retention Period of the Master Record, and then destroyed.

(c) Transitory Records

These are records which have no significant on-going value after they have served their primary purpose. Some examples of Transitory Records are:

- draft documents and working materials which do not demonstrate significant steps in the development of a final version.
- documents containing requests for information which have no further value after the information is provided or received.
- items received only for information from elsewhere in the College, often as part of a distribution list.
- items received only for information from external organisations.

It is recommended that Transitory Records should be destroyed in the normal course of business when no longer required.

4. Identifying the Master Records, and the corresponding Records Owner, usually will be straightforward. However, due to the fact that numerous individual members of staff in multiple Departments may access and use the same records, on occasion it can be difficult to pinpoint the Master Records and corresponding Records Owner. In general:

- (a) If the records are created/updated solely by one member of staff, those will be the Master Records and that member of staff will be the corresponding Records Owner.

EXAMPLES	
Master Records	Records Owner
Submissions to a College-wide consultations of all Departments	The project manager running the consultation
Records in EBS	The Head of Funding & Performance
Records in Pro Monitor	The Director of Quality and Student Services

- (b) If the records are created/updated by on **‘team’** of staff, those will be the Master Records and the head of that ‘team’ will be the corresponding Records Owner.

EXAMPLES	
Master Records	Records Owner
Important emails held on a shared HR email account	The Head of HR
Research datasets generated from a project	The Project Lead
School absence records	The School Administrator

- (c) If the records are created/updated by multiple **‘teams’** of staff across different Departments, the Master Records will be those held by the lead Department for the activity, initiative or project, and the Records Owner will be the relevant senior member of that lead Department.

<b>EXAMPLES</b>	
<b>Master Records</b>	<b>Records Owner</b>
Submissions to a College-wide consultation of all departments	The project manager running the consultation
Records in Symmetry	The Deputy Director of Finance
Copies of student applications on the EBS	The Head of Funding & Performance

5. The Schedule suggests recommended Retention Periods based where applicable on relevant legislative requirements. Some of the most important legislative requirements in relation to records retention are as follows:

#### **Data Protection Legislation**

Data Protection legislation (notably the EU General Data Protection Regulation and certain UK legislation issued pursuant to it) states that records containing personal data (i.e., information relating to living identifiable individuals) should not be kept for longer than necessary before being anonymised or destroyed. Under the GDPR, organisations need to tell individuals in broad terms about how long their information will be retained. The College directs various types of individuals (applicants, students, staff, alumni, and others) to this Schedule for this information, and so it is important that the recommendations herein are adhered to.

This does not mean that all records containing personal data ultimately require anonymisation or destruction. As set out in the Schedule, some identifiable records (e.g., core records about individual students or staff held in major IT systems) justifiably need to be retained in the very long-term for ‘active’ purposes (e.g., the provision of references). In addition, there are exemptions from the standard principle if records containing personal data are retained solely for the purposes of research, statistics or public interest archiving (which is why certain ‘inactive’ records may be retained in the College Archives).

#### **Financial And Health and Safety Legislation**

Various financial records have to be retained for fixed periods for tax, payroll or pension purposes. Similarly, various health and safety records (whether relating to general risk assessments or the specific health screening/ monitoring of individuals) have to be retained for fixed periods.

#### **Legal Documents and Claims**

Certain legal documents (e.g., contracts or deeds) necessitate a lengthy retention period. Even if a fixed retention period is not set out in a specific piece of legislation, many other records should be retained for a certain number of years to allow the College to defend itself from legal claims (e.g., proceedings brought under discrimination or employment legislation) or contractual disputes (e.g., with a supplier).

6. Staff may be justified in applying different Retention Periods where other factors require consideration, such as an audit investigation, a court case, or on-going institutional requirements. Furthermore, if there are specific or supplementary contractual, legal/regulatory or best practice requirements which determine that certain College Departments should keep particular records for longer or shorter Retention Periods than those recommended in the Schedule (or should retain/archive them in specific ways), then those alternative requirements should be followed.

However, to ensure the relevance and accuracy of the Schedule, such exemptions should be categorised and added to the Schedule or added as sub-categories to existing entries in the Schedule, with appropriate justification/reasons in the course of regular reviews of the Schedule and other data policies.

7. The following guidance notes are designed to assist users of this Schedule.

**(a) SUBJECT**

This column describes the type or 'class' of records involved and applies equally to materials held in hard copy and electronically.

While the Schedule is split into sections and sub-sections, not all of the records listed in this column will be physically or electronically held by the relevant Department. For example, some finance records are generated and stored within Schools and Departments rather than the central records of the Finance Team. Similarly, many records relating to teaching are maintained by School locally or individual members of academic staff rather than the relevant central offices.

The Schedule does not list the Records Owner for each class of records, as Master Records in many classes will be held in different ways in numerous Departments. For example, Master Records relating to procurement are held both in the Procurement Services section of Facilities and in individual Departments, depending on the nature of the tender and the procurement process followed. Similarly, Master Records about procedures for numerous matters (e.g., appraisals, low-level disciplinarys, local induction processes) are held throughout the College. On a few occasions, however, explanatory comments are supplied to assist.

**(b) RETENTION PERIOD**

This column sets out the recommended length of time for which the records should be kept within Departments as a matter of course.

Retention Periods are often described as:

[‘Trigger’ point] + [Number of additional years to be kept]

**(c) ACTION AT END OF RETENTION PERIOD**

This column sets out the recommended action to be taken once the Retention Period has elapsed. It is recommended that the Records Owner should confidentially destroy the records. Paper records should be shredded or recycled (depending on the sensitivity and confidentiality of their contents). Electronic records should be securely deleted. (Wholesale backups of IT systems containing electronic records for disaster recovery purposes are not

deemed to be active records. Therefore, electronic records are considered to be 'destroyed' when the Records Owner performs the deletion).

Please note that there are also a range of non-standard options listed at various points in the Schedule; these should be self-explanatory.

## SECTION 1 GOVERNANCE AND STRATEGY

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>1.1</b>	<b>OFFICIAL PUBLICATIONS</b>		
1.1.1	Official College publications, including the Constitution, Annual Reports, Annual Accounts (Financial Statements)	None. One copy to be sent to the Learning Curve and another published on the College Website	
<b>1.2</b>	<b>COMMITTEES, BOARDS, SYNDICATES, WORKING GROUPS, ETC.</b> (Excluding committees dealing with individual student cases [for which see 2.4] and Examination Boards [for which see 2.3.9])		
1.2.1	Membership and appointment records	End of an individual's tenure + 6 years	Destroy
1.2.2	Ballot papers for elections	Completion of election + 3 months	Destroy
1.2.3	Registers of interests	End of an individual's tenure + 6 years	Destroy
1.2.4	Agendas, minutes and papers for bodies listed in Constitution; major cross-College committees; major School-level committees; major committees within individual Departments	End of current academic year + 5 years	Send to College Archives
1.2.5	Agendas, minutes and papers for all other Corporation committees and working groups	End of current academic year + 5 years	Send to College Archives
1.2.6	General working and organisational papers relating to committee business	End of current academic year + 5 years	Destroy (in the case of very significant committees)



<b>1.3</b>	<b>STRATEGIES, PLANS, POLICIES AND PROCEDURES</b> (Many of these records will be held as part of Committee papers and minutes [for which see 1.2])		
1.3.1	Final major strategy documents	Until superseded by new strategy + 5 years	Send to College Archives
1.3.2	Working papers used in developing and updating major strategies	Issue of strategy + 5 years	Destroy
1.3.3	Final plans for implementing major strategies	Until superseded by new plan + 5 years	Destroy
1.3.4	Working papers used in developing and updating plans for implementing major strategies (e.g., analyses, management information reports, benchmarking exercises and performance monitoring)	Issue of plan + 5 years	Destroy
1.3.5	Final policy documents	Until superseded by new policy + 5 years	Send to College Archives
1.3.6	Working papers used in developing and updating policies	Issue of policy + 5 years	Destroy
1.3.7	Final procedural documents	Until superseded by new procedure + 5 years	

1.3.8	Working papers used in developing and updating procedures	Issue of procedure + 5 years	Destroy
<b>1.4</b>	<b>GOVERNMENT AND SECTOR REGULATOR RELATIONS</b>		
1.4.1	General communications with governmental or parliamentary bodies and sector regulators (including enquiries and responses provided)	While necessary for reference and future planning purposes (as a general guide: End of current academic year + 6 years)	Destroy
1.4.2	Formal responses to governmental or regulatory surveys and consultations	Submission of response + 5 years	Destroy
1.4.3	Records of the College's formal participation in governmental inquiries	Completion of inquiry + 10 years	Initiate Archival Review Process
1.4.4	Working papers documenting the College's involvement with sector-wide bodies	End of current academic year + 5 years	Destroy
1.4.5	Formal responses to surveys and consultations run by sector-wide bodies	While necessary for reference and future planning purposes (as a general guide: Submission of response + 6 years)	Destroy
<b>1.5</b>	<b>FRAUD, WHISTLEBLOWING AND INFORMATION/COPYRIGHT COMPLIANCE</b>		

1.5.1	Fraud and whistleblowing case files	Last action on case + 6 years	Destroy
1.5.2	Records regarding the College's interactions with the Information Commissioner's Office	End of current academic year + 6 years	Destroy
1.5.3	Requests for personal information under data protection legislation	Last action on request + 6 years	Destroy
1.5.4	Records of consent under data protection legislation	Until relevant personal data is anonymised or destroyed	Destroy
1.5.5	Records of forms, portals used to secure consent under data protection legislation	Until associated personal data is anonymised or destroyed	Destroy
1.5.6	Freedom of Information Publication Scheme	Until superseded by new Scheme + 5 years	Destroy
1.5.7	Requests for information under the Freedom of Information Act 2000	Last action on request + 6 years	Destroy
1.5.8	Records retention schedules	Until superseded by new documentation + 1 year	Send to College Archives

1.5.9	Records detailing the outcomes of archival appraisals	Completion of appraisal process + 10 years	Destroy
1.5.10	Records regarding the upkeep of the College's copyright licences	End of current academic year + 15 years	Destroy
1.5.11	Records concerning applications to copy outside the standard terms of a licence	Period for which permission is granted + 6 years	Destroy
1.5.12	Records of inspections by copyright holders	Inspection + 1 year	Destroy
<b>1.6</b>	<b>RISK MANAGEMENT AND INTERNAL AUDIT</b> (Some of these records will be held as part of Committee papers and minutes [for which see 1.2])		
1.6.1	Strategic and operational risk registers	Until superseded by updated register + 5 years	Destroy
1.6.2	Working papers on the identification, assessment and management of risks to the College	Until risk no longer applicable + 3 years	Destroy
1.6.3	Disaster response and recovery plans, business continuity plans	Until superseded by new plan + 5 years	Destroy

1.6.4	Internal audit reports issued to the College, and records of actions taken to address issues raised (for annual audits of the Financial Statements, see 5.1.4)	Completion of audit + 7 years (though longer retention periods may be necessary depending on findings)	Destroy
<b>1.7</b>	<b>LEGAL DOCUMENTS AND SERVICES</b>		
1.7.1	Contracts and legal agreements on all topics (including supporting documentation and legal advice)	End of contract + 6 years (under signature) End of contract +12 years (under seal)	Destroy
1.7.2	Leases and lease agreements	Expiry of lease + 15 years	Destroy
1.7.3	Claims by or against the College which do not proceed to litigation or are settled by agreement (including supporting legal advice)	Withdrawal or settlement of claim + 6 years	Destroy
1.7.4	Litigation with third parties where legal precedents is set (including supporting legal advice)	Settlement + 6 years	Retain core record in perpetuity under the supervision of the Legal Services
1.7.5	Litigation with third parties where legal precedents is not set (including supporting legal advice)	Settlement + 6 years	Destroy

1.7.6	Records relating to Trusts	Until Trust wound up or subsumed	Initiate Archival Review Process
1.7.7	General legal advice on matters of the College's status, governance, industrial relations and health and safety	Until superseded by fresh advice + 12 years	Destroy
1.7.8	General legal advice on other matters	Until superseded by fresh advice + 6 years	Destroy

**SECTION 2      STUDENT ADMINISTRATION**

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
2.1	<b>CORE STUDENT RECORD</b>  (Relating to individual students)		

2.1.1	<p>Core electronic (EBS, Pro Achieve, Pro Monitor, Moodle) and paper records about individual students, including:</p> <ul style="list-style-type: none"> <li>(a) basic personal details</li> <li>(b) information gathered at application</li> <li>(c) information gathered at registration</li> <li>(d) study programmes/courses and papers undertaken, including relevant dates of teaching and assessment and College affiliations</li> <li>(e) information on academic progress and performance, including assessment outcomes</li> <li>(f) any supplementary information required for professional accreditation</li> <li>(g) summary information on examination allowances</li> <li>(h) transcript</li> <li>(i) reference(s) from the College</li> </ul> <p>(See 13.1.1 for basic records relating to students after graduation)</p>	Student graduation or departure + 6 years	<p>Electronic records: Retain in perpetuity</p> <p>Other electronic and paper records (whether held centrally or in Departments): Destroy (though longer retention periods may be necessary in some cases)</p>
2.2	<b>STUDENT RECRUITMENT, OUTREACH AND ADMISSIONS</b>		



2.2.1	Prospectuses	See 1.1	See 1.1
2.2.3	Design, conduct and results of recruitment and outreach campaigns, initiatives and events	While necessary for reference and future planning purposes	Destroy
2.2.3	Records of attendance at/engagement with recruitment and outreach campaigns, initiatives and events	Retain for the current year + 1 year	Destroy
2.2.4	Anonymised summaries and analyses of enquiry, outreach and recruitment data	While necessary for reference and future planning purposes	Destroy
2.2.5	Development of general admissions criteria	End of current academic year + 10 years	Destroy
2.2.6	Individual student applications: unsuccessful applicants	Completion of admissions round + 1 year (though longer retention periods may be necessary for deferred or non-standard applications)	Destroy
2.2.7	Individual student applications: successful applicants	Held as part of Core Student Record	See 2.1

2.2.8	Individual student registration information	Held as part of Core Student Record	See 2.1
<b>2.3</b>	<b>STUDENT ASSESSMENT</b>		
2.3.1	Examination and assessment guidelines and handbooks (including examination rules and procedures)	Issue of new edition + 10 years	Destroy
2.3.2	Records concerning the appointment of individual external examiners	End of an individual's appointment + 1 year	Destroy
2.3.3	Summaries of examination concessions relating to individual students	Held as part of Core Student Record	See 2.1
2.3.4	Examination papers	Current year + 1 year	Send to Examining body and then destroy
2.3.5	Examination scripts, submitted assessments, portfolios.	Follow School policy issued pursuant to Exam/Awarding Body guidance	
2.3.6	Total marks and marks for each element of the examination	Follow School policy issued pursuant to Exam/Awarding Body guidance	

2.3.7	Marks for individual assessments/exams	Follow School policy issued pursuant to Exam/Awarding Body guidance	
2.3.8	Examiners'/Assessor comments	Follow School and College policy issued pursuant to Exam/Awarding Body guidance	
2.3.9	Assessment Board minutes, External Examiners'/EV reports and results awarded	Follow School and College policy issued pursuant to Exam/Awarding Body guidance	
<b>2.4</b>	<b>STUDENT COMPLAINTS, APPEALS, DISCIPLINE AND MISCONDUCT</b>		
2.4.1	Individual student complaint files	Last action on complaint + 6 years	Destroy
2.4.2	Individual student academic appeal files	Last action on appeal + 6 years	Destroy
2.4.3	Individual student disciplinary files	Last action on disciplinary case + 6 years	Destroy
2.4.4	Individual student academic misconduct files	Last action on misconduct case + 6 years	Destroy
2.4.5	Individual student fitness to study files	Last action + 6 years	Destroy

<b>2.5</b>	<b>STUDENT SUPPORT</b>		
2.5.1	General administration of financial aid, emergency or hardship funds, and bursaries (not at the level of individual students)	End of current academic year + 6 years	Destroy
2.5.2	Design, operation and anonymised results of college-wide student surveys	While necessary for reference and future planning purposes	Archive as appropriate
<b>2.6</b>	<b>STUDENT UNION AND COLLEGE RELATIONS</b>		
2.6.1	Records of formal Student Union-College liaison committees	See 1.2	See 1.2

### SECTION 3     TEACHING

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>3.1</b>	<b>GENERAL COLLEGE TEACHING QUALITY AND STANDARDS</b>		
3.1.1	Records detailing the development of general College quality assurance processes for teaching	Held as part of relevant committee papers	See 1.2
3.1.2	Formal internal reviews of general College teaching quality and standards: final reports and core working papers	Held as part of relevant committee papers	See 1.2
3.1.3	Formal external reviews (e.g., QAA) of general College teaching quality and standards: final reports, submission and supporting documentation	End of review + 10 years	Send to College Archives then destroy
<b>3.2</b>	<b>COURSE DEVELOPMENT, APPROVAL, DELIVERY AND REVIEW</b>  (The phrase 'taught course' is used here to mean an entire curriculum as developed using market research)		

3.2.1	Core records detailing the development and approval of individual new courses (including course content, background statistical and benchmarking information, validation processes)	Held as part of relevant committee papers	See 1.2
3.2.2	Formal reviews of individual new courses: final reports and core working papers	Held as part of relevant committee papers	See 1.2
3.2.3	Anonymised summaries and analyses of student feedback on individual new courses	While necessary for reference and future planning purposes (at least: End of current academic year + 12 years)	Initiate Archival Process
<b>3.3</b>	<b>COURSE ACCREDITATION</b>		
3.3.1	Records detailing the approval and accreditation of new courses from professional, statutory and other formal accreditation bodies	End of accreditation process + 10 years	Initiate Archival Process
<b>3.4</b>	<b>PAPER DEVELOPMENT, APPROVAL, DELIVERY AND REVIEW</b> (The phrase 'paper' is used here to mean a specific paper/module/subject etc.)		
3.4.1	Core records detailing the development and approval of individual papers within courses	Held as part of relevant committee papers	See 1.2

3.4.2	Handbooks and readings lists produced for a cohort of students	Completion of paper by the relevant cohort of students + 6 years (though longer retention periods may be necessary due to external accreditation or other quality assurance requirements)	Destroy
3.4.3	Teaching and learning materials produced during the life of a course for a given cohort of students (e.g., handouts and Virtual Learning Environment resources)	Retention periods will vary according to the nature and medium of the materials and their on-going pedagogic value	Destroy
3.4.4	Formal reviews of individual papers: final reports and core working papers	Held as part of relevant committee papers	See 1.2
3.4.5	Anonymised summaries and analyses of student feedback on individual papers	While necessary for reference and future planning purposes (at least: End of current academic year + 12 years)	Destroy

**SECTION 4     FINANCE**

	<b>SUBJECT</b>	<b>RETENTION PERIOD</b>	<b>ACTION AT END OF RETENTION PERIOD</b>
<b>4.1</b>	<b>GENERAL FINANCE</b>		
4.1.1	Annual Financial Statements: final copy	End of current financial year + 6 years	Destroy
4.1.2	Annual Financial Statements: preparatory documents	End of current financial year + 6 years	Destroy
4.1.3	Financial Regulations and Procedures	Until superseded by new edition.	Destroy
4.1.4	Financial audits and actions taken to address issued raised	End of financial year + 6 years	Destroy
<b>4.2</b>	<b>COLLEGE ACCOUNTING</b>		



4.2.1	Purchase orders, purchase invoices, sales invoices, credit card records, expenses payments, petty cash handling, retail sales transactions and other transaction records	End of current financial year + 6 years	Electronic records: Retain in perpetuity.  Other electronic and paper records (whether held centrally or in Departments): Destroy (though longer retention periods may be necessary in some cases)
4.2.2	Student receipts and expenditure – not held on the finance system	Current financial year + 6 years	Anonymised after 2 years then destroy after 6 years
<b>4.3</b>	<b>INTERNAL ACCOUNTING AND BUDGET MANAGEMENT</b>		
4.3.1	Preparation and monitoring of annual operating budgets	While necessary for reference and future planning purposes	Destroy
<b>4.4</b>	<b>FUNDING ADMINISTRATION</b>		
4.4.1	Administration of annual funding allocations from ESFA and other funding bodies	End of current financial year + 6 years	Destroy

4.4.2	Administration of grants from external funders/sponsors	End of grant + 6 years (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy
<b>4.5</b>	<b>TAX</b>		
4.5.1	Preparation and filing of annual tax returns (incl. VAT)	End of current tax year + 6 years	Destroy
<b>4.6</b>	<b>CASH, INVESTMENT AND ASSET MANAGEMENT</b>		
4.6.1	Opening and closing of bank accounts	Closure of account + 6 years	Destroy
4.6.2	Standing order and direct debit instructions	End of instruction + 6 years	Destroy
4.6.3	Bank statements and associated documentation	End of current financial year + 6 years	Destroy
4.6.4	Overall management of investment portfolio	Disinvestment + 6 years	Destroy
4.6.5	Purchase and sale of investments	Date of transaction + 6 years	Destroy

4.6.6	Valuations of capital assets	Until superseded by new valuation + 6 years	Destroy
4.6.7	Authorisations to dispose of capital assets	Disposal + 6 years	Destroy
<b>4.7</b>	<b>INSURANCE</b>		
4.7.1	Insurance Certificates	Expiry of certificate + 40 years	Destroy
4.7.2	Records documenting the arrangement and renewal of insurance policies	Expiry of policy + 6 years	Destroy
4.7.3	Claims, and outcomes of claims, against insurance policies	Settlement or withdrawal of claim + 6 years	Destroy
<b>4.8</b>	<b>PROCUREMENT</b>		
4.8.1	Internal authorisations for procurement	End of current financial year + 1 year (though longer retention periods may be necessary due to the specific contractual requirements of a project funder)	Destroy
4.8.2	Supplier evaluation criteria	Until superseded by new criteria + 5 years	Destroy

4.8.3	Invitations to suppliers to apply for approval	Completion of approval process + 1 year (though longer retention periods may be necessary due to the specific contractual requirements of a project funder)	Destroy
4.8.4	Evaluations of supplier applications: approved suppliers	End of approval period + 6 years	Destroy
4.8.5	Evaluations of supplier's applications: rejected suppliers	Rejection + 1 year	Destroy
4.8.6	Tender evaluation criteria	End of resulting contract + 6 years	Destroy
4.8.7	Invitations to tender	End of resulting contract + 6 years	Destroy
4.8.8	Evaluations of tender applications: approved tenders	End of resulting contract + 6 years	Destroy
4.8.9	Evaluations of tender applications: rejected tenders	Rejection + 1 year	Destroy
4.8.10	Supply contracts (and ensuing variations)	End of contract + 6 years	Destroy
4.8.11	Contract award notices	End of contract + 6 years	Destroy

4.8.12	Reports on contracts for governmental agencies	End of current financial year + 3 years	Destroy
4.8.13	Supplier performance monitoring	End of contract + 6 years	Destroy
<b>4.9</b>	<b>SUBSIDIARY COMPANIES</b> (Once established, wholly-owned subsidiary companies are separate legal entities. Guidance on the management of a subsidiary company's day-to-day records may nonetheless be sought from the various sections of this Schedule.)		
4.9.1	Records concerning the formation of a subsidiary company	Life of company + 6 years	Initiate Archival Process
4.9.2	Proposals for the formation of a subsidiary company where the company was not formed	Last action on proposal + 6 years	Destroy
4.9.3	Periodic review and oversight of the subsidiary company by the College	Held as part of the relevant committee papers	See 1.2
4.9.4	Winding-up or disposal of the College's interest in the subsidiary company	Winding-up or disposal of interest + 6 years	Initiate Archival Review Process

**SECTION 5 HUMAN RESOURCES**

	<b>SUBJECT</b>	<b>RETENTION PERIOD</b>	<b>ACTION AT END OF RETENTION PERIOD</b>
<b>5.1</b>	<b>CORE STAFF RECORD</b> (Relating to individual members of staff)		
5.1.1	Core electronic (ITrent) and paper records about individual members of staff, including: (a) basic personal details (including emergency contacts) (b) initial application for employment, supporting documentation and related correspondence (e.g., references, statutory checks, right to work, work permits) (c) subsequent successful applications for other jobs within the College (for unsuccessful applications, see 5.2.2) (d) contract(s) of employment and records of changes to terms and conditions	End of employment + 6 years	Electronic (ITrent) records: Retain in perpetuity  Other electronic and paper records (whether held centrally or in Departments): Destroy, with the exception of formal, centrally maintained, College Officer files, which are to be sent to the College Archives

<b>5.2</b>	<b>PERSONNEL MATTERS</b> (Relating to individual members of staff. For Occupational Health, see 11.4)		
5.2.1	Job applications: successful applications	Held as part of successful applicant's core staff record	See 5.1
5.2.2	Job applications: unsuccessful applications	Closing date for vacancy + 1 year	Destroy
5.2.3	Unsolicited job applications	Receipt of application + 1 year	Destroy
5.2.4	Records of induction programmes attended	Completion of programme + 5 years	Destroy
5.2.5	Records of general training and development programmes attended (see 11.2.2 for records relating to specialist health and safety training)	Completion of programme + 5 years	Destroy
5.2.6	Records of general training and development programmes attended where these are a statutory or regulatory requirement (see 11.2.2 for records relating to specialist health and safety training)	Expiry of relevant certification + 6 years	Destroy

5.2.7	Annual appraisals (including identification of training, development and welfare needs) and records of subsequent actions	End of employment + 6 years	Destroy
5.2.8	Promotions: re-grading confirmations and justifications; awards of contribution increments; Senior Academic Promotions; supporting documentation	End of employment + 6 years	Destroy (with the exception of Officer records on scholastic achievements, which are to be sent to the College Archives)
5.2.9	Performance, disciplinary, grievance and capability proceedings (correspondence outlining concerns, confirmations of implemented support, outcomes of both informal and formal reviews, appeals)	End of employment + 6 years	Destroy
5.2.10	Remuneration and reward of an individual employee (including records of special rewards and employee authorisations for non-standard deductions from salary)	End of current tax year + 6 years	Destroy
5.2.11	Administration of an employee's contractual holiday (annual leave) entitlement	End of current academic year + 1 year	Destroy



5.2.12	Administration of an employee's absence due to sickness	Absence record: End of employment + 6 years  Sickness record: End of current tax year + 6 years	Destroy
5.2.13	Administration of an employee's special leave (e.g., compassionate, study)	End of employment + 6 years	Destroy
5.2.14	Administration of an employee's parental leave	Birth/adoption of child + 6 years	Destroy
5.2.15	Entitlements to and calculations of an employee's Statutory Maternity Pay	End of current tax year + 3 years	Destroy
5.2.16	Records concerning termination of employment (redundancy)	End of employment + 6 years	Destroy
5.2.17	Retirement records	End of employment + 6 years	Destroy
5.2.18	References provided by the College to third parties about an employee	End of employment + 6 years	Destroy

5.2.19	Staff welfare records about individual members of staff	End of current academic year + 3 years (though longer retention periods may be necessary if individual cases are on-going)	Destroy
5.2.20	Records relating to an individual staff member's Tier 2 or Tier 5 visa status	End of staff member's sponsorship + 1 year or until a Home Office compliance officer has examined and approved the documentation (whichever is the sooner)	Destroy
<b>5.3</b>	<b>WORKFORCE PLANNING, RECRUITMENT AND PROMOTION</b> (Generic; i.e., not relating to individual members of staff)		
5.3.1	Assessments of workforce requirements	Until superseded by new assessment + 3 years	Destroy
5.3.2	Design, operation and anonymised results of staff surveys conducted by the College	While necessary for reference and future planning purposes (as a general guide: Until superseded by new survey + 5 years)	Destroy
5.3.3	Management succession plans	Until superseded by new plans + 5 years	Destroy
5.3.4	Vacancy advertisements and job descriptions	Held as part of successful applicant's core staff record	See 6.1

5.3.5	Management analyses of recruitment effectiveness	While necessary for reference and future planning purposes	Destroy
<b>5.4</b>	<b>STAFF INDUCTION, TRAINING AND DEVELOPMENT</b> (Generic; i.e., not relating to individual members of staff)		
5.4.1	Development and content of induction, training and development programmes (for IT training, see 10.4.1)	Until superseded by new programmes + 5 years	Destroy
5.4.2	Anonymised summaries and analyses of feedback on induction, training and development programmes	End of current academic year + 5 years	Destroy
5.4.3	Management analyses of induction, training and development effectiveness	While necessary for reference and future planning purposes	Destroy
<b>5.5</b>	<b>REMUNERATION</b> (Generic; i.e., not relating to individual members of staff)		
5.5.1	Remuneration structures	Until superseded by new structure + 10 years	Send to College Archives

5.5.2	General administration of pay reviews	End of current academic year + 6 years	Destroy
5.5.3	General administration of special reward schemes (e.g., discretionary pay, bonuses)	End of current academic year + 6 years	Destroy
<b>5.6</b>	<b>PAYROLL AND PENSIONS</b>		
5.6.1	Records documenting the calculation and payment of employees' salaries and other payments (for records relating to individual employees, see 5.2.10)	End of current tax year + 6 years	Destroy
5.6.2	Employer's PAYE records not sent to HMRC	End of current tax year + 3 years	Destroy
5.6.3	Records formally documenting the College's involvement in the TPS and LGPS pension schemes	End of involvement + 5 years	Destroy
5.6.4	Communications between the College and the TPS and LGPS pension schemes management	While necessary for reference and future planning purposes	Destroy
5.6.5	Employer and employee contributions to TPS and LGPS	End of employment + 75 years	Destroy

<b>5.7</b>	<b>TRADE UNION RELATIONS</b>		
5.7.1	The College's recognition and de-recognition of trade unions	Date of de-recognition + 6 years	Destroy
5.7.2	Agreements with trade unions	End of agreement + 10 years	Destroy
5.7.3	Routine communications with trade unions representatives	End of current academic year + 20 years	Destroy
5.7.4	Consultations and negotiations with trade unions on specific issues	Last action on negotiation + 20 years	Destroy
<b>5.8</b>	<b>EQUALITY AND DIVERSITY</b>		
5.8.1	Statistical information resulting from equality monitoring	While necessary for reference and future planning purposes	Destroy
5.8.2	Handling of formal complaints about discrimination	Last action on complaint + 6 years	Destroy
5.8.3	Formal equality impact assessments, schemes and action plans	Until superseded by new assessment or scheme + 5 years	Destroy

5.8.4	Annual reports on formal equality schemes and action plans	Date of issue + 5 years	Destroy
5.8.5	Formal monitoring of the equality's aspects of student admissions and progress	End of current academic year + 5 years	Destroy
5.8.6	Formal monitoring of the equality's aspects of staff recruitment and career progression	End of current academic year + 5 years	Destroy

## SECTION 6 ESTATE MANAGEMENT

### Citations - Acts of Parliament (UK)

DATE	TITLE
2005	The Regulatory Reform (Fire Safety) Order 2005
1980 c.58	Limitation Act 1980
1990	Environment Protection Act

### Statutory Instruments

S.I 1977/500	Safety representatives
S.I 2015/51	Construction (Design & Management) Regulations 2015
S.I 2013/1471	Reporting injuries diseases and & dangerous occurrences Regulations 2013
S.I. 2001/3148	The Special Waste Regulations 2001
S.I. 1999 / 1877	The Fire Precautions (Workplace) Regulations 1999
S.I. 1998 / 2306	The Provision and Use of Work Equipment Regulations 1998
S.I. 1998 / 2307	The Lifting Operations and Lifting Equipment Regulations 1998
S.I 2017/1075	The Ionising Radiations Regulations 2017
S.I. 1999 / 3242	The Management of Health & Safety at Work Regulations 1999
S.I. 2002 / 2675	The Control of Asbestos at Work Regulations 2002
S.I. 2002 / 2676	The Control of Lead at Work Regulations 2002
S.I. 2003/978	The Control of Substances Hazardous to Health Regulations 2003

S.I 2004/3391	Environmental Information Regulations
S.I 2012/632	Control of Asbestos Regulations

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>6.1</b>	<b>FACILITIES DEVELOPMENT</b>		
6.1.1	Capacity Record documents	Superseded + 5 years	Destroy
6.1.2	Records documenting development of Facilities plan	Superseded + 10 years	Destroy
6.1.3	Records documenting the development of the Capital Plan	Current + 15 years	Destroy
6.1.4	Space Management	Superseded + 10 years	Destroy
6.1.5	Capital Projects Monthly Reports	Superseded + 10 years	Destroy
6.1.6	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	Destroy



<b>6.2</b>	<b>BUILDING MANAGEMENT</b>		
6.2.1	Master plans for sites & buildings	Permanent	Retain
6.2.2	Management of Historical buildings and monuments	Permanent	Retain
<b>6.3</b>	<b>ENVIRONMENT</b>		
6.3.1	Records documenting results of environmental audits and actions taken to address issues raised	Completion of audit + 5 years	Destroy
6.3.2	Records documenting notification and reporting of incidents to enforcing authorities	Date of notification + 5 years	Destroy
6.3.3	Records documenting attainment of accreditation and maintenance of environmental schemes	Termination of accreditation + 1 year	Recycle waste
6.3.4	Waste transfer notes & consignment notes (non-hazardous waste)	Removal of waste + 5 years	Recycle waste

6.3.5	Register of special waste for disposal by registered contractors (not asbestos)	Completion of request handling process + 3 years	Destroy
6.3.6	Records containing (anonymous) management statistics, analyses and reports of requests for environmental information.	Current + 5 years	Destroy
6.3.7	Records documenting identified hazards created by its operations (i.e., drains)	Current + 5 years	Destroy
<b>6.4</b>	<b>FACILITIES STRATEGY/ POLICY</b>		
6.4.1	Records documenting the development Facilities strategy	Superseded + 10 years	Destroy
6.4.2	Records documenting the development and establishment of Facilities Management policies: key records.	Superseded + 10 years	Destroy
<b>6.5</b>	<b>MAJOR PROJECTS</b>		
6.5.1	Tender procedures – refer to relevant section of this document	Review after 15 years	

6.5.2	Graces/Warrants/Authorities	Award of contract + 1 year	If agreed - Destroy
6.5.3	Appointment of Consultants - unsuccessful applicants	Completion + 15 years	Destroy
6.5.4	Appointment of consultant - retained with contract documents	Completion + 15 years	Destroy
6.5.5	Records documenting the carrying out of major projects (Feasibility, Procurement, Design team, Estimates & Financial Reports, Local Authority Planning, H&S Management, COW Reports, Meetings, General Correspondence, Handover)	Completion + 15 years	Destroy
<b>6.6</b>	<b>PLANNING</b>		
6.6.1	Local Government Reviews	Permanent	Destroy
6.6.2	Listed Buildings/Conservation areas	Permanent	Retain
6.6.3	Planning Obligations	Permanent	Retain

<b>6.7</b>	<b>PROPERTY MANAGEMENT</b>		
6.7.1	Records documenting the acquisition of ownership of properties.	Close of negotiations plus 3 years	Destroy
6.7.2	Records documenting negotiations for properties where the property was not acquired.	End of lease + 15 years	
6.7.3	Records documenting the negotiation of leases and original lease agreements.	End of tenancy + 6 years	Destroy
6.7.4	Records documenting residential tenancy agreements	Retain	Destroy
6.7.5	Records documenting Fair Rent tenancy agreements	Retain	Destroy
<b>6.8</b>	<b>CATERING SERVICES</b>		
6.8.1	Records of catering requirements and options for provision	End current year + 1 year	Destroy
6.8.2	Design & delivery of catering, menu and events plans	End current year + 6 years	Destroy

6.8.3	Vending services	End current year + 6 years	Destroy
6.8.4	Bar licence	End of current year + 1 year	Destroy
6.8.5	Hiring of conference facilities	End of current year + 1 year	Destroy
<b>6.9</b>	<b>FACILITIES MANAGEMENT</b>		
6.9.1	Cleaning Contract	End of year + 3 years	Destroy
6.9.2	Waste Disposal Statistics	End of year + 3 years	Destroy
<b>6.10</b>	<b>FLEET MANAGEMENT</b>		
6.10.1	Records documenting the purchase or lease of vehicles	Retention of vehicle + 3 years	Destroy
6.10.2	Records documenting vehicle road tax, MOT and servicing	Retention of vehicle	Destroy
6.10.3	Records documenting insurance	Retention of vehicle + 3 years	Destroy

6.10.4	Recording of annual mileage	3 years	Destroy
6.10.5	Weekly vehicle checks	5 years	Destroy
6.10.6	Records documenting sale or disposal of vehicle	Retention of vehicle	Destroy
6.10.7	Records of damage to vehicles	Retention of vehicle	Destroy
<b>6.11</b>	<b>RECORDS MANAGEMENT</b>		
6.11.1	Records documenting the handling of requests for information held by EM, made under the Freedom of Information Act 2000	Superseded	Destroy
6.11.2	Records documenting the development and establishment of EM's Records Management strategy: key records.	Superseded	Destroy
6.11.3	Records documenting storage locations of records.	Superseded	Destroy
<b>6.12</b>	<b>BUILDING MAINTENANCE</b>		

6.12.1	Building condition surveys	Completion of works + 5 years	Destroy
6.12.2	Records documenting minor maintenance works on property.	Review of assessment + 10 years	Destroy
6.12.3	Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Permanent Retention	Destroy
6.12.4	Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Completion of works + 5 years	Retain
6.12.5	Records documenting the carrying out of interior refurbishment and fitting-out works.	Completion of work + 12 years	Destroy
6.12.6	Records documenting the carrying out of major maintenance works within facilities.	Permanent Retention	Destroy
6.12.7	Drainage survey reports	Date of report + 5 years	Retain
6.12.8	Roof Inspection Reports including fall arrest	Current year + 5 years	Destroy

6.12.9	Records documenting carrying out of planned preventative maintenance work	Date of report + 10 years	Destroy
6.12.10	Crack monitoring	Cessation of contracts + 5 years	Destroy
6.12.11	Maintenance Contracts	Permanent Retention	Destroy
6.12.12	CAD Drawings	Permanent Retention	Retain
6.12.13	O&M Manuals	Permanent Retention	Retain
<b>6.13</b>	<b>ENERGY MANAGEMENT</b>		
6.13.1	Records documenting formal reviews of use of energy and action taken to address issues raised	Review in 2020	Destroy
6.13.2	Records monitoring use and consumption of energy	Review in 2020	Destroy
6.13.3	Energy Certificates for all Buildings	Review in 2020	Destroy



6.13.4	Meter Readings	Review in 2020	Destroy
6.13.5	Annual utilities report	Review in 2020	Destroy
<b>6.14</b>	<b>EQUIPMENT (Plant/Lifts/Fire Systems)</b>		
6.14.1	Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal of plant	Destroy
6.14.2	Reports of pre-commissioning examinations of lifting equipment.	Disposal of item + 1 year	Recycle waste
6.14.3	Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/removal + 6 years	Destroy
6.14.4	Maintenance logs for equipment	Life of equipment + 6 years	Destroy
6.14.5	Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998	Completion of subsequent inspection	Destroy

6.14.6	Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Decommissioning/Disposal + 15 years	Destroy
6.14.7	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health	Date of examination/test/repair + 5 years	Destroy
6.14.8	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos.	Date of examination/test/repair + 5 years	Destroy
6.14.9	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead.	Date of examination/test/repair + 5 years	Destroy
6.14.10	Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation.	Date of examination/test/repair + 2 years	Destroy
6.14.11	Records documenting the examination, testing and repair of other equipment provided to control exposure to ionising radiation.	Date of test + 5 years	Retaining a maintenance history provides evidence of compliance

6.14.12	Reports of inspection and 'thorough examination' of lifting equipment.	Disposal of item + 15 years	Recycle waste
6.14.13	Records documenting the cleaning/sanitisation of equipment prior to disposal	Disposal if item + 6 years	SI 1999/3232 does not prescribe a retention period for these records.
6.14.14	Records documenting the transfer of ownership of equipment	Expiry + 12 years or until superseded	Destroy
6.14.15	Electrical Testing and other statutory certificates	Expiry + 12 years or until superseded	Destroy
<b>6.15</b>	<b>FIRE SAFETY</b>		
6.15.1	Records documenting the conduct and review of fire drills	Current year + 5 years after superseded	Destroy
6.15.2	Records documenting arrangements with external emergency services	Current year + 5 years	Destroy
6.15.3	Records of SIMPLE Serious Incident Management Plan (Lengthy Emergency)	Current year + 5 years	Destroy

6.15.4	Records of Passive Fire Precautions	Current year + 5 years	Destroy
6.15.5	Records of Active Fire Precautions	Current + 5 years	Destroy
6.15.6	Records of unwanted fire alarms	Current + 5 years	Destroy
6.15.7	Correspondence with Local Authorities including enforcement notices	Current year + 5 years after superseded	Destroy
6.15.8	Incident reports	Current year + 5 years after superseded	Destroy
6.15.9	Records of fire risk assessments	Current plus 6 years after termination	Destroy
6.15.10	Records of staff fire training - to be retained on staff record		Destroy
<b>6.16</b>	<b>SECURITY</b>		
6.16.1	Records documenting the conduct and results of security inspections of properties, and action taken to address issued raised.	Creation + 2 years	Destroy

6.16.2	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Expiry of pass + 1 month	Destroy
6.16.3	Records of security passes issued to visitors	Expiry of pass + 1 year	Destroy
6.16.4	Records of security passes issued to employees, other staff and students.	Creation + 1 year	Destroy
6.16.5	Records documenting the conduct of routine security surveillance of properties.	Completion of two subsequent inspections	Destroy
6.16.6	Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month	Retaining inspection records provides evidence of effective property management over time.
6.16.7	Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident + 1 year	Destroy
6.16.8	CCTV Surveillance Video		Automatic Erasure

## SECTION 7 STUDENT AND STAFF SERVICES

Examples of services included in this section of the Schedule are Student Services, Safeguarding, the Learning Curve, Sports Centre Team, organisations providing support to individual students and the Welfare Support.

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
7.1	<b>STUDENT AND STAFF SERVICES: STANDARDS AND DELIVERY</b> (Depending on the nature of the service, some of these records may be held as part of Committee papers and minutes [for which see 1.2])		
7.1.1	Formal agreements on service standards	Until superseded by new agreement + 3 years	Destroy
7.1.2	Annual Reports	Issue of report + 5 years	Initiate Archival Review Process
7.1.3	Development and management of promotional campaigns	Until superseded by new campaign + 1 year	Destroy
7.1.4	Promotional materials	Until superseded by new materials + 3 years (though longer retention periods may be necessary for reference and future planning purposes)	Destroy

<b>7.2</b>	<b>STUDENT AND STAFF SERVICES: FEEDBACK, SAFEGUARDING AND COMPLAINTS</b>		
7.2.1	Design, operation and anonymised results of surveys conducted by the service	While necessary for reference and future planning purposes	Initiate Archival Review Process
7.2.2	Handling of formal complaints against the service	Last action on complaint + 6 years	Destroy
7.2.3	Formal support files relating to individual users (staff or students)	Graduation or departure + 6 years	Destroy

## SECTION 8 COMMUNICATIONS

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>8.1</b>	<b>MEDIA AND PUBLIC RELATIONS</b>		
8.1.1	Formal press releases and media briefings	Date of issue + 10 years (though longer retention periods may be necessary depending on the nature and sensitivity of the content)	Destroy
8.1.2	Media contact lists	Until superseded by new or updated list	Destroy
8.1.3	Media enquiries and responses	Last action on enquiry + 5 years	Destroy
8.1.4	Monitoring of media coverage	End of current academic year + 10 years	Destroy
8.1.5	Enquiries from members of the general public and responses provided	Last action on enquiry + 3 years	Destroy
<b>8.2</b>	<b>BRANDING AND MARKET RESEARCH</b>		



8.2.1	Records detailing the design of college branding (logos, etc.)	Until superseded by new branding	Send to College Archives
8.2.2	Anonymised market research data	While necessary for reference and future planning purposes (as a general guide: Completion of market research + 5 years)	Destroy
8.2.3	Records detailing the design and conduct of 'marketing' and advertising campaigns (excluding student and staff recruitment activities, for which see 2.2.2 and 6.3.4 respectively)	Completion of campaign + 6 years	Destroy

**SECTION 9      LEARNING CURVE**

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>9.1</b>	<b>DOCUMENTATION OF COLLECTIONS</b>		
9.1.1	Collection policies	Until superseded	Send to College Archives
9.1.2	Accessions registers	Held in perpetuity	N/A
9.1.3	Catalogues, indexes, guides	Until superseded	Send to College Archives
9.1.4	Depositor/donor agreements	Held in perpetuity	N/A
9.1.5	Disposal authorisations	Held in perpetuity	N/A
9.1.6	Location registers	Until superseded	Destroy
9.1.7	Collection audit reports	End of calendar year + 5 years	Send to College Archives

<b>9.2</b>	<b>VISITOR LOGS TO THE COLLEGE</b>		
9.2.1	Visitors' records	End of calendar year	Destroy
<b>9.3</b>	<b>USE OF COLLECTIONS</b>		
9.3.1	Enquiries about access to, and contents, of collections	End of calendar year + 5 years	Destroy
9.3.2	Stack requests	End of calendar year + 10 years	Destroy
9.3.3	Reprography orders	End of calendar year + 10 years	Destroy
9.3.4	Copyright declarations	Held in perpetuity	N/A
<b>9.4</b>	<b>OUTREACH</b>		
9.4.1	Exhibition plans, catalogues and publicity	End of calendar year + 5 years	Send to College Archives
9.4.2	Talks, events and visits schedules	End of calendar year + 1 year	Send to College Archives

9.4.3	Social media	End of calendar year + 5 years	Initiate Archival Process
<b>9.5</b>	<b>LOANS</b>		
9.5.1	Inward and outward loans records	End of calendar year + 5 years	Send to College Archives
9.5.2	Reader loan history and fines records	End of registration + 7 years	Destroy
9.5.3	Inter-Library Loan requests	End of calendar year + 1 year	Destroy

## SECTION 10 IT SERVICES

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>10.1</b>	<b>DEVELOPMENT OF IT SYSTEMS</b>		
10.1.1	Records of the development, modification and maintenance of major IT systems	Decommissioning of system + 5 years	Destroy
10.1.2	Initial development of major IT systems that are not implemented	Last action towards development + 5 years	Destroy
10.1.3	Development of new, non-major IT systems (usually held as project management records)	Termination of project + 5 years	Destroy
<b>10.2</b>	<b>OPERATION OF IT SYSTEMS</b>		
10.2.1	Routine monitoring of IT systems and any actions taken to rectify problems	Date of event + 1 year	Destroy
10.2.2	Software licences	Until superseded by new licence + 6 months	Destroy

10.2.3	Email and connection log data	Date of log + 1 month	Destroy
10.2.4	Web usage log data	Date of log + 1 month	Destroy
10.2.5	Anonymised summaries of log data	While necessary for reference and future planning purposes	Destroy
<b>10.3</b>	<b>INFORMATION SECURITY</b>		
10.3.1	Records documenting attempted or actual security breaches of IT systems and action taken	Last action on breach + 6 years	Destroy
10.3.2	Records documenting extraordinary institutional access to individual user accounts	End of access period + 1 year	Destroy
<b>10.4</b>	<b>USER SUPPORT SERVICES</b>		
10.4.1	Logs of requests for assistance from IT system users and action taken	Date of log + 1 year	Destroy

**SECTION 11 HEALTH AND SAFETY**

(INCLUDING OCCUPATIONAL HEALTH)

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>11.1</b>	<b>GENERAL HEALTH AND SAFETY</b>		
11.1.1	Health and safety inspections and audits and records of actions taken to address issues raised	Completion of inspection or audit + 10 years (though longer retention periods may be necessary depending on findings)	Destroy
11.1.2	Annual health and safety reports	Held as part of relevant committee papers	See 1.2
11.1.3	Records detailing the appointment of health and safety advisors	End of an individual's appointment + 5 years	Destroy
11.1.4	General health and safety information, induction and training materials for staff, students and visitors	Until superseded by new materials + 5 years	Destroy
11.1.5	General risk assessments of health and safety hazards	Until superseded by updated risk assessment + 5 years	Destroy

<b>11.2</b>	<b>HAZARDOUS SUBSTANCES</b>		
11.2.1	Risk assessments involving hazardous substances	Held in perpetuity	N/A
11.2.2	Health and safety instruction and training records for employees exposed to hazardous substances (see 6.2.5-6.2.6 for records relating to general staff training and development programmes)	End of employment + 40 years	Destroy
11.2.3	Records concerning work with asbestos	Held in perpetuity	N/A
11.2.4	Records concerning work with radioactive and other hazardous substances	Held in perpetuity	N/A
11.2.5	Formal investigations and reports into injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on college premises	Closure of investigation + 40 years	Destroy
11.2.6	Official notifications as required of injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on college premises	Date of notification + 6 years	Destroy



11.2.7	Records relating to disposal of general waste	Disposal of waste + 2 years	Destroy
11.2.8	Records relating to disposal of hazardous and clinical waste	Disposal of waste + 6 years	Destroy
<b>11.3</b>	<b>FIRE SAFETY AND FIRST AID</b>		
11.3.1	Records detailing the appointment of fire wardens and first aiders	End of an individual's appointment + 5 years	Destroy
11.3.2	Fire safety risk assessment and drill procedures	Until superseded by updated risk assessment or new procedures + 5 years	Destroy
11.3.3	Fire-fighting and safety equipment testing	Until re-tested + 5 years	Destroy
11.3.4	Assessments of first aid facilities, equipment and personnel	Until superseded by updated assessment + 3 years	Destroy
11.3.5	Arrangements between the College and the emergency services in the case of fire or medical emergency	Until superseded by new arrangements + 5 years	Destroy
<b>11.4</b>	<b>OCCUPATIONAL HEALTH</b>		

11.4.1	Occupational Health records (throughout employment) for employees exposed to hazardous substances	End of employment + 40 years	Destroy
11.4.2	Occupational Health records (throughout employment) for all other employees	End of employment + 8 years	Destroy

**SECTION 12     DEVELOPMENT AND ALUMNI RELATIONS**

	SUBJECT	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD
<b>12.1</b>	<b>ADMINISTRATION OF RELATIONSHIPS WITH ALUMNI, DONORS AND SUPPORTERS</b>		
12.1.1	Core records about individual alumni, donors, sponsors supporters	Held in perpetuity	N/A
12.1.2	Core records about individual alumni, donors, sponsors, supporters: departmental records	Last contact with individual + 6 years	Destroy
12.1.3	Records of transactions with minor donors, sponsors to the College	End of current financial year + 6 years	Destroy
12.1.4	Records of transactions with major donors, sponsors to the College	Retention periods will be determined on a case-by-case basis according to any contractual agreements	Destroy
12.1.5	Statistics, surveys and research relating to alumni, donors, sponsors and supporters	While necessary for reference and future planning purposes	Destroy