



University of Lincoln Record Retention Schedule

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PART A: ACADEMIC ADMINISTRATION

Record Activity	Recommended Retention Action	Citation & Notes
Recruitment & Enquiries		
Records documenting the handling of enquiries from prospective students (subsequently registered as student).	Current academic year + 5 years	Competitions and Markets Authority
Records documenting the handling of enquiries from prospective students (subsequently did not register as student).	current academic year + 1 year	UoL / JISC
Records documenting the design, operation and summary results of student recruitment schemes and campaigns.	Current academic year + 5 years OR Termination of scheme/campaign + 5 years	UoL / JISC
Records documenting the design, organisation and summary results of student recruitment events.	Completion of event + 5 years	UoL / JISC
Records documenting the issue of student recruitment materials in bulk to schools and other organisations.	Current academic year	UoL / JISC
Summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	UoL / JISC
Admissions, Registration & Induction		
Records documenting the development and establishment of the institution's admission criteria and policies.	Superseded + 10 years	UoL / JISC
Records documenting the handling of applications for admission: successful applications.	End of student relationship + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the handling of applications for admission: unsuccessful applications.	Current academic year + 1 year.	The Equality Act 2010
Records documenting the administration of the clearing process.	Current academic year + 1 year	UoL / JISC

Records containing data on overall student numbers.	Current academic year + 1 year	UoL / JISC
Records documenting immigration casework/compliance for students, including the retention of immigration permission from students.	6 years from last interaction relating to casework or withdrawal	OISC Code of Standards: 2016 Current UKVI policies
Records documenting the registration of individual students on programmes.	Termination of student relationship + 6 years	Limitation Act 1980 c. 58 s 5
Records containing summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	UoL / JISC
Records documenting the design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	UoL / JISC
Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	UoL / JISC
Teaching		
Records documenting the development and establishment of the institution's teaching strategy and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's teaching strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to teaching.	Superseded + 5 years	UoL / JISC
Records documenting the development of the institution's internal quality assurance processes.	While current	UoL / JISC
Records documenting the conduct and results of formal internal and external reviews of teaching quality and standards, and responses to the results	Current academic year + 5 years	UoL / JISC
Records documenting the design and development of (modules of) taught programmes.	Life of programme + 10 years	UoL / JISC

Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Life of programme	UoL / JISC
Data on, and analyses of, student numbers and other taught programme statistics.	Current academic year + 5 years	UoL / JISC
Routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	UoL / JISC
Routine solicited feedback on taught programmes from students: individual feedback.	Completion of analysis of feedback	UoL / JISC
[Anonymised] summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year	UoL / JISC
Reports of routine internal reviews of taught programmes and documentation of formal independent reviews of taught programmes, and the responses to the results.	Current academic year + 5 years	UoL / JISC
Records documenting the preparation of teaching and learning materials, the planning and conduct of teaching and learning events.	Current academic year + 1 year	UoL / JISC
Records documenting the design and development of assessments.	Life of programme	UoL / JISC
Submitted/completed assessments (formative and summative assessments) and marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	Limitation Act 1980 c. 58 s 5
Feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years	Limitation Act 1980 c. 58 s 5
Student Support & Welfare Management		
Records relating to the provision of Sports and Recreational facilities.	Current Year +3 years	UoL / JISC
Records relating to careers advice.	Duration of enrolment +3 years	UoL / JISC
Records documenting enquiries about the Student Wellbeing Service and the responses provided.	Graduation + 7 years, or Permanent Archive if an offence of a sexual nature has been disclosed.	UoL / JISC

Records documenting the handling of complaints from customers of the Student Wellbeing Service.	Graduation + 7 years	UoL / JISC
Records documenting unsolicited customer feedback on the Student Wellbeing Service and the responses provided.	Graduation + 7 years	UoL / JISC
Records documenting the design of Student Wellbeing Service customer surveys and the (anonymised, if necessary) analysis of responses.	Graduation + 7 years	UoL / JISC
Individual responses to Student Wellbeing Service customer surveys.	Graduation + 7 years	UoL / JISC
Student Relations		
Records documenting the development and establishment of the institution's student relations strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's student relations strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to student relations.	Superseded + 3 years	UoL / JISC
Records documenting the establishment and operation of staff-student liaison committees.	Life of committee + 3 years	UoL / JISC
Records documenting the operation of staff-student liaison committees.	Current academic year + 3 years	UoL / JISC
Records documenting the design and conduct of student surveys.	Completion of survey + 5 years	UoL / JISC
Results of student surveys: individual responses	Completion of analysis of survey responses	The retention period will depend on what was stated in the privacy notice when the data was collected.
Results of student surveys: summaries and analyses of responses	Completion of survey + 5 years	UoL / JISC
Records documenting the design of, and overall response to, student suggestion schemes.	Closure of scheme + 5 years	UoL / JISC

Records documenting the handling of suggestions from individual students.	Last action on suggestion + 1 year	UoL / JISC
Learning Support		
Records documenting the development and establishment of the institution's learning support strategy, policies and procedures: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's learning support strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to learning support.	Superseded + 5 years	UoL / JISC
Records relating to Learning Support for Students with specific needs.	Current year + 7 years	The Equality Act 2010
Tuition Fees		
Records documenting the development and establishment of the institution's tuition fees policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's tuition fees policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to tuition fees administration.	Superseded + 10 years	UoL / JISC
Records documenting the handling of applications for remission of tuition fees: successful applications.	Determination of application + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.	Determination of application + 1 year	UoL / JISC
Records documenting the collection of tuition fees.	Current academic year + 1 year	UoL / JISC
Student Financial Support		
Records documenting the development and establishment of the institution's student financial support policies: key records.	Superseded + 5 years	UoL / JISC

Records documenting the development and establishment of the institution's student financial support policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to student financial support.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to student financial support.	Superseded + 5 years	UoL / JISC
Records documenting the provision of financial aid funds to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the provision of crisis/hardship payments to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the award of bursaries to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the award of scholarships and fellowships to individual students.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
Records of administration of Student Financial and employment support such as: -New Deal Records -Modern Apprenticeship Records -Access Fund Applications.	Current year + 6 years	UoL / JISC
Student Administration & Progress		
Records documenting the development and establishment of the institution's student administration policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's student administration policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Records containing personal data on individual students.	Minimum requirement varies for different types of personal data Recommended maximum retention: End of 'registered student' relationship with institution + 6 years.	Limitation Act, 1980. If the information forms part of the core record/transcript the retention may be longer
The core record of a student as a learner	This is the minimal record kept to provide references for former students	Sector norms/UoL / JISC/Institutional

	and may be retained for the lifetime of the student (80 years). A core (minimal) transcript may be retained indefinitely after this time and transferred to the archive if the institution has one.	charter/Institutional memory and archival requirements. See JISC for more info.
Records documenting the initial assessment of students including: 1. Student Qualifications on Entry 2. Key Skills Assessments 3. Care Student Assessments	Termination of student relationship + 6 years	Limitation Act 1980 c.58 1973 Prescription and Limitation (Scotland) Act 1973
Individualised Student Record (ISRS). Individualised Learner Records.	Termination of student relationship + 6 years	UoL / JISC
Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	UoL / JISC
Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year	UoL / JISC
Records documenting the handling of individual students'/employers' requests for statements of results/transcripts and requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request + 1 year	UoL / JISC
Records documenting the design and conduct of Graduate Outcomes Surveys and (anonymised) summaries and analyses of the results of First Destination Surveys.	Current academic year + 5 years	UoL / JISC
Graduate Outcomes Surveys: individual responses	Completion of analysis of responses	UoL / JISC
Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress, the transfer of individual students to new programmes or to new courses within programmes, the withdrawal of individual students from the institution, and the termination of individual students' programmes	Termination of relationship with student + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the conduct and results of disciplinary proceedings against individual students and academic appeals.	Last action on case + 6 years	Limitation Act 1980 c. 58 s 5

Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years	UoL / JISC
Records documenting the handling of formal complaints made by individual students against the institution	Last action on case + 6 years	Limitation Act 1980, c.58
Records documenting the development and establishment of the institution's student services strategy and policies: key records.	Superseded + 3 years	UoL / JISC
Records documenting the development and establishment of the institution's student services strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Assessment & Examination		
Records documenting the development and establishment of the institution's academic assessment administration policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's academic assessment administration policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to academic assessment administration.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to academic assessment administration.	Superseded + 10 years	UoL / JISC
Records documenting the selection and appointment of external examiners.	Termination of appointment + 1 year	UoL / JISC
Records documenting liaison with external examiners on administrative matters.	Current academic year + 1 year	UoL / JISC
Records documenting the selection and appointment of examination invigilators.	Current academic year + 1 year	UoL / JISC
Records documenting the design and delivery of training for examination invigilators.	Current academic year + 1 year	UoL / JISC
Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year	UoL / JISC
Records documenting the timetabling of examinations.	Current academic year + 1 year	UoL / JISC

Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 1 year	UoL / JISC
Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances.	Current academic year + 1 year	UoL / JISC
Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.	Current academic year + 1 year	UoL / JISC
Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.	Current academic year + 1 year	UoL / JISC
Records documenting the issue of awards lists and individual notifications of awards.	Current academic year + 1 year	UoL / JISC
Qualification Lists/Pass Lists/Awards lists.	Issue of list + 10 year	UoL / JISC
Certain specified examples of past dissertations made available as examples to students of an excellent display of academic rigor.	Preserve in relevant University department once student consent for ongoing storage and access is received.	UoL / JISC
Records documenting the arrangements for meetings of a Board.	Current year + 1 year	UoL / JISC
Records documenting the conduct of the business of a committee: agenda, minutes and papers.	Current academic year + 6 years	UoL / JISC
Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current academic year + 6 years	UoL / JISC
Academic Programme Administration & Awards		
Records documenting the development and establishment of the institution's academic programme administration policies, policies and procedures: key records.	Superseded + 5 years	UoL / JISC

Records documenting the development and establishment of the institution's academic programme administration policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Records documenting the administration of academic programmes.	Current academic year + 3 years	UoL / JISC
Records documenting the development and establishment of the institution's academic award administration policies and procedures (and master copies): key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's academic award administration policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Records documenting the notification of awards to students and the issue of awards certificates.	Conferment of award + 1 year	UoL / JISC
Records documenting the process of inviting, receiving and considering nominations for honorary awards.	Conferment of award + 1 year	UoL / JISC
Records documenting offers of honorary awards and responses received.	Conferment of award + 1 year	UoL / JISC
Records documenting the organisation of award ceremonies.	Completion of ceremony + 1 year	UoL / JISC
Records documenting the production of award certificates.	Completion of ceremony + 1 year	UoL / JISC
Records documenting the mailing of award certificates to students who do not attend ceremonies.	Completion of ceremony + 1 year	UoL / JISC
Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.	Current academic year + 5 years	UoL / JISC
List of prize winners	While prize is awarded	UoL / JISC

PART B: HUMAN RESOURCES RECORDS

Record Activity	Recommended Retention Action	Citation & Notes
Strategy and Planning		
Records documenting the development and establishment of the institution's human resources strategy, and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's human resources strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to human resources management.	Superseded + 10 years	UoL / JISC
Assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	UoL / JISC
Records documenting management succession plans.	Superseded + 5 years	UoL / JISC
Records documenting the development and evaluation of job specifications.	Superseded + 5 years	UoL / JISC
Recruitment and Selection		
Records documenting internal authorisation for recruitment.	Current year + 1 year	UoL / JISC
Records documenting job evaluation information.	While employment continues and up to 7 years after employment ceases	Limitation Act 1980

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the advertising of vacancies including screenshots of adverts and any further particulars taken on first day advertised by HR showing URL and date	Completion of recruitment process + 9 months unless post holder recruited is a Tier 2 visa holder, in which case the life of the sponsorship plus 1 year (7 years max)	Immigration, Asylum and Nationality Act 2006, Limitation Act 1980, The Equality Act 2010.
Management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	UoL / JISC
Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process	UoL / JISC
Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	Section 1.7 of the Employment Practices Code
Records of application forms (for all appointed applicants).	While employment continues and up to 7 years after employment ceases	Limitation Act 1980
Records documenting the handling of applications for vacancies: successful applications.	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Limitation Act 1980 c. 58 s 5
Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process + 1 year.	The Equality Act 2010.
Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process	UoL / JISC
Records of application forms for unsuccessful applicants where no Tier 2 sponsored person was appointed.	6 months after notifying unsuccessful candidates	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)

Record Activity	Recommended Retention Action	Citation & Notes
Records of application forms for unsuccessful applicants in the medium received where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
Records documenting shortlisting information where no Tier 2 sponsored person was appointed.	6 months after the offer has been accepted by successful candidate	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
Records documenting shortlisting information for a role where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
Records of interview notes, interview summary outcomes and any tests (appointee and unsuccessful interviewees) where no Tier 2 sponsored person was appointed.	6 months	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
Records of interview notes, interview summary outcomes and any tests for all interviewed candidates (appointee and unsuccessful interviewees) where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
Copy of job description and person specification for a role where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Limitation Act 1980
Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process	UoL / JISC
Any references obtained for unsuccessful candidates.	6 months after the offer has been accepted by successful candidate	UoL / JISC
Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development, overall delivery and assessment of induction programmes for new employees.	Current year + 6 years	UoL / JISC
Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	UoL / JISC
Summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.	Current year + 6 years	UoL / JISC
Records documenting the development of training and development programmes to meet defined needs.	Completion of programme + 5 years	UoL / JISC
Individual feedback on training and development programmes.	Completion of analysis of feedback	UoL / JISC
(Anonymised) workforce feedback on training and development programmes.	Current year + 5 years	UoL / JISC
Management analyses of the impact of training and development programmes.	Current year + 5 years	UoL / JISC
Records documenting the development of workforce performance assessment systems.	Life of system + 5 years	UoL / JISC
Summary (anonymised) results of employees' performance assessments.	Current year + 5 years	UoL / JISC
Management analyses of the impact of workforce performance assessment systems.	Current year + 5 years	UoL / JISC
Records documenting the development of the institution's remuneration structure.	Current year + 10 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Pay reviews.	Current year + 6 years	UoL / JISC
Records documenting special reward schemes (e.g. Merit Reviews).	Termination of scheme + 6 years	UoL / JISC
Welfare and Relations		
Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week.	Date of record + 2 years	Working Time Regulations (SI 1998/1833) Regulations 5 & 9
Health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Working Time Regulations (SI 1998/1833) Regulations 5 & 9
Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation + 5 years	UoL / JISC
(Identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	UoL / JISC
Summary (anonymised) results of workforce surveys and consultations.	Completion of survey + 5 years	UoL / JISC
Grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.	Last action on case + 6 years	Limitation Act 1980 c. 58 s 5
Industrial Relations and Pensions		
Records documenting institutional recognition/derecognition of trades unions.	Derecognition + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	UoL / JISC
Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs.	Termination of relationship + 5 years	UoL / JISC
Records documenting routine communications with the pension schemes.	Current year + 5 years	UoL / JISC
Employee Contract Management		
Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Disclosure and Barring Service (DBS) checks).	Termination of employment + 6 years (as part of employee contract records)	Limitation Act 1980 c. 58 s 5
Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of job + 1 year	
Records documenting the employee's contract(s) of employment with the institution.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting changes to the employee's terms and conditions of employment.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
Job descriptions of positions held by the employee within the institution.	Duration of job + 1 year	UoL / JISC
Records documenting induction programmes attended by the employee.	Completion of induction + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	UoL / JISC
Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	Limitation Act 1980 c. 58 s 5
Routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	UoL / JISC
Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	Common HR practice
Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case + 6 years	Common HR practice
Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	Limitation Act 1980 c. 58 s 5
Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	UoL / JISC
Records documenting the employee's absence due to sickness.	End of employment + 6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55). Limitation Act, 1980.
Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	The Maternity and Parental Leave etc. Regulations 1999 (SI 1999/3312)
Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960 Regulation 26)
Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	UoL / JISC
Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.	UoL / JISC
Records documenting pre-employment health screening of an employee: other employees.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the issue of personal protective equipment/other special equipment to an employee.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting major injuries to an employee arising from accidents in the workplace.	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.	Health and Safety Regulations.
Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	UoL / JISC
Records documenting right to work and immigration information	2 years after the termination of employment	Immigration, Asylum and Nationality Act 2006 & Limitation Act 1980

Record Activity	Recommended Retention Action	Citation & Notes
Payroll		
Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting calculation and payment of employees' salaries and other payments.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	Minimum: The National Minimum Wage Regulations (SI 2015/621) Regulation 59(8) The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8) Recommended: Taxes Management Act 1970 c. 9 s 34
Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8) 'PAYE records' are defined in Regulation 97(2) of the Income Tax (Paye As You Earn) Regulations 2003 (SI 2003/2682).
Records documenting the administration of payments made under the Statutory Sick Pay scheme.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55).

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	Minimum: Current tax year + 3 years Recommended: Current tax year + 6 years	The Statutory Maternity Pay (General) Regulations (SI 1986/1960) Regulation 26
Record of P45's	While employment continues and up to 7 years after employment ceases	Limitation Act, 1980
Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.	Death of last known beneficiary of member + 6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)
Records documenting payments of the institution's employees' contributions to pension schemes.	Death of last known beneficiary of member + 6 years	The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103)

PART C: COMMUNICATIONS

Record Activity	Recommended Retention Action	Citation & Notes
Policy & Planning		
Records documenting the development and establishment of the institution's public relations strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's public relations strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to public relations.	Superseded + 3 years	UoL / JISC
Enquiries from members of the public and the responses provided.	Last action on enquiry + 1 year	UoL / JISC
Unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	UoL / JISC
Records documenting the design and conduct of public surveys.	Completion of survey + 3 years	UoL / JISC
Results of public surveys: individual responses.	Completion of analysis of survey responses	The retention period will depend on what was stated in the privacy notice when the data was collected.
Results of public surveys: summaries and analyses of responses	Completion of survey + 3 years	UoL / JISC
Complaints from members of the public, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	UoL / JISC
Records documenting the planning and impact/results of public events.	Completion of event + 3 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the organisation and administration of public events.	Completion of event + 1 year	UoL / JISC
Records documenting the organisation and administration of official visits.	Completion of visit + 1 year	UoL / JISC
Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the development of the institution's language policy for example Welsh Language Schemes.	Permanent (review for archival value)	Gaelic Language (Scotland) Act 2005 Welsh Language Act 1993 Northern Ireland Act 1998.
Records documenting the implementation of the institution's language policy.	Current year + 6 years	Limitation Act, 1980
Records monitoring and auditing the implementation of the language policy.	Completion of next audit + 3 years	UoL / JISC
Media Relations		
Records documenting the development and establishment of the institution's media relations strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's media relations strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's media relations policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's media relations policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to media relations.	Issue of procedures + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Master copies of procedures relating to media relations.	Superseded + 3 years	UoL / JISC
Records documenting the institution's media contacts.	Superseded	UoL / JISC
Records documenting the planning and organisation of media briefings.	Date of briefing + 1 year	UoL / JISC
Transcripts of media briefings	Date of briefing + 5 years	UoL / JISC
Records documenting the planning and organisation of media interviews.	Date of interview + 1 year	UoL / JISC
Transcripts of media interviews.	Date of interview + 5 years	UoL / JISC
Press releases.	Current year + 5 years	UoL / JISC
Records documenting media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry + 3 years	UoL / JISC
Records documenting the monitoring and analysis of media coverage of the institution.	Current year + 5 years	UoL / JISC
Press cuttings.	Creation + 1 year	Creation + 1 year
Sector Relations		
Records documenting the development and establishment of the institution's HE/FE sector relations strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's HE/FE sector relations strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's HE/FE sector relations policies: key records.	Superseded + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development and establishment of the institution's HE/FE sector relations policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to HE/FE sector relations.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to HE/FE sector relations.	Superseded + 3 years	UoL / JISC
General communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies.	Current year + 5 years	UoL / JISC
Records documenting the production of publications specifically intended for the HE and/or FE sector(s).	Publication + 1 year	UoL / JISC
Publications	While current + 1 year	UoL / JISC
General enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given.	Last action of enquiry + 1 year	UoL / JISC
Records documenting the preparation of the institution's formal responses to consultations conducted by HE/FE sector organisations (including records of internal consultation processes).	Last action on consultation + 1 year	UoL / JISC
Records documenting the institution's formal responses to consultations conducted by HE/FE sector organisations.	Last action on consultation + 3 years	UoL / JISC
Records documenting the preparation and submission of reports to HE/FE regulatory bodies.	Submission of report + 3 years	UoL / JISC
Records documenting the planning and impact/results of events for the HE sector.	Completion of event + 3 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the organisation and administration of events for the HE sector.	Completion of event + 1 year	UoL / JISC
Records documenting the institution's membership of organisations.	Termination of membership + 1 year	UoL / JISC
Records documenting the institution's participation in the activities of external organisations (including committees).	Termination of involvement + 1 year	UoL / JISC
Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions.	Termination of contractual relationship + 6 years	Limitation Act 1980 c. 58 s 5
Government and Parliamentary Relations		
Records documenting the development and establishment of the institution's government relations strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's government relations strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to government relations.	Superseded + 3 years	UoL / JISC
General correspondence with government bodies.	Current year + 5 years	UoL / JISC
Requests for information from government bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government bodies (including records of internal consultation processes).	Last action on consultation + 1 year	UoL / JISC
Records documenting the institution's formal responses to consultations conducted by government bodies.	Last action on consultation + 5 years	UoL / JISC
Records documenting the preparation and submission of reports to government bodies.	Submission of report + 3 years	UoL / JISC
Records documenting the institution's participation in formal government or public inquiries.	Last action on inquiry + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's parliamentary relations strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's parliamentary relations strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's parliamentary relations policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's parliamentary relations policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to parliamentary relations.	Issue of procedures + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Master copies of procedures relating to parliamentary relations.	Superseded + 3 years	UoL / JISC
General correspondence with parliamentary bodies.	Current year + 5 years	UoL / JISC
Requests for information from parliamentary bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	UoL / JISC
Records documenting the preparation of the institution's formal responses to consultations conducted by parliamentary bodies (including records of internal consultation processes).	Last action on consultation + 1 year	UoL / JISC
Records documenting the institution's formal responses to consultations conducted by parliamentary bodies.	Last action on consultation + 3 years	UoL / JISC
Records documenting the institution's participation in formal parliamentary inquiries.	Last action on inquiry + 10 years	UoL / JISC
Community Relations		
Records documenting the development and establishment of the institution's community relations strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's community relations strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's community relations policies: key records.	Superseded + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development and establishment of the institution's community relations policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to community relations.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to community relations.	Superseded + 3 years	UoL / JISC
Enquiries from members of the local community and the responses provided.	Last action of enquiry + 1 year	UoL / JISC
Unsolicited feedback from members of the local community, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	UoL / JISC
Records documenting the design and conduct of community surveys.	Completion of survey + 3 years	UoL / JISC
Results of community surveys: individual responses.	Completion of analysis of survey responses	The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.
Results of community surveys: summaries and analyses of responses.	Completion of survey + 3 years	UoL / JISC
Complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	UoL / JISC
Records documenting the planning and impact/results of local community events.	Completion of event + 3 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the organisation and administration of local community events.	Completion of event + 1 year	UoL / JISC
Records documenting the institution's membership of local community organisations.	Termination of membership + 1 year	UoL / JISC
Records documenting the institution's participation in the activities of local community organisations (including committees).	Termination of involvement + 1 year	UoL / JISC
Students' Union		
Records documenting the development and establishment of the institution's students' union relations strategy: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's students' union relations strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's policies on students' union relations: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's policies on students' union relations: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's code of practice on the oversight of the operations and finances of its students' union, as required by Section 22(3) of the Education Act 1994.	Issue of revised Code of Practice + 1 year	1994 c. 30 does not prescribe a retention period.
Code of Practice required by Section 22(3) of the Education Act 1994.	Superseded + 10 years	UoL / JISC
Records documenting the development of the institution's procedures relating to students' union relations.	Issue of procedures + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Master copies of procedures relating to students' union relations.	Superseded + 5 years	UoL / JISC
Records documenting the process of reviewing the students' union's constitution, as required by s. 22(2) of the Education Act 1994.	N/A	The governing body's formal review and approval of the students' union's constitution will be recorded in the minutes of the appropriate meetings of the governing body.
Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.	Current financial year + 1 year	UoL / JISC
Records documenting the process of reviewing the students' union's budgets, as required by s. 22(2) of the Education Act 1994.	N/A	The governing body's formal review and approval of the students' union's budgets will be recorded in the minutes of the appropriate meetings of the governing body.
Records documenting the monitoring of the students' union's financial affairs, as required by s. 22(2) of the Education Act 1994.	N/A	As above
Records documenting the monitoring of elections to major offices in the institution's students' union, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).	N/A	As above
Records documenting the monitoring of students' union affiliations, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).	N/A	As above

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body.	Settlement of complaint + 6 years	Limitation Act 1980 c.58 s. 5
Alumni Relations		
Records documenting the development and establishment of the institution's alumni relations strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's alumni relations strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's alumni relations policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's alumni relations policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to alumni relations.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to alumni relations.	Superseded + 3 years	UoL / JISC
Records containing personal data on individual alumni.	While current (or likely to be current)	UoL / JISC
Summary (anonymised) statistical records of alumni	Current year + 10 years	UoL / JISC
Records documenting the design, planning and production of official alumni communications.	Issue of communication + 1 year	UoL / JISC
Alumni communications	Issue + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting enquiries from alumni and the responses provided.	Last action on enquiry + 1 year	UoL / JISC
Unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	UoL / JISC
Records documenting the design and conduct of alumni surveys.	Completion of survey + 3 years	UoL / JISC
Results of alumni surveys: individual responses	Completion of analysis of survey responses	The retention period will depend on what was stated in the privacy notice when the data was collected.
Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	UoL / JISC
Records documenting the handling of complaints from alumni.	Last action on complaint + 6 years	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.
Records documenting the planning and impact/results of institutional events for alumni.	Completion of event + 3 years	UoL / JISC
Records documenting the organisation and administration of institutional events for alumni.	Completion of event + 1 year	UoL / JISC
Records documenting the administration of financial and other support given to individual alumni organisations.	Current financial year + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Requests from alumni associations for financial or other support, the internal handling of these requests and the responses provided.	Last action on request + 1 year	UoL / JISC
Records documenting the administration of financial and other support to alumni organisations.	Current financial year +1 year	UoL / JISC
Requests for contact details for alumni, action taken, and the responses provided.	Last action on request + 1 year	UoL / JISC
Fundraising and Donations		
Records documenting the development and establishment of the institution's fundraising strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's fundraising strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's fundraising policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's fundraising policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to fundraising.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to fundraising.	Superseded + 3 years	UoL / JISC
Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years	UoL / JISC
Individual responses to fundraising campaigns.	Completion of analysis of data	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns).	Duration of relationship + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the process of making donations to third parties.	Last action on donation + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the handling of enquiries about making donations to the institution.	Last action on enquiry + 1 year	UoL / JISC
Records documenting donations to the institution.	Current year + 5 years	A shorter/longer period may be appropriate for small/substantial donations.
Marketing and Communications		
Records documenting the development and establishment of the institution's marketing strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's marketing strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's marketing policies: key records.	Superseded + 5 years	UoL / JISC .
Records documenting the development and establishment of the institution's marketing policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to marketing.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to marketing.	Superseded + 3 years	UoL / JISC
Records documenting the design and development of market research tools.	Completion of research + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Market research data: data relating to identifiable individuals.	Completion of analysis of data	UoL / JISC
Market research data: aggregated data and analyses.	Completion of research + 5 years	UoL / JISC
Records documenting the design, implementation and review of marketing campaigns.	Completion of campaign + 3 years	UoL / JISC
Records documenting the design of the institution's corporate identity marks (logos etc.) and the development of style guides for use of these.	Superseded	UoL / JISC
Records documenting the development, placement and impact of advertisements.	Current + 5 years	UoL / JISC

PART D: RESEARCH

Record Activity	Recommended Retention Action	Citation & Notes
Policy and Planning		
Records documenting the development and establishment of the institution's research strategy and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's research strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to research.	Superseded + 10 years	UoL / JISC
Records documenting the development of the institution's research programmes.	Life of programme + 10 years	UoL / JISC
Routine monitoring of external developments and trends to inform the development of the institution's research programmes.	Current academic year + 1 year	UoL / JISC
Liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	Current academic year + 5 years	UoL / JISC
Records documenting the identification and exploration of new research opportunities which lead to research projects.	Completion of project	UoL / JISC
Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	UoL / JISC
Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year	Retention for a longer period may be advisable, depending

Record Activity	Recommended Retention Action	Citation & Notes
		on the reasons for abandoning the project.
Records documenting the design and planning of research projects which are undertaken: key records.	Completion of project + 10 years	This recommended retention period is in line with retention period for records documenting the conduct of research.
Records documenting the design and planning of European Union (EU) funded research projects which are undertaken: key records.	Minimum retention: Date of last funding payment + 10 years	See ERDF website and individual project agreements with funding bodies.
Preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award).	Receipt of notification that application was unsuccessful + 1 year	UoL / JISC
Preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).	Completion of project (i.e. termination of award) + 6 years (or period stated by funder/s)	Limitation Act 1980 c. 58 s 5 Check the individual funder/s requirements as the retention period may differ.
Conduct and Monitoring		
Records documenting the development of the institution's internal quality assurance processes.	While current	UoL / JISC
Conduct and results of formal internal and external reviews of research quality, and responses to the results.	Current academic year + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the management of internally-funded research projects.	Completion of project + 3 years	Common internal audit requirement.
Records documenting the management of externally-funded research projects.	Completion of project + 6 years	Limitation Act 1980 c. 58 s 5 A longer retention period for these records may be required by a research sponsor.
Records documenting the conduct of research funded by the Medical Research Council, except where other requirements are specified (see citations).	Completion of project + 10 years	Medical Research Council, Good Research Practice, section 5.2
Records documenting the conduct of clinical or public health studies 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, Good Research Practice, section 5.2 Medical Research Council, Personal Information in Medical Research, section 7.1.2
Records 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, Personal Information in Medical Research, section 7.1.2
Records documenting the conduct of all other research funded by all other organisations.	Completion of project + 10 years (date of last funding payment + 10 years for projects funded by the European Union)	Stated or implied requirements of UK Research Councils and other significant research sponsors.

Record Activity	Recommended Retention Action	Citation & Notes
Reporting and Review		
Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 1 year	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.
Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 3 years	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT.
Data on, and analyses of, student numbers and other programme statistics.	Current academic year + 3 years	UoL / JISC
Reports of routine internal and independent reviews of research programmes.	Current academic year + 5 years	UoL / JISC
Records documenting the conduct of formal assessments of work undertaken by research students.	Completion of student's programme + 6 years	Limitation Act 1980 c.58 s 5
Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.	Current academic year + 6 years	Limitation Act 1980 c.58 s 5
Records documenting the appointment of supervisors for research students.	Termination of appointment + 1 year	UoL / JISC
Academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	Completion of student's programme + 6 years	Limitation Act 1980 c.58 s 5

PART E: CORPORATE MANAGEMENT AND COMPLIANCE

Record Activity	Recommended Retention Action	Citation & Notes
Planning and Operation		
Records documenting the development and establishment of the institution's corporate planning and performance management policies and strategy: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's corporate planning and performance management policies, strategy, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to corporate planning and performance management.	Superseded + 5 years	UoL / JISC
Data on, and analyses of, the institution's performance against its strategic plan.	Current academic year + 5 years	UoL / JISC
Reports on the institution's performance against its strategic plan.	Current academic year + 10 years	UoL / JISC
Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Current academic year + 5 years	UoL / JISC
Records documenting the development of the institution's annual operating plans: key records.	Current year + 5 years	UoL / JISC
Records documenting the development of the institution's annual operating plans: working papers.	Current year + 1 year	UoL / JISC
Records documenting the development of the institution's key performance indicators.	Superseded	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting benchmarking exercises with other comparable institutions.	Current + 1 year	UoL / JISC
Records documenting performance monitoring and analysis.	Current year + 1 year	UoL / JISC
Legal and Governance		
Records documenting the development and establishment of the institution's governance strategy: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's governance strategy: working papers.	Issue of strategy + 1 year	UoL / JISC The institution may wish to transfer these records to the archive once they are no longer in active use.
Records documenting the establishment and development institution's governance structure and rules.	Life of institution	UoL / JISC The institution may wish to transfer these records to the archive once they are no longer in active use.
Records documenting the establishment and development of the institution's legal framework.	Life of institution	UoL / JISC The institution may wish to transfer these records to the archive once they are no longer in active use.

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the appointment/ election/designation of the institution's senior officers.	Termination of appointment + 6 years	Limitation Act 1980 c. 58 s 5 The institution may wish to transfer these records to the archive once they are no longer in active use.
Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998 (c.23).	Closure of case + 6 years	Limitation Act 1980 c. 58 ss 2 and 5
Records documenting the appointment/designation of staff to officially represent the institution.	Termination of representation	UoL / JISC
Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's policies and procedures on the management of legal affairs: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to the management of legal affairs.	Superseded + 5 years	UoL / JISC
Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: agreements and contracts under seal (by deed).	Termination of contract + 12 years	Limitation Act 1980 c. 58 s 8
Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: other contracts and agreements.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	Limitation Act 1980 c. 58 ss 2 and 5
Records documenting litigation between the institution and third parties where legal precedents are set.	Life of institution	UoL / JISC
Records documenting litigation between the institution and third parties which does not set legal precedents.	Settlement of case + 6 years	Limitation Act 1980 c. 58 ss 2 and 5
Legal advice requested by, and provided to, the institution concerning e.g.: - interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations - proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations - the institution's relationships with government bodies and HE regulators - industrial relations issues - health, safety and environmental issues	Life of institution	UoL / JISC
Legal advice on other matters requested by, and provided to, the institution.	Superseded + 5 years	UoL / JISC
Committees		
Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of institution	UoL / JISC
Records documenting the appointment/election/designation of members of a committee, training undertaken by individual members of a statutory committee and register of interests of members of the institution's governing body.	Termination of appointment + 6 years	Limitation Act 1980 c. 58 s 5

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development of induction and training programmes for members of a committee.	Superseded + 5 years	UoL / JISC
Records documenting the arrangements for meetings of a committee.	Current year + 1 year	UoL / JISC
Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of institution	UoL / JISC
Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current year + 5 years	UoL / JISC
Records documenting the conduct of reviews of the effectiveness and performance of a committee.	Completion of two subsequent reviews	UoL / JISC
Risk and Quality		
Records documenting the development and establishment of the institution's risk management strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's risk management strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to risk management.	Superseded + 3 years	UoL / JISC
Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year	UoL / JISC
Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development and establishment of the institution's quality management strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's quality management strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's quality management policies: key records.	Superseded + 5 years	UoL / JISC
Master copies of procedures relating to quality management.	Superseded + 3 years	UoL / JISC
Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years	UoL / JISC
Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's audit strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's audit strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's audit policies: key records.	Superseded + 5 years	UoL / JISC
Master copies of procedures relating to audit management.	Superseded + 3 years	UoL / JISC
Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Equality and Diversity		
Records documenting the development and establishment of the institution's equality and diversity strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's equality and diversity strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's policies on equality and diversity: key records.	Superseded + 5 years	UoL / JISC
Master copies of procedures relating to the management of equality and diversity.	Superseded + 3 years	UoL / JISC
Summary statistical information resulting from equality monitoring.	Current year + 5 years	UoL / JISC
Records documenting the development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	UoL / JISC
Records documenting the handling of formal complaints about discrimination by or within the institution.	Last action on case + 6 years	Limitation Act 1980 c. 58 s 2
Records documenting the handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes.	Completion of the Scheme + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the preparation/revision of the institution's Disability Equality Scheme.	Superseded + 5 years	The Equality Act 2010 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
Records documenting the preparation of annual reports on the implementation of the institution's Disability Equality Scheme.	Current year + 5 years	As above
Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons.	Superseded + 5 years	As above
Records documenting the preparation of the institution's race equality policy.	Superseded + 5 years	As above
Records documenting assessments of the impact of the institution's policies on equality between different racial groups.	Superseded + 5 years	As above
Records documenting the monitoring, by racial group, of student admission and progress.	Current year + 5 years	As above
Records documenting the monitoring, by racial group, of employee recruitment and career progress.	Current year + 5 years	As above
Records documenting the preparation/revision of the institution's Gender Equality Scheme.	Superseded + 5 years	As above
Records documenting the preparation of annual reports on the implementation of the institution's Gender Equality Scheme.	Current year + 5 years	As above

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting assessments of the impact of the institution's policies and practices on equality for men and women.	Superseded + 5 years	As above
Health and Safety		
Records documenting the development and establishment of the institution's health and safety strategy: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's health and safety strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's policies on health and safety: key records.	Superseded + 50 years	The Health and Safety at Work etc. Act 1974 (c.37), s 2(3)
Master copies of procedures relating to the management of health and safety.	Superseded + 50 years	Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).
Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.	Date of inspection + 5 years OR Superseded + 1 year	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
Records documenting the conduct and results of health and safety audits.	Completion of audit + 5 years	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

Record Activity	Recommended Retention Action	Citation & Notes
<p>Notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).</p>	<p>Termination of appointment + 1 year</p>	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996/1513) does not prescribe a retention period for these records.</p>
<p>Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500).</p>	<p>Current year + 5 years</p>	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>
<p>Consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).</p>	<p>Current year + 50 years</p>	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p>

Record Activity	Recommended Retention Action	Citation & Notes
		<p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>
<p>Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at Work etc. Act 1974 (c. 37) and in accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.</p>	<p>Dissolution of committee + 50 years</p>	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>
<p>Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).</p>	<p>Completion of election + 1 year</p>	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>
Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Completion of election + 1 year	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>
Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly.	Current year + 50 years	The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.

Record Activity	Recommended Retention Action	Citation & Notes
		<p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>
<p>Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).</p>	<p>Current year + 5 years</p>	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>
<p>Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).</p>	<p>Current year + 5 years</p>	<p>The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records.</p> <p>The Health and Safety (Consultation with Employees) Regulations (SI 1996 /1513) does not prescribe a retention period for these records.</p>

Record Activity	Recommended Retention Action	Citation & Notes
<p>Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.</p>	<p>Current year + 5 years or Superseded + 5 years</p>	<p>The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity:</p> <ul style="list-style-type: none"> The Electricity at Work Regulations (SI 1989/635) Health and Safety Information for Employees Regulations (SI 1990/606) The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792) The Manual Handling Operations Regulations (SI 1992/2793) The Health and Safety (Safety Signs and Signals) Regulations (SI 1996/341) The Provision and Use of Work Equipment Regulations (SI 1998/2306) The Management of Health and Safety at Work Regulations (SI 1999/3242)
<p>Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health</p>	<p>Superseded + 5 years</p>	<p>The Management of Health and Safety at Work Regulations (SI</p>

Record Activity	Recommended Retention Action	Citation & Notes
and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule.		1999/3242) does not prescribe a retention period for these records.
Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 10 years	The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792) does not prescribe a retention period for these records.
Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 5 years	The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792) does not prescribe a retention period for these records.
Records documenting the conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Superseded + 10 years	Control of Noise at Work Regulations (SI 2005/1643) does not prescribe a retention period for these records.
Records documenting the provision of personal protective equipment to employees, to fulfil the institution's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Return of issued equipment + 1 year	Common audit requirement
Records documenting the maintenance of equipment provided to control exposure to noise, to fulfil the institution's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of examination/test/repair + 5 years	Control of Noise at Work Regulations (SI 2005/1643) does not prescribe a retention period for these records.

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting health surveillance of employees who are exposed to noise, carried out to fulfil the institution's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of last entry in record + 40 years	Control of Noise at Work Regulations (SI 2005/1643) does not specify a retention period for these records.
Records documenting the provision of information, instruction and training for employees who are exposed to noise, to fulfil the institution's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Superseded + 10 years	Control of Noise at Work Regulations (SI 2005/1643) does not prescribe a retention period for these records.
List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents, required by Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4.	Current + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3)
Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, to fulfil the institution's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records.
Records documenting the maintenance of equipment provided to control exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of examination/test/repair + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4)
Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last entry + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(a)

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the conduct and results of monitoring employees' general exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last entry + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(b)
Records documenting health surveillance of individual employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 11 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of last entry in record + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 11(3)
Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records..
Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records.
Records documenting the institution's response to accidents, incidents and emergencies involving substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Last action on event + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) does not prescribe a retention period for these records.
Records documenting controlling and investigating exposure, assessing the risks to health, providing and maintain equipment to control exposure following ICNiRP guidelines, providing information, instruction and training for employees	Date of inspection/test/repair/training + 5 years	EC Directives 2013/35/EC + ICNiRP guidelines

Record Activity	Recommended Retention Action	Citation & Notes
who are exposed to non-ionising radiation, monitoring levels of non-ionising radiation, testing to detect leakage from articles or equipment transmitting non-ionising radiations.		
Records documenting the conduct, review and revision of assessments of the risks to health created by work involving lead, to fulfil the institution's duties under Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 5 implies that the records should be retained until the risk assessment is superseded.
Records documenting the maintenance of equipment provided to control exposure to lead, to fulfil the institution's duties under Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of examination/test/repair + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 8(4)
Records documenting the conduct and results of monitoring employees' general exposure to lead (in air), to fulfil the institution's duties under Regulation 9 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last entry + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 9(4)
Records documenting medical surveillance of individual employees who are exposed to lead, to fulfil the institution's duties under Regulation 10 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of last entry on record + 40 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 10(5)
Records documenting the provision of information, instruction and training for employees who are exposed to lead, to fulfil the institution's duties under Regulation 11 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676)

Record Activity	Recommended Retention Action	Citation & Notes
		does not prescribe a retention period for these records.
Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) does not prescribe a retention period for these records.
Records documenting the institution's response to accidents, incidents and emergencies involving lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Last action on event + 10 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) does not prescribe a retention period for these records.
Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Completion of work to which the assessment relates + 10 years	Control of Asbestos Regulations (SI 2012/632) does not prescribe a retention period for these records.
Records documenting the conduct, review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 10 years	Control of Asbestos Regulations (SI 2012/632) does not specify a retention period for these records.
Plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Completion of work to which plan relates.	Control of Asbestos Regulations (SI 2012/632) Regulation 7(2)
Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Duration of work + 10 years	Control of Asbestos Regulations (SI 2012/632) Regulation 9 does

Record Activity	Recommended Retention Action	Citation & Notes
		not prescribe a retention period for these records.
Records documenting the provision of information, instruction and training for employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 10 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 10 years	Control of Asbestos Regulations (SI 2012/632) Regulation 10 does not prescribe a retention period for these records.
Records documenting the maintenance of equipment provided to control exposure to asbestos, to fulfil the institution's duties under Regulation 13 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of examination/test/repair + 5 years	Control of Asbestos Regulations (SI 2012/632) Regulation 13(3)
Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, to fulfil the institution's duties under Regulation 15 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 10 years	Control of Asbestos Regulations (SI 2012/632) Regulation 15 does not prescribe a retention period for these records.
Records documenting the institution's response to accidents, incidents and emergencies involving asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Last action on event + 10 years	Control of Asbestos Regulations (SI 2012/632) Regulation 15 does not prescribe a retention period for these records.
Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of monitoring + 40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(a)
Records documenting the conduct and results of monitoring employees' general exposure to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of monitoring + 5 years	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(b)

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting medical surveillance of individual employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 22 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of last entry on record + 40 years	Control of Asbestos Regulations (SI 2012/632) Regulation 22(1)(b)
Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos, as required by Regulation 22 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of certificate + 4 years	Control of Asbestos Regulations (SI 2012/632) Regulation 22(4)
Records documenting the conduct, review and revision of assessments of the risks to health created by work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded + 10 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 7 does not prescribe a retention period for these records.
Records documenting the maintenance of personal protective equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of examination/test/repair + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 10(2)
Records documenting the maintenance of other equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of examination/test/repair + 5 years	Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records.
Records documenting the preparation of contingency plans to deal with radiation accidents, to fulfil the institution's duties under Regulation 12 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded	Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records.
Records documenting the provision of information, instruction and training for employees who are exposed to ionising radiation, to fulfil the institution's duties under Regulation 14 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded + 10 years	SI 1999/3232 does not prescribe a retention period for these records.

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of maintenance/testing + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)
Records documenting the monitoring of levels of ionising radiation in designated controlled areas, to fulfil the institution's duties under Regulation 19 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of monitoring + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)
Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant, to fulfil the institution's duties under Regulation 21 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of assessment + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 21(3)(a)
Summaries of dose records, as required by Regulation 21 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Current year + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7)
Records documenting investigations into the exposure of 'classified persons' to ionising radiation, to fulfil the institution's duties under Regulation 22 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report of investigation + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 22(4)
Records documenting assessments of individual doses of ionising radiation received as a result of a radiation accident, to fulfil the institution's duties under Regulation 23 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of accident + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 23(2)(b)
Records documenting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance, to fulfil the institution's duties under Regulation 24 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of last entry + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 24(3)

Record Activity	Recommended Retention Action	Citation & Notes
Reports of immediate investigations into possible overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report of investigation + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(a)
Reports of investigations into occurrences of overexposure to ionising radiation, to fulfil the institution's duties under Regulation 25 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of report + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(b)
Records documenting tests to detect leakage from articles containing or embodying radioactive substances, to fulfil the institution's duties under Regulation 27 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Completion of subsequent test on article OR Disposal of article + 2 years.	Ionising Radiations Regulations (SI 2017/1075) Regulation 27(3)
Records of the quantity and location of radioactive substances, to fulfil the institution's duties under Regulation 28 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Disposal of radioactive substance + 2 years OR Date of record + 2 years, whichever is the longer.	Ionising Radiations Regulations (SI 2017/1075) Regulation 28
Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiations Regulations 2012 (SI 2012/632).	Date of report + 2 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 30
Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where accidental release or theft was found to have occurred, to fulfil the institution's duties under Regulation 30 of the Ionising Radiations Regulations 2012 (SI 2012/632).	Date of report + 50 years	Ionising Radiations Regulations (SI 2017/1075) Regulation 30
Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises, to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (SI 2013/1471).	Date of recording + 3 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3) The Social Security (Claims and

Record Activity	Recommended Retention Action	Citation & Notes
		Payments) Amendment (No. 3) Regulations (SI 1993/2113) Regulation 2 The contents of records to be kept are specified in Schedule 4 of (SI 2013/1471).
Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years	Limitation Act 1980 c. 58 s 11
Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification + 3 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3)
Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5).	Superseded + 5 years	Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records.
Records documenting fire safety arrangements made to fulfil the institution's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Superseded + 5 years	SI 2005/1541 does not prescribe a retention period for these records.
Records documenting the nomination of 'competent persons' to implement fire-fighting measures to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person'	SI 2005/1541 does not prescribe a retention period for these records. Retention of these records must comply with the provisions of

Record Activity	Recommended Retention Action	Citation & Notes
		<p>the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679.</p> <p>'Competent persons' in this context are often referred to as 'fire wardens' or similar.</p>
<p>Records documenting the provision of role-specific training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).</p>	<p>Current year + 5 years OR Superseded + 5 years</p>	<p>SI 2005/1541 does not prescribe a retention period for these records.</p>
<p>Records documenting the conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).</p>	<p>Review of assessment + 5 years</p>	<p>SI 2005/1541 does not prescribe a retention period for these records.</p>
<p>Records documenting the maintenance of premises, facilities and equipment to fulfil the institution's duties under Article 17 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).</p>	<p>Current year + 5 years</p>	<p>SI 2005/1541 does not prescribe a retention period for these records.</p>
<p>Records documenting the appointment of 'competent persons' to assist in implementing fire safety measures to fulfil the institution's duties under Article 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).</p>	<p>Termination of status as 'competent person'</p>	<p>SI 2005/1541 does not prescribe a retention period for these records.</p>
<p>Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).</p>	<p>Current year + 5 years OR Superseded + 5 years</p>	<p>SI 2005/1541 does not prescribe a retention period for these records.</p>

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on the institution's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	SI 2005/1541 does not prescribe a retention period for these records.
Records documenting the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years	SI 2005/1541 does not prescribe a retention period for these records
Records documenting the provision of fire safety training to employees to fulfil the institution's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	SI 2005/1541 does not prescribe a retention period for these records.
Records documenting the appointment of first aiders.	Termination of appointment	UoL / JISC
Records documenting the provision of approved training for first aiders to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Current year + 3 years OR Superseded + 3 years	SI 1981/917 does not prescribe a retention period for these records.
Records documenting the provision of information about first aid arrangements to employees, to fulfil the institution's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years	SI 1981/917 does not prescribe a retention period for these records.
Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years	SI 1981/917 does not prescribe a retention period for these records.

Record Activity	Recommended Retention Action	Citation & Notes
Environmental		
Records documenting the development and establishment of the institution's environmental management strategy, and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's environmental management strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to environmental management.	Superseded + 10 years	UoL / JISC
Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	UoL / JISC
Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	UoL / JISC
Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year	UoL / JISC
Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current + 5 years	UoL / JISC
Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years	UoL / JISC
Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years	UoL / JISC
Notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	UoL / JISC
Routine monitoring of the institution's use and consumption of energy.	Current year + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.	Completion of review + 5 years	UoL / JISC
Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).	Removal of waste consignment + 3 years	<p>The Special Waste Regulations (SI 1996/972) Regulation 15(4)</p> <p>The Hazardous Waste (England and Wales) Regulations (SI 2005/894) repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here.</p>
Records documenting hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).	Removal of waste + 3 years	<p>SI 2005/894 Regulation 49(3)</p> <p>The Hazardous Waste (England and Wales) Regulations (SI 2005/894) Regulation 49(1) specifies the content of these records.</p>

PART F: CORPORATE RESOURCES

Record Activity	Recommended Retention Action	Citation & Notes
Estates		
Records documenting the development and establishment of the institution's estate strategy and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's estate strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to estate management.	Superseded + 10 years	UoL / JISC
Records documenting the acquisition of ownership of properties.	Disposal of property + 12 years	Limitation Act 1980 c. 58 s 8 This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
Deeds of title for properties owned by the institution.	Disposal of property	Deeds of title for a property are transferred to the new owner when the property is sold.
Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	Limitation Act 1980 c. 58 s 2
Records documenting the negotiation of leases and original lease agreements.	Expiry of lease + 15 years	Limitation Act 1980 c. 58 s 14B

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development of properties.	Disposal of property	UoL / JISC Some of these records may be transferred to the new owner when property is sold.
Health and Safety File for a structure, as required by Regulation 12 of the Construction (Design and Management) Regulations 2015 (SI 2015/51).	Demolition of property OR Disposal of interest in property	The Construction (Design and Management) Regulations (SI 2015/51) Regulation 12 SI 2015/51 does not prescribe a retention period for these records, but Regulation 12 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.
Applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent.	Planning consents which are valid when a property is sold are transferred to the new owner.
Records documenting routine inspections of property.	Date of inspection + 5 years OR Superseded + 1 year	Retaining inspection records provides evidence of effective property management.

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting major maintenance works on property.	Disposal of property	Some of these records may be transferred to new owners when land is sold.
Records documenting minor maintenance works on property.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14B
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 2012 (SI 2012/632).	Review of assessment + 10 years	<p>UoL / JISC</p> <p>Control of Asbestos Regulations (SI 2012/632) does not prescribe a retention period for these records.</p> <p>Retaining assessments provides evidence of effective management of risks associated with works carried out.</p>
Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Removal of asbestos + 10 years OR Subsequent inspection + 10 years	Retaining these records provides evidence of compliance with SI 2012/632.
Records documenting the disposal of properties by sale, transfer or donation.	Disposal of property + 12 years	<p>Limitation Act 1980 c. 58 s 8</p> <p>This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.</p>

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the conduct and results of security inspections of properties, and action taken to address issued raised.	Date of inspection + 5 years OR Superseded + 1 year	UoL / JISC
Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	UoL / JISC
Records of security passes issued to visitors	Expiry of pass + 1 month	UoL / JISC
Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year	UoL / JISC
Records documenting the conduct of routine security surveillance of properties.	Creation + 1 month	UoL / JISC
Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year	UoL / JISC
Records documenting leasing-out arrangements for properties.	Expiry of lease + 12 years	Limitation Act 1980 c. 58 s 8 This retention period assumes that leases are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	UoL / JISC
Staff and Student Accommodation		
Records documenting the establishment of formal contractual relationship between institutional accommodation and student.	Termination of contract + 6 years	Limitation Act 1980

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development and establishment of the institution's accommodation allocation plan and policy for the corresponding year.	Superseded + 10 years	UoL / JISC
Records documenting the student's application to accommodation provided by institution's accommodation: Successful applications.	Superseded by the contract if accepted (see contracts)	Limitation Act 1980
Records documenting the student's application to accommodation provided by institution's accommodation: Unsuccessful applications.	Start of current academic year + 1 year	UoL / JISC
Records documenting the students application to accommodation provided by institution's accommodation: Specific requirements – supporting evidence.	Decision + 3 months	UoL / JISC
Records documenting the handling of enquiries from prospective and current students.	Current academic year + 2 years	UoL / JISC
Records documenting the room facilities associated with the contracted room and common areas.	End of academic year + 6 years	Limitation Act 1980
Records documenting the development and establishment of institution's accommodation rents for the corresponding year.	Superseded + 10 years	UoL / JISC
Records documenting the collation of students in list format for information purposes: Business need.	Superseded or end of academic year	UoL / JISC
Records documenting the request to alter student allocation.	End of current academic year	UoL / JISC
Incidence reports relating to student accommodation (unless covered under HEALTH AND SAFETY section).	Last action + 1 year	UoL / JISC
Record documenting student's withdrawal request that may result in termination of accommodation licence: [Institution] accommodation resident.	End of licence + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting enquiries from current and prospective landlords (Head Leasing Scheme enquiries).	Last action + 1 year	UoL / JISC
Rent assessments-records documenting the development and establishment of proposed rents offered to landlords for the corresponding year	Superseded + 1 year	UoL / JISC
Records documenting the landlord's application to Head Leasing Scheme (HLS) provided by [Institution] Accommodation: Successful applications.	Superseded by the contract if accepted (see contracts)	UoL / JISC
Records documenting the landlord's application to HLS provided by [Institution] Accommodation: Unsuccessful applications (institution rejects property).	Start of current academic year	UoL / JISC
Records documenting the landlord's application to HLS provided by [Institution] Accommodation: Unsuccessful applications (landlord rejects offer).	Start of current academic year + 1 year	UoL / JISC
Records documenting the establishment of formal contractual relationship between institution and landlord.	Termination of contract + 6 years	Limitation Act 1980
Records documenting landlord property ownership for information purposes: Business need.	While current + 1 year	UoL / JISC
Records documenting the landlord/company landlord name and address; contact details, in list format for information purposes: Business need (landlord lists).	Superseded or end of academic year	UoL / JISC
Landlord Invoices-records documenting remedial and compliance work.	End of licence + 6 years	UoL / JISC
Landlord bank details.	End of licence + 6 years	UoL / JISC
Records documenting landlord's proposed contractual arrangement: Agreed.	End of licence + 6 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting landlord's proposed contractual arrangement: Not agreed.	Current + 1 year	UoL / JISC
Assured shorthold tenancy agreement.	Termination of contract + 6 years	Housing Act 1988 and Limitation Act 1980
Staff and family accommodation applications: Successful.	Superseded by the contract if accepted	Limitation Act 1980
Staff and family accommodation applications: Unsuccessful.	End of decision process or add to waiting list	UoL / JISC
Waiting lists.	End of academic year if unsuccessful	UoL / JISC
Records documenting the individual's occupation of staff and family housing and the activities that facilitate the occupancy: Council tax, Utility Bills, rent collection etc.	Termination of tenancy + 1 year	UoL / JISC
Records documenting the landlord's application to lodgings list provided by staff and family housing; Successful applications.	Current year + 1 (annually reviewed)	UoL / JISC
Records documenting the landlord's application to lodgings list provided by staff and family housing; Unsuccessful applications.	End of decision process	UoL / JISC
Right to rent check-records documenting checks are carried out to confirm that a tenant or lodger can legally rent a residential property in England.	End of tenancy + 1 year	Section 22 of the Immigration Act 2014
Relocation service-records documenting the individuals enquiry for assistance when relocating to the institution and processes associated.	End of enquiry and annually reviewed	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Facilities		
Records documenting the development and establishment of the institution's facilities strategy and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's facilities strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to facilities management.	Superseded + 10 years	UoL / JISC
Records documenting the specification of requirements for facilities.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14
Records documenting the development of interior design and fit-out schemes.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14
Records documenting the carrying out of interior decoration and fitting-out works.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14
Records documenting routine inspections of facilities.	Completion of two subsequent inspections	Retaining inspection records provides evidence of effective property management over time.
Records documenting the carrying out of major maintenance works within facilities.	Completion of works + 15 years	Limitation Act 1980 c. 58 s 14B
Records documenting the carrying out of minor maintenance works within facilities.	Current year + 5 years	UoL / JISC
Records documenting the conduct and outcomes of security inspections of facilities.	Completion of two subsequent inspections	Retaining inspection records provides evidence of effective property management over time.
Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident + 1 year	UoL / JISC
Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection	UoL / Jisc
Original licences and certificates	Superseded	UoL / JISC
Finance		
Records documenting the development and establishment of the institution's finance strategy and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's finance strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to finance management.	Superseded + 10 years	UoL / JISC
Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2
Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2
Records documenting the payment and/or reimbursement of employees' expenses.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the payment of honoraria to third parties.* *Unless honoraria are administered through the payroll.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
Records documenting the handling of petty cash.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC VAT Notice 700/21 para. 5.2
Records documenting the receipt and processing of tuition fees.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
Apprenticeship levy records	Current financial year + 3 years	Income Tax (Pay As You Earn) (Amendment) Regulations 2017, 147N.
Records documenting the preparation of annual accounts	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5.
Annual Accounts	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5.
Analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year	UoL / JISC
Records documenting the preparation of the institution's statutory accounts.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5.
Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	UoL / JISC
Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	UoL / JISC
Records documenting the administration of research grants provided by research councils or corporate sponsors.	Termination of grant + 6 years	Limitation Act 1980 c. 58 s 5.
Records documenting the administration of funding from European Structural Funds.	Final payment on the programme to the UK + 3 years from 31 December following the submission of the accounts in which the expenditure of the operation is included (see note).	Council Regulation (EC) No. 1303/2013 Article 140.
Records documenting the administration of scholarship funds.	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	UoL / JISC
Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 1 year	UoL / JISC
Records documenting the overall management of the institution's financial investment portfolio.	Divestment + 6 years	Limitation Act 1980 c. 58 s 5.
Records documenting the purchase/sale of investments.	Current financial year (of transaction) + 6 years	Taxes Management Act 1970 c. 9 s 34.
Records documenting the value of the institution's capital assets.	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34.
Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 ss 2 and 5.

Record Activity	Recommended Retention Action	Citation & Notes
Tax and Cash Management		
Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years	Taxes Management Act 1970 c. 9 s 34.
Records documenting the institution's accounting for VAT.	Current tax year + 6 years	Value Added Tax Act 1994 c. 23 s 58 and Schedule 11, para. 6(3) The Value Added Tax Regulations (SI 1995/2518) s 31 HMRC VAT Notice 700/21 para. 5.2.
Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	Limitation Act 1980 c. 58 s 5.
Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	Limitation Act 1980 c. 58 s 5.
Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5.
Publications		
Records documenting the development and establishment of the institution's publications strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's publications strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to publications management.	Superseded + 3 years	UoL / JISC
Records documenting the process of selecting publications to purchase.	Completion of purchase	UoL / JISC
Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the institution's scheme(s) for classifying and cataloguing publications.	Until all catalogues based on the scheme are superseded	UoL / JISC
Catalogues/indexes	Superseded	UoL / JISC
Records documenting the monitoring and control of storage conditions.	Current year + 1 year	UoL / JISC
Records documenting the movement of items from/to storage.	Return of items + 1 year	UoL / JISC
Records documenting conservation work undertaken on publications.	Life of items	UoL / JISC
Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's publishing strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's publishing strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's publishing policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's publishing policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to the management of publishing.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to the management of publishing.	Superseded + 3 years	UoL / JISC
Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the distribution of publications.	Current year + 1 year	UoL / JISC
Records documenting the development of marketing plans for publications.	Life of publication	UoL / JISC
Dataset specifications and protocols for submission and collation of data.	Superseded	If datasets are archived, dataset specifications and protocols should be archived with them.
Management information reports	Current year + 3 years	UoL / JISC
Copyright		
Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	Last action on application + 1 year	UoL / JISC
Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.	Period for which permission is granted + 6 years	Limitation Act 1980 c. 58 s 5.
Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	Current year + 1 year	UoL / JISC
Records documenting the institution's participation in surveys / audits undertaken by the Copyright Licensing Agency.	Completion of survey/audit	UoL / JISC
Results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	Current + 5 years	UoL / JISC
Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements.	Last action on case + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Intellectual Property Rights (IPR)		
Records documenting the development and establishment of the institution's IPR management policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to IPR management.	Superseded + 3 years	UoL / JISC
Records documenting the institution's applications for patents and patent certificates.	Life of patent + 50 years	Legal opinion.
Records documenting the institution's applications for other forms of IPR protection (registered trademarks, registered designs) and certificates of registration	End of registration + 6 years	Limitation Act 1980 c. 58 s 5.
Applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration	UoL / JISC
Routine monitoring of third-party activity to detect infringements of the institution's IPR.	Current year + 5 years	UoL / JISC
Records documenting identified infringements of the institution's IPR, and action taken other than litigation.	Last action on case + 6 years	Limitation Act 1980 c.58 s 5.
Records documenting the development and establishment of the institution's IPR exploitation strategy and policies: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's IPR exploitation strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to IPR exploitation.	Superseded + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the negotiation and completion of IPR assignments to third parties.	Life of IPR + 6 years	Limitation Act 1980 c. 58 s 5.
Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence + 6 years	Limitation Act 1980 c. 58 s 5.
Information Communication Technology (ICT)		
Records documenting the development and establishment of the institution's ICT systems strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's ICT systems strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to the management of ICT systems.	Superseded + 3 years	UoL / JISC
Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years	UoL / JISC
Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years	UoL / JISC
Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	UoL / JISC
Routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	UoL / JISC
Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	UoL / JISC
User requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	UoL / JISC
Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	UoL / JISC
Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years	UoL / JISC
Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	UoL / JISC
Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year	UoL / JISC
Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year	UoL / JISC
Requests for, and authorisation of, connections of third-party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year	UoL / JISC
Records documenting the removal/return of mobile ICT systems hardware and software from/to the institution's premises.	Return of equipment + 3 months	UoL / JISC
Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	UoL / JISC
Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Equipment		
Records documenting the development and establishment of the institution's equipment and consumables strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's equipment and consumables strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to the management of equipment and consumables.	Superseded + 3 years	UoL / JISC
Records documenting the development of specifications for, and the selection of, equipment/consumables: major items	Life of item + 6 years	Limitation Act 1980 c.58 s 5.
Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations	Life of item + 40 years	Retaining these records for a long period is in line with requirements/recommendations for retention of Health & Safety records.
Records documenting the development of specifications for, and the selection of, equipment/consumables: other items	Life of item	UoL / JISC
Monitoring of the condition of stored equipment/consumables.	Current year + 1 year	UoL / JISC
Stock inventory for equipment/consumables.	Superseded	UoL / JISC
Routine stocktaking and stock checking.	Current year + 1 year	UoL / JISC
Records documenting the movement of stock into and from storage.	Current year + 1 year	UoL / JISC
Records documenting the installation of equipment: major items.	Decommissioning/removal + 6 years	Limitation Act 1980 c. 58 s 5.

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal + 40 years	UoL / JISC
Records documenting the installation of equipment: other items.	Decommissioning/removal	UoL / JISC
Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994 (SI 1994/3140).	Decommissioning/removal of plant	<p>Construction (Design and Management Regulations 2015 http://www.legislation.gov.uk/uksi/2015/51/pdfs/ukxi_20150051_en.pdf does not prescribe a retention period for these records but implies that the Health and Safety File for a structure should be retained for the life of the structure.</p> <p>A Health and Safety File is transferred to the new owner when a structure is sold.</p>
Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Decommissioning	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(i) and 11(2)(a)(iii).
Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(ii).
Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/Removal + 6 years	Limitation Act 1980 c.58 s 5
Maintenance logs for equipment	Life of equipment + 6 years	The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 5(2) Limitation Act 1980 c. 58 s 5.
Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 6(3).
Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Decommissioning/Disposal + 15 years	Limitation Act 1980 c.58 s 14 The Fire Precautions (Workplace) Regulations (SI 1997/1840) Regulation 6 requires the maintenance of fire detection and fire-fighting equipment but does not prescribe a retention period for records in relation to this activity. Retaining a maintenance history provides evidence of compliance and effective management of health and safety over time.
Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health, as	Date of examination/test/repair + 5 years	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4).

Record Activity	Recommended Retention Action	Citation & Notes
required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).		
Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Date of examination/test/repair + 5 years	The Control of Asbestos Regulations (SI 2012/632) Regulation 13(3).
Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead, as required by Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of examination/test/repair + 5 years	The Control of Lead at Work Regulations (SI 2002/2676) Regulation 8(4).
Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation, as required by Regulation 10(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 2 years	The Ionising Radiations Regulations (SI 2017/1075) Regulation 11(2)(b).
Records documenting the examination, testing and repair of other equipment provided to control exposure to ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of examination/test/repair + 5 years	The Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records.
Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, as required by Regulation 19(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	Date of maintenance/testing + 2 years	The Ionising Radiations Regulations (SI 1999/3232) Regulation 19(4)(c)
Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of subsequent report OR Date of report + 2 years, whichever is the later	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(iv).
Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: items used in connection with operations involving substances hazardous to health.	Disposal of item + 15 years	Limitation Act 1980 c.58 s 14
Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal if item + 6 year	Limitation Act 1980 c. 58 s 5
Records documenting the transfer of ownership of equipment/consumables.	Disposal of item + 1 year	UoL / JISC
Insurance		
Records documenting the development and establishment of the institution's insurance strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's insurance strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to the management of insurance cover and claims.	Superseded + 3 years	UoL / JISC
Records documenting the arrangement and renewal of insurance policies: employers' liability insurance. See also Employers' Liability Insurance Certificates.	Expiry of policy + 6 years	Limitation Act 1980 c.58 s 5
Employers' Liability Insurance Certificates	Commencement/Renewal of policy + 40 years	The Employers' Liability (Compulsory Insurance) Regulations (SI 1998/2573) Regulation 4(4)
Records documenting the arrangement and renewal of insurance policies: all other insurance.	Expiry of policy + 6 years	Limitation Act 1980 c.58 s 5

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting claims, and the outcomes of claims, against insurance policies.	Settlement of claim + 6 years	Limitation Act 1980 c.58 s 5
Procurement		
Records documenting the development and establishment of the institution's procurement strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's procurement strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to the management of procurement.	Superseded + 3 years	UoL / JISC
Records documenting supplier evaluation criteria.	Superseded + 5 years	UoL / JISC
Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval	UoL / JISC
Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers.	Termination of approval	UoL / JISC
Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection + 1 year	UoL / JISC
Supplier database	While current	UoL / JISC
Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	UoL / JISC
Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years	Limitation Act 1980 c. 58 s 5

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year	UoL / JISC
Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders.	Award of supply contract + 1 year	UoL / JISC
Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 31 of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5 The Public Contracts Regulations (SI 2015/102) does not prescribe a retention period for these records. SSI 2006/1 does not prescribe a retention period for these records.
Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 32(14) of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract + 10 years	Limitation Act 1980 c. 58 s 5 The Public Contracts Regulations (SI 2015/102) does not prescribe a retention period for these records.

Record Activity	Recommended Retention Action	Citation & Notes
Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2015 (SI 2015/102) or for the Scottish Ministers, as required by the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Current year + 3 years	SI 2015/102 does not prescribe a retention period for these records. The Public Contracts (Scotland) Regulations (SSI 2015/446) states that "documentation must be kept for a period of at least 3 years from the date of award of the contract".
Records documenting purchasing authorisation limits.	Superseded + 1 year	UoL / JISC
Records documenting internal authorisation for procurement.	Current financial year + 1 year	UoL / JISC
Purchase orders	Current financial year + 6 years	Limitation Act 1980 c. 58 s 5 HMRC 700/21 para. 5.2
Goods received notes/goods inwards notes	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2
Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
Education and Training		
Records documenting the development and establishment of the institution's education and training strategy and policies: key records.	Superseded + 10 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the development and establishment of the institution's education and training strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to education and training.	Superseded + 5 years	UoL / JISC
Records documenting the development of education and training programmes.	Life of programme + 5 years	UoL / JISC
Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years	UoL / JISC
Records documenting the preparation of teaching and learning materials.	Current academic year + 1 year	UoL / JISC
Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	UoL / JISC
Records documenting the design and development of assessments.	Life of programme	UoL / JISC
Records documenting submitted/completed assessments: formative assessments.	Current academic year	UoL / JISC
Records documenting submitted/completed assessments: summative assessments.	Confirmation of marks/grades + 6 months.	UoL / JISC
Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	Limitation Act, 1980 c. 58 s 5
Records documenting the negotiation and establishment of contracts.	Termination of contract + 6 years	Limitation Act, 1980 c. 58 s 5

Record Activity	Recommended Retention Action	Citation & Notes
Consultancy		
Records documenting the development and establishment of the institution's consultancy strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's consultancy strategy, policies, and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to consultancy.	Superseded + 3 years	UoL / JISC
Directories of expertise	Current	Retention of these records must comply with the provisions of current data protection laws.
Records documenting the handling of enquiries about consultancy, where no further action is taken.	Last action on enquiry + 1 year	UoL / JISC
Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	Receipt of notification that proposal/tender was unsuccessful + 1 year	UoL / JISC
Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key records.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: working papers.	Agreement of contract	UoL / JISC
Records documenting the management of consultancy projects: key records.	Termination of contract + 3 years	Common audit requirement

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the management of consultancy projects, scheduling of meetings, interviews, deliverables/outcomes, draft versions and other project work: working papers.	Termination of contract	UoL / JISC
Records documenting substantive project work.	Termination of contract + 3 years	Common audit requirement
Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract + 6 years	Limitation Act 1980 c. 58 s 5
Related Companies		
Records documenting the development and establishment of the institution's related companies strategy, policies and procedures: key records.	Superseded + 10 years	UoL / JISC
Records documenting the development and establishment of the institution's related companies strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Commercial Services Management		
Records documenting the development and establishment of the institution's commercial services strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's commercial services strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to the management of commercial services.	Superseded + 3 years	UoL / JISC

PART G: INFORMATION COMPLIANCE

Record Activity	Recommended Retention Action	Citation & Notes
Information Strategy and Data Protection		
Records documenting the development and establishment of the institution's information compliance strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's information compliance strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to information compliance.	Superseded + 3 years	UoL / JISC
The institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by the Data Protection Act 2018.	Current year + 1 year	Notification must be renewed annually to maintain an entry in the public register of data controllers.
Records documenting the handling of requests for access to personal information held by the institution under the General Data Protection Regulation (GDPR).	Last action on request + 1 year	UoL / JISC
(Anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under current data protection laws (the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679).	Current year + 10 years	UoL / JISC
Privacy notices.	Conclusion of the activity to which the privacy notice relates + 6 years	GDPR 5(1) (e) Limitation Act 1980.

Record Activity	Recommended Retention Action	Citation & Notes
Freedom of Information		
Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36) and the Freedom of Information (Scotland) Act 2002 (asp 13).	Completion of revision of Publication Scheme + 5 years	Freedom of Information Act 2000
Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Completion of request handling process + 3 years	Freedom of Information Act 2000
(Anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Current year + 10 years	Freedom of Information Act 2000
(Anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	Current year + 10 years	Freedom of Information Act 2000
Environmental Information Compliance		
Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Completion of request handling process + 3 years	This recommended retention period is in line with the period recommended by The National Archives for retention of records relating to the handling of requests for information under the Freedom of Information Act 2000
(Anonymised) management statistics, analyses and reports of requests for environmental information held by the institution, made under the	Current year + 10 years	Records created by a public body fulfilling its obligations

Record Activity	Recommended Retention Action	Citation & Notes
Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).		under the Freedom of Information Act 2000 (The National Archives).
Records Management		
Records documenting the development and establishment of the institution's records management strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's records management strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's records management policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's records management policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to records management.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to records management.	Superseded + 3 years	UoL / JISC
Records documenting recordkeeping requirements for specific business activities and processes.	Superseded	UoL / JISC
Records documenting classification and indexing schemes for records.	Superseded + 5 years	UoL / JISC
Records documenting storage locations of records.	Superseded	UoL / JISC
Records documenting the movement of records to/from storage.	Return of records + 1 year	UoL / JISC
Records documenting the provision of access to records.	Date of access + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the determination of retention periods for records.	Completion of revised Records Retention Schedule + 1 year	UoL / JISC
Final versions of Records Retention Schedules	Permanent	UoL / JISC
Review of individual records to determine requirements for ongoing retention, where records are disposed of.	Life of records + 25 years	UoL / JISC
Records documenting conservation work undertaken on records.	Disposal of records	UoL / JISC
Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	UoL / JISC
Records documenting the conduct and results of records surveys/audits.	Completion of subsequent survey/audit	UoL / JISC
Archives and Collections		
Records documenting the development and establishment of the institution's archives strategy and policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's archives strategy, policies and procedures: working papers.	Issue of document + 1 year	UoL / JISC
Master copies of procedures relating to archives management.	Superseded + 3 years	UoL / JISC
Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	UoL / JISC
Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	UoL / JISC
Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the institution's scheme of arrangement for its archives.	Life of records arranged according to the scheme	UoL / JISC
Records documenting the development of the institution's standard descriptive model for its archives.	Life of records described using the model	UoL / JISC
Records containing the descriptions of the records held as archives.	Life of records	UoL / JISC
Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	UoL / JISC
Records documenting the movement of archives from/to storage.	Return of items + 1 year	UoL / JISC
Requests for access to archives.	Last action on request + 1 year	UoL / JISC
Records documenting conservation work undertaken on items in the archives.	Life of records	UoL / JISC
Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process + 6 years	Limitation Act 1980 c. 58 s 5
Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Superseded	UoL / JISC
Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	Superseded	UoL / JISC
Records documenting enquiries about (items in) the archives, and the responses provided. Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.	Last action on enquiry + 1 year	UoL / JISC
Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	Current + 5 years	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).	Last action on project + 5 years	UoL / JISC
Records documenting loans of items from the archives to third parties.	Termination of loan + 6 years	Limitation Act 1980 c.58 s 5
Collections		
Records documenting the development and establishment of the institution's collections strategy: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's collections strategy: working papers.	Issue of strategy + 1 year	UoL / JISC
Records documenting the development and establishment of the institution's collections management policies: key records.	Superseded + 5 years	UoL / JISC
Records documenting the development and establishment of the institution's collections management policies: working papers.	Issue of policy + 1 year	UoL / JISC
Records documenting the development of the institution's procedures relating to collections management.	Issue of procedures + 1 year	UoL / JISC
Master copies of procedures relating to collections management.	Superseded + 3 years	UoL / JISC
Records documenting the design and development of promotional materials.	While materials are current	UoL / JISC
Records documenting the design and implementation of promotional events.	Last action on event + 5 years	UoL / JISC
Enquiries about collections and the responses given.	Last action on enquiry + 1 year	UoL / JISC

Record Activity	Recommended Retention Action	Citation & Notes
Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are rejected.	Last action on request / proposal + 1 year.	UoL / JISC
Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are authorised.	Completion of use + 5 years.	UoL / JISC
Records documenting the authorised use of collections or objects, and actions taken to facilitate, monitor or control use (e.g. checking environmental conditions, handling / operating objects; taking samples from objects).	Completion of use + 5 years.	UoL / JISC
Objects		
Records documenting the receipt of objects which are not currently part of the institution's collections.	Current year + 10 years	UoL / JISC
Records documenting loans of objects to the institution by other organisations or by individuals.	Permanent	UoL / JISC
Records documenting the acquisition of objects for the institution's collections.	Permanent	UoL / JISC
Records documenting the location and movement of objects within the institution's premises.	Permanent	UoL / JISC
Records documenting key information about objects in the institution's collections.	Permanent	UoL / JISC
Records documenting objects which have left the institution's premises.	Return of item + 10 years	UoL / JISC
Records documenting loans of objects to other organisations or to individuals.	Return of loaned item + 10 years	UoL / JISC