University of Huddersfield

Retention and Disposal Schedule

Introduction

The Retention and Disposal Schedule ("Retention Schedule") documents the retention periods for Huddersfield University records and information. Records are defined in the Records Management Policy, and can be in any format, both electronic and hard copy.

In any dispute it is important that the University is able to demonstrate that normal practice was followed. The Retention Schedule represents normal practice.

Purpose of the Retention Schedule

The Retention Schedule promotes consistency by ensuring that the same type of records and information are kept for the same amount of time no matter where they are held. The schedule

- promotes control over the University's records and information;

- enables staff to confidently dispose of records and information which are no longer needed, in line with legislation, such as the Data Protection Act;

- assists with accountability under the Data Protection Act and Freedom of Information Act, enabling the University to demonstrate that any destruction has been undertaken in accordance with proper procedures and requirements; and

- saves staff time, space and equipment by discouraging the retention of unnecessary records and information.

How retention periods are decided

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

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

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

How to use the Retention Schedule

The Retention Schedule takes a functional approach, rather than following the organisational structure of the University. As such it covers information and record groups that are common to more than one School or Service. The office which should hold the master is indicated.

Each part of the Retention Schedule has a header indicating the function being covered (e.g., Academic Administration), followed by a table which sets out the types of records and information generated by that function, how long they should be kept for, and where the master is held. The content of the table is explained below.

Table header	What it means
Ref	The unique reference code for the type of records or information described in the line. This is useful when referring to parts of the Retention Schedule, for example in Privacy Impact Assessments.
Records about	The specific types of records or information covered by the line of the Retention Schedule.
Retention period	The length of time the records or information should be kept for before you take action. This is usually expressed in terms of a fixed point plus a number of months or years. Common fixed points in the Retention Schedule include • End of the academic year • End of the financial year • Completion of the student's course • End of student relationship In addition, some records and information have a permanent retention period, meaning they should be transferred to the University Archives at Heritage Quay for preservation when no longer needed by the School or Service.
Action at end of retention period	What you should do once the retention period is up. There are three options in the Retention Schedule. • **Destroy** (this should be done in a suitable and appropriate manner, for example deleting electronic information or confidentially disposing of paper records containing personal information. NOTE. Some systems will be set up to do this automatically at the end of the retention period) • **Transfer to University Archives** (arrange with staff at Heritage Quay to transfer the records for permanent preservation when you are no longer using them) • **Review** (review the records to see if they should be retained longer, transferred to the University Archives, or destroyed)
Rationale	Why the retention period has been chosen. This might reflect legislation, business need, or the long term evidential or historical value of the information.
Master held	Which School or Service holds the master copy of the information or record, and in which system, if relevant.

Implementation

Schools and Services are responsible for applying the retention periods to the records and information they control both electronically and in hard copy. It is recommended that records and information are reviewed at least once per year, implementing the actions described in the Retention Schedule. A summary log should be kept to record any act of disposal having taken place.

Duplication is to be avoided unless absolutely necessary. Any duplicates or local copies made for working purposes (for example Finance or HR records) should only be kept for as long as they are being used. Normally this will not exceed one year. They should be destroyed once they are no longer of immediate operational use. They **must not** be kept longer than the master copy.

Some information has no significant operational, informational, or evidential value and can be destroyed as soon as it has served its primary purpose. It will not be covered by the Retention Schedule. Guidance on managing such information will be provided by Records Management.

A small percentage of records and information has long-term 'archival value', for example Committee records. These need to be transferred to the University Archive at Heritage Quay when no longer in use by the School or Service. Records Management staff can facilitate the transfer of such records to the Archive if required.

Where information is held in University recordkeeping systems, each system owner is responsible for ensuring that disposal is undertaken at the expiry of a retention period, whether the system is set up to automatically dispose of records, or it is a manual process. The Wisdom records management system will incorporate the agreed retention periods. Work to incorporate agreed retention periods in SharePoint will be investigated.

The schedule was restructured and re-referenced in 2021. The previous reference numbers can be found in previous versions of the Retention Schedule available from Records Management. Note that retention periods may have changed since the Retention Schedule was first produced in 2008. It is possible that some records were covered by shorter or longer retention periods in the past. If you have a query about retention periods from 2008 onwards, please contact Records Management.

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

Morag Fyfe

University Records Manager

University of Huddersfield

Retention and Disposal Schedule

Contents of Retention Schedule

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

1   Academic Administration

1.1   Teaching, learning and assessment records for taught programmes

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.1.1	Programme and module specifications	All versions must be retained permanently	Transfer to University Archives	Institutional need for life of prog/mod + 6 years Enduring archival value	Schools (Wisdom/CourseLoop)
1.1.2	Programme and module handbooks	Retain for at least 6 years after the programme or module ceases to be offered May be transferred to University Archive for permanent retention	Review for transfer to University Archives	Limitations Act (1980 c. 58 s5) Enduring archival value	Schools (Wisdom)
1.1.3	Module materials and resources, including: • Teaching resources in Brightspace or audiovisual formats (excluding lecture/class recordings – see 1.12) • Module Report, including statistical analysis and action plan • Module Evaluation, eg student survey+analysis • Record of internal and external moderation • Sample work	End of the current academic year + 6 years (In Brightspace, module materials and resources cannot be separated from assessments (1.1.6) and feedback from tutors (1.1.7). Therefore, records in Brightspace will be retained for the longer period in 1.1.6 and 1.1.7.)	Destroy	Institutional needs Limitations Act (1980 c. 58 s5) for records of moderation	Schools (Brightspace; Wisdom; audiovisual platforms)
1.1.4	Routine solicited feedback on taught programmes or modules from students	Dispose of data immediately after the completion of the analysis (unless anonymised) (In Brightspace, feedback from students cannot be separated from module materials (1.1.3), assessments (1.1.6) and feedback from tutors (1.1.7). Therefore, records in Brightspace will be retained for the longer period in 1.1.6 and 1.1.7.)	Destroy Review anonymised feedback for longer retention	Jisc recommendation	CLS (Brightspace)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.1.5	Examination papers and summative assessments (*not* students' submissions – see 1.1.6 for student work)	Permanent (final copies)	Transfer to University Archives Any drafts should be disposed of once the final version is agreed	Institutional need for life of prog/mod Archival value	Schools (Wisdom)
1.1.6	Work submitted for formative and summative assessment (including examination scripts)	Minimum: Retain until the completion of the student's course + 6 years If this is not practicable due to the nature of the material (eg portfolios, physical assets), retain for confirmation of marks/grades by Course Assessment Boards + 4 months (e.g., offer students opportunity to collect) Where assessments are stored in Turnitin, they will be retained indefinitely in accordance with the similarity checking requirements of that system. (This may include marks, feedback and reports associated with that assessment.)	Destroy	Limitations Act (1980 c. 58 s 5) Turnitin's similarity checking requirements	Schools (Brightspace; TurnItIn; Panopto); R+E
1.1.7	Feedback on academic progress, and general academic guidance and support, given to individual taught students	Retain until the completion of the student's course + 6 years (Where necessary, this can be interpreted as longest course + 6 years)	Destroy	Limitations Act (1980 c. 58 s 5) (Jisc recommendation)	Schools (Brightspace; TurnItIn; Panopto)
1.1.8	Audio visual recordings of Teaching and Learning events (eg Lecture Capture, Teams recordings)	Retain for current academic year + 2 years (Unless earlier removal is requested under 7.7 of the policy)	Destroy	UoH decision/Audio and Video Capture Policy (Recording of Teaching Environments)	CLS (Panopto; Stream/Office 365)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.1.9	Consent for audio visual recordings of Teaching and Learning events (eg Lecture Capture, Teams recordings)	Retain for current academic year + 2 years (i.e. retain for the same period as the relevant recording)	Destroy	UoH decision/Audio and Video Capture Policy (Recording of Teaching Environments)	Schools
1.1.10	Data extracted from Unilearn (decommissioned VLE) - feedback to students	Date Unilearn decommissioned (31 July 2019) + longest course duration (7 years) + 6 years	Destroy	Limitations Act (1980 c. 58 s 5) UoH decision based on ability to implement in the system	CLS
1.1.11	Data extracted from Unilearn (decommissioned VLE) - all data except feedback to students	No requirement to retain	Destroy	Institutional needs (Much of the data was migrated to Brightspace or downloaded by users prior to decommissioning)	CLS
1.1.12	Records representing teaching during the COVID-19 pandemic: eg 2018/19 (for normal practices), 2019/20 (for time of change), and 2020/21 and 2021/22 (for new practices).	Permanent	Transfer to University Archives	Archival value	Heritage Quay (Wisdom)

See separate section for applicant and student administration for individual student records (1.3).

1.2 Quality assurance records

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.2.1	Validation of programmes and modules See Section B4 of the Quality Assurance procedures	Date of validation + 10 years	Destroy	Institutional needs (Audit requirements)	Registry and Schools (Wisdom)
1.2.2	External accreditation	Life of programme or module	Destroy	Institutional needs (Jisc recommendation)	Registry and Schools (Wisdom)
1.2.3	Internal review of taught programmes, including: • Annual evaluation (see Section M of the Quality Assurance procedures) • Reports of routine internal reviews of taught programmes • Documentation of formal independent reviews of taught programmes, and the responses to the results	Current academic year + 5 years	Destroy	Institutional needs (Jisc recommendation)	Registry; Schools
1.2.4	Quality Appraisals and Internal Quality Audits See Section J of the Quality Assurance procedures	Current academic year + 5 years (Lists of past appraisals may be retained permanently)	Destroy Review lists of past appraisals for transfer to University Archives	Institutional needs (Jisc recommendation)	Registry
1.2.5	Subject Review See Section K of the Quality Assurance procedures	Current academic year + 6 years	Destroy	Institutional needs (Audit requirements)	Registry
1.2.6	Thematic reviews See Section L of the Quality Assurance procedures	Current academic year + 10 years	Destroy	Institutional needs (Registry request)	Registry
1.2.7	Collaborative Provision See Section N of the Quality Assurance procedures	Retain records for all courses with a partner until 10 years after the end of the collaboration with that partner	Destroy	Institutional needs (Audit requirements)	Registry

1.3 Individual applicant and student records

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

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

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.3.1	Individual applications for admissions - unsuccessful or applicant declined offer (documents) (Includes feedback on applications, but for complaints, see 7.3)	Completion of admissions process + 1 year	Destroy	UoH decision 2010 c. 15 (Part 6; Part 9, Chapter 2, 114, 118) OfS, Transparency Return guidance, 2019, point 53 Ofsted, Initial Teaching Education Framework and Handbook, 2021	MCSR; Int. Office; Schools (Wisdom)
1.3.2	Individual application for admissions – unsuccessful or applicant declined offer (data) Note: from end of process+1 year, this data is for reporting, statistical analysis, and business improvement; no decision is being made about individuals and profiling isn't being carried out	Completion of admissions process + 6 years	Destroy	UoH decision 2010 c. 15 (Part 6; Part 9, Chapter 2, 114, 118) OfS, Transparency Return guidance, 2019, point 53 Ofsted, Initial Teaching Education Framework and Handbook, 2021	MCSR; Int. Office; Schools (ASIS) Planning (extracts from ASIS)
1.3.3	Individual applications for admissions – successful, i.e. applicant becomes a student (documents and data)	End of student relationship + 6 years	Destroy	1980 c. 58 s 5 OfS, Transparency Return guidance, 2019, point 53 Ofsted, Initial Teaching Education Framework and Handbook, 2021	Student Records; Schools (Wisdom; ASIS) Planning (extracts from ASIS)
1.3.4	Core student record: personal details, records allowing transcript to be provided (inc placements), courses followed + grades, final degree, academic distinctions	Permanent	Transfer to University Archives	Enduring value	Student Records, (ASIS); Schools (PEMS; ePlacements; records prior ASIS)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.3.5	Immigration documents (eg copies of passport, UK biometric data card)	End of student relationship + 6 years	Destroy	UoH decision 1980 c. 58 s 5 UK Visas and Immigration guidance: Tier 4 of the points-based system: Guidance for sponsors: Sponsorship duties (2.4-2.5) Appendix D: guidance for sponsors on keeping documents	Student Records; Int. Office; (Wisdom)
1.3.6	Visa advice for international students – individual student/applicant files	End of student relationship + 6 years In the case of applicants who do not become students, last contact + 6 years	Destroy	OISC Code of Standards 2016 (item 57)	International Office
1.3.7	Start-up visa holders, including quarterly reviews	End of endorsement + 1 year	Destroy	UK Visas and Immigration guidance: Start-up and Innovator visa endorsing bodies (version 10/2020, pp. 28-29)	RIKE
1.3.8	Conduct of assessments/submission of work, including extenuating circumstances. Also see 2.17.	Current academic year + 6 years	Destroy	1980 c. 58 s 5	Schools, Registry
1.3.9	Other administrative data including registration/enrolment onto programmes; academic progress; placements (where not required for transcripts); internships; actions taken to deal with unsatisfactory progress; transfer to new programmes/course withdrawal/ suspension	End of student relationship + 6 years	Destroy	1980 c. 58 s 5 (Note: JISC advises it has checked with external bodies (eg Nursing & Midwivery Council) and they have no requirement for this information to be kept for longer than the institution decides)	Student Records (ASIS) supported by student files in Schools and Registry (Wisdom; Pebblepad)
1.3.10	Feedback, guidance & support given by tutors to individual students	Completion of student's programme + 6 years	Destroy	1980 c. 58 s 5	Schools (Brightspace)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.3.11	Attendance monitoring data (ie data in and exported from the attendance monitoring system, *not* any local class lists – see 1.4.12)	Retain for current academic year + 6 years	Destroy	Conditions B and F3 of registration with the Office for Students; OfS, Regulatory Advice 15: Monitoring and intervention, 2020, sections 56-62	CLS; Planning
1.3.12	Appeals and complaints, such as formal disciplinary proceedings against a student or complaints made by a student. (For complaints from members of the public, see 7.2)	Last action on case + 6 years	Destroy	1980 c. 58 s 5	Schools, Registry
1.3.13	Use of support services by individual students (including disability support, careers advice, Library borrower record, Occupational Health, and counselling service case/process notes)	Completion of student's programme + 6 years	Destroy	1980 c. 58 s 5 For counselling: UoH decision based on BACP Good Practice in Action 067 and 2018 c. 12	Student Services (Titanium; 10to8); Occupational Health; Careers Service; CLS (Alma)
1.3.14	Participation in Researcher Development initiatives, including Central Induction, workshops, drop-in, online training, etc (attendance records)	End of student relationship + 6 years	Destroy	1980 c. 58 s 5	RIKE (SkillsForge)
1.3.15	Requests for transcripts, references etc.	Last action on request + 1 year	Destroy	JISC recommendation	Schools; Registry
1.3.16	DBS certificates and supporting documentation	Date of DBS panel (or conclusion of appeal) + up to a maximum of 6 months (Anonymised case notes may be retained for longer)	Destroy Review anonymised notes for longer retention	UoH decision – DBS Policy Government guidance on DBS certificates DBS code of practice	Schools; SCLS
1.3.17	DBS panel minutes and appeals	End of student relationship + 1 year (Anonymised minutes may be retained for longer)	Destroy Review anonymised minutes for longer retention	UoH decision based on requirements of professional bodies	Schools; SCLS
1.3.18	Provision of financial aid/bursaries/hardship funds/scholarships to individual students	Current financial/academic year + 6 years	Destroy	1980 c. 58 s 5	Student Finance
1.3.19	ICT account/mailbox	Until the end of the calendar year in which the student graduates, withdraws, or otherwise leaves the University	Delete	UoH decision	CLS

1.4 Other academic administration records

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

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.4.12	Administration of programmes: including compiling class and tutorial lists; scheduling submission/ marking/ return of assessed work; class attendance lists; organising required work placements (See also 1.3.11 for attendance monitoring)	Current academic year + 3 years	Destroy	JISC recommendation	Schools; Student Records (ASIS); Research and Enterprise
1.4.13	Administration of examinations, including selection/appointment of invigilators; control of papers & scripts; timetabling; special arrangements	Current academic year + 1 year	Destroy	JISC recommendation	Schools; Registry
1.4.14	Course Assessment Boards committee papers	Permanent	Transfer to University Archives when no longer required in the School	UoH decision: enduring business reason	Schools (Wisdom)
1.4.15	Extenuating Circumstances Panels committee papers	Current academic year + 15 years	Destroy	2018 c. 12 Allow for maximum course length	Schools
1.4.16	Awards ceremonies administration policies	Permanent, including all previous versions	Transfer to University Archives	Enduring value - UoH decision based on Jisc recommendation	Policy owners (Past versions Heritage Quay)
1.4.17	Notification of awards & issuing of certificates	Conferment + 1 year	Destroy	JISC recommendation	Registry
1.4.18	Inviting/receiving/considering nominations for honorary awards; responses received	Conferment + 1 year	Destroy	JISC recommendation	Registry
1.4.19	Organisation of award ceremonies	Completion of ceremony + 1 year	Destroy	JISC recommendation	Registry; RIKE
1.4.20	Academic assessment policies/regulations	Permanent, including all previous versions	Transfer to University Archives	Enduring value - UoH decision based on Jisc recommendation	Policy owners (Past versions Heritage Quay)
1.4.21	Selection/appointment of external examiners	Termination of appointment + 5 years	Destroy	Business needs (EEs should not be reappointed within 5 years)	Registry
1.4.22	Financial support policies & procedures	Retain each version for at least 10 years after they are superseded	Review for further retention or destruction	UoH decision based on Jisc recommendation	Policy owners

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
1.4.23	Progression Module – pass lists	Year of pass list + 100 years	Destroy	UoH decision – evidence for UCAS points for the lifetime of the individual	SCLS
1.4.24	Timetabling (except examinations)	Current academic year + 10 years	Destroy	UoH decision	Planning Service (Resource Booker)
1.4.25	Award ceremony recordings	Permanent (The live stream is available online (YouTube) for 1 month and then removed)	Transfer to University Archives	Enduring value – UoH decision	CLS (HudStream) (Earlier recordings Heritage Quay)

2   Research, Innovation and Enterprise records, including research programmes

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
2.1	Media articles relating to a University academic's work or research	For as long as required for REF purposes, up to a maximum of 20 years	Destroy	Research Excellence Framework	R+E (Pure; Box)
2.2	Internal & external quality assurance of research	Current academic year + 5 years	Destroy	JISC recommendation	Registry
2.3	Research and enterprise business development (For business contact information, see 7.19)	Current academic year + 5 years	Destroy	JISC recommendation	Registry; RIKE; (Dynamics)
2.4	Research and enterprise partnerships – formation and management	Life of partnership or arrangement + 6 years	Destroy	1980 c. 58 s 5	Schools; RIKE
2.5	Research and enterprise projects design and planning – not undertaken	Current academic year + 5 years	Destroy	JISC recommendation	Schools; RIKE
2.6	Funding bids – not successful	Receipt of notification + 5 years	Destroy	UoH decision	Schools; RIKE; (PAPA in Agresso)
2.7	Research and enterprise projects design and planning – undertaken	Completion of project + 10 years Some sources of funding, especially European, may specify the retention of records a longer period. Please consult RIKE for advice.	Destroy	JISC recommendation	Schools; RIKE
2.8	Funding bids – successful	Completion of project + 10 years Some sources of funding, especially European, may specify the retention of records a longer period. Please consult RIKE for advice.	Destroy	UoH decision 1980 c. 58 s 5	Schools; RIKE; (PAPA in Agresso)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
2.9	Management of externally funded research and enterprise projects – from initiation to completion	Completion of project + 6 years Some sources of funding, especially European, may specify the retention of records a longer period. Please consult RIKE for advice.	Destroy	1980 c. 58 s 5	Schools; RIKE
2.10	Management of internally funded research and enterprise projects – from initiation to completion	Completion of project + 3 years	Destroy	JISC recommendation	Schools; RIKE
2.11	Conduct of research, including data, funded by the Medical Research Council	Completion of project + 10 years	Destroy	Medical Research Council, Good Research Practice, section 2B Medical Research Council, Retention framework for research data and records (2022)	Schools
2.12	Conduct of clinical or public health studies, including data, funded by the Medical Research Council, except specific categories of records in studies for which consent was obtained (see 2.13).	Completion of project + 20 years	Destroy	Medical Research Council, Good Research Practice, section 2B; Medical Research Council, Retention framework for research data and records (2022)	Schools
2.13	The protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the Medical Research Council.	Completion of project + 30 years	Destroy	Medical Research Council, Retention framework for research data and records (2022)	Schools

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
2.14	Conduct of all other research, including data, funded by all organisations other than the Medical Research Council.	Completion of project + 10 years Unless retention is legally, ethically or subject-specified. A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor	Review for further retention or destruction	Stated or implied requirements of UK Research Councils and other significant research sponsors	Schools
2.15	Design and development of research programmes	Life of programme +10 years	Destroy	JISC recommendation	Schools, RIKE
2.16	External & internal review of taught research programmes	Current academic year + 5 years	Destroy	JISC recommendation	Registry, Schools
2.17	Conduct of formal assessments, awards/classifications including extenuating circumstances Also see 1.3.8	Current academic year + 6 years	Destroy	1980 c. 58 s 5	Schools
2.18	Appointment of supervisors	Termination of appt. + 1 year	Destroy	JISC recommendation	Schools
2.19	Feedback, guidance & support given by supervisors to individual students	Completion of student's programme + 6 years	Destroy	1980 c. 58 s 5	Schools, RIKE; (Brightspace)
2.20	Postgraduate theses	1 copy should be retained permanently in the appropriate repository (currently Pure) Or, where necessary, a permanent copy in the library of both the University and any Collaborating Establishment unless the provisions regarding confidentiality of the Regulations for Awards apply	Upload to Pure/transfer to Library	UoH Regulations	CLS (ePrints until 2022; Pure from 2022)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
2.21	Research outputs of support staff	1 copy should be retained permanently in the appropriate repository (currently ePrints)	Upload to ePrints	UoH decision Archival value	CLS (ePrints from 2007)
2.22	Publications of the University Press	1 (electronic) copy should be retained permanently in the appropriate repository (currently Janeway) 1 physical copy (where possible) should be retained permanently in the University Archives.	Upload to Janeway Transfer physical copy to University Archives	UoH decision Archival value	CLS (ePrints 2007-2018; Janeway from Oct 2018)
2.23	Research outputs of academic staff and students (excluding postgraduate theses; see 2.20)	1 copy should be retained permanently in the appropriate repository (currently Pure)	Upload to Pure	UoH decision Archival value	RIKE (Pure, from 2014) 2007-2017: CLS (ePrints)
2.24	Research policies	Permanent, including all previous versions Past versions can be transferred to the University Archives	Transfer to University Archives	Enduring value - UoH decision based on Jisc recommendation	Policy owners (Past versions can be transferred to Heritage Quay)
2.25	Approval and appointment of external examiners for postgraduate research degrees	End of student relationship + 6 years	Destroy	1980 c. 58 s 5 UoH decision	Registry (Wisdom and SharePoint)
2.26	Commissioning, editing and production of University Press publications	Issue of publication + 3 years	Destroy	UoH decision	CLS
2.27	Distribution of University Press publications	Current year + 1 year	Destroy	JISC recommendation	CLS

3   University Management

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

3.1   General

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

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
3.1.5	Prevent referrals	Retain for 6 years after the date of referral (If the case is referred on to another service within the University or a third-party service, those subsequent records will be managed as part of that service; eg see 1.3.13 for Wellbeing Service records.)	Destroy	2015 c. 6 s 32 Office for Students guidance, Prevent duty: Framework for monitoring in higher education in England, 2018 Government proposal, 2021: Higher education: free speech and academic freedom	Student Services (SharePoint)
3.1.6	Safeguarding referrals, including: • About a student • About a staff member • About a child or vulnerable adult who is not a student or staff • Concerns about conduct of staff or students (Records of initial referrals only - for further records post-referral, eg support services or disciplinary proceedings, see 1.3.12, 1.3.13, 4.1.5.)	Delete the referral forms and associated emails as soon as the information has been added to the relevant record in the appropriate system (currently Titanium) Retain the referral information on the relevant record (currently in Titanium) until: • for students, 6 years after the completion of their course • for staff, 6 years after the end of their employment • for non-students/staff, 6 years after the last contact For retention of further records post-referral (eg support services or disciplinary proceedings), see 1.3.12, 1.3.12, 4.1.5.	Destroy	1980 c. 58 s 5 2006 c. 47	Student Services (Forms; Titanium)

3.2 Risk, quality and environmental records

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

3.3   Health and safety

For health surveillance, please consult Occupational Health (4.2).

For equipment, see section for University Resources (5).

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
3.3.1	Health & Safety strategy, policies & procedures	Permanent, including all previous versions	Transfer to University Archives	Enduring value - UoH decision based on Jisc recommendation	Policy owners (Past versions can be transferred to Heritage Quay)
3.3.2	Employer's liability insurance certificates	Commencement/renewal of policy + 40 years	Destroy	Good practice (Previously SI 1998/2573 reg. 4(4); superseded by 2008/1765)	H&S
3.3.3	H&S reports	Permanent	Transfer to University Archives	Enduring value	Wisdom (earlier records with Schools/Services)
3.3.4	H&S inspection and audits (except for specific topics listed at 3.3.13 – 3.3.18)	Current year + 5 years	Destroy	JISC recommendation	H&S; Schools/Services
3.3.5	General H&S incident reports (except for specific topics listed at 3.3.10 – 3.3.18)	End of calendar year + 3 years	Destroy	1980 c.58 s 11	H&S; Schools/Services
3.3.6	General H&S training (except for specific topics at 3.3.9 and 3.3.13 – 3.3.18)	Superseded + 10 years	Destroy	UoH decision	H&S; Schools/Services
3.3.7	General H&S risk assessments (except specific topics at 3.3.13 – 3.3.18)	Superseded + 5 years	Destroy	JISC recommendation	H&S; Schools/Services
3.3.8	Safety representatives – appointment, training, consultation	Current year + 50 years	Destroy	JISC recommendation	Schools/Services
3.3.9	First Aid (including appointment/training of First Aiders, assessment of first aid needs)	End of calendar year + 5 years	Destroy	UoH decision	Occ Health; Schools/Services
3.3.10	RIDDOR-reportable incidents (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations)	End of calendar year + 40 years	Destroy	UoH decision SI 2013/1471 reg 12 (2)	H&S

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
3.3.11	Incidents involving potential exposure to biological agents but where no cross-contamination has occurred	End of calendar year + 10 years	Destroy	Occupational Health best practice	H&S
3.3.12	Expectant and new mothers (including risk assessments reviews and incident reports)	Date of notification of pregnancy + 22 years (ie 3 years after the child's 18th birthday) (For incident reports, end of calendar year + 22 years) (Unless exposure to hazardous substances and physical agents in which case + 40/50 years instead, as specified in 3.3.16-18.)	Destroy	1980 c. 58 s 11	H&S (incident reports); HR (risk assessment reviews)
3.3.13	Young persons at work (under 18) (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports)	Date joined + 8 years (ie 3 years after the young person's 18th birthday, and assuming that children under 13 cannot be employed) (For incident reports, end of calendar year + 8 years) (Unless exposure to hazardous substances and physical agents in which case + 40/50 years instead, as specified in 3.3.16-18)	Destroy	1980 c. 58 s 11	H&S; Schools/Services
3.3.14	Display screen equipment (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports)	Superseded + 10 years (For incident reports, end of calendar year + 10 years)	Destroy	UoH decision, based on JISC recommendation	H&S; Schools/Services
3.3.15	Fire safety (including risk assessments; information/instruction/training; maintenance/monitoring; incident reports; evacuation practices)	Superseded + 5 years (For incident reports and evacuation, end of calendar year + 5 years)	Destroy	JISC recommendation	H&S; Schools/Services

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

3.4 Committees

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

4 Human Resources

4.1 Individual staff records

See also Health & Safety (3.3) section for H&S records relating to individual staff e.g., expectant mothers.

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
4.1.1	Recruitment – unsuccessful applications including interview notes (unless the candidate appointed is a sponsored migrant, in which case see 4.1.2)	Completion of recruitment process + 6 months	Destroy	UoH decision 2010 c. 15 (Part 5; Part 9, Chapter 3, 123)	HR (iTrent); Schools/Services (for the interview notes)
4.1.2	Recruitment - where the candidate appointed is a sponsored migrant (Records for **all** candidates interviewed for the vacancy need to be retained and should be forwarded to HR)	End of employment of the sponsored migrant + 1 year (Or, if the migrant is no longer sponsored, until the point at which a compliance officer has examined and approved them)	Destroy	UK Visas and Immigration guidance: Tier 2 and 5 of the points-based system: guidance for sponsors (15.1) Appendix D: guidance for sponsors on keeping documents	HR (shared drive; DLX) (Any records held elsewhere should be passed to HR)
4.1.3	Individual staff: job-specific statutory/regulatory training requirements for the employee, and the training provided to meet the requirements	Expiry of certification + 6 years OR termination of employment + 6 years	Destroy	1980 c. 58 s. 5	HR (DLX)
4.1.4	Individual staff files including but not limited to: - Advert, application forms + supporting recruitment documentation, job description - Personal details & copies of eligibility to work documents - Contract(s) - Terms & conditions incl. changes, regrading / promotions - Termination of employment by resignation, redundancy, retirement, dismissal, exit interviews (See also 4.1.23)	Termination of employment + 6 years For staff with a pension, retain personal details, contractual and termination information as in 4.1.16	Destroy Retain and destroy in line with 4.1.16	1980 c. 58 s 5 2018 c. 12	HR (data = iTrent; documents = DLX)
4.1.5	Formal disciplinary proceedings and grievances raised by staff, the institution's response, action taken and the outcome	Termination of employment + 6 years	Destroy	1980 c. 58 s 5	HR (data = iTrent; documents = DLX)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
4.1.6	Investigation or disciplinary against employee – no formal action taken	Termination of employment + 6 years for record but last action on case + 1 year for consideration of further action	Destroy	UoH decision	HR (data = iTrent; documents = DLX)
4.1.7	Health Assessments including reports from Occupational Health	Termination of employment + 6 years	Destroy	1980 c. 58 s 5\n\nSI 1998/1833 regs 7 and 9	HR (DLX)
4.1.8	Employee timesheets	Date timesheet processed + 3 years\n\n(Minimum = current financial year + 2 years)	Destroy	Institutional needs\n\n(Minimum = SI 1998/1833 reg. 9)	HR; Schools; Services
4.1.9	Annual leave records	Termination of employment + 6 years\n\n(Minimum = end of holiday year + 2 years)\n\nFor records from the 2018/19 year and earlier, retain for end of holiday year + 2 years\n\nFor staff with a pension, this information (post-2019) is currently retained as in 4.1.16	Destroy\n\n\n\nDestroy\n\n\n\nRetain and destroy in line with 4.1.16	UoH decision\nSI 1998/1833 reg. 9	HR (iTrent)\n\n(Pre-18/19, Schools/Services)
4.1.10	Flexitime records	End of holiday year + 2 years	Destroy	SI 1998/1833 reg. 9	Schools;\n\nServices
4.1.11	Individual staff:\n\nStatutory leave entitlement e.g. parental leave	For staff without a pension: Termination of employment + 6 years\n\nFor staff with a pension: Retain as in 4.1.16	Destroy\n\n\n\nRetain and destroy in line with 4.1.16	1980 c. 58 s 5\nSI 1999/3312\nSI 2002/2788\nSI 2014/3050	HR (iTrent)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
4.1.12	Individual staff: other records, including Induction Training & development Personal protective/special equipment issued to employee	Termination of employment + 6 years	Destroy	1980 c. 58 s 5	Schools; Services
4.1.13	Individual staff: Income Tax and NI; correspondence with HMRC	For staff without a pension: Retain until at least end of tax year + 3 years For staff with a pension: Retain as in 4.1.16	Destroy Retain and destroy in line with 4.1.16	SI 2003/2682 reg. 97 CIPD recommendation HMRC guidance	HR (iTrent; DLX)
4.1.14	Job evaluation documentation for all roles evaluated or matched	Paper copies retained indefinitely	Review	Best practice	HR (DLX)
4.1.15	Individual staff: Statutory sick pay and statutory maternity, paternity, adoption and shared parental pay	For staff without a pension: Termination of employment + 6 years (Minimum = current tax year + 3 years) For staff with a pension: Retain as in 4.1.16	Destroy Retain and destroy in line with 4.1.16	Minimum: SI 1986/1960 reg. 26 SI 2002/2820 reg. 9 SI 2014/2929 reg. 9 (Requirement in SI 1982/894 reg 13 to keep SSP records was revoked, but agreed to keep in line with other statutory payments for best practice)	HR (iTrent)
4.1.16	Individual staff: Pensions	Retain for the lifetime of the individual (This is interpreted by the current system as termination of employment + 84 years.)	Destroy	Required for duration of pension provision Pensions Regulator guidance (Note: Where records in 4.1.9 are retained in line with pensions as indicated above, this is a University decision due to system requirements, rather than a pension requirement, and will be regularly reviewed.)	HR (iTrent; DLX)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
4.1.17	Individual staff: Provision of references to the University in support of an application	If successful, add to individual staff file (see 4.1.4). If unsuccessful, destroy after provision of reference + 6 months	Destroy in line with 4.1.4 Destroy	UoH decision in line with 4.1.1	Schools; Services; HR (DLX)
4.1.18	DBS clearance documentation	Date of clearance + up to a maximum of 6 months	Destroy	UoH decision – DBS Policy Government guidance on DBS certificates DBS code of practice	HR (First Advantage)
4.1.19	Concerns about University staff who work with vulnerable groups – personnel files and training records	After employment ceases + 6 years, unless a legal case has been brought.	Destroy or retain as long as required for the legal case	1980 c. 58 s 5	HR (DLX)
4.1.20	Concerns about the behaviour of staff who are working with children where they have behaved in a way that has harmed, or may have harmed, a child; possibly committed a criminal offence against, or related to, a child; or behaved towards a child in a way that indicates s/he is unsuitable to work with children.	Keep until retirement age or for 10 years if that is longer	Destroy	NSPCC guidance 2023	HR (DLX)
4.1.21	Individual affiliate records	End of relationship + 6 years	Destroy	1980 c. 58 s 5	Schools; Services; CLS
4.1.22	Routine assessments/reviews of the employee's performance, and any consequent actions taken (eg appraisal records)	Current academic year + 5 years	Destroy	UoH decision	Schools; Services
4.1.23	Staff data required for purpose of REF submission	End of external REF assessment period (usually 1 year after REF submission)	Destroy	To enable REF audit (REF audit guidance)	RIKE (Pure)
4.1.24	Conversations conducted using the 'Chat' function in Microsoft Teams (ie informal, ephemeral conversations)	Date of message + 12 months	Destroy	Institutional needs	Microsoft Teams
4.1.25	Individual staff and affiliate email accounts (During employment, individual emails should be managed in accordance with the relevant entries on the Retention Schedule; this entry covers the retention of emails that remain in a personal mailbox after a member of staff has left.)	Date of leaving + 90 days	Destroy	UoH decision	CLS

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
4.1.26	Individual staff and affiliate documents (i.e. OneDrive) (During employment, individual documents should be managed in accordance with the relevant entries on the Retention Schedule; this entry covers the retention of documents that remain in a personal storage location after a member of staff has left.)	Date of leaving + 90 days	Destroy	UoH decision	CLS

4.2   Occupational health

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
4.2.1	Occupational Health Clinical Records: Staff and Student case files (Statutory Health Records are kept separately – see 4.2.2-4)	End of student relationship / end of staff employment + 6 years (For these records, 'end of student relationship' is treated as the date a student folder is opened in Cohort + 10 years, which is the longest possible course)	Destroy	BMA 2017 guidelines	Occ Health
4.2.2	COSHH (Control of Substances Hazardous to Health) records (includes vaccination and blood test results): Staff and Student case files	Date of last entry + 40 years	Destroy	SI 2002/2677 regs. 10 and 11	Occ Health
4.2.3	Control of asbestos at work records: Staff and Student case files	Date of last entry + 40 years	Destroy	SI 2012/632 reg. 22	Occ Health
4.2.4	Ionising radiations regulations records: Staff and Student case files	Date of last entry + 30 years or until age 75, whichever is longer	Destroy	SI 2017/1075 regs 22(3)(a), 24(2)(c), 25(2)(c) and 26(2)(b)	Occ Health
4.2.5	Non-starters records	Date of record + 6 months	Destroy	UoH decision	Occ Health
4.2.6	Non-clinical records: policy documents and codes of practice	Superseded + 10 years	Destroy	JISC recommendation	Occ Health
4.2.7	Non-clinical records: clinical audit reports	Date of report + 3 years	Destroy	UoH decision	Occ Health
4.2.8	Non-clinical records: form templates and procedures, including superseded versions	Retain for as long as past versions may be of use	Destroy	UoH decision	Occ Health

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
4.2.9	Non-clinical records: Diaries	Date of last entry + 3 years	Destroy	UoH decision	Occ Health

5 University Resources

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

5.1 Finance, insurance, procurement

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

5.2 Estates, facilities, equipment

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
5.2.1	Master copies of procedures relating to the management of equipment and consumables	Superseded + 3 years	Destroy	JISC recommendation	Finance; Schools/Services

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
5.2.2	Major items Specifications for, selection, development & installation, testing, inspection & maintenance of equipment/consumables	Life of item + 6 years	Destroy	1980 c.58 s 5	Schools/Services
5.2.3	Items which are safety critical or associated with hazardous operations Specifications for, selection, development & installation, testing, inspection & maintenance of equipment/consumables	Life of item + 40 years	Destroy	JISC recommendation	Schools/Services
5.2.4	Work equipment, including lifting equipment and pressure systems	Life of item + 6 years	Destroy	JISC recommendation	Schools/Services
5.2.5	Specifications for, selection, development & installation, testing, inspection & maintenance of equipment/consumables: other items	Life of item	Destroy	JISC recommendation	Schools/Services
5.2.6	Stock inventory, stocktaking/checking for equipment/consumables	Superseded	Destroy once superseded	JISC recommendation	Finance
5.2.7	Monitoring of the condition of stored equipment/consumables	Current year + 1 year	Destroy	JISC recommendation	Schools/Services
5.2.8	Access cards (staff pass/student pass/swipe card) – account data (i.e. existence of pass and level of access)	Delete when the person leaves the University	Destroy	UoH decision	Security (SiPASS)
5.2.9	Access cards (staff pass/student pass/swipe card) – access data (i.e. who accessed where and when)	End of academic year + 6 years	Destroy	UoH decision	Security (SiPASS)

5.3 ICT records

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

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
5.3.5	University website – anonymised analytics data	Current academic year + 2 years	Destroy	UoH decision	MCSR (Google Analytics; Matomo Analytics)
5.3.6	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies (includes database of external websites accessed by users)	Retain for no longer than 2 years from date of capture	Destroy	Institutional requirements	CLS (Web filtering system; SIEM)
5.3.7	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken	Last action on incident + 1 year	Destroy	JISC recommendation	Information Security (Topdesk)
5.3.8	Central phone system - callee/caller telephone numbers	Delete 24 months after the date of the call	Destroy	Institutional needs (quality management and customer service for repeat callers)	CLS (Teams Voice Switchboard)
5.3.9	Central phone system - configuration data and logs	Delete 30 days after date of log	Destroy	Institutional needs (trouble-shooting and performance management)	CLS (Teams Voice Switchboard)
5.3.10	Devices used to access University data (including the user of that device)	Last connection from the device + 1 year	Destroy	Institutional requirement	CLS (Intune)

5.4   Sports and physical activity facilities

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

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
5.4.3	Health questionnaires/declarations (eg PAR-Q, exercise referrals, commitment statements, etc)	Destroy immediately after the end of the membership or activity to which the questionnaire relates	Destroy	2018 c. 12 (data minimisation – there is no longer a need for this health data when the person is no longer using the facilities)	Student Services

5.5   Patient and clinic records

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
5.5.1	Patient case files – Adults (eg podiatry clinic, optometry clinic)	Discharge or patient last seen + 8 years	Destroy	Records Management Code of Practice for Health and Social Care	Schools/Services
5.5.2	Patient case files – Children (eg podiatry clinic, optometry clinic)	Until the patient turns 26 (ie 8 years after the patient becomes an adult at 18 years old) (Can be until patient turns 25 if they were 16 or under when treatment ended)	Destroy	Records Management Code of Practice for Health and Social Care	Schools/Services

5.6   Intellectual property and copyright

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
5.6.1	Intellectual Property Rights policies	Permanent, including all previous versions Past versions can be transferred to the University Archives	Transfer to University Archives	Enduring value - UoH decision based on Jisc recommendation	Policy owners (Past versions can be transferred to Heritage Quay)

5.7 Library and publication management

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
5.7.1	Library user records (including alumni) (For student library borrower records, see 1.3.13)	Expiry of account + 1 year	Destroy	UoH decision	CLS (Alma)
5.7.2	Reference management accounts	End of relationship + 6 months	Destroy	UoH decision	CLS (Refworks)
5.7.3	Decisions to dis/continue purchase of publications	Last action + 1 year	Destroy	JISC recommendation	CLS
5.7.4	Authorisation for disposal of redundant publications	Disposal + 1 year	Destroy	JISC recommendation	CLS
5.7.5	Reading lists	End of course + 3 years	Destroy	UoH decision	CLS (Leganto)
5.7.6	Subject guides (LibGuides) and other information resources	Superseded	Destroy	UoH decision	CLS
5.7.7	User Experience (UX) research: data relating to identifiable individuals	Completion of analysis of data (If the data has longer term value it should be anonymised and then destroyed in line with 5.7.8 below)	Destroy	UoH decision	CLS
5.7.8	Unpublished User Experience (UX) research: aggregated data and analysis	Completion of research + 5 years	Destroy	UoH decision	CLS

6 Information Compliance

6.1 Information governance

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

6.2   Archive management

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

6.3   Records management

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
6.3.1	Records Management procedures	Superseded + 3 years	Destroy	JISC recommendation	Heritage Quay
6.3.2	Determination of retention periods for records	Completion of revised schedule + 1 year	Destroy	JISC recommendation	Heritage Quay
6.3.3	Final version of Retention Schedule	Permanent	Transfer to University Archives	JISC recommendation	Heritage Quay (Wisdom)
6.3.4	Records disposal logs	Disposal of records + 25 years	Destroy	JISC recommendation	Schools and Services
6.3.5	Record surveys/audits	Completion of subsequent audit/survey	Destroy	JISC recommendation	Heritage Quay

7   Communications

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

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
7.1	Visitor security passes	Date of issue + 1 year	Destroy	UoH decision	Estates
7.2	Complaints from members of the public, the internal handling of these complaints and the responses provided	Last action on complaint + 3 years	Destroy	UoH decision	Schools/Services, VCO (Topdesk)
7.3	Complaints from applicants, the internal handling of these complaints and the responses provided (including appeals)	Last action on complaint + 6 years	Destroy	UoH decision	MCSR
7.4	Planning, organisation, administration and evaluation of events	Review after completion of event + 5 years (then review annually and destroy when no longer required)	Review for destruction or further retention	UoH decision	MCSR, Schools/Services
7.5	Formal communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies	Current year + 6 years	Destroy	UoH decision	VCO, Schools/Services
7.6	Publications	Permanent	Transfer to University Archives	Enduring value	MCSR
7.7	Formal enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given	Last action of enquiry + 1 year	Destroy	JISC recommendation	Schools/Services
7.8	Formal responses to consultations conducted by HE/FE sector organisations	Last action on consultation + 3 years	Destroy	JISC recommendation	VCO
7.9	Preparation and submission of reports to HE/FE regulatory bodies (excluding Research and Enterprise)	Submission of report + 3 years	Destroy	JISC recommendation	VCO, Planning Service
7.10	Preparation and submission of Research and Enterprise-related reports to HE/FE regulatory bodies	Submission of report + 6 years	Destroy	UoH decision	Research and Enterprise
7.11	Membership of & participation in local community organisations	Termination of membership + 1 year	Destroy	JISC recommendation	Schools/Services
7.12	Establishment and operation of Student Panels	Permanent	Destroy	Enduring value	Schools

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
7.13	Market research data: data relating to identifiable individuals	Completion of analysis of data	Destroy	JISC recommendation	MCSR, Schools/Services
7.14	Market research data: aggregated data and analyses	Completion of research + 5 years	Destroy	JISC recommendation	MCSR, Schools/Services
7.15	Design, implementation and review of marketing campaigns (including student recruitment campaigns)	Completion of campaign + 3 years	Destroy	JISC recommendation	MCSR
7.16	Marketing materials	Permanent (1 copy) Otherwise completion of campaign or superseded	Transfer to University Archives	UoH decision	University Archives; Schools/Services
7.17	Press releases	Permanent (1 copy)	Transfer to University Archives	UoH decision	MCSR
7.18	Formal documentation relating to the establishment of contractual relationships with other HE/FE institutions, other educational institutions, professional associations and learned bodies	Termination of contractual relationship + 6 years	Destroy	1980 c.58 s 5	Registry, Schools
7.19	Business and customer contact information in Customer Relationship Management systems	For as long as there is potential to do business with the contact or organisation (Where consent is withdrawn, data will be deleted but a basic record to document the withdrawal of consent will be retained)	Destroy	UoH decision	CRM systems (Dynamics; Sendinblue)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
7.20	Photographs and recordings (eg events, webinars, promotional purposes, etc) (See 1.1.8 for recordings of teaching events and 1.4.25 for recordings of awards ceremonies)	Retain for as long as the photograph or recording may have a use; regularly review photographs and dispose of them when no longer required. (Note that photos/recordings contain personal data, so should never be kept longer than necessary.) Contact University Archives before disposal if you consider that the photos/recordings may have archival value	Review for destruction, further retention, or transfer to University Archives	UoH decision 2018 c.12	MCSR (Be the Brand); School/Service that commissioned it
7.21	Photograph permission forms	Retain for as long as the related photograph is retained or retain for the lifetime of the individual, whichever is the shorter This can implemented as: For adult forms, end of academic year + 82 years For child forms, end of academic year + 100 years (i.e. assumed potential life span of the data subject)	Destroy	UoH decision 2018 c.12	School/Service responsible for taking the photograph
7.22	University website (pages starting www.hud.ac.uk/ and https://ipark.hud.ac.uk/)	Permanent	Transfer to University Archives	UoH decision Archival value	Heritage Quay (British Library)

Ref	Records about:	Retention period	Action at end of retention period	Rationale	Master held
7.23	Registration for webinars	For as long as necessary to host the webinar and report on attendance; when no longer required for that purpose, local copies and Microsoft Lists items should be deleted. It is expected that this data will be deleted within a maximum of three months from the date of the webinar. (If registration data is collected for student attendance monitoring, see 1.3.11 and 1.4.12, or for marketing/CRM purposes, see 7.19)	Destroy	2018 c.12 Business needs	Schools/Services (MS Lists)

Appendix: list of citations and abbreviations

Acts of the UK Parliament

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

Statutory Instruments of the UK Parliament

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

Other provisions

GOV.UK	DBS Code of Practice (2015) Government guidance on DBS certificates
BMA 2017 guidance	The occupational physician (2017)
HMRC 700/21	VAT Notice 700/21: keeping VAT records (2016)
(EU) 2016/679	EU regulation on the protection of natural persons with regard to the processing of personal data and on the free movement of such data,

	and repealing Directive 95/46/EC (General Data Protection Regulation).
	Medical Research Council, Good Research Practice, section 2B
	Medical Research Council, Retention framework for research data and records (2022)
	UK Visas and Immigration guidance: Tier 4 of the points-based system: Guidance for sponsors: Sponsorship duties (2.4-2.5) UK Visas and Immigration guidance: Tier 2 and 5 of the points-based system: guidance for sponsors (15.1) Appendix D: guidance for sponsors on keeping documents
	Records Management Code of Practice for Health and Care
BACP Good Practice in Action 067	'Practical aspects of record keeping within the counselling professions', BACP, August 2018 (accessible by members only; see list of publications.)
OfS, Transparency Return guidance, 2019	Office for Students, Guidance for providers on submitting the transparency return 2019
OISC Code of Standards 2016	Code of Standards, Office of the Immigration Services Commissioner, 2016
NSPCC guidance 2019	'Child protection records retention and storage guidelines', NSPCC, 2023

Abbreviations used in the schedule

ASIS	Student records system
CIPD	Chartered Institute of Personnel and Development
CLS	Computing and Library Services
DBS	Disclosure and Barring Service
DLX	Document Logistix (document management system)
FE	Further Education
H&S	Health and Safety (department); health and safety (function)
HE	Higher Education
HR	Human Resources (department); human resources (function)
ICT	Information and communications technology
Int. Office	International Office
IPR	Intellectual property rights
JISC	Joint Information Systems Committee
MCSR	Marketing, Communications and Student Recruitment
PR	Public relations

RIKE	Research, Innovation and Knowledge Exchange (previously Research and Enterprise)
RIDDOR	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (SI 2013/1471)
SCLS	Schools and Colleges Liaison Service
UoH	University of Huddersfield
VCO	Vice-Chancellor's Office

Policy sign-off and ownership details

Document name:	University Retention and Disposal Schedule
Version Number:	7.0
Equality Impact Assessment:	8 March 2017
Approved by:	University Senior Leadership Team on 9 November 2023
Effective from:	09/11/2023
Date for Review:	01/11/2026
Author:	The Records Management Service
Owner (if different from above):	University Records Manager
Document Location:	https://www.hud.ac.uk/media/policydocuments/Retention-Schedule.pdf
Compliance Checks:	All records in the University's Electronic Document and Records Management system (Wisdom) have retention policies attached.
Related Policies/Procedures:	Records Management Policy
	Data Protection Policy
	Computing Regulations
	IT Security Policy
	Financial Regulations
	Human Resources policies
	Occupational Health Policy
	Health and Safety Policy
	Student Handbook of Regulations
	Regulations for Awards
	Policy Statement on Secure Storage, Use and Retention of DBS Certificates
	Intellectual Property Policy
	University Business Classification Scheme

Revision history

Version	Date	Revision description/Summary of changes	Author
V7.0	Nov 2023	Annual review: Restructuring of introduction section and move of contents page to before the main section of the Schedule. Removal of previous reference numbers. Updating of hyperlinks. Addition of disposition actions. Additions: records management; library management; University Press; PGR examiners; access cards; awards ceremony recordings.	University Records Manager
V6.0	Nov 2022	Annual review: Minimal review to add or update items based on discussions and requests throughout the year, including extending External Examiner appointments, adding webinar registrations, adding TurnItIn details to 1.1.6, amending Validations and applicant complaints, and some minor clarifications and corrections.	Assistant Records Manager and Archivist
V5.0	Oct 2021	Annual review: Sections re-arranged to follow new Jisc schedule and have clearer breakdown; entries re-referenced; assessments extension; Subject Review reduction; unsuccessful applications reduction; student DBS checks reduction; email accounts extension; IT monitoring extension; additions: attendance monitoring, Prevent, safeguarding, freedom of speech, Covid contact tracing and test evidence, phone system, sports centre, data breach log, info gov training, and recordings; minor amendments and clarifications	Assistant Records Manager and Archivist
V4.1	May 2021	University logo updated	Assistant Records Manager and Archivist
V4.0	Nov 2020	Annual review: Quality Assurance section created out of T+L section; T+L and QA entries revised and clarified; handbooks added; HR section clarified, inc pensions and systems; additions: Teams chat, permanent preservation of certain modules re Covid-19 for archival record, research outputs, Start-Up Visas, SARs, photographs, and University website; policy versions clarified; FoI reduced; further minor amendments, additions, and phrasing style changes.	Assistant Records Manager and Archivist
V3.0	Oct 2019	Annual review: Updates to many rationales and terminology; a number of new periods added; systems used added; Committees section added; periods re modules and programmes adjusted	Assistant Records Manager and Archivist
V2.0	June 2018	Major redraft: expanded to include information (records, documents and data); Podiatry incorporated; changes made to Human Resources retention and Research and Enterprise retention; changes to applicant data retention; reference to the General Data Protection Regulations and Data Protection Act 2018 added and changes made to reflect The Ionising	University Archivist & Records Manager

		Radiations Regulations 2017. The Data Protection Officer has approved the schedule. After SMT approved the schedule, changes were made to reflect where records are held since ARO was disbanded.	
V1.0	Aug 2017	Reverted to V1.0 due to introduction of Framework Minor amendments not requiring committee approval. Brought to attention of Information Governance Group (September 2017)	University Archivist & Records Manager
V2.0	Mar 2017	Major redraft: Item references added; occupational health, archive management and counselling records incorporated; all legislation checked and relevant statutory instruments added. Approved by Information Governance Group (March 2017) and University Senior Management Team (April 2017)	University Archivist & Records Manager
V1.7	Dec 2015	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.6	Dec 2014	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.5	Dec 2013	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.4	Dec 2012	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.3	Dec 2011	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.2	Dec 2010	Annual review including consultation and full legislation check (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.1	Dec 2009	Annual review (minor amends not requiring committee approval)	University Archivist & Records Manager
V1.0	Nov 2008	Original policy signed off by Senior Management Team	University Archivist & Records Manager