Record Retention Schedule

1. Introduction and Scope

1.1. What is a retention schedule?

A retention schedule is a key part of a successful records management programme. It allows individuals to take consistent actions on the retention and destruction of corporate records and prevents ad-hoc decisions being taken at local level.

1.2. Why do we need one at Metanoia Institute (the Institute)?

The schedule helps to protect the interests of the Institute by ensuring our records are kept to meet both operational and legal obligations, and demonstrates accountability to stakeholders including funders, regulators and students. It also helps to meet our obligations under the General Data Protection Regulation 2018.

1.3. How has the schedule been created?

The schedule is based on a model designed by JISC (www.jisc.ac.uk) for higher education providers and follows a functional approach. This approach recognises that whilst corporate business unit names may change, functions and activities undertaken stay broadly similar over time.

1.4. How do I use it?

The main types of records created, received or maintained by the Institute as part of its activities are listed, specifying the period they need to be retained and using the abbreviation 'Y' to signify years and 'M' to signify months. Where the term 'REVIEW' is used in the **Retention Requirement** column the records will be reviewed by the Executive Committee to determine if they have archival value (i.e. long-term research value not attached to their primary function). Where the term 'PERMANENT' is used these records must be retained permanently. The **Citation** column provides the legal or other basis for retention. Where no citation is given, the retention decision is based on common practice, including comparison with other UK based higher education providers. Citation references are expanded at the end of the schedule.

It should be noted that the schedule applies to all records **regardless of the format or media they are created or retained in**. Approaches to ensuring appropriate retention and destruction of records will differ according to format or media of the record.

1.5. How is the schedule arranged?

The following functional headings are used. You may locate the records you are interested in by using this index or by using a free text search within this PDF.

1   TEACHING AND RESEARCH
1.1   Taught Programme Development
1.2   Course Delivery and Assessment
1.3   Examinations and appeals
1.4   Research Conduct

2   STUDENT ADMINISTRATION
2.1   Recruitment and Admissions
2.2   Student File Management
2.3   Student Visa Compliance
2.4   Student Support

2.5	Student Discipline
2.6	Awards and references
2.7	Statutory Returns
2.8	Internal surveys
2.9.	Enrolment and progression

3.	**ESTATE MANAGEMENT**
3.1	Property Management
3.2	Property maintenance
3.3	Environmental management

4.	**FINANCE**
4.1	Financial Accounting
4.2	Payroll and pension administration
4.3	Student finance
4.4	Procurement

5.	**HUMAN RESOURCES**
5.1	Workforce planning and development
5.2	Recruitment and selection
5.3	Personal file management

6.	**INFORMATION**
6.1	IT Systems
6.2	IT Security
6.3	Information Management and Compliance
6.4	Library, Museum and Archive Services

7.	**CORPORATE AFFAIRS**
7.1	Governance
7.2	Immigration Compliance
7.3	Strategic Planning and Performance Management
7.4	Legal Affairs Management
7.5	Health and safety management

8.	**EXTERNAL AND PUBLIC RELATIONS**
8.1	Public Relations
8.2	Media Relations
8.3	Marketing
8.4	External Relations
8.5	Alumni Relations and Fundraising

1.6. **What does not fall under the scope of the schedule?**
The schedule applies only to the master or official copy of a record: duplicates and convenience copies, including back-ups, should be disposed of once reference use has ended, and **always** before the end of the retention period.

1.7. **Ephemeral material**
Some records and information have no significant informational or evidential value and can be destroyed as soon as they are no longer useful. These should be disposed of promptly. Examples of such material are listed below:

1.7.1. Working papers whose contents have been incorporated into later drafts and which are not required to support them
1.7.2. Notices of meetings and other events, acceptances and apologies
1.7.3. Transmission documents: letters, fax cover sheets, emails, compliment slips and other items which accompany documents but don't add value to them
1.7.4. Message slips
1.7.5. Diaries and address books
1.7.6. Superseded address or distribution lists
1.7.7. Requests for routine information such as maps, travel directions, brochures and prospectuses

1.7.8. Duplicate documents such as cc emails, unaltered drafts and snapshots or extracts from databases

1.7.9. Published material which is obsolete or superseded, such as trade magazines, posters, catalogues, manuals and forms.

1.8. **Queries**

If you have any queries relating to the schedule or require clarification on any points please contact the Data Protection Officer at dataprotection@metanoia.ac.uk who will assist in interpretation.

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
1	**TEACHING AND RESEARCH**			
1.1	**Taught Programme Development**			
1.1.1	Development of teaching strategy and its implementation		Superseded +10Y	JISC
1.1.2	Teaching quality and standards management	Audits and reviews of performance, and responses to results Analyses of performance against implementation of strategy	5Y	JISC
1.1.3	Teaching development and review	Records of development and formal review of curriculum, programmes and courses	Life of course/programme +10Y REVIEW	JISC
1.1.4	Teaching approval and accreditation	Records of approval/accreditation from profession or statutory bodies	Life of course/programme	
1.1.5	Teaching preparation and delivery	Development of taught course materials	Life of course/programme	
1.1.6	Taught course review	Records used to inform continuing programme development, including statistics, feedback and internal reviews	Life of course/programme +5Y	
1.2	**Course Delivery and Assessment**			
1.2.1	Lecture and tutorial class lists		3Y	JISC
1.2.2	Timetables		1Y	JISC
1.2.3	Attendance registers		3Y	JISC
1.2.4	Submission of coursework	Records of which students have submitted coursework for assessment Coursework Receipts	Assessment Board +1Y	
1.2.5	Taught course assessment	Assessed research projects/theses	PERMANENT	
1.2.6		Exam scripts, routine assignments, coursework	End of relationship +1Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
1.2.7		Record of total mark and grade awarded for each course, or for projects or dissertations (Captured in CRM)	PERMANENT	
1.2.8		Provisional mark grids	4Y	
1.2.9		Subject Board grids	3Y	
1.2.10		External examiner's reports	5Y	JISC
1.2.12		Thesis submitted for research degree (unsuccessful students)	1Y	
1.2.13	Mitigating circumstances	Records relevant to special circumstances, e.g. GP notes, correspondence	6Y	1980 c 58 s 5
1.2.14	Obtaining student feedback	Summaries of course evaluation questionnaires	5Y	
1.3	**Examinations and appeals**			
1.3.1	Development and establishment of assessment and examination rules and procedures	Regulations	PERMANENT	
1.3.2	Examinations process	Selection and appointment of external examiners Liaison with external examiners on administrative matters Control of examination papers and scripts Records of which scripts have been sent to which examiner and which external examiner	3Y	
1.3.3	Exam papers		PERMANENT	
1.3.4	Exam enrolment	Entry on spreadsheet recording examination enrolments	Board of Examiners meeting +6M	
1.3.5	Monitoring examinations	Examination attendance forms Invigilation reports	1Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
1.3.6	Student academic appeals	All records generated by appeal process	Last action on case +6Y REVIEW	1980 c 58 s 5
1.4	**Research Conduct**			
1.4.1	Research where the sponsor/funder mandates a retention period	Consent forms Questionnaires Interview transcripts and recordings Samples Notebooks Digital images Statistical analysis	As per sponsor/funder requirements	
1.4.2	Research where the sponsor/funder does not mandate a retention period		Until publication/End of research Anonymised data held as necessary for potential research benefits	JISC
1.4.3	Research misconduct	Case files on the investigation and resolution of allegations of research misconduct	Closure of case +6Y	1980 c58 s5

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
2	**STUDENT ADMINISTRATION**			
2.1	**Recruitment and Admissions**			
2.1.1	Enquiries from prospective students	Correspondence with prospective students which includes specific admission guidance	1Y	JISC
2.1.2	Determining and applying admissions criteria	Records documenting the development and establishment of the Institute's student administration policy and procedures.	10Y	JISC
2.1.3	Processing applications transfers from other institutions,	Applications documentation, interview notes, correspondence with applicant, applications rejected at confirmation stage Documentation for rejected applications at offer stage Declined and withdrawn applications Logs of applications for postgraduate study Transcripts of previous study References Interview notes Recommendations to admit or reject Outcome letters Response from students	End of admissions cycle +1Y (NB unsuccessful students and successful students who do not enrol) End of relationship +6Y (NB successful students who enrol)	JISC
2.1.4	Confirming student fulfils admission/progression criteria	Documents confirming prior qualifications, English language proficiency or other requirements	1Y	
2.1.5	Background checks	Enhanced disclosure consent, certificate of disclosure, medical certificate, outcome letters	Graduation +6Y	1980 c 58 s 5
2.1.6	Recruitment trends/statistical data	Anonymised statistical data from applications	+10Y REVIEW	
2.1.7	Induction documentation and administration	Records documenting the design, conduct and review of induction programmes and events for new students	Completion of induction programme +5Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
2.1.8	Induction administration	Records documenting the administration of induction programmes and events for new students	+1Y	
2.2	**Student File Management**			
2.2.1	Creation and preservation of permanent core student record	(Captured in CRM) Record of marks, grades and courses completed – academic history Name and contact details, equal opportunities, identifiers Enrolment history and awards	PERMANENT	
2.2.2	Creating a student record	Information about individual students not covered by specific entry in the retention schedule	Graduation +6Y	1980 c 58 S 5
2.2.3	Enrolment verifications		PERMANENT	
2.2.4	Collaborative Partner individual student data (Validated programmes)	Spreadsheet containing student data for partner validated funded programmes	Graduation +6Y	1980 c 58 S 5
2.2.5	Student record change management		Graduation +6Y	1980 c 58 S 5
2.3	**Student Visa Compliance**			
2.3.1	Copy of Passport/EU National ID Card	Current passport showing personal identifiers	Graduation +1Y (whichever is longer) (NB successful students who enroll only)	UKVI
2.4	**Student Support**			
2.4.1	Disability support for individual students	Information from individual student Information from schools, institutions, doctors, access centres, educational psychologists or other professionals who have assessed the student Documents informing relevant academic and administrative staff about special needs of particular students DSA records	Last contact +6Y REVIEW	1980 c 58 S 5

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
2.5	**Student Complaints and Discipline**			
2.5.1	Informal proceedings	Records of complaints and disciplinary cases	Graduation +1Y	
2.5.2	Formal proceedings	Records of complaints and disciplinary cases, including outcome letter, notice of appeal and reports and correspondence	Last action +6Y REVIEW	1980 c 58 S 5
2.6	**Awards and references**			
2.6.1	Notification of awards to students and issue of certificates		1Y (NB notes captured in CRM form part of the core PERMANENT record)	JISC
2.6.2	Informing professional bodies of accreditation	List of graduates Letter from accrediting body confirming graduate's accreditation	Graduation +1Y	
2.6.3	Providing references for undergraduates and taught postgraduates	Request Letter of reference	6Y	1980 c 58 S 5
2.6.4	Providing references for research postgraduates	Request Letter of reference	6Y	1980 c 58 S 5
2.6.5	Commencement Exercises	Programmes/lists	Permanent	
2.7	**Statutory Returns**			
2.7.1	HESA AP Student record	Records of checks, changes, script iterations, refinements prior to HESA submission Process documentation and HESA tables extracted from Management Information Systems	10Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
2.7.3	HESES return (HE student early statistics)	Records of checks, changes, script iterations, refinements before submitting Minor Volume Indicators	10Y	
2.7.4	Institutional Profile		10Y	
2.7.5	Derived statistics output files from HESA/HESES	Output files from HESA and HESES submissions	10Y	
2.7.6	KIS return (UNISTATS)		10Y	
2.7.7	DHLE return		10Y	
2.7.8.	DLHE individual responses		+3Y	
2.8	**Internal Surveys**			
2.8.1	Annual Student Survey	Anonymised summaries and analyses of results	5Y REVIEW	
2.8.2	Annual Student Survey	Individual responses	Completion of analysis +3Y	
2.9	**Enrolment and Progression**			
2.9.1	Enrolment administration	Ad-hoc analyses of data from individual students' records Requests for statements of results/transcripts	Last action +1Y	
2.9.2	Progression and change of circumstances administration	academic progress of individual students formal action against unsatisfactory progress internal transfer of credit (course transfer) withdrawal requests termination/suspension from studies	End of relationship +6Y	1980 c. 58, s. 5

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
3.	**ESTATE MANAGEMENT**			
3.1	**Property Management**			
3.1.1	Acquisition of property by purchase, and disposal	Land Registry records Valuations Surveys	Disposal of property +12Y REVIEW	1980 c 58 s 8
3.1.2	Evidence of title	Title deeds	Disposal of property	JISC
3.1.3	Acquisition of property by lease	Lease	End of lease +15Y	1980 c 58 s 14B
3.1.4	Negotiations for properties not acquired		End of negotiations +6Y	1980 c 58 s 2
3.1.5	Property access controls	Key registers Signing-in books	2Y	JISC
3.1.6		Swipe cards Parking permit records	Expiry +1Y	JISC
3.1.7	Security surveillance of property	CCTV images	18 months	
3.1.8	Security incidents and action taken		1Y	JISC
3.1.9	Enforcement inspections	Fire certificates Gas safety	Superseded	
3.1.10	Evaluation of options for meeting premises requirements	Capacity survey reports Space surveys and audits	Completion of next survey +5Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
3.2	**Property maintenance**			
3.2.1	Major works	All contractors Insurance documents	End of works +15Y REVIEW	1980 c 58 s 14B(1)
3.2.2	Minor works		End of works +6Y	
3.2.3	Statutory maintenance, inspection and testing	Inspection, risk assessment and testing of items and systems including lifts, boilers, fore systems, alarms and water hygiene	6Y	
3.2.4		Electrical inspections and testing	5Y	JISC
3.2.5	Health and safety and operational and maintenance files		Disposal of property	SI 2007/320 reg 17(4)
3.2.6	Planning and building control	Planning and building regulations applications and approvals	Disposal of property or expiry of consent	JISC
3.2.7	Assessment, monitoring or removal of asbestos		5Y	SI 2012/632 reg 13(3)
3.3	**Environmental management**			
3.3.1	Monitoring use/consumption of energy Reviews of energy use	Meter readings	5Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
3.3.2		Energy Performance Certificates	Expiry (10Y)	
3.3.3		Air conditioning system inspection reports	Most recent report	SI 2012/3118 reg 20(1)
3.3.4	Environmental audits		End of audit +5Y	JISC
3.3.5	Waste management	Non-hazardous waste: transfer notes	2Y	SI 2011/998 reg 35(6)
3.3.6		Hazardous waste: consignment notes	5Y	SI 2005/894 reg 48(6A)(a)
3.3.7		Hazardous waste registration	Current Permit (expiry 1Y)	
3.3.8		Registers of confidential waste removed for disposal by contractors	3Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
4.	**FINANCE**			
4.1	**Financial Accounting**			
4.1.1	Finance strategy development and management planning		10Y	JISC
4.1.2	Financial procedures manual		Superseded +10Y	JISC
4.1.3	Annual accounts		6Y from financial year the records relate to	1970 c 9 s 34 1980 c 58 ss 2 and 5
4.1.4	Records of capital assets and decisions to dispose of them	Inventory Asset register Disposal forms	6Y from financial year the records relate to	1970 c 9 s 34 1980 c 58 ss 2 and 5
4.1.5	Management accounting	Monitoring income and expenditure against annual operating budgets Action to deal with variances Analyses of internal deployment of financial resources	1Y	JISC
4.1.6	Budgeting	Preparation of annual operating budget	1Y	JISC
4.1.7	Preparation and filing of tax returns; VAT accounting		6Y from financial year the records relate to	1970 c 9 s 34 1994 c 23
4.1.8	Administration of bank accounts	Bank statements Standing orders Direct debit mandates Paying-in and withdrawal slips	6Y from financial year the records relate to	1970 c 9 s 34 1980 c 58 ss 2 and 5

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
4.1.9	Purchases and incoming payments	Invoices, Credit notes Income and expenditure batches Receipts BACS reports Till rolls Petty cash records Fees for tuition and accommodation	6Y from financial year the records relate to	1970 c 9 s 34 1980 c 58 ss 2 and 5 1994 c 23 s 77(1) HMRC 2.4
4.1.10	Expenses	Claim forms and receipts Payment forms	6Y from financial year the records relate to, REVIEW	1970 c 9 s 34 1980 c 58 ss 2 and 5
4.1.11	Research funding	Allocations from statutory funding councils Research project applications, award letters, invoices	6Y from financial year the records relate to	1980 c 58 s 5
4.1.12	Internal accounting	IDTs Journal transactions	1Y	JISC
4.2	**Payroll and pension administration**			
4.2.1	Calculation and payment of individual salaries and other payments and deductions	Contract copies and variations Union subscriptions	6Y from financial year the records relate to	1980 c 58 s 5
4.2.2	Employer PAYE records not required to be sent to HMRC under SI 2003/2682	Wage sheets Records of payments and deductions Payslip copies	3Y	SI 2001/1004 Sch 4 paras 7(15) and 26(1)(a) SI 2003/2682

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
4.2.3	Statutory Sick Pay and Statutory Maternity Pay	Self-certification forms Departmental returns Fit notes	End of employment +6Y (incorporated into staff file)	SI 1982/894 reg 13(1) SI 1986/1960 reg 26(1)
4.2.4	Employer and employee pension scheme contributions; Individual membership of pension schemes	Annual returns Application forms Expression of wish forms Opt-out forms	End of employment +75Y	1980 c 58 s 32
4.2.5	External payroll payments	Payment to consultants and other non-staff members	End of project/employment +6Y	
4.3	**Student finance**			
4.3.1	Administering student loans: cross-checking with Student Loan Company whether applicants are registered with the Institute and annually cross-checking with SLC whether they have a correct record of students' year and programme	Download of applicants from SLC Information from SLC on year and programme	6Y from financial year the records relate to	1980 c 58 s 5
4.3.2	Application for access to learning fund; bridging loans	Correspondence with student Completed application form Evidence of financial position Outcome letter Minutes of decision-making body Annual spreadsheet of allocated funds	6Y from financial year the records relate to REVIEW	1980 c 58 s 5

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
4.3.3	Allocating scholarship, grants, bursaries and prizes	Records generated by assessment of applications, including student's proposal, application, correspondence, committee minutes and outcome letter Reports of the project funded by the grant or bursary	6Y from financial year the records relate to REVIEW	JISC
4.3.4	Unsuccessful applications for financial assistance		End of application cycle	
4.3.5	External reporting	Records returned to HEFCE in relation to Access to Learning and National Scholarship programme	4Y	
4.4	**Procurement**			
4.4.1	Supplier tendering- evaluation of prospective suppliers	Pre-qualification questionnaires and scores	Award of contract +1Y	JISC
4.4.2	Supplier tendering- invitation to tender stage	ITT Specifications Award criteria Tenders and quotations	End of contract +6Y REVIEW	HMRC 2.4
4.4.3	Evaluation of tenders and negotiations with	Evaluation scores Award letters	End of contract +6Y	1980 c 58 s 5
	prospective suppliers- successful bids	Form of contract		
4.4.4	Evaluation of tenders and negotiations with prospective suppliers- unsuccessful bids	Evaluation scores Correspondence	Award of contract +1Y	JISC
4.4.5	Supply contract management	Contract variations Performance	End of contract +6Y REVIEW	HMRC 2.4

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
5.	HUMAN RESOURCES			
5.1	Workforce planning and development			
5.1.1	Assessment of workforce requirements	Development plans Turnover projections	3Y	JISC
5.1.2	Terms and conditions	T&Cs for specific groups	PERMANENT	JISC
5.1.3	Remuneration and reward	Pay scales	10Y	JISC
5.1.4	Training and development	Strategies, programme and plans Anonymised feedback Identification, assessment and selection of training options	5Y	JISC
5.1.5	Training and development: individual feedback	Feedback forms	1Y	JISC
5.1.6	Job evaluation	Role analyses Interview records Outline role profiles	End of employment +6Y	
5.1.7	Induction	Induction programmes	Superseded +5Y	JISC
5.1.8	Equality monitoring		10Y	JISC
5.1.9	Staff surveys		3Y	
5.1.10	Agreements with and recognition/de-recognition of trade unions	Procedure agreements	End of agreement +10Y REVIEW	CIPD
5.1.11	Communication, consultation and negotiation with trade unions	Minutes Correspondence	20Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
5.2	**Recruitment and selection**			
5.2.1	Authorisation to recruit to a post, advertising of vacancies and handling of unsuccessful applications **Successful candidates: transfer to employee personal file**	Request to advertise Authorisation form Advertisement Enquiries Applications Interview notes Test	6M	
5.3	**Personal file management**			
5.3.1	Employee personal file: application, changes in terms and conditions, performance, induction and probation, training, remuneration and rewards, posts held, pre-employment health screening, protective equipment, termination of employment (resignation, retirement, dismissal, redundancy)	Advertisement Further particulars Interview notes Test results Application References Signed contract, variations and extensions CRB/DBS check (retain only date and outcome) Probation reports Appraisals Performance reviews Bonuses Long service awards Honoraria Job descriptions and person specifications Health declaration forms Exit interview forms	End of employment +6Y	
5.3.2	Employee personal data held in HR SAGE	Structured data held in HR SAGE	PERMANENT	
5.3.3	Documentation of working hours	Timesheets Overtime sheets	2Y	SI 1998/1833 reg 9

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
5.3.4	Absence	Leave cards Sick notes/Doctor's notes Return to work forms and interview notes Authorisation for special leave	End of employment +6Y	
5.3.5	Discipline and grievance	Disciplinary files (proceedings against an employee) Grievance files (grievances raised by an employee)	End of employment +6Y	
5.3.6	Major injuries and pre-employment health screening of employees exposed to hazardous materials and substances	Health declaration forms	End of employment +40Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
6.	INFORMATION			
6.1	IT Systems			
6.1.1	Information Strategy			
6.1.2	Initial development, modification and maintenance of IT systems	Network configuration and maps Change control documents	Life of system +5Y	JISC
6.1.3	Systems development projects	Project management documents	End of project +5Y REVIEW	JISC
6.1.4	Monitoring and testing of IT systems	Network alerts	1Y	JISC
6.1.5	Monitoring of server activity	Log files	6M	
6.1.6	User requests for technical and application support, and reporting of problems	Call logs Incident reports Job sheets Email to helpdesks	Resolution +1Y	JISC
6.1.7	Management of data storage, including backup, archiving	Server maintenance log sheets Backup reports Registers of backup tapes	1Y	JISC
6.1.8	Requests to recover data from backup or archive		3M	JISC
6.1.9	Licensing	License agreement for live systems	Superseded	JISC
6.1.10	Security management for IT systems	Requests for SSL certificates	Life of system +5Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
6.1.11	User account management	Registration forms Requests to close accounts	Expiry of account +1Y	JISC
6.1.12	Monitoring use and breaches of IT systems	Monitoring forms Case files	6Y	
6.1.13	Connection of third party equipment to Institute networks	Local authorisations	Termination of connection +1Y	JISC
6.1.14	Web pages		6Y	JISC
6.2	**IT Security**			
6.2.1	Creating user name, password and e-mail account	Registration forms Auditable log of activity within Identity Management System	6M	
6.2.2	Providing IT services across networks	Audit and exception files produced during network and email use History files produced during network and email use Usage reports Network traffic logs Report of network traffic information	6M	
6.2.3	Maintaining network security	IT security problem reports	2Y	
6.2.4		Security analysis reports	5Y	
6.2.5		Record of equipment which regularly causes difficulty on network, with details of users	1Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
6.3	**Information Management and Compliance**			
6.3.1	Copyright permissions	Copyright declaration forms CLA audits Logs of copying and recording carried out under license	1Y	JISC
6.3.2	Patent applications and certificates of grant; Trademark certificates		PERMANENT	1980 c 58 s 5
6.3.3	Compliance with Data Protection Act, Freedom of Information Act and Environmental Information Regulations	Request logs Case files Notification forms and correspondence with ICO	3Y REVIEW	JISC
6.3.4	Determining recordkeeping requirements for business activities and departments	Survey and audit records, discussion records	6Y	
6.3.5	Classification of	Business classification schemes	6Y	
	information	File plans Metadata schemes		
6.3.6	Retention schedules		PERMANENT	JISC
6.3.7	Authorisation for disposal of records		25Y	JISC
6.3.8	Vital records schedules		Active	
6.3.9	Access to records	Request and issue records	1Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
6.4	**Library, Museum and Archive Services**			
6.4.1	Documentation of collections	Collection policies Accession registers Catalogues and box lists Selection criteria Depositor/donor agreements Indexes Disposal authorisations	PERMANENT	JISC
6.4.2	Location registers		Superseded	JISC
6.4.3	Registration of users		6Y from end of relationship	
6.4.4	Use of collections	Requests for access Enquiries	1Y	JISC
6.4.8	User satisfaction	Establishment of service levels Usage statistics User satisfaction survey documentation	3Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
7.	**CORPORATE AFFAIRS**			
7.1	**Governance**			
7.1.1	Charter		PERMANENT	
7.1.2	Standing committees	Agenda Minutes Supporting papers	PERMANENT	
7.1.3	Ethics review committees, e.g.	Agenda Minutes	25Y REVIEW	SI 2004/1031 reg 6(5)
	Research Ethics Committee	Supporting papers		
7.1.4	Other committees, including Board of Examiners	Agenda Minutes Supporting papers	6Y REVIEW	1980 c 58 s 5
7.1.5	Notices of meetings		1Y	
7.1.6	Register of interests		End of employment +6Y	1980 c 58 s 5
7.1.7	Policy development – key records		Superseded +10Y	JISC
7.1.8	Policy development – working papers		Issue +1Y	JISC
7.1.9	Procedure development		Issue +1Y	JISC
7.1.10	Organisational restructuring	Planning statements Organisation plans Organisation charts	5Y REVIEW	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
7.3	**Strategic Planning and Performance Management**			
7.3.1	Development of corporate strategy and planning	Corporate Plan Annual Reviews White Papers	PERMANENT	
7.3.2	Development of local strategy and planning	Service, School and departmental strategic plans	6Y REVIEW	
7.3.3	Corporate performance management	Analyses of performance against strategic plans Audits and reviews of strategic planning and performance and responses	6Y	
7.3.4	Internal and external audit reports		5Y	JISC
7.3.5	Risk management	Risk management reports Contingency plans Business continuity plans Disaster plans Emergency planning exercise documentation	10Y	
7.4	**Legal Affairs Management**			
7.4.1	Contracts under seal	Contracts Agreements Contractor review reports	End of contract +12Y REVIEW	1980 c 58 s 5
7.4.2	Contracts not under seal	Contracts Agreements Contractor review reports	End of contract +6Y REVIEW	1980 c 58 s 5
7.4.3	Licensing	Identification of licensing requirements Acquisition and maintenance of licenses	Ends of license +6Y	

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
7.4.4	Records of legal support, representation and litigation regarding claims by or against the Institute		Settlement or withdrawal +6Y REVIEW	1980 c 58 ss 2 and 5
7.4.5	Records of legal advice on interpretation of legislation affecting the Institute's legal framework or responsibilities, relationship with central government or regulators, employee relations, or health, safety and environmental matters		PERMANENT	JISC
7.4.6	Records of legal advice on other matters		5Y REVIEW	JISC
7.4.8	Employers' Liability Insurance Certificates		40Y	SI 1998/2573 reg 4(4)
7.5	**Health and safety management**			
7.5.1	Documentation of risk assessment	Risk assessment forms Safety tour forms	Superseded +5Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
7.5.2	Documentation of health surveillance duties carried out to meet statutory duties	Accident reports Dangerous occurrence reports List of people exposed to biological agents or asbestos Records of exposures and incidents	40Y	SI 2002/2677 regs 10(5) (a) and 11(3), Sch 3 para 4(3) SI 2012/632 regs 19(4)(a) and 22(1)(b)
7.5.3	Documentation of training and instruction carried out to meet statutory duties		10Y	JISC
7.5.4	Records of injuries, dangerous occurrences and notifiable diseases to meet statutory duties **Individual incident forms: incorporate into Employee personal file (5.3.1)**	Accident/incident forms Accident books Statistics	3Y REVIEW	SI 1995/3163 reg 7(3)
7.5.5	Health and safety audit reports and inspection reports		5Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
8.	EXTERNAL AND PUBLIC RELATIONS			
8.1	Marketing			
8.1.1	Records of the design of corporate identity marks and logos, and of the development of corporate style guides and official use of identity marks		PERMANENT	
8.1.2	Design of promotional material and advertisements		PERMANENT	
8.1.3	Planning and conduct of marketing campaigns		5Y	JISC
8.2	External Relations			
8.2.1	Relations with government bodies and HE/FE regulators		5Y REVIEW	JISC
8.2.2	Formal responses to consultations conducted by government or HE/FE sector organisations		3Y	JISC
8.2.3	Reporting to HE/FE sector organisations	HESA returns HESES	3Y	JISC
8.2.4	Records of nominations and decisions for honorary awards		1Y	JISC

REF.	RECORDS GROUP	EXAMPLES	RETENTION REQUIREMENT	CITATION
8.3	**Alumni Relations and Fundraising**			
8.3.1	Alumni/donor/sponsor records administration	Personal details of individuals	Current	JISC
8.3.2	Fundraising campaign plans, promotional materials and event statistics		3Y REVIEW	JISC
8.3.3	Identifying potential fundraising targets	List of targets for campaigns Correspondence	2Y	
8.3.4	Individual responses to fundraising campaigns		Completion of analysis	JISC

Acts of Parliament

1970 c 9	Taxes Management Act 1970
1980 c 58	Limitation Act 1980
1994 c 23	Value Added Tax Act 1994
2010 c 15	Equality Act 2010

Statutory Instruments and EU Regulation

1982/894	Statutory Sick Pay (General) Regulations
1986/1960	Statutory Maternity Pay (General) Regulations
1995/3163	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations
1998/1833	Working Time Regulations
1998/2573	Employers' Liability (Compulsory Insurance) Regulations
2001/1004	Social Security (Contributions) Regulations
2002/2677	Control of Substances Hazardous to Health Regulations
2003/2682	Income Tax (Pay As You Earn) Regulations
2005/894	Hazardous Waste (England and Wales) Regulations
1083/2006	EC Regulation laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund
2007/320	Construction (Design and Management) Regulations
2010/768	CRC Energy Efficiency Scheme Order
2011/988	Waste (England and Wales) Regulations
2012/632	Control of Asbestos Regulations
2012/3118	Energy Performance of Buildings (England and Wales) Regulations

UK and EU statutory guidance

2007/589/EC	Decision establishing guidelines for the monitoring and reporting of greenhouse gas emissions pursuant to Directive 2003/87/EC
HMRC	Keeping VAT records 2007

Professional guidance

JISC	Model records retention schedule 2002