



Data Protection Policy

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1 Statement of Intent

Individuals whose information is processed by Seevic College can be assured that the College intends to fulfill all its Data Protection obligations. This policy document applies only to information covered by the Data Protection Act 1998 and will be amended as necessary as and when new legislation is released.

2 Introduction and Purpose

Seevic College ("the College") needs to keep certain information about its employees, students and other users to allow it to monitor performance, achievements, health and safety, for example. It also needs to process information so that staff can be recruited and paid, courses organised and legal obligations to funding bodies and government complied with. To comply with the law, information must be collected and used fairly, stored safely and not disclosed to any other person unlawfully.

3 Statutory Framework

The College must comply with the Data Protection principles, which are set out in the Data Protection Act (1998).

<http://www.legislation.hms.gov.uk/acts/acts1998/19980029.htm>

In summary these state that personal data shall:

- Be obtained and processed fairly and lawfully and shall not be processed unless certain conditions are met.
- Be obtained for a specified and lawful purpose and shall not be processed in any manner incompatible with that purpose.
- Be adequate, relevant and not excessive for those purposes.
- Be accurate and kept up to date.
- Not be kept for longer than is necessary for that purpose.
- Be processed in accordance with the data subject's rights.
- Be kept safe from unauthorised access, accidental loss or destruction.
- Not be transferred to a country outside the European Economic Area, unless that country has equivalent levels of protection for personal data.

The College and all staff or others who process or use any personal information must ensure that they follow these principles at all times. In order to ensure that this happens, the College has developed this Data Protection Policy.

Rehabilitation of Offenders Act 1974

4 Related Policies and Procedures

- 4.1 Freedom of Information Policy
- 4.2 Acceptable Use Policy
- 4.3 E-Mail Use Policy

5 Procedures for Best Practice

The Designated Data Controller

The College as a body corporate is the data controller under the Act, and the College Corporation is therefore ultimately responsible for implementation. However, the designated data controller will be responsible for:

- Maintaining the College's registration with the Office of the Data Protection Commissioner.
- Providing advice, guidance and direction on data protection issues within the College.

The College has a designated data controller who is the named person in the notification to the Data Protection Commissioner. This is the Assistant Principal Information Systems.

Extent of the Policy

The Data Protection Policy covers all computerised and manual data processing relating to identifiable individuals. It not only includes information about individuals, but also opinions and intentions towards an individual. It therefore includes, for example, personnel records about staff, student records, and emails relating to identifiable individuals, curriculum team meeting minutes, student and staff references.

Status of the Policy

This policy does not form part of the formal contract of employment, but it is a condition of employment that employees will abide by the rules and policies made by the College from time to time. Any failures to follow the policy may therefore result in disciplinary proceedings.

Any member of staff or student, who considers that the policy has not been followed in respect of personal data about themselves, should raise the matter with the designated data controller initially. If the matter is not resolved it should be raised as a formal grievance.

Rights to Access Information

Staff, students and other users of the College have the right to access any personal data that is being kept about them either on computer or in certain files. Any person who wishes to exercise this right should contact the Human Resources Office (staff) or Student Services (students).

In order to gain access, an individual may wish to receive notification of the information currently being held. This request should be made in writing to HR or Student Services.

The College will make a charge of £10 on each occasion that access is requested.

The College aims to comply with requests for access to personal information as quickly as possible, but will ensure that it is provided within 28 days.

Subject Consent

In many cases, the College can only process personal data with the consent of the individual. In some cases, if the data is sensitive, express consent must be obtained. Agreement to the College processing some specified classes of personal data is a condition of acceptance of a student onto any course, and a condition of employment for staff. This includes information about previous criminal convictions in accordance with the Rehabilitation of Offenders Act 1974 and information about disabilities

Some jobs or courses will bring applicants into contact with children, including young people between the ages of 16 and 18. The College has a duty under the Children Act 1989 and other enactments to ensure that staff are suitable for the job, and students for the courses offered. The College also has a duty of care to all staff and students and must therefore make sure that employees and those who use the College facilities do not pose a threat or danger to other users.

Therefore, all prospective staff and students will be asked to consent to their data being processed when an offer of employment or a course place is made. A refusal to sign such a form will result in the offer being withdrawn.

The Government and statutory organisations are exempt from the DPA, and on receiving a valid “legal exemption certificate” the College will release the requested information to the relevant authorities.

Processing Sensitive Information

Sometimes it is necessary to process information about a person's criminal convictions, race and gender and family details. This may be to ensure the College is a safe place for everyone, or to operate other College policies, such as the sick pay policy or equal opportunities policy.

The College will also ask for information about particular health needs, such as allergies to particular forms of medication, or any conditions such as asthma or diabetes or disabilities. The College will only use the information for the protection of the health and safety of the individual, but will need consent to process this information, for example in the event of a medical emergency.

Because this information is considered sensitive, and it is recognised that the processing of it may cause particular concern or distress to individuals, staff and students will be asked to give express consent for the College to do this. Offers of employment or course places may be withdrawn if an individual refuses to consent to this without good reason.

Examination Marks

Students will be entitled to information about their marks for both coursework and examinations as part of their tutorial support. This is within the provisions of the Act relating to the release of data. However, this may take longer than other information to provide.

The College may withhold certificates, accreditation or references in the event that the full course fees have not been paid, or all books and equipment returned to the College.

Retention of Data

The College will keep some forms of information for longer than others.

Appendix 2 indicates the length of time that records will be retained. This information is in line as set out within the JISC guidelines.

http://bcs.jiscinfonet.ac.uk/fe/download_excel.asp

Telephone recording / CCTV

The College may record telephone conversations of Employees where it is felt that there is a significant risk to the College.

The College telephone system has the capability to identify sources of calls both internally and externally to the College.

The College uses CCTV to help prevent crime and for the health and safety of employees, students and visitors. CCTV may be in operation throughout the College's premises.

6 Roles and Responsibilities

All staff and students are responsible for:

- Checking that any information that they provide to the College in connection with their employment is accurate and up to date.
- Informing the College of any changes to or errors in information, which they have provided, i.e. changes of address. They must ensure that changes of address, etc are notified to the Human Resources Office (staff) and Student Services (students).
- The College cannot be held responsible for any such errors unless the staff member or student has informed the College of them.
- Students who use the College computer facilities may, from time to time, process personal data. If they do so they must notify the Registrar's Office through their course tutor or supervisor

If and when, as part of their responsibilities, staff collect information about other people, (i.e. about students' course work, opinions about ability, references to other academic institutions, or details of personal circumstances), they must comply with the Staff Guidelines in Appendix 1

Data Security

Staff Obligations

All staff are responsible for ensuring that:

- Any personal data held is kept securely, for example in a locked room, locked filing cabinet or locked drawer.
- If it is computerised, it is password protected. All passwords shall be regularly changed.
- Data stored on disks is removed before disposal.
- Papers containing personal information are shredded before disposal.
- Databases are closed and workstations securely locked when leaving the computer.
- Personal information is not disclosed either orally or in writing either accidentally or otherwise to any unauthorised third party.

Staff should note that unauthorised disclosure will usually be a disciplinary matter and may be considered gross misconduct in some cases. It may also result in a personal liability for the individual staff member.

7 Monitoring, Review and Evaluation

The College will review this policy on a biannual basis or sooner in order to take account of new statutory regulations and recommendations for improvement.

Data Protection Audits

Audits of computerised and manual record systems should be conducted annually.

8 Communication

The policy is published on the College Intranet for members of staff. Its review will be communicated by sending an e-mail to all staff; included in the staff bulletin; at staff briefings and/or at professional development days to provide, when required, training to new employees.

Under the requirements of the Freedom of Information Act 2000, the policy will be listed in the Publication Scheme and made available to the general public on request.

9 Equality & Diversity Impact Assessment Summary

	AGE	DISABILITY	GENDER Reassignment	RACE	RELIGION or BELIEF	SEX	SEXUAL ORIENTATION
Which of the following protected characteristics may be affected by this policy or procedure? <i>(please tick the relevant box)</i>	✓	✓	✓	✓	✓	✓	✓
Other concerns (e.g. protected groups such as carers, young parents, women during pregnancy, young people living independently)	None						
Does this policy impact on: <i>(please tick the relevant box)</i>	Staff ✓	Students ✓	Parents or Carers ✓	Members of the Public	External providers of services ✓		
Does your assessment show that this policy/procedure might have an adverse impact on relations between different protected characteristics? <i>(please tick the relevant box)</i>	Yes			No ✓			
If yes, can the adverse impact be justified on the grounds of promoting equality of opportunity for one group, or as part of a wider strategy of positive action in relation to particular groups? <i>(please give reasonable justification)</i>	N/A						
Consultation What steps have been taken to ensure that the different protected groups have been consulted during the development of this policy/procedure?	This policy has been impact assessed against the staff in the MST Faculty						
Staff Development and Training Please list any staff development or training issues arising from this assessment.	Regular updates on the responsibilities of staff in relation to this policy						
Change/Modification As a result of the Impact Assessment, have any changes/modifications to this policy/procedure been made?	None						

Appendices

Appendix 1 - Data Protection Act 1998

Staff Guidelines

- Members of staff will process personal data on a regular basis. The College will ensure that staff and students give their consent to processing and are notified of the categories of processing, as required by the Act
- Information about an individual's physical or mental health, sexual life, political or religious views, trade union membership, ethnicity or race is sensitive and can only be collected and processed with their express consent.
- Members of staff have a duty to make sure that they comply with the data protection principles, which are set out in the College Data Protection Policy. In particular, staff must ensure that records are:
 - Accurate
 - Up to date
 - Fair
 - Kept and disposed of safely and in accordance with the College policy
- Individual members of staff are responsible for ensuring that all data they are holding is kept securely.
- Members of staff must not disclose personal data, unless for normal academic, administrative or pastoral purposes, without authorisation or agreement from the data controller, or in line with HR and the College policy.
- Members of staff must complete College registrations forms in respect of all data held if it is additional to normal curriculum requirements before commencing processing of the data, the College may need to amend its registration with the Office of the Information Commissioner.
- Before processing any personal data, all staff should consider the checklist as set out below.
- The HR office is the only department that should contain all information relating to employees personal details. Locally stored information within faculties and departments must be used solely for purposes of communication and collection of any other type of personal data is prohibited.

Staff Checklist for Recording Data

Do you really need to record the information?

Is the information 'standard' or is it 'sensitive'?

If it is sensitive, do you have the data subject's express consent?

Has the individual or data subject been told that this type of data will be processed?

Are you authorised to collect/store/process the data?

If yes, have you checked with the data subject that the data is accurate?

Are you sure that the data is secure?

If you do not have the data subject's consent to process, are you satisfied that it is in the best interests of the student or the staff member to collect and retain the data?

Have you notified the Designated Data Controller that you intend to hold the data?

How long do you need to keep the data for, and what is the mechanism for review/destruction?

Appendix 2 - Guidelines for Archiving

Group Of Classes	Description	Retention
Governance/Corporate Management	Records documenting the establishment and development of the institution's legal framework.	Life of institution
Governance/Corporate Management	Records documenting the establishment and development of the institution's governance structure.	Life of institution
Governance/Corporate Management	Records documenting the appointment of members of the institution's governing body.	Termination of appointment + 6 years
Governance/Corporate Management	Records documenting the provision of training and development for members of the institution's governing body.	Current year + 3 years
Governance/Corporate Management	Register of Interests of members of the Governing Body, senior staff and others covered by conflict of interest policies.	Termination of appointment + 6 years
Governance/Corporate Management	Records documenting the organisation of meetings of the institution's governing body.	Current year + 1 year
Governance/Corporate Management	Records documenting the conduct and proceedings of meetings of the institution's governing body.	Current year + 50 years
Governance/Corporate Management	Records documenting the development and establishment of terms of reference for the institution's executive committees.	Life of committee
Governance/Corporate Management	Records documenting the provision of training and development for members of the institution's executive committees.	Current year + 3 years
Governance/Corporate Management	Records documenting the organisation of meetings of the institution's executive committees.	Current year + 1 year
Governance/Corporate Management	Records documenting the conduct and proceedings of meetings of the institution's executive committees.	Current year + 50 years
Governance/Corporate Management	Records documenting the appointment and designation of the institution's senior officers.	Termination of appointment + 5 years
Governance/Corporate Management	Records documenting the development of the institution's policies on strategic planning and performance management.	Superseded + 10 years
Governance/Corporate Management	Records documenting the development of the institution's overall strategic plan.	Superseded + 10 years
Governance/Corporate Management	Records containing reports on the institution's performance against its strategic plan.	Current academic year + 10 years
Governance/Corporate Management	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Current academic year + 5 years
Governance/Corporate Management	Records documenting the development of the institution's organisational development strategy.	Superseded + 5 years
Governance/Corporate Management	Records documenting the development of plans for the implementation of the institution's organisational development strategy.	Superseded + 5 years
Governance/Corporate Management	Records documenting the conduct and results of audits and reviews of the organisational development function, and responses to the results.	Current year + 5 years
Governance/Corporate Management	Records documenting the development of the institution's organisational development procedures.	Superseded + 3 years
Governance/Corporate Management	Records documenting the management of individual organisational restructuring processes.	Completion of process + 5 years
Governance/Corporate Management	Records documenting the development and testing of the institution's risk management strategy.	Current Year+10

Governance/Corporate Management	Records documenting the development and establishment of the institution's risk management strategy.	Superseded + 5 years
Governance/Corporate Management	Records documenting the development and establishment of the institution's risk management procedures.	Superseded + 3 years
Governance/Corporate Management	Records documenting the conduct and results of audits and reviews of the risk management function, and responses to the results.	Current Year+5
Governance/Corporate Management	Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year
Governance/Corporate Management	Records documenting the development and establishment of the institution's overall quality management policies.	Superseded + 5 years
Governance/Corporate Management	Records documenting the development of the institution's quality management procedures.	Superseded + 3 years
Governance/Corporate Management	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years
Governance/Corporate Management	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year
Governance/Corporate Management	Complaints System and Procedures.	5 years
Governance/Corporate Management	Public Complaints.	3 years
Governance/Corporate Management	Records of the strategies, activities, and performance of the Institution's competitors.	current year +2
Governance/Corporate Management	Records documenting the institution's audit strategy.	Superseded + 5 years
Governance/Corporate Management	Records documenting the development and establishment of the institution's audit policies.	Superseded + 5 years
Governance/Corporate Management	Records documenting the development of the institution's audit procedures.	Superseded + 3 years
Governance/Corporate Management	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years
Governance/Corporate Management	Records documenting the development and establishment of the institution's policies on legal affairs and the acquisition/provision of legal services.	Superseded + 5 years
Governance/Corporate Management	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the institution and third parties: - agreements and contracts under seal.	Termination of contract + 12 years
Governance/Corporate Management	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the institution and others: - other contracts and agreements.	Termination of contract + 6 years
Governance/Corporate Management	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years
Governance/Corporate Management	Records documenting legal advice requested by, and provided to, the institution concerning:	Life of institution
	- interpretation of legislation affecting the institution's legal framework, governance,	
	responsibilities or operations	

	- proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations	
	- the institution's relationships with government bodies and HE regulators	
	- industrial relations issues	
	- health, safety and environmental issues.	
Financial Resources	Records documenting the formulation of plans for the implementation of the institution's finance strategy.	Superseded + 10 years
Financial Resources	Records containing data on, and analyses of, performance against the plans for the implementation of the institution's finance strategy.	Current financial year + 1 year
Financial Resources	Records containing reports of performance against the plans for the implementation of the institution's finance strategy.	Current financial year + 10 years
Financial Resources	Records documenting the conduct and results of audits and reviews of the finance management function, and responses to the results.	Current financial year + 10 years
Financial Resources	Records documenting the development and establishment of the institution's finance management policies.	Superseded + 10 years
Financial Resources	Records documenting the development of the institution's finance management procedures.	Superseded + 10 years
Financial Resources	Records documenting the conduct and results of financial audits, and action taken to address issues raised.	Last action on audit + 6 years
Financial Resources	Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years *
Financial Resources	Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years *
Financial Resources	Records documenting the payment and/or reimbursement of employees' expenses.	Current financial year + 6 years *
Financial Resources	Records documenting the payment of honoraria to third parties. *	Current financial year + 6 years *
	* Unless honoraria are administered through the payroll.	
Financial Resources	Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years *
Financial Resources	Records documenting the handling of petty cash.	Current financial year + 6 years *
Financial Resources	Records documenting the receipt and processing of students' fees.	Current financial year + 6 years *
Financial Resources	Records documenting the preparation of annual accounts.	Current financial year + 6 years *
Financial Resources	Annual Accounts.	Current financial year + 6 years *

Financial Resources	Records documenting analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year
Financial Resources	Records documenting the preparation of the institution's statutory accounts.	Current financial year + 6 years
Financial Resources	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year
Financial Resources	Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years *
Financial Resources	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years
Financial Resources	ESF Project Funding.	Funding Period+ 6 years
Financial Resources	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year
Financial Resources	Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years
Financial Resources	Records documenting calculation and payment of payroll payments to employees.	Current tax year + 3 years *
		Recommended: Current tax year + 6 years
Financial Resources	Records documenting the operation of the Statutory Sick Pay scheme.	Current tax year + 3 years *
Financial Resources	Records documenting the operation of the Statutory Maternity Pay scheme.	Current tax year + 3 years *
Financial Resources	Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.	Termination of employment + 75 years
Financial Resources	Records documenting payments of the institution's employees' contributions to pension schemes.	Termination of employment + 75 years
Financial Resources	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years
Financial Resources	Records documenting standing orders, direct debits etc.	Life of instruction + 6 years
Financial Resources	Records documenting routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years *
Financial Resources	Records documenting the purchase / sale of investments.	Current financial year (of transaction) + 6 years*
Financial Resources	Records documenting the overall management of the institution's financial investment portfolio.	Divestment + 6 years
Financial Resources	Records documenting the value of the institution's capital assets.	Current financial year + 6 years *
Financial Resources	Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years *
Financial Resources	Records documenting the formulation of plans for the implementation of the institution's procurement strategy.	Superseded + 5 years

Financial Resources	Records documenting the development and establishment of the institution's procurement policies.	Superseded + 5 years
Financial Resources	Records documenting the development of the institution's procurement procedures.	Superseded + 3 years
Financial Resources	Records documenting supplier evaluation criteria.	Superseded + 5 years
Financial Resources	Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval
Financial Resources	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers.	Termination of approval
Financial Resources	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection + 1 year
Financial Resources	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year
Financial Resources	Records documenting Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years
Financial Resources	Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year
Financial Resources	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
Financial Resources	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
Financial Resources	Contract award report (as required by the Regulations cited).	Termination of supply contract awarded + 6 years
Financial Resources	Statistical reports to HM Treasury on contracts awarded (as required by the regulations cited).	Current year + 3 years
Financial Resources	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years
Financial Resources	Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years
Financial Resources	Records documenting purchasing authorisation limits.	Superseded + 1 year
Financial Resources	Records documenting internal authorisation for procurement.	Current financial year + 1 year
Financial Resources	Purchase Orders.	Current financial year + 6

		year *
Financial Resources	Goods Received Notes / Goods Inwards Notes.	Current financial year + 6 year *
Financial Resources	Records documenting the development and establishment of the institution's insurance management policies.	Superseded + 5 years
Financial Resources	Records documenting the development of the institution's insurance management procedures.	Superseded + 3 years
Financial Resources	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: employers' liability insurance.	Commencement of policy + 40 years OR Renewal of policy + 40 years *
Financial Resources	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: all other insurance.	Expiry of policy + 6 years
Financial Resources	Records documenting claims made under insurance policies.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years
Human Resources	Records documenting the development of the institution's personnel strategy.	Superseded + 10 years
Human Resources	Records documenting the formulation of plans for the implementation of the institution's personnel strategy.	Superseded + 10 years
Human Resources	Records containing data on, and analyses of, performance against the plans for the implementation of the institution's personnel strategy.	Current year + 1 year
Human Resources	Records containing reports of performance against the plans for the implementation of the institution's personnel strategy.	Current year + 10 years
Human Resources	Records documenting the conduct and results of audits and reviews of the personnel management function, and responses to the results.	Current year + 10 years
Human Resources	Records documenting the development and establishment of the institution's personnel management policies.	Superseded + 10 years
Human Resources	Records documenting the development of the institution's personnel management procedures.	Superseded + 10 years
Human Resources	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years
Human Resources	Records documenting management succession plans.	Superseded + 5 years
Human Resources	Records documenting the development and evaluation of job specifications.	Superseded + 5 years
Human Resources	Records documenting internal authorisation for recruitment.	Current year + 1 year
Human Resources	Records documenting the advertising of vacancies.	Completion of appointment + 6 months
Human Resources	Records documenting enquiries about vacancies and requests for application forms.	Completion of appointment

Human Resources	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of appointment + 6 months
Human Resources	Records documenting the handling of applications for vacancies: successful applications.	Termination of employment + 6 years
Human Resources	Records containing summary statistical information about job applicants e.g. ethnicity/gender analyses.	Current year + 5 years
Human Resources	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year
Human Resources	Records documenting the handling of unsolicited applications for employment.	Last action on application + 1 year
Human Resources	Records documenting the development, overall delivery and assessment of induction programmes for new employees.	Current year + 5 years
	For records documenting individual employees' induction programmes, see Employee Contract Management.	
Human Resources	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year
Human Resources	Records containing summary information on workforce training and development needs.	Current year + 5 years
	For records documenting individual employees' training and development needs, see Employee Contract Management.	
Human Resources	Records documenting the development of training and development programmes to meet defined needs.	Completion of programme + 5 years
Human Resources	Records containing individual feedback on training and development programmes.	Completion of analysis of feedback
Human Resources	Records documenting (anonymised) workforce feedback on training and development programmes.	Current year + 5 years
Human Resources	Records documenting management analyses of the impact of training and development programmes.	Current year + 5 years
Human Resources	Records documenting the development of workforce performance assessment systems.	Life of system + 5 years
Human Resources	Records containing summary (anonymised) results of employees' performance assessments.	Current year + 3 years
Human Resources	Records documenting management analyses of the impact of workforce performance assessment systems.	Current year + 5 years
Human Resources	Records documenting the development of the institution's remuneration structure.	Current year + 10 years
Human Resources	Records documenting pay reviews.	Current year + 5 years
Human Resources	Records documenting special reward schemes e.g. Merit Reviews.	Termination of scheme + 5 years
Human Resources	Records documenting the development of workforce welfare schemes and services e.g. counselling services.	Current year + 5 years

Human Resources	Records documenting the monitoring of hours worked by employees, as required by the Regulations cited.	Date of record + 2 years *
Human Resources	Records documenting the design of workforce surveys and consultations.	Completion of survey + 5 years
Human Resources	Records containing (identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses
Human Resources	Records containing summary (anonymised) results of workforce surveys and consultations.	Completion of survey + 5 years
Human Resources	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
Human Resources	Records documenting an employee's initial application for employment with the institution.	Termination of employment + 6 years
Human Resources	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
Human Resources	Records documenting an employee's subsequent applications for other jobs within the institution.	Termination of relationship with student + 6 years
Human Resources	Records documenting an employee's contract(s) of employment with the institution.	Termination of employment + 6 years
Human Resources	Records documenting changes to an employee's terms and conditions of employment.	Termination of employment + 6 years
Human Resources	Records documenting the job descriptions of positions held by an employee within the institution.	Duration of job + 1 year
Human Resources	Records documenting induction programmes attended by an employee.	Completion of induction + 1 year
Human Resources	Records documenting an employee's identified training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years
Human Resources	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
Human Resources	Records documenting routine assessments of an employee's performance, and any consequent action taken.	Superseded + 3 years
Human Resources	Records documenting disciplinary proceedings against an employee, where employment continues.	Closure of case + 6 years
Human Resources	Records documenting disciplinary proceedings against an employee, where employment does not continue.	Closure of case + 6 years
Human Resources	Records documenting an employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Current year + 3 years
		current year +6 years
Human Resources	Records relating to the administration of an employee's contractual holiday entitlement.	Current Year+ 1

Human Resources	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year
Human Resources	Records documenting an employee's absence due to sickness.	Termination of employment + 40 years
Human Resources	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years
Human Resources	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current tax year + 3 years *
Human Resources	Records containing an employee's basic personal details (e.g. address, next of kin, emergency contacts).	While current
Human Resources	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	Termination of employment + 40 years
Human Resources	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years
Human Resources	Records documenting an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years
Human Resources	Records documenting references provided in confidence in support of an employee's application(s) for employment by another organisation.	Provision of reference + 1 year
Human Resources	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belong.	Termination of relationship + 5 years
Human Resources	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
Human Resources	For administration of individual employees' relationships with the pension schemes, use Employee Contract Management.	NA
Human Resources	Records documenting institutional recognition/derecognition of trades unions.	Derecognition + 6 years
Human Resources	Records documenting agreements with trades unions.	Termination of agreement + 10 years
Human Resources	Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years
Human Resources	Records documenting consultations/negotiations with trades unions on specific issues.	Last action on issue + 20 years
Human Resources	(hyperlink to 4.4)	NA
Physical Resources	Records documenting the development and establishment of the institution's estate strategy.	Superseded + 10 years

Physical Resources	Records documenting the conduct and results of audits and reviews of the estate management function, and responses to the results.	Current year + 10 years
Physical Resources	Records documenting the development and establishment of the institution's estate management policies.	Superseded + 10 years
Physical Resources	Records documenting the acquisition of ownership of properties.	Ownership of property
Physical Resources	Deeds and certificates of title for properties owned by the institution.	Ownership of property
Physical Resources	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years
Physical Resources	Records documenting the acquisition of use of properties by lease or rental.	Disposal of property + 6 years
	Note: For retention of formal legal agreements, see Legal Affairs Management - Contracts & Agreements Management.	
Physical Resources	Records documenting the development of properties.	Ownership of property
Physical Resources	Records documenting the restoration of contaminated land.	Ownership of land
Physical Resources	Records documenting inspection, maintenance and repair of properties.	Completion of work + 2 years
Physical Resources	Records documenting the history of major maintenance works on properties.	Ownership of property
Physical Resources	Records documenting inspections undertaken to assess whether asbestos is (or is liable to be) present in a building or on land.	Review of assessment *
Physical Resources	Records documenting the removal of hazardous materials from properties.	Removal of material + 5 years
Physical Resources	Records documenting the disposal of properties.	Disposal of property + 6 years
Physical Resources	Fire Certificates.	Issue of new certificate
Physical Resources	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.	Completion of subsequent inspections
Physical Resources	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years
Physical Resources	CCTV Recordings.	Creation +1 Month
Physical Resources	Records of security passes issued to visitors.	Expiry of pass + 1 year
Physical Resources	Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year
Physical Resources	Records documenting the conduct of routine security surveillance of properties.	Creation +1 Month
Physical Resources	Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year

Physical Resources	Records documenting leasing-out arrangements for properties.	Termination of lease + 6 years
Physical Resources	Records documenting the specification of requirements for facilities.	Next fit-out + 1 year
Physical Resources	Records documenting the carrying out of interior decoration and fitting-out works.	Next fit-out + 1 year
Physical Resources	Records documenting the conduct and results of inspections of facilities, and action taken to address issues raised.	Completion of subsequent inspection
Physical Resources	Records documenting the carrying out of repairs to interior decoration, fixtures and fittings.	Current year + 1 year
Physical Resources	Records documenting the conduct and results of inspections of facilities by enforcing authorities, and action taken to address issues raised.	Completion of subsequent inspection
Physical Resources	Records documenting plans for the relocation of facilities within buildings or to other buildings.	Completion of relocation + 10 years
Physical Resources	Records documenting the physical relocation of facilities.	Completion of relocation + 2 years
Physical Resources	Records documenting the formulation of plans for the implementation of the institution's equipment and consumables management strategy.	Superseded + 5 years
Physical Resources	Records documenting the development and establishment of the institution's equipment and consumables management policies.	Superseded + 5 years
Physical Resources	Records documenting the development of the institution's equipment and consumables management procedures.	Superseded + 3 years
Physical Resources	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items.	Life of item + 6 years
Physical Resources	Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations.	Life of item + 40 years
Physical Resources	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items.	Life of item
Physical Resources	Records documenting routine stocktaking and stock checking.	Current year + 1 year
Physical Resources	Records documenting the movement of stock into and from storage.	Current year + 1 year
Physical Resources	Records documenting the installation of equipment/consumables: major items.	Decommissioning removal + 6 years
Physical Resources	Records documenting the installation of equipment/consumables: items which are safety critical or associated with hazardous operations.	Decommissioning removal + 40 years
Physical Resources	Records documenting the installation of equipment/consumables: other items.	Decommissioning removal + 1 year

Physical Resources	Reports of pre-commissioning examinations of lifting equipment, as required by the Regulations cited.	Decommissioning *
Physical Resources	Reports of pre-commissioning examinations of accessories for lifting, as required by the Regulations cited.	Issue of report + 2 years *
Physical Resources	Reports of post-installation examinations of lifting equipment, as required by the Regulations cited.	Decommissioning *
Physical Resources	Records documenting the inspection and testing of equipment/consumables.	Completion of subsequent inspection record OR Disposal of item + 1 year
Physical Resources	Records documenting the inspection and testing of equipment/consumables: items which are safety critical or are associated with hazardous operations.	Disposal of item + 5 years
Physical Resources	Records documenting the examination, testing and repair of equipment/consumables provided to control exposure to hazardous substances.	Date of action + 5 years *
Physical Resources	Records documenting the examination, testing and repair of equipment/consumables provided to control exposure to asbestos.	Creation + 5 years *
Physical Resources	Records documenting the 'inspection' of lifting equipment, as defined in the Regulations cited.	Completion of subsequent inspection record *
Physical Resources	Reports of inspection and 'thorough examination' of lifting equipment, as required by the Regulations cited.	Completion of subsequent report OR Issue of report + 2 years, whichever is the longer
Physical Resources	Records documenting the maintenance of equipment / consumables: major items.	Decommissioning removal + 6 years
Physical Resources	Records documenting the maintenance of equipment / consumables: items which are safety critical or are associated with hazardous operations.	Decommissioning removal + 40 years
Physical Resources	Records documenting the maintenance of equipment / consumables provided to control exposure to asbestos.	Creation + 5 years
Physical Resources	Records documenting the maintenance of equipment provided to meet the requirements of the Control of Asbestos at Work Regulations 2002.	Creation + 5 years
Physical Resources	Records documenting authorisation for the disposal of equipment / consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year
Physical Resources	Records documenting the cleaning / sanitisation of equipment / consumables prior to disposal: items used in connection with operations involving substances hazardous to health.	Disposal of item + 6 years
Physical Resources	Records documenting the cleaning / sanitisation of equipment / consumables prior to disposal: other items.	Disposal of item + 1 year
Physical Resources	Records documenting the transfer of ownership of equipment / consumables.	Disposal of item + 1 year
Physical Resources	Records documenting the development and establishment of the institution's ICT systems strategy.	Superseded + 5 years

Physical Resources	Records containing reports of performance against the plans for the implementation of the institution's ICT systems strategy.	Current academic year + 5 years
Physical Resources	Records documenting the conduct and results of audits and reviews of the ICT systems management function, and responses to the results.	Current academic year + 5 years
Physical Resources	Records documenting the development and establishment of the institution's ICT systems management policies.	Superseded + 5 years
Physical Resources	Records documenting the development of the institution's ICT systems management procedures.	Superseded + 3 years
Physical Resources	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years
Physical Resources	Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years
Physical Resources	Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years
Physical Resources	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year
Physical Resources	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year
Physical Resources	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year
Physical Resources	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence
Physical Resources	Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years
Physical Resources	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year
Physical Resources	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year
Physical Resources	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year
Physical Resources	Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year
Physical Resources	Records documenting the removal / return of mobile ICT systems hardware and software from / to the institution's premises.	Return of equipment + 3 months

Physical Resources	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year
Physical Resources	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year
Physical Resources	Records documenting user requests for technical and application support, and assistance provided.	Last action on request + 1 year
Physical Resources	Records documenting the development and establishment of the institution's health and safety management strategy.	Superseded + 50 years
Physical Resources	Records documenting the conduct and results of audits and reviews of the health and safety management function, and responses to the results.	Current year + 10 years
Physical Resources	Records documenting the development and establishment of the institution's health and safety management policies.	Superseded + 50 years
Physical Resources	Records documenting the development of the institution's health and safety management procedures.	Superseded + 50 years
Physical Resources	Records documenting the conduct and results of health and safety audits, and action taken to address issues raised.	Completion of audit + 5 years
Physical Resources	Records documenting notifications of appointments of safety representatives by trade unions under the Safety Representatives and Safety Committees Regulations 1977.	Termination of appointment + 1 year
Physical Resources	Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977.	Current year + 5 years
Physical Resources	Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977.	Current year + 50 years
Physical Resources	Records documenting the formation of a safety committee under the Safety Representatives and Safety Committees Regulations 1977. Includes records documenting the objectives, role, functions, composition and administration of the committee.	Life of committee + 50 years
Physical Resources	Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977.	Termination of membership + 1 year
Physical Resources	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977.	Current year + 50 years

Physical Resources	Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996.	Termination of appointment + 1 year
Physical Resources	Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996, or with all employees directly.	Current year + 50 years
Physical Resources	Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996.	NA
Physical Resources	Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996.	Current year + 5 years
Physical Resources	Records documenting the provision of information, instruction and training for employees, students and others on health and safety in the institution's premises.	Current year + 5 years
	For role-specific training for fire wardens and first-aiders, see Health & Safety Emergency Planning.	
Physical Resources	Records documenting the content of information and instruction on health and safety matters provided for members of the public and others who have legitimate access to the premises, and the methods of delivery.	superseded+5 years
Physical Resources	Records documenting the identification of general health and safety hazards to the institution's employees, and others on its premises, and the conduct and results of risk assessments in relation to plant, equipment, machinery and processes.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years
Physical Resources	Records documenting the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures (as required by the Regulations).	Review of arrangements + 5 years
Physical Resources	Records documenting hazardous substances present / in use.	Updated + 40 years

Physical Resources	List of employees exposed to Group 3 or Group 4 biological agents (defined in the Regulations).	Last entry + 40 years
Physical Resources	Records documenting accidents and incidents involving Group 3 or Group 4 biological agents (defined in the Regulations).	Date of recording + 40 years *
Physical Resources	Records documenting the conduct and results of risk assessments for work involving substances hazardous to health, as defined in the Regulations cited.	Elimination of asbestos + 5 years OR Review of assessment + 5 years
Physical Resources	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health.	Date of examination
Physical Resources	Records documenting the conduct and results of monitoring of exposure of employees to substances hazardous to health: general exposure.	Date of action + 5 years *
Physical Resources	Records documenting the conduct and results of monitoring of exposure of employees to substances hazardous to health: exposure of identifiable individual employees.	Date of monitoring + 40 years *
Physical Resources	Records documenting the conduct and results of risk assessments of work which exposes employees to lead.	Elimination of asbestos + 5 years OR Review of assessment + 5 years
Physical Resources	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead.	Date of examination / test / repair + 5 years *
Physical Resources	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: where exposure requires individual employees to be under medical surveillance under Regulation 10.	Date of monitoring + 40 years
Physical Resources	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: in all other cases.	Date of monitoring + 5 years *
Physical Resources	Health surveillance records of identifiable individual employees who are exposed to lead.	Date of last entry on record + 40 years *
Physical Resources	Records documenting assessments to determine the presence of asbestos.	Elimination of asbestos + 5 years OR Review of assessment + 5 years
Physical Resources	Records documenting the conduct and results of risk assessments of work which exposes employees to asbestos: where the exposure of employees may exceed the action level.	Duration of work to which assessment relates * Recommended: Completion of all work to which the plan relates + 5 years
Physical Resources	Records documenting the conduct and results of risk assessments of work which exposes employees to asbestos: in all other cases.	Completion of work to which the assessment relates + 5 years
Physical Resources	Records documenting written plans of work (as defined in the Regulations) for undertaking work with asbestos.	Duration of work to which plan relates * Recommended: Completion of all work to which the plan relates + 5 years
Physical Resources	Records documenting notifications of work with asbestos to the enforcing authorities.	Duration of work

Physical Resources	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: where exposure requires health records to be kept for individual employees under Regulation 21.	Date of monitoring + 40 years *
Physical Resources	Records documenting air monitoring conducted in accordance with the requirements of the Regulations: in all other cases.	Date of monitoring + 5 years *
Physical Resources	Health surveillance records of identifiable individual employees who are exposed to asbestos.	Date of last entry on record + 40 years *
Physical Resources	Certificates of medical examination of identifiable individual employees who are exposed to asbestos.	Date of certificate + 40 years *
Physical Resources	Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.	Current year + 5 years
Physical Resources	Records documenting the recording of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Date of recording + 3 years *
Physical Resources	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years
Physical Resources	Reporting of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification + 3 years
Physical Resources	Records documenting accidents and incidents involving Group 3 or Group 4 biological agents (defined in the Regulations).	Date of recording + 40 years *
Physical Resources	Records documenting pre-employment health screening of an employee.	Termination of employment + 40 years
Physical Resources	Health (surveillance) records of identifiable individual employees, other than those specified below.	Date of last surveillance action + 40 years
Physical Resources	Health (surveillance) records of identifiable individual employees who are exposed to substances hazardous to health, as defined by the Regulations cited.	Date of last entry on record + 40 years *
Physical Resources	Health (surveillance) records of identifiable individual employees who are exposed to lead, as required by the Regulations cited.	Date of last entry on record + 40 years *
Physical Resources	Health (surveillance) records of individual employees who are exposed to asbestos, as required by the Regulations cited.	Date of last entry on record + 40 years *
Physical Resources	Certificates of medical examinations of individual employees who are exposed to asbestos, as required by the Regulations cited.	Date of last entry on record + 40 years *
Physical Resources	Records documenting the nomination/appointment of fire wardens.	Termination of appointment
Physical Resources	Records documenting the provision of role-specific training for fire wardens.	Termination of appointment + 5 years

Physical Resources	Records documenting assessment of requirements for fire-fighting systems and equipment.	Review of assessment + 5 years
Physical Resources	Records documenting the appointment of official first aiders.	Termination of appointment
Physical Resources	Records documenting the provision of approved training (specifically related to their functions as first aiders) for first aiders.	Termination of appointment + 5 years
Physical Resources	Records documenting assessment of requirements for first aid facilities and equipment.	Re-assessment + 5 years
Physical Resources	Records documenting specifications for first aid facilities and equipment.	Superseded + 5 years
Physical Resources	Records documenting arrangements with external emergency service organisations.	Review of arrangements + 5 years
Physical Resources	Records documenting the development and establishment of the institution's environmental management strategy.	Superseded + 10 years
Physical Resources	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
Physical Resources	Records documenting the development and establishment of the institution's environmental management policies.	Superseded + 10 years
Physical Resources	Records documenting the development of the institution's environmental management procedures.	Superseded + 10 years
Physical Resources	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years
Physical Resources	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
Physical Resources	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year
Physical Resources	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current year + 5 years
Physical Resources	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years
Physical Resources	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years
Physical Resources	Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years
Physical Resources	Records documenting routine monitoring of the institution's use and consumption of energy.	Current year + 5 years

Physical Resources	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
Physical Resources	Records documenting the classification, collection and storage of 'controlled waste' prior to removal from the premises for disposal.	Removal of waste consignment + 2 years
Physical Resources	Register of 'controlled waste' removed from the premises for disposal by registered/licensed contractors.	Removal of waste consignment + 2 years *
Physical Resources	Records documenting the classification, collection and storage of 'special waste' prior to removal from the premises for disposal.	Removal of waste consignment + 3 years
Physical Resources	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors.	Removal of waste consignment + 3 years *
Physical Resources	Records documenting the development and establishment of the institution's internal services strategy.	Superseded + 5 years
Physical Resources	Records documenting the conduct and results of audits and reviews of the overall management of internal services, and the responses to the results.	Current year + 5 years
Physical Resources	Records documenting the development and establishment of the institution's policies on the overall management and development of internal services.	Superseded + 5 years
Physical Resources	Records documenting the development of the institution's procedures for the overall management and development of internal services.	Superseded + 3 years
Physical Resources	Records documenting the planning of the management and operation of an internal service.	Current year + 3 years
Physical Resources	Records documenting the conduct and results of audits and reviews of an internal service, and the responses to the results.	Current year + 3 years
Physical Resources	Records documenting the development and establishment of policies on the operation, management and development of an internal service.	Superseded + 5 years
Student Administration and Support	Records detailing the Structure and Content of each programme.	Master copy kept permanently
Student Administration and Support	Records of Tuition and other course fees.	Length of course +6 years
Student Administration and Support	Records documenting the development and establishment of the institution's student administration strategy.	Superseded + 10 years
Student Administration and Support	Records documenting the development and establishment of the institution's student administration policies.	Superseded + 10 years
Student Administration and Support	Records documenting the development and establishment of the institution's student administration procedures.	Superseded + 10 years

Student Administration and Support	Records documenting the design, operation and summary results of student recruitment schemes.	Current academic year + 5 years OR Termination of scheme + 5 years
Student Administration and Support	Records documenting the issue of student recruitment materials in bulk to schools and other organisations.	Current academic year
Student Administration and Support	Records documenting the handling of enquiries from prospective students.	Current academic year + 1 year
Student Administration and Support	Records containing summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years
Student Administration and Support	Records documenting the development and establishment of the institution's admission criteria and policies.	Superseded + 10 years
Student Administration and Support	Records documenting the handling of applications for admission: successful applications.	End of student relationship + 6 years
Student Administration and Support	Records documenting the handling of applications for admission: unsuccessful applications.	Current academic year + 1 year
Student Administration and Support	Records documenting the administration of the clearing process.	Current academic year + 1 year
Student Administration and Support	Records containing data on overall student numbers.	Current academic year + 1 year
Student Administration and Support	Records documenting the registration of individual students on programmes.	Termination of student relationship + 6 years
Student Administration and Support	Records documenting the initial assessment of Students.	Termination of student relationship + 6 years
Student Administration and Support	Records containing summaries and analyses of data on registration of students on programmes.	Current academic year + 5 years
Student Administration and Support	Records documenting the design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years
Student Administration and Support	Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year
Student Administration and Support	Records about the collection, maintenance, and use of personal information about students.	Superseded + 6 years minimum
Student Administration and Support	Records containing full personal data on individual students.	Minimum required. Variable for different types of personal data.
		Recommended maximum retention: End of 'registered student' relationship with institution + 6 years
Student Administration and Support	Core student data.	This is the minimal record kept to provide references for former students required for at least 10 years
Student Administration and Support	Records of administration of Student Financial and employment support.	Current + 6 Years
Student Administration and Support	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years
Student Administration and Support	Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year

Student Administration and Support	Records documenting the handling of individual students'/ employers requests for statements of results/transcripts.	Last action on request + 1 year
Student Administration and Support	First Destination Surveys: individual responses.	Completion of analysis of responses
Student Administration and Support	Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress.	Termination of relationship with student + 6 years
Student Administration and Support	Records documenting the withdrawal of individual students from the institution.	Termination of relationship with student + 6 years
Student Administration and Support	Records documenting the termination of individual students' programmes.	Termination of student relationship + 6 years
Student Administration and Support	Records documenting the development and establishment of the institution's assessment and examination rules and procedures.	Superseded + 10 years
Student Administration and Support	Records documenting the selection, appointment and training of external examiners.	Termination of appointment + 1 year
Student Administration and Support	Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year
Student Administration and Support	Records documenting the timetabling of examinations.	Current academic year + 1 year
Student Administration and Support	Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 1 year
Student Administration and Support	Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.	Current academic year + 1 year (Minimum)
Student Administration and Support	Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years
Student Administration and Support	Arrangements for Assessments and examinations.	Current year + 6 years
Student Administration and Support	Pass/Qualification/Awards lists.	Completion of Programme+10 years
Student Administration and Support	Policies and Procedures for disciplinary proceedings against students.	Superseded +6 Years
Student Administration and Support	Records documenting the conduct and results of disciplinary proceedings against individual students.	Last action on case + 6 years
Student Administration and Support	Records documenting the development and establishment of the institution's student support services strategy.	Superseded + 10 years
Student Administration and Support	Records documenting the development and establishment of the institution's student support services management policies.	Superseded + 10 years
Student Administration and Support	Records documenting the development of the institution's student support services management procedures.	Superseded + 5 years

Student Administration and Support	Records documenting the development of procedures for the operation, management and development of a student support service.	Superseded + 3 years
Student Administration and Support	Records documenting the development and establishment of service standards for a student support service.	Superseded + 1 year
Student Administration and Support	Records documenting the conduct and results of independent reviews of service quality, and the responses to the results.	Current year + 5 years
Student Administration and Support	Records documenting the provision of Welfare/Advice Services to individual students.	current year +6 years
Student Administration and Support	Student Counselling Services.	current year +2
Student Administration and Support	Student Health Services.	Medical Records permanent
Student Administration and Support	Records relating to the provision of Sports and Recreational facilities.	Current Year +3
Student Administration and Support	Records Relating to Careers Advice.	Duration of enrolment +3 years
Student Administration and Support	Records relating to the provision of Student Accommodation.	Current + 6 Years
Student Administration and Support	Records relating to Learning Support for Students with specific needs.	Current +7 Years
Student Administration and Support	Records documenting the handling of user/customer complaints about a student support service.	Last action on complaint + 6 years
Student Administration and Support	Chaplaincy Services.	permanent
Student Administration and Support	Records relating to Meetings of Staff /Student Bodies.	permanent
Student Administration and Support	Records documenting the design and conduct of surveys of Student satisfaction.	Completion of survey + 3 years
Student Administration and Support	Results of user/customer surveys: individual responses.	Completion of analysis of survey responses
Student Administration and Support	Results of student surveys: summaries and analyses of responses.	Completion of survey + 3 years
Student Administration and Support	Records documenting policies and procedures for handling student complaints.	permanent
Student Administration and Support	Records documenting the handling of formal complaints made by individual students against the institution.	Last action on case + 6 years
Student Administration and Support	Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years
Student Administration and Support	Records relating to the operation and activities of the Students Union, and other clubs, associations and non-academic activities organised by students.	permanent
Student Administration and Support	Student Publications.	permanent

Information Services	Records documenting the development and establishment of the institution's information resources management strategy.	Superseded + 5 years
Information Services	Records documenting the development and establishment of the institution's information resources management policies.	Superseded + 5 years
Information Services	Records documenting the development of the institution's information resources management procedures.	Superseded + 3 years
Information Services	Records documenting the institution's notification of data controller details to the Office of the Information Commissioner.	Expiry of notification + 6 years
Information Services	Records documenting the handling of requests for access to personal information held by the institution under the Data Protection Act 1998.	Last action on request + 6 years
Information Services	Records containing (anonymised) management statistics, analyses and reports of requests for access to personal information held by the institution under the Data Protection Act 1998.	Current year + 10 years
Information Services	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Acts.	Completion of revision of Publication Scheme + 5 years
Information Services	Records documenting the handling of requests for access to information held by the institution under the Freedom of Information Acts.	Last action on request + 6 years
Information Services	Records containing (anonymised) management statistics, analyses and reports of requests for access to information held by the institution under the Freedom of Information Acts.	Current year + 10 years
Information Services	Records documenting applications for permission to copy material outside the scope of the Higher Education Licence Agreement, and the results.	Last action on application + 6 years
Information Services	Records documenting routine monitoring of copying.	Current year + 1 year
Information Services	Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal and contractual provisions.	Last action on inspection + 1 year
Information Services	Records documenting the handling of requests from third parties to use material in which the institution owns the copyright.	Last action on request + 5 years
Information Services	Records documenting classification and indexing schemes for business and other records.	Superseded + 5 years
Information Services	Records documenting the monitoring and control of the storage of records.	Current year + 1 year
Information Services	Final versions of Records Retention Schedules.	Life of institution

Information Services	Records documenting authorisation for the disposal of redundant business records.	Life of records + 6 years
Information Services	Records documenting the transfer of records to the institution's archives, where this is required by established Records Retention Schedules.	Completion of transfer + 1 year
Information Services	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives
Information Services	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records
Information Services	Records of the administration of Archive Material.	NA
Information Services	Records documenting authorisation for the disposal of de-accessioned records.	Life of archives
Information Services	Records documenting the development and establishment of the institution's selection/acceptance criteria for collections and publications.	NA
Information Services	Records documenting policies governing availability and access to Library Facilities.	Life of Policy+6 years
Information Services	Records documenting the development and establishment of the institution's intellectual property management strategy.	Superseded + 5 years
Information Services	Records documenting the development and establishment of the institution's intellectual property management policies.	Superseded + 5 years
Information Services	Records documenting the development and establishment of the institution's intellectual property management procedures.	Superseded + 3 years
Information Services	Original patent documents.	Life of patent
Information Services	Records documenting the assignment of institutional patents to third parties.	Termination of assignment + 6 years OR Life of patent + 6 years
Information Services	Records documenting the licensing of institutional patents to third parties.	Termination of license + 6 years OR Life of patent + 6 years
Information Services	Records documenting administration of patent licensing agreements and collection of fees.	Termination of licence + 6 years
Information Services	Records documenting the development and establishment of the institution's ICT systems strategy.	NA
Information Services	Records documenting the formulation of plans for the implementation of the institution's ICT systems strategy.	Superseded + 5 years
Information Services	Records containing reports of performance against the plans for the implementation of the institution's ICT systems strategy.	Current academic year + 5 years

Information Services	Records documenting the conduct and results of audits and reviews of the ICT systems management function, and responses to the results.	Current academic year + 5 years
Information Services	Records documenting the development and establishment of the institution's ICT systems management policies.	Superseded + 5 years
Information Services	Records documenting the development of the institution's ICT systems management procedures.	Superseded + 3 years
Information Services	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years
Information Services	Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years
Information Services	Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years
Information Services	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year
Information Services	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year
Information Services	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year
Information Services	Records documenting user requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months
Information Services	Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence
Information Services	Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years
Information Services	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year
Information Services	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year
Information Services	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year

Information Services	Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year
Information Services	Records documenting the removal / return of mobile ICT systems hardware and software from / to the institution's premises.	Return of equipment + 3 months
Information Services	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year
Information Services	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year
Information Services	Records documenting user requests for technical and application support, and assistance provided.	Last action on request + 1 year
Information Services	Records governing the policies for availability and conditions of use of computing facilities.	Life of Policy+6 years
Teaching and Learning	Records detailing information available about current courses, programmes, Departments, Schools, Facilities for Students	Superseded +2 years
Teaching and Learning	Records documenting the development and establishment of the institution's teaching strategy.	Superseded + 10 years
Teaching and Learning	Records documenting the development and establishment of the institution's teaching policies.	Superseded + 10 years
Teaching and Learning	Records documenting the development and establishment of the institution's teaching procedures.	Superseded + 5 years
Teaching and Learning	Records documenting the development of taught course assessment procedures.	Life of course
Teaching and Learning	Final versions of taught course assessment procedures.	Life of course
Teaching and Learning	Records documenting the development of the institution's internal quality assurance processes.	While current
Teaching and Learning	Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.	Current academic year + 5 years
Teaching and Learning	Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	Next Review completed + 5 years
Teaching and Learning	Records documenting the development of the institution's programmes.	Superseded + 10 years
Teaching and Learning	Records documenting monitoring of external developments and trends to inform the development of the institution's programmes.	Current academic year + 5 years
Teaching and Learning	Records documenting the conduct and results of formal reviews of the institution's programmes and courses and responses to the results.	Current academic year + 10 years

Teaching and Learning	Records documenting the monitoring of programme developments in other FE institutions.	Current academic year + 1 year
Teaching and Learning	Records documenting the process of obtaining approval and/or accreditation for taught programmes from professional, statutory or other accreditation bodies.	Life of programme
Teaching and Learning	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years
Teaching and Learning	Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year
Teaching and Learning	Records documenting the development of the institution's courses.	Life of course + 10 years
Teaching and Learning	Final versions of taught course materials.	Life of course
Teaching and Learning	Working papers documenting the planning and conduct of teaching events.	Current academic year + 1 year
Teaching and Learning	Records containing data on, and analyses of, student numbers and other taught course statistics.	Current academic year + 5 years
Teaching and Learning	Records documenting routine solicited feedback on taught courses from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year
Teaching and Learning	Records documenting routine solicited feedback on taught courses from students: individual feedback.	Completion of analysis of feedback
Teaching and Learning	Records containing (anonymised) summaries and analyses of routine solicited feedback on taught courses from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year
Teaching and Learning	Records containing reports of routine internal reviews of taught courses.	Current academic year + 5 years
Teaching and Learning	Records documenting the conduct and results of formal reviews of taught courses, and the responses to the results.	Current academic year + 5 years
Teaching and Learning	Timetabling of Courses	Current year + 1 year
Teaching and Learning	Assignment of students to classes/groups	Current year + 1 year
Teaching and Learning	Course Assignment Registers	Current year + 1 year
External Relations	Records containing information that institutions are legally obliged to provide to the funding Bodies	permanent
External Relations	Inspection Reports	permanent
External Relations	Reports>Returns made to standards bodies, professional bodies, other government departments.	permanent
External Relations	Records dealing with the management of relationships with regulatory bodies	Current Year +6
External Relations	Monitoring of and participation in the development of policies which will affect the institution	permanent
External Relations	Records documenting the development and establishment of the institution's sector relations strategy.	Superseded + 5 years

External Relations	Records documenting the development and establishment of the institution's sector relations management policies.	Superseded + 5 years
External Relations	Records documenting the institution's general communications with other institutions, other educational institutions, professional associations and bodies.	Current year + 5 years
External Relations	Records documenting general enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given.	Last action of enquiry + 1 year
External Relations	Records relating to cooperative partnerships	end of partnership+6 years
External Relations	Records documenting the establishment and maintenance of corporate or individual (institutionally-funded) membership of professional associations and other organisations in the sector.	Renewal
		Termination of membership + 1 year
External Relations	Records documenting the institution's official representation on committees of professional and other organisations in the sector.	Termination of membership of organisation
External Relations	Records documenting the development and establishment of the institution's community relations strategy.	Superseded + 5 years
External Relations	Records documenting the development and establishment of the institution's community relations management policies.	Superseded + 5 years
External Relations	Records documenting enquiries from members of the community and the responses provided.	Last action of enquiry + 2 years
External Relations	Records documenting complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year
External Relations	Records documenting the organisation and administration of local community events.	Completion of event + 1 year
External Relations	Records documenting the development and establishment of the institution's marketing policy.	Superseded + 5 years
External Relations	Design and control of the institution's corporate identity	permanent
External Relations	Identification and exploitation of promotional opportunities	Superseded + 5 years
External Relations	Student Recruitment information and materials	current+5 years
External Relations	Planning and execution of Marketing Campaigns and impact assessment	permanent
External Relations	Records documenting the development and establishment of the institution's public relations policies.	Superseded + 5 years
External Relations	Records documenting the institution's media contacts.	Superseded
External Relations	Records documenting the planning and organisation of media briefings.	Last action on briefing + 1 year
External Relations	Transcripts of media briefings and Interviews	Last action on briefing + 5 years
External Relations	Press Releases	Issue + 5 years
External Relations	Records documenting the monitoring and analysis of media coverage of the institution.	Creation + 5 years

External Relations	Design and Management of WWW sites	permanent?
External Relations	Records documenting the formulation of plans for the implementation of the institution's fundraising strategy.	Superseded + 5 years
External Relations	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years
External Relations	Records containing details of individual responses to fundraising campaigns.	Completion of analysis of data
External Relations	Records relating to funds administered under the Knowledge Expansion Fund	Current Year +6
External Relations	Records relating to funds administered under the European Social Fund	Current Year +6
External Relations	Records documenting the development and establishment of the institution's alumni relations management policies.	Superseded + 5 years
External Relations	Records containing personal data on individual alumni.	While current (or likely to be current)
External Relations	Summary (anonymised) statistical records of alumni.	Current year + 10 years
External Relations	Records documenting the design, planning and production of official alumni communications.	Issue of communication + 1 year
External Relations	Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years
External Relations	Records documenting the organisation and administration of institutional events for alumni.	Completion of event + 1 year
External Relations	Records documenting the development of the institution's language policy.	permanent
External Relations	Records documenting the implementation of the institution's language policy.	Current year + 6 years
External Relations	Records monitoring and auditing the implementation of the language policy	completion of next audit + 3 years

Ownership and Management of Archives

This includes keeping an up to date list of box numbers and disposal dates within the department, preferably by a document stored on the network drive, and also arranging for boxes to be destroyed soon after the disposal date – at least on an annual basis.

Storage and Labelling

Boxes should be clearly labelled with:

- Contents (and whether contents are confidential)
- Unique Box Number
- Disposal date