

Records Retention Schedule

To be read with Records Retention Policy

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1. Student Administration

A. General

| No. | Description of Record | Retention Period | Legal Reference | Archive detail/notes |
|-------|--|--|---------------------------|--|
| 1.A.1 | Individual student file | End of relationship + 6 | Limitation Act 1958, c.58 | Destroyed via confidential waste The Registry holds individual student files for the entire period during which an individual is registered with Writtle University College, and then within the Central Archive for six full academic years after the academic year of graduation or withdrawal. |
| 1.A.2 | Individual student file: Fatality of a student | Fatality + 6 | N/A | Destroyed via confidential waste The Registry holds individual student files for the entire period during which an individual is registered with Writtle University College, and then within the Central Archive for six full academic years after the academic year of graduation or fatality. |
| 1.A.3 | Individual student Registration Forms | Current Academic Registration year + 6 | N/A | Destroyed via confidential waste MIS/IT |

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| | | | | The Registry holds individual student registrations for the entire period during which an individual is registered with Writtle University College, and then within the Central Archive for six full academic years after the registering academic year. |
| 1.A.4 | Tuition fee and attendance confirmation report information | Current Academic Year + 6 | N/A | Confirmation done online – no paper records. Registry manages records relating to the tuition fee position of students at the University College, payment schedules, and confirmation of students' attendance as sent to the Student Finance England. The records are retained for six academic years after the academic year to which they relate. |
| 1.A.5 | Student (movement) withdrawal, suspended studies, transfer, repeat and Module change forms | Current Academic Year + 6 | N/A | Destroyed via confidential waste The Registry holds student 'movement' forms. Held for the current academic year and for six years. |
| 1.A.6 | Course Charging Sheets (records of | Current Academic Year + 6 | N/A | Destroyed via confidential |

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| | fees) | | | waste Registry manages records relating to the charging of tuition fees and related costs. |
| 1.A.7 | Attendance Registers | Current Academic Year + 6 | N/A | Destroyed via confidential waste |
| 1.A.8 | Individual Application files (no show) | Current Academic Year + 1 | N/A | Destroyed via confidential waste |
| 1.A.9 | Student photographs | End of relationship + 6 | N/A | Destroyed/ MIS/IT action As part of the registration process, Registry collects a photo image of all students registering at the Writtle University College, this is part of the student ID card process. Following registration, these photographs are held on the Student Records Database (UNIT-e) where they are retained until the end of the relationship + 6 years. |
| 1.A.10 | Enquiries – on off | Current Academic Year + 2 | N/A | Destroyed via confidential waste MIS/IT action |
| 1.A.11 | Policies and Procedures for disciplinary proceedings against students | Superseded + 6 years | Limitation Act 1980, c.58 | |
| 1.A.1 | Records documenting the conduct and | Last action on case + 6 years | Limitation Act 1980, | |

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| 2 | results of disciplinary proceedings against individual students | | c.58 | |
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B. Examinations

| No. | Description of Record | Retention Period | Legal Reference | Archive detail/notes |
|-------|---|--|-----------------|----------------------------------|
| 1.B.1 | Examination Timetable | Current Academic Year + 1 Current Academic Year + 1 | N/A | Destroyed via confidential waste |
| 1.B.2 | Examination Timetable planning and procedural documents / papers | Current Academic Year + 1 | N/A | Destroyed via confidential waste |
| 1.B.3 | Examinations Timetable and applications for study support/additional time | Current Academic Year + 1 | N/A | Destroyed via confidential waste |
| 1.B.4 | Candidate / Exam Papers | Current Academic Year | N/A | Destroyed via confidential waste |
| 1.B.5 | Temporary Staff / Invigilators records | Current Academic Year +1 | N/A | Destroyed via confidential waste |
| 1.B.6 | Invigilators training guides/notes | Current Academic Year +1 | N/A | |

C. Academic Timetables & Room Bookings

| No | Description of Record | Retention Period | Legal Reference | Archive detail/notes |
|-------|------------------------------------|--|-----------------|----------------------------------|
| 1.C.1 | Academic Timetable | Current Academic Year + 1 Current Academic Year + 1 | N/A | Destroyed via confidential waste |
| 1.C.2 | Academic Timetable planning papers | Current Academic Year + 1 | N/A | Destroyed via confidential waste |

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|-------|----------------------------|--|-----|---------------|
| 1.C.3 | Requests for Room Bookings | Current Academic Year + 1 | N/A | MIS/IT action |
| 1.C.4 | CMIS Procedural Document | Permanent working document – updated and reloaded as necessary | N/A | N/A |

D. Registry & Admissions

| No | Description of Record | Retention Period | Legal Reference | Archive Details/Notes |
|-------|-----------------------------------|---------------------------|-----------------|---|
| 1.D.1 | Admissions Policy | Current Academic Year + 6 | N/A | Destroyed via confidential waste |
| 1.D.2 | Enrolment planning and procedures | Current Academic Year + 2 | N/A | Destroyed via confidential waste |
| 1.D.3 | Departmental files | Current Academic Year + 2 | N/A | Destroyed via confidential waste |
| 1.D.4 | Examinations Budget Records | Current Academic Year + 6 | N/A | Destroyed via confidential waste |
| 1.D.5 | Project files | Current Academic Year + 2 | N/A | Destroyed via confidential waste |
| 1.D.6 | Stationery Purchase Orders | Current Academic Year + 2 | N/A | Destroyed via confidential waste |
| 1.D.7 | Standard letter templates | Revised as necessary | N/A | Registry holds templates for standard letters that it sends out to applicants. Only the current version is retained. Once a version is revised, the previous version is destroyed. Reviewed on an annual basis. |

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| 1.D.8 | Standard forms | Revised as necessary | N/A | Registry holds templates for standard forms that it uses to monitor student movement. Only the current version is retained. Once a version is revised, the previous version is destroyed. Reviewed on an annual basis. |
| 1.D.9 | Registry Risk Assessments | Current Academic Year | N/A | Held by H&S |
| 1.D.10 | Student Finance England attendance records | Current Academic Year + 6 | N/A | MIS |
| 1.D.11 | Management Information | Current Academic Year + 6 | N/A | MIS |
| 1.D.12 | Records relating to student migrants sponsored for less than 1 year | Duration of sponsorship or until a compliance officer has examined and approved them, whichever is longer | N/A | After a compliance officer has visited, they will write to confirm that you can destroy any documents that they examined and were satisfied with and any other documents that they did not examine, which were more than 12 months old on the day the visit took place. |
| 1.D.13 | Records relating to student migrants sponsored for more than 1 year | 1 year or until a compliance officer has examined and approved them, whichever is longer | N/A | |

E. Awards and Graduation

| No | Description of Record | Retention Period | Legal Reference | Archive Details/Notes |
|-------|---------------------------------------|-------------------------|-----------------|---|
| 1.E.1 | Final Awards Boards Files, pass lists | Permanent | N/A | Archive Final Boards files and pass lists are a formal record of exam mark and achievement, decisions and are retained permanently by the University College in Central Archive. |
| 1.E.2 | Awards Boards Minutes | End of relationship + 6 | N/A | Destroyed via confidential waste Awards Boards minutes are a formal record of exam mark and achievement, decisions and are retained for six years by the University College in Central Archive. |
| 1.E.3 | Progression Board Minutes | End of relationship + 6 | N/A | Destroyed via confidential waste Progression Boards files are a formal record of exam mark and achievement, decisions and are retained for six years by the University College in Central Archive. |
| 1.E.4 | Module Board Minutes | End of relationship + 6 | N/A | Destroyed via confidential waste |

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| | | | | Module Boards files are a formal record of exam mark and achievement, decisions and are retained for six years by the University College in Central Archive. |
| 1.E.5 | University of Essex – conferment spread sheet | End of relationship + 6 | N/A | MIS The University of Essex – conferment spread sheet is a record of the final outcome/classification and are retained electronically in the form of a spread sheet for six years |

2. Staff Administration

A. HR records

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-------|--|-----------------------|-----------------|---|
| 2.A.1 | Records documenting the development of the institution's personnel strategy. | Superseded + 10 years | N/A | Review for archival value. |
| 2.A.2 | Records documenting the formulation of plans for the implementation of the institution's personnel strategy. | Superseded + 10 years | N/A | Review for archival value. |
| 2.A.3 | Records containing data on, and analyses of, performance against the plans for the implementation of the institution's personnel | Current year + 1 year | N/A | Destroyed |

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| | strategy. | | | |
| 2.A.4 | Records containing reports of performance against the plans for the implementation of the institution's personnel strategy. | Current year + 10 years | N/A | Review for archival value. |
| 2.A.5 | Records documenting the conduct and results of audits and reviews of the personnel management function, and responses to the results. | Current year + 10 years | N/A | Review for archival value. |
| 2.A.6 | Records documenting the development and establishment of the institution's personnel management policies. | Superseded + 10 years | N/A | Review for archival value. |
| 2.A.7 | Records documenting the development of the institution's personnel management procedures. | Superseded + 10 years | N/A | Destroyed |
| 2.A.8 | Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements. | Current year + 3 years | 1980†c.58 Limitation Act 1980 | Review for archival value. |
| 2.A.9 | Records documenting management succession plans. | Superseded + 5 years | N/A | Review for archival value. |
| 2.A.10 | Records documenting the development and evaluation of job specifications. | Superseded + 5 years | N/A | Information regarding role analysis is stored in the On-Line portal |
| 2.A.11 | Records documenting internal authorisation for recruitment. | Current year + 1 year | N/A | The Justification is placed on the successful individuals file |
| 2.A.12 | Records documenting the advertising of vacancies. | Completion of appointment + 6 months | Equality Act 2010 | In line with the University College Resourcing Policy and Procedure |

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| 2.A.13 | Records documenting enquiries about vacancies and requests for application forms. | Completion of appointment + 6 months | Bearing in mind time limits for bringing claims within various discrimination acts records should be kept for at least 6 months however time limits for bringing claims can be extended so a year may be considered. | In line with the University College Resourcing Policy and Procedure. Successful job applicants' documents are transferred to the individuals file. |
| 2.A.14 | Records documenting the handling of applications for vacancies: unsuccessful applications. | Completion of appointment + 6 months | Bearing in mind time limits for bringing claims within various discrimination acts records should be kept for at least 6 months however time limits for bringing claims can be extended so a year may be considered. | Destroyed |
| 2.A.15 | Records documenting the handling of applications for vacancies: successful applications. | Termination of employment + 6 years | Data Protection Act 1998 | see employee contracts. Important Exception: Personnel Files containing allegations against staff that related to |

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| | | | | child abuse - Termination of employment plus ten years or retirement age whichever is longer |
| 2.A.16 | Records containing summary statistical information about job applicants e.g. ethnicity/gender analyses. | Current year + 5 years | Equality Act 2010 | Destroyed |
| 2.A.17 | Records containing management analyses of recruitment effectiveness e.g. use of advertising media. | Completion of appointment + 6 months | N/A | Destroyed |
| 2.A.18 | Records documenting the handling of unsolicited applications for employment. | Last action on application + 1 year | N/A | Destroyed |
| 2.A.19 | Records documenting the development, overall delivery and assessment of induction programmes for new employees. For records documenting individual employees' induction programmes, see Employee Contract Management. | Current year + 5 years | Data Protection Act 1998 | Individual details are placed on employee files. |
| 2.A.20 | Records documenting the administration of induction programmes. | Completion of programme + 1 year OR Termination of programme + 1 year | N/A | Destroyed |
| 2.A.21 | Records containing summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management. | Current year + 5 years | Data Protection Act 1998 | Individual details are placed on employee files. |
| 2.A.22 | Records documenting the development of training and development programmes to meet defined needs. | Completion of programme + 5 years | Data Protection Act 1998 | Individual details are placed on employee files. |
| 2.A.23 | Records containing individual feedback on training | Completion of analysis of | Data Protection Act | Individual details are |

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| | and development programmes. | feedback | 1998 | placed on employee files. |
| 2.A.24 | Records documenting (anonymised) workforce feedback on training and development programmes. | Current year + 5 years | N/A | Individual details are placed on employee files. |
| 2.A.25 | Records documenting management analyses of the impact of training and development programmes. | Current year + 5 years | N/A | Used to analyse the Annual Staff Development Report |
| 2.A.26 | Records documenting the development of workforce performance assessment systems. | Life of system + 5 years | N/A | Review for archival value. |
| 2.A.27 | Records containing summary (anonymised) results of employees' performance assessments. | Current year + 3 years | N/A | Destroyed |
| 2.A.28 | Records documenting management analyses of the impact of workforce performance assessment systems. | Current year + 5 years | N/A | Destroyed |
| 2.A.29 | Records documenting the development of the institution's remuneration structure. | Current year + 10 years | N/A | Review for archival value. |
| 2.A.30 | Records documenting pay reviews. | Current year + 5 years | N/A | Review for archival value. |
| 2.A.31 | Records documenting special reward schemes e.g. Merit Reviews. | Termination of scheme + 5 years | N/A | Review for archival value. |
| 2.A.32 | Records documenting the development of workforce welfare schemes and services e.g. counselling services. | Current year + 5 years | N/A | Review for archival value. |
| 2.A.33 | Records documenting the monitoring of hours worked by employees, as required by the Regulations cited. | Date of record + 2 years * | S.I.+1998+/+1833+* The Working Time Regulations 1998 | Destroyed |
| 2.A.34 | Records documenting the design of workforce surveys and consultations. | Completion of survey + 5 years | N/A | Review for archival value. |
| 2.A.35 | Records containing (identifiable) individual | Completion of analysis of | N/A | Destroyed |

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| | responses to workforce surveys and consultations. | responses | | |
| 2.A.36 | Records containing summary (anonymised) results of workforce surveys and consultations. | Completion of survey + 5 years | N/A | Review for archival value. |
| 2.A.37 | Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome. | Last action on case + 6 years | 1980+c.58 Limitation Act 1980 | Destroyed |
| 2.A.38 | Records documenting an employee's initial application for employment with the institution. | Termination of employment + 6 years | Exceptional Retention Period was confirmed following Safeguarding Audit (Mar '14) Recommendation | Destroyed |
| 2.A.39 | Supporting documentation (e.g. references) for an employee's initial application for employment with the institution. For records documenting pre-employment health screening, see Health & Safety Management, Employee Health Surveillance. | Completion of appointment | Data Protection Act 1998 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.40 | Records documenting an employee's subsequent applications for other jobs within the institution. | Termination of relationship with student + 6 years | Data Protection Act 1998 / 1980+c.58 Limitation Act 1980 | May be included in Student record 5.6 above. Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.41 | Records documenting an employee's contract(s) of employment with the institution. | Termination of employment + 6 years | Data Protection Act 1998 / 1980+c.58 Limitation Act 1980 | Records are retained on file for the duration of their |

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| | | | | employment and the retention period that follows |
| 2.A.42 | Records documenting changes to an employee's terms and conditions of employment. | Termination of employment + 6 years | Data Protection Act 1998 / 1980+c.58 Limitation Act 1980 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.43 | Records documenting the job descriptions of positions held by an employee within the institution. | Termination of employment + 6 years | Data Protection Act 1998 / 1980+c.58 Limitation Act 1980 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.44 | Records documenting induction programmes attended by an employee. | Termination of employment + 6 years | N/A | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.45 | Records documenting an employee's identified training and development needs, and the action taken to meet these needs. | Completion of actions + 5 years | N/A | Recorded in PDR's |
| 2.A.46 | Records documenting job-specific statutory/regulatory training requirements for an employee, and the training provided to meet these requirements. | Expiry of certification + 6 years OR Superseded + 6 years | 1980+c.58 Limitation Act 1980 | Records are retained on file for the duration of their employment and the retention period that follows |

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| 2.A.47 | Records documenting routine assessments of an employee's performance, and any consequent action taken. | Termination of employment + 6 years | Data Protection Act 1998 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.48 | Records documenting disciplinary proceedings against an employee, where employment continues. | Closure of case + 6 years | Data Protection Act 1998 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.49 | Records documenting disciplinary proceedings against an employee, where employment does not continue. | Closure of case + 6 years | Data Protection Act 1998 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.50 | Records documenting an employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards). | current year +6 years | 1970†c.41 Equal Pay Act 1970 1980†c.58 Limitation Act 1980 S.I.†1999†/†584†* The National Minimum Wage Regulations 1998 | Destroyed |
| 2.A.51 | Records relating to the administration of an employee's contractual holiday entitlement. | Current Year+ 1 | N/A | Records are retained on file for the duration of their employment and the |

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| | | | | retention period that follows |
| 2.A.52 | Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave. | Current year + 1 year | N/A | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.53 | Records documenting an employee's absence due to sickness. | Termination of employment + 6 years | 1994†c.23 Value Added Tax Act 1994 IR†CA30 Statutory Sick Pay Manual for employers CA30 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.54 | Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave. | Completion of entitlement + 6 years | S.I.†1999†/†3312 The Maternity & Parental Leave etc. Regulations 1999 | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.55 | Records documenting entitlements to, and calculations of, Statutory Maternity Pay. | Current tax year + 3 years * | 1992†c.4 Social Security Contributions & Benefits Act 1992 S.I.†1986†/†1960†* The Statutory Maternity Pay (General) Regulations 1986 (Amended by SI 729 2005) | Records are retained on file for the duration of their employment and the retention period that follows |
| 2.A.56 | Records containing an employee's basic personal | Termination of employment + 6 | Data Protection Act | Records are retained |

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| | details (e.g. address, next of kin, emergency contacts). | years | 1998 | on file for the duration of their employment and the retention period that follows |
| 2.A.57 | Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment. | N/A | S.I.+2002+/+2675 The Control of Asbestos at Work Regulations 2002 S.I.+2002+/+2676 The Control of Lead at Work Regulations 2002 S.I.+2002+/+2677 The Control of Substances Hazardous to Health Regulations 2002 | Records are not retained. Fit to work certificates are retained on individual files. |
| 2.A.58 | Records documenting major injuries to an employee arising from accidents in the workplace. | Ref sickness absence | 1980+c.58 Limitation Act 1980 | Destroyed |
| 2.A.59 | Records documenting an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal. | Termination of employment + 6 years | 1980+c.58 Limitation Act 1980 | Destroyed |
| 2.A.60 | Records documenting references provided in confidence in support of an employee's application(s) for employment by another organisation. | Provision of reference + 1 year | The Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103) | Destroyed |
| 2.A.61 | Records documenting the institution's relationships with pension schemes to which all or part of its | Termination of relationship + 5 years | The Retirement Benefits Schemes | Destroyed |

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| | workforce belong. | | (Information Powers) Regulations 1995 (SI 1995/3103) | |
| 2.A.62 | Records documenting routine communications with the pension schemes. For administration of individual employees' relationships with the pension schemes, use Employee Contract Management. | Current year + 5 years | The Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103) | Destroyed |
| 2.A.63 | Records documenting institutional recognition/derecognition of trades unions. | Derecognition + 6 years | Limitation Act 1980 c.58 | Destroyed |
| 2.A.64 | Records documenting agreements with trades unions. | Termination of agreement + 10 years | Limitation Act 1980 c.58 | Destroyed |
| 2.A.65 | Records documenting routine communications with trade union representatives, including minutes of meetings. | Current year + 20 years | N/A | Review for archival value. |
| 2.A.66 | Records documenting consultations/negotiations with trades unions on specific issues. | Last action on issue + 20 years | N/A | Review for archival value. |

B. Payroll records

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-------|--|----------------------------|---|---|
| 2.B.1 | Records documenting employees' authorisation for non-statutory payroll deductions. | Current tax year + 6 years | Limitation Act 1980 c.58 Taxes Management Act 1970 | Destroyed |
| 2.B.2 | Records documenting calculation and payment of payroll payments to employees. | Current tax year + 6 years | Taxes Management Act 1970, c.9 The Income Tax | Destroyed |

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| | | | (Employments) Regulations SI 1993/744 The National Minimum Wage SI 1999/584 | |
| 2.B.3 | Records documenting the operation of the Statutory Sick Pay scheme. | 6 years [as info contained within Wages/Salary Records, noted above] | The Statutory Sick Pay (General) Regulations 1982 SI 1982/894 | Destroyed |
| 2.B.4 | Records documenting the operation of the Statutory Maternity Pay scheme. | Current tax year + 6 years * | The Statutory Maternity Pay (General) Regulations 1986 SI 1986/1960 | Destroyed |
| 2.B.5 | Records documenting payments of the institution's employers' contributions to pensions schemes for its employees. | Termination of employment + 75 years | Limitation Act 1958 c.58 The Retirement Benefits Schemes (Information Powers) Regulations 1995 SI 1995/3103 | Destroyed |
| 2.B.6 | Records documenting payments of the institution's employees' contributions to pension schemes. | Termination of employment + 75 years | Limitation Act 1958 c.58 The Retirement Benefits Schemes (Information Powers) Regulations 1995 SI 1995/3103 | Destroyed |

C. Health and Safety records

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-------|--|---|--|---|
| 2.C.1 | Accident Recording (books/reports) | 3 years after the date of the last entry (see entry below re: accidents involving chemicals/asbestos) | The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) (SI 1995/3163) as amended. | Property department – accident database |
| 2.C.2 | Medical records and details of biological tests under the Control of Lead at Work Regulations. | 40 years from the date of the last entry | The Control of Lead at Work Regulations 1998 (SI 1998/543) as amended by the Control of Lead at work Regulations 2002 (SI 2002/2676) | Destroyed |
| 2.C.3 | Medical records as specified by the Control of Substances Hazardous to Health Regulations (COSHH) | 40 years from date of last entry | The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (Sis 1999/437 and 2002/2677) | Destroyed |
| 2.C.4 | Records and Tests and Examinations of Control Systems and Protective Equipment under the Control of Substances Hazardous to Health Regulations (COSHH) | 5 years from the date on which the tests were carried out | The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (Sis | Destroyed |

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| | | | 1999/437 and 2002/2677) | |
| 2.C.5 | Medical records under the Control of Asbestos at Work Regulations such as medical examination records relating to those exposed to asbestos | 40 years from date of last entry | The Control of Asbestos at Work Regulations 2002 (SI 2002/2675). Also the Control of Asbestos Regulations 2006 (SI 2006/2739) | Destroyed |
| 2.C.6 | Assessments under H&S Regulations and records of consultations with safety representatives/committees | Permanent | N/A | Risk assessment database And G drive /HR - ICC and H&S committee folders |

3. Teaching and Student Assessment

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-----|---|---|-----------------|---|
| 3.1 | Past examination papers | CAY + 6 | N/A | N/A |
| 3.2 | Undergraduate pass lists | Permanent | N/A | N/A |
| 3.3 | Postgraduate pass lists | Permanent | N/A | N/A |
| 3.4 | Examination marks | CAY + 6 | N/A | N/A |
| 3.5 | Coursework marks | CAY + 6 | N/A | N/A |
| 3.6 | Examination scripts – First Year undergraduates | Current Academic Year + 1 | N/A | Destroyed |
| 3.7 | Examination scripts – all students other than First Year undergraduates | Current Academic Year + 4 | N/A | Destroyed |
| 3.8 | Coursework – First Year undergraduates | When uncollected by student, Current Academic Year + 1 | N/A | Destroyed |

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| 3.9 | Coursework – all students other than First Year undergraduates | When uncollected by student, Current Academic Year + 4 | N/A | Destroyed |
| 3.10 | Undergraduate dissertations/projects | Current Academic Year + 10 | N/A | Destroyed |
| 3.11 | Postgraduate dissertations/projects | Current Academic Year + 10 | N/A | Review for archival value |
| 3.12 | PhD theses | Permanent | N/A | N/A |
| 3.13 | Class attendance lists | CAY | N/A | Destroyed |
| 3.14 | Course timetables | CAY + 1 | N/A | Destroyed |
| 3.15 | Observation of Teaching Reports/Peer review | CAY + 6 | N/A | Destroyed |
| 3.16 | Final versions of taught course materials | Life of course | N/A | Destroyed |

4. Marketing

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|------|---|---------------------------------|-----------------|---|
| 4.1 | Records documenting the design, conduct and summary results of student recruitment campaigns | Current + 5 years | N/A | Destroyed |
| 4.2 | Records documenting the design, organisation and summary results of student recruitment events | Current + 5 years | N/A | Destroyed |
| 4.3 | Records documenting the design, operation and summary results of student recruitment schemes | Current + 5 years | N/A | Destroyed |
| 4.4 | Records documenting the issue of student recruitment materials in bulk to schools and other organisations | Current academic year | N/A | Destroyed |
| 4.5 | Records documenting the handling of enquiries from prospective students | Current academic year + 1 year | N/A | Destroyed |
| 4.6 | Records containing summaries and analyses of enquiry, recruitment and retention data | Current academic year + 5 years | N/A | Destroyed |
| 4.7 | Press releases | Issue + 5 years | N/A | Destroyed |
| 4.8 | Records documenting the development and establishment of the University College's marketing policy | Superseded + 5 years | N/A | Review for archival value |
| 4.9 | Records documenting the development and establishment of the institution's public relations policies | Superseded + 5 years | N/A | Destroyed |
| 4.10 | Records documenting the institution's media contacts | Superseded | N/A | Destroyed |
| 4.11 | Records documenting the monitoring and analysis of media coverage of the institution | Creation + 5 years | N/A | Review for archival value |
| 4.12 | Design and management of website | Permanent | N/A | N/A |
| 4.13 | Records containing personal data on individual alumni | While current | N/A | Destroyed |
| 4.14 | Summary (anonymised) statistical records of alumni | Current year + 10 years | N/A | Review for archival value |
| 4.15 | Records documenting the design, planning and | Issue of communication + 1 year | N/A | Destroyed |

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| | production of official alumni communications | | | |
| 4.16 | Results of alumni surveys; summaries and analyses of responses | Completion of survey + 3 years | N/A | Review for archival value |
| 4.17 | Records documenting the organisation and administration of institutional events for alumni | Completion of event + 1 year | N/A | Destroyed |

5. HE Quality Assurance

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-----|--|--|-----------------|---|
| 5.1 | Periodic review of degree schemes: Module specifications Validation Documentation Reports Programme specifications | Current Academic Year + 6 | N/A | Destroyed Review for archival value |
| 5.2 | Annual monitoring of degree schemes | Current Academic Year + 6 | N/A | Destroyed |
| 5.3 | Student Assessment of Courses: Summary reports of assessments Individual student responses | Current Academic Year + 6 Current Academic Year + 1 | N/A | Destroyed Destroyed |
| 5.4 | Student Satisfaction Survey: Reports of analysis, evaluation and subsequent action Individual student responses | Current Academic Year + 6 Current Academic Year + 1 | N/A | Destroyed Destroyed |
| 5.5 | External Examiners' reports | Current Academic Year + 6 | N/A | Destroyed |
| 5.6 | External Examiner files | Termination of Relationship + 3 | N/A | Destroyed |
| 5.7 | Appeals, Academic Offences, Extenuating | End of student relationship + 2 | N/A | Destroyed |

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| | Circumstances and Late Work | | | |
| 5.8 | Records documenting the process of obtaining approval and/or accreditation for taught programmes from professional, statutory or other accreditation bodies | Current Academic Year + 6 | N/A | Destroyed |
| 5.9 | Records containing data on, and analyses of, student numbers and other programme statistics | Current Academic Year +6 | N/A | Destroyed |
| 5.10 | Academic Committees minutes | Current Academic Year + 10 | N/A | Review for archival value |
| 5.11 | Records documenting the conduct and results of external reviews | Next review +6 | N/A | Review for archival value |

6. Student Services/Accommodation

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-----|---|--------------------------------------|---------------------------|---|
| 6.1 | Records documenting the provision of support services (including counselling, financial hardship support, learning/study support) | Current year +6 years | Limitation Act 1980, c.58 | Destroyed |
| 6.2 | Records relating to the provision of Student Accommodation. | Current + 6 Years | Limitation Act 1980, c.58 | Destroyed |
| 6.3 | Records relating to Safeguarding/Child Protection | Date incident is reported + 15 years | N/A | Destroyed |

7. Governance

| No | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-----|---|-------------------------|-----------------|---|
| 7.1 | Board of Governors and Committees Minutes | Current year + 50 years | N/A | Review for archival |

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| | | | | value Paper minutes currently held in archive going back to 1943 |
| 7.2 | Agenda and backing schedules | 6 years | N/A | Destroyed |
| 7.3 | Records documenting the appointment of members of the University College's governing body | Termination of appointment + 6 years | Limitation Act 1980 c.58 | Review for archival value |
| 7.4 | Records documenting the provision of training and development for members of the University College's governing body and executive committee | Current year + 3 years | N/A | Destroyed |
| 7.5 | Register of Interests of members of the Governing body, senior staff and others covered by conflict of interest policies | Termination appointment + 6 years | N/A | Destroyed |
| 7.6 | Records documenting the development and establishment of terms of reference for the University College's executive committee | Life of committee | N/A | Review for archival value |

8. Legal

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|-----|---|---|-----------------|---|
| 8.1 | Contracts, agreements and other arrangements (not employment contracts – see HR section above) | For the length of the contract or agreement + 6 years | N/A | Destroyed |
| 8.2 | Legal files concerning provision of services (e.g. by lawyers, accountants, architects etc) | Life of the service provision + 6 years | N/A | Destroyed |
| 8.3 | Application and correspondence relating to student with a criminal conviction whose application is successful | End of relationship + 6 | N/A | Destroyed |

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| 8.4 | Application and correspondence relating to student with a criminal conviction whose application is unsuccessful | 12 months from date when application is deemed unsuccessful | N/A | Destroyed |
| 8.5 | Records documenting the development of the University College's notification of data controller details to the Office of the Information Commissioner | Expiry of notification + 6 years | Limitation Act 1980 c.58 | Destroyed |
| 8.6 | Records documenting the handling of requests for access to personal information held by the University College under the Data Protection Act 1998 | Last action on request + 6 years | Limitation Act 1980 c.58 | Destroyed |
| 8.7 | Records documenting the development and maintenance of the University College's Publication Scheme as required by the Freedom of Information Acts | Completion of revision of Publication Scheme + 5 years | Freedom of Information Act 2000 | Destroyed |
| 8.8 | Records documenting the handling of requests for access to information held by the University College under the Freedom of Information Act | Last action on request + 6 years | Limitation Act 1980 c.58 | Destroyed |
| 8.9 | Final versions of Records Retention Schedules | Life of institution | N/A | NA |
| 8.10 | Original patent documents | Life of patent | N/A | Review for archive value |
| 8.11 | Records documenting the establishment and development of the institution's legal framework | Life of institution | Further and Higher Education Act 1992 c13 | NA |
| 8.12 | Records documenting policies and procedures for handling student complaints | Permanent | N/A | NA |
| 8.13 | Records documenting the handling of formal complaints made by individuals against the institution | Last action on case + 6 years | N/A | Destroyed |

9. Information Services

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the |
|-----|-----------------------|------------------|-----------------|---------------------|
|-----|-----------------------|------------------|-----------------|---------------------|

| | | | | end of the record lifecycle |
|-----|---|---------------------------------|-----|------------------------------------|
| 9.1 | Records documenting faults reported by users of ICT systems and action taken to investigate and resolve the problem | Last action on fault + 1 year | N/A | Destroyed |
| 9.2 | Records documenting the maintenance of appropriate software licences for live ICT systems | Issue of a new licence | N/A | Destroyed |
| 9.3 | Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal | Disposal of equipment + 1 year | N/A | Destroyed |
| 9.4 | Records documenting user requests for technical and application support and assistance provided | Last action on request + 1 year | N/A | Destroyed |

10. Finance

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|------------|---|-----------------------------------|--|--|
| 10.1 | Records, data and reports documenting development and formulation of finance strategy and finance management policies | Current financial year + 10 years | N/A | Destroyed |
| 10.2 | Records documenting the conduct and results of financial audits and action taken to address issues raised | Last action on audit + 6 years | Limitation Act 1980, c.58 | Destroyed |
| 10.3 | Records documenting the issue of sales invoices and the processing of incoming payments | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 Value Added Tax Act 1994, c.23 HMCE 700/21 HM Customs & Excise | Destroyed |

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| | | | Notice 700/21: Keeping VAT records and accounts | |
| 10.4 | Records documenting the receipt and payment of purchase invoices | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 Value Added Tax Act 1994, c.23 HMCE 700/21 HM Customs & Excise Notice 700/21: Keeping VAT records and accounts | Destroyed |
| 10.5 | Records documenting the payment and/or reimbursement of employees' expenses | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 | Destroyed |
| 10.6 | Records documenting the payment of honoraria to third parties | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 | Destroyed |
| 10.7 | Records documenting the payment of expenses to third parties (e.g. honorary appointees) | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 | Destroyed |
| 10.8 | Records documenting the handling of petty cash | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 | Destroyed |
| 10.9 | Records documenting the receipt and processing of | Current financial year + 6 years | Taxes Management | Destroyed |

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| | students' fees | | Act 1970, c.9 Limitation Act 1980, c.58 | |
| 10.10 | Annual Accounts and records documenting the preparation of annual accounts | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 | Review for archival value |
| 10.11 | Records documenting analyses of the internal deployment of the institution's financial resources. | Current financial year + 1 year | N/A | Destroyed |
| 10.12 | Records documenting the preparation of the institution's statutory accounts. | Current financial year + 6 years | Limitation Act 1980, c.58 | Destroyed |
| 10.13 | Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges). | Current financial year + 1 year | N/A | Destroyed |
| 10.14 | Records documenting the preparation and filing of the institution's tax returns. | Current financial year + 6 years | Taxes Management Act 1970, c.9 | Destroyed |
| 10.15 | Records documenting the administration of annual funding allocations from the appropriate statutory funding body. | Current financial year + 10 years | N/A | Destroyed |
| 10.16 | ESF Project Funding | Funding Period + 6 years | ESF Rules | Destroyed |
| 10.17 | Records documenting the preparation of annual operating budgets. | Current financial year + 10 years | NA | Destroyed |
| 10.18 | Records documenting the opening, closure and routine administration of bank accounts. | Closure of account + 6 years | Limitation Act 1980, c.58 | Destroyed |
| 10.19 | Records documenting standing orders, direct debits | Life of instruction + 6 years | Limitation Act 1980, | Destroyed |

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| | etc. | | c.58 | |
| 10.20 | Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc) | Current financial year + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 | Destroyed |
| 10.21 | Records documenting the purchase/sale of investments | Current financial year (of transaction) + 6 years | Taxes Management Act 1970, c.9 | Destroyed |
| 10.22 | Records documenting the overall management of the institution's financial investment portfolio | Divestment + 6 years | Limitation Act 1980, c.58 | Destroyed |
| 10.23 | Records documenting the value of the institution's capital assets | Current financial year + 6 years | Taxes Management Act 1970, c.9 | Destroyed |
| 10.24 | Records documenting decisions (and authorisations) to dispose of capital assets | Current financial year (of disposal) + 6 years | Taxes Management Act 1970, c.9 Limitation Act 1980, c.58 | Destroyed |

11. Procurement

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|------|--|----------------------|-----------------|---|
| 11.1 | Records documenting the formulation of plans for the implementation of the institution's procurement strategy. | Superseded + 5 years | N/A | Destroyed |
| 11.2 | Records documenting the development and establishment of the institution's procurement policies. | Superseded + 5 years | N/A | Destroyed |
| 11.3 | Records documenting the development of the institution's procurement procedures. | Superseded + 3 years | N/A | Destroyed |
| 11.4 | Records documenting supplier evaluation criteria. | Superseded + 5 years | N/A | Destroyed |

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| 11.5 | Records documenting invitations to prospective suppliers to apply for approval. | Expiry of invitation OR Rejection of application + 6 months OR Completion of approval | N/A | |
| 11.6 | Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers. | Termination of approval | N/A | |
| 11.7 | Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers. | Rejection + 1 year | N/A | |
| 11.8 | Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers. | Award of supply contract + 1 year | The Public Works Contracts Regulations, SI 1991/2680 The Public Services Contracts Regulations 1993/3228 The Public Supply Contracts Regulations SI 1995/201 | |
| 11.9 | Records documenting Invitations to Tender and tender evaluation criteria. | Termination of supply contract awarded + 6 years | Limitation Act 1980, c.58 The Public Works Contracts Regulations, SI 1991/2680 The Public Services Contracts Regulations 1993/3228 The Public Supply Contracts Regulations SI 1995/201 | |
| 11.10 | Records documenting the issue of Invitations to Tender and handling of incoming tenders. | Award of supply contract + 1 year | The Public Works Contracts Regulations, SI | |

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| | | | 1991/2680 The Public Services Contracts Regulations 1993/3228 The Public Supply Contracts Regulations SI 1995/201 | |
| 11.11 | Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders. | Award of supply contract + 1 year | The Public Works Contracts Regulations, SI 1991/2680 The Public Services Contracts Regulations 1993/3228 The Public Supply Contracts Regulations SI 1995/201 | |
| 11.12 | Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders. | Termination of supply contract awarded + 6 years | Limitation Act 1980, c.58 The Public Works Contracts Regulations, SI 1991/2680 The Public Services Contracts Regulations 1993/3228 The Public Supply Contracts Regulations SI 1995/201 | |
| 11.13 | Contract award report (as required by the Regulations cited). | Termination of supply contract awarded + 6 years | Limitation Act 1980, c.58 The Public Works Contracts Regulations, SI 1991/2680 | |

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|-------|--|-----------------------------------|--|--|
| | | | The Public Services Contracts Regulations 1993/3228 The Public Supply Contracts Regulations SI 1995/201 | |
| 11.14 | Statistical reports to HM Treasury on contracts awarded (as required by the regulations cited). | Current year + 3 years | The Public Works Contracts Regulations, SI 1991/2680 The Public Services Contracts Regulations 1993/3228 The Public Supply Contracts Regulations SI 1995/201 | |
| 11.15 | Records documenting variations to contracts (e.g. revisions, extensions). | Termination of contract + 6 years | Limitation Act 1980, c.58 | |
| 11.16 | Records documenting the monitoring of supplier performance and action taken regarding under-performance. | Termination of contract + 6 years | Limitation Act 1980, c.58 | |
| 11.17 | Records documenting purchasing authorisation limits. | Superseded + 1 year | N/A | |
| 11.18 | Records documenting internal authorisation for procurement. | Current financial year + 1 year | N/A | |
| 11.19 | Purchase Orders. | Current financial year + 6 year * | Limitation Act 1980, c.58 HM Customs & Excise Notice 700/21: Keeping VAT records and accounts | |
| 11.20 | Goods Received Notes / Goods Inwards Notes. | Current financial year + 6 year * | Limitation Act 1980, c.58 HM Customs & Excise Notice 700/21: Keeping | |

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|--|--|--|--------------------------|--|
| | | | VAT records and accounts | |
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12. Property, Facilities and Estates

| No. | Description of Record | Retention Period | Legal Reference | Action taken at the end of the record lifecycle |
|------|--|------------------------------|-----------------|---|
| 12.1 | Records documenting the development and establishment of the University College's estates strategy | Superseded + 10 years | N/A | Review for archival value |
| 12.2 | Records documenting the conduct and results of audits and reviews of the estate management function and responses to the results | Current year + 10 years | N/A | Review for archival value |
| 12.3 | Records documenting the development and establishment of the institution's estate management policies | Superseded + 5 years | N/A | Review for archival value |
| 12.4 | Records documenting the acquisition and ownership of properties* | Ownership of property | N/A | Review for archival value |
| 12.5 | Deeds and certificates of title for properties owned by the University College* | Ownership of property | N/A | Transfer to new owner when property disposed of |
| 12.6 | Records documenting the development of properties | 5 years | N/A | Transfer to new owner if property disposed of |
| 12.7 | Records documenting the restoration of contaminated | The risk would determine the | N/A | Transfer to new |

| | land | retention period | | owner when property is disposed of if required by law |
|-------|--|-------------------------------------|---|---|
| 12.8 | Records documenting inspection, maintenance and repair of properties | Completion of work + 2 years | The Fire Precautions (Workplace) Regulations 1997, SI 199 /1840 | Destroyed |
| 12.9 | Records documenting the history of major maintenance works on properties | 10 years | N/A | Transfer to new owner if property is disposed of |
| 12.10 | Records documenting inspections undertaken to assess whether asbestos is (or is liable to be) present in a building or on land | 40 years | The Control of Asbestos at Work Regulations 2002,SI 2002 /2675 | Destroyed |
| 12.11 | Records documenting the removal of hazardous materials from properties | Removal of material + 5 years | N/A | Destroyed |
| 12.12 | Records documenting the disposal of properties* | Disposal of property + 6 years | Limitation Act 1980, s58 | Destroyed |
| 12.13 | Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs) | Creation + 2 years | N/A | Destroyed |
| 12.14 | CCTV recordings | Creation + 1 week | N/A | Destroyed |
| 12.15 | Records documenting security breaches or incidents and action taken | Last action on incident + 1 year | N/A | Destroyed |
| 12.16 | Records documenting leasing out arrangements for properties* | Termination of lease + 6 years | Limitation Act 1980 c.58 | Review for archival value |
| 12.17 | Records documenting the conduct and results of inspections of facilities by enforcing authorities, and action taken to address issues raised | Completion of subsequent inspection | N/A | Longer retention periods may be required by enforcing |

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| | | | | authorities concerned with particular types of facilities |
| 12.18 | Records documenting plans for the relocation of facilities within buildings or to other buildings | Completion of relocation + 10 years | N/A | Destroyed |
| 12.19 | Records documenting the physical relocation of facilities | Completion of relocation + 2 years | N/A | Destroyed |
| 12.20 | Records documenting the development and establishment of the institution's environmental management strategy, policies and procedures | Superseded + 10 years | N/A | Review for archival value |
| 12.21 | Records documenting the conduct and results of audits and reviews of the environmental management function, and responses to the results | Current academic year + 5 years | N/A | Review for archival value |
| 12.22 | Records documenting the conduct and results of environmental audits, and action taken to address issues raised. | Completion of audit + 5 years | N/A | Review for archival value |
| 12.23 | Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments. | Elimination of risk + 5 years OR Updating of risk assessment + 5 years | N/A | Destroyed |
| 12.24 | Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes. | Termination of accreditation + 1 year | N/A | Review for archival value |
| 12.25 | Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students. | Current year + 5 years | N/A | Review for archival value |
| 12.26 | Records documenting the recording of environmental incidents on the institution's premises or caused by its operations. | Last action on incident + 40 years | N/A | Review for archival value |
| 12.27 | Records documenting the investigation of | Closure of investigation + 40 | N/A | Review for |

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|-------|--|--|---|----------------|
| | environmental incidents on the institution's premises or caused by its operations. | years | | archival value |
| 12.28 | Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities. | Date of notification + 5 years | N/A | Destroyed |
| 12.29 | Records documenting routine monitoring of the institution's use and consumption of energy. | Current year + 5 years | N/A | Destroyed |
| 12.30 | Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised. | Completion of review + 5 years | N/A | Destroyed |
| 12.31 | Records documenting the classification, collection and storage of 'controlled waste' prior to removal from the premises for disposal. | Removal of waste consignment + 2 years | Environmental Protection (Duty of Care) Regulations 1991 SI 1991/2839 | Destroyed |
| 12.32 | Register of 'controlled waste' removed from the premises for disposal by registered/licensed contractors. | Removal of waste consignment + 2 years | Environmental Protection (Duty of Care) Regulations 1991 SI 1991/2839 | Destroyed |
| 12.33 | Records documenting the classification, collection and storage of 'special waste' prior to removal from the premises for disposal, including register of 'special waste' removed from the premises for disposal by registered/licensed contractors | Removal of waste consignment + 3 years | The Special Waste Regulations 1996 SI1996/972 | Destroyed |

*Held by University College Secretary