

## The University of Sheffield records retention schedule

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<b>Summary</b>	This schedule provides guidance for all areas of the University on the recommended retention periods for different categories of records, based on functions and activities undertaken at the University. It applies to records regardless of format and takes account of current statutory, regulatory and administrative requirements.
<b>Scope</b>	The schedule applies to all areas of the University and should be used by all staff as formal guidance on how long to retain information in their areas. Local arrangements for retention and disposal of information should take account of this schedule.

## GUIDANCE NOTE

A records retention schedule is an essential component of an efficient and effective record keeping system. It provides a basis for consistent action on records and eliminates the need for individuals to make all decisions about how long to keep the records they use. Consistently applied, the schedule will help protect the University's interests by ensuring its records are retained for as long as they are needed, to meet operational needs and legal obligations, and to demonstrate accountability to students, regulators, funders and other stakeholders. Retaining records for only as long as they are needed also aids efficient use of space and minimises storage costs.

The schedule is based on the model drawn up for HEIs by JISC and takes a functional approach rather than following Sheffield's organisational structure. This means that some groups of records are created and maintained by more than one department. Records will be held in a variety of ways and formats – in centralised IT systems such as the student, finance and HR system as well as local working arrangements in order to accommodate the activities set out in the schedule.

The Schedule applies only to the official or master copy. Duplicates and convenience copies, including back-ups, should be disposed of once reference use has ended, and always before the end of the retention period. This should be borne in mind particularly for common types of records, where official copies are stored by Professional Services in central systems. There is no need to keep local duplicate copies when records or data is held centrally.

### Descriptions of headings

#### ***Record description***

The type or category of record or asset, applying equally to different formats, paper based or digital

#### ***Retention period***

The recommended length of time for which the records should be retained in order to support statutory, regulatory or business requirements. The retention period is broken down into a trigger and a period of retention (usually in years). Depending on the type of record the retention period can be the academic, financial or calendar year.

#### ***Action at the end of the retention period***

There are three possible outcomes.

- ***Dispose*** – Once records are at the end of the retention period, they should be disposed of in a suitable and appropriate manner. This may require the use of specialist confidential disposal services, taking into account the University's classification and handling guidance.
- ***Review for further retention or disposal*** – Once records are at the end of the stated retention period, there may be occasions when a further review is required to determine additional retention or disposal. Guidance should be sought from the University records manager when undertaking further review.

- **Permanent** – Arrangements should be made to retain the record permanently because they have long term evidential or historical value. The record may be maintained permanently either by transfer to the University archive or by retention within an appropriate system across software and hardware refreshments. Guidance should be sought from the University records manager when undertaking this course of action.

### **Citation**

The authority under which the records are retained for the retention periods set out. These will be either statutory, regulatory, or from a professional body or organisation. It may also be internally created by the University in order to support business activities.

## **Using the schedule**

- The schedule should be used by departments to guide, inform and document local operating policies, procedures and practices relating to departmental information.
- By default the retention periods are to be followed and applied to the records within departments. Local requirements to extend retention periods may be accommodated if required. This will require discussion with the University records manager and appropriate explanation and documentation of the requirement to extend the retention period.
- Record keeping systems should be designed to support the execution of disposition actions.
- It is intended that the document sits alongside departmental Information Asset Registers so that a rounded view of departmental record keeping is documented, specifically:-
  - What records are held?
  - Where are they?
  - How long are they kept for?
- The retention periods apply equally across all media formats
- The retention schedule is not intended to be exhaustive but to cover types of records that departments may regularly use or come into contact with. Any gaps in the retention schedule should be noted and can be incorporated into future iterations of the document.
- The use of email provides particular challenges for the application of a records retention schedule. Emails should be retained for as long as there is a business requirement for them, and ideally, should be disposed of in a timely manner as per the retention schedule. If at all possible information contained within emails should be held in other more appropriate record keeping systems that align more closely to the functions and activities, for example a specific CRM system or case file system.

## Business Classification headings

Function / Activity	Common applications and documents relating to the activities
<b>1 Teaching</b>	
Taught programme development, delivery and review Taught course development, approval, delivery and review	MOLE Academic timetabling Echo 360 Student examination scripts Turnitin Minerva
<b>2 Research &amp; Innovation</b>	
Data management Quality, standards and governance Research project development and management Research exploitation and enterprise	IRIS (Integrated Research Information Systems) inc. Costing and Awards Tool CARMA (Claims and Reviews Management Application) Research Ethics Application system ORDA myPublications Consultancy database Contracts database Research collaboration finder / supervisor database

<b>3 Student administration and support</b>	
<p>Enquiries  Recruitment and admissions  Accommodation  Enrolment  Finance  Immigration  Attendance  Assessment  Progress Appeals, Academic Appeals, Complaints, Discipline  Certification  Student Support      Careers      Disability support      Counselling      Welfare      Academic Support  Service evaluation and feedback  Equality and Diversity</p>	<p>CIS/SITS  CIES staff  CIS Programmes structures  CIS student records  CIS assessments  CIS conferments  eFile  Case notes  HEAR admissions  HEAR reports  Academic planning  Postgraduate Application Administration System  Undergraduate Application Administration System  Student Attendance Monitoring  Personal and Academic Tutoring System  Alternate route applications  CIS Student Finance</p>
<b>4 Estate management</b>	
<p>Property management  Property maintenance  Environmental management</p>	<p>Planon  MICAD  Room bookings  Alarm codes  Floor plans</p>
<b>5 Finance</b>	
<p>Financial / Management Accounting  Commercial services  Subsidiary companies  Tax  Payroll and pension administration  Procurement  Insurance</p>	<p>SAP FI/CO  SAP Payroll / HR Record plus hard copy files / Capita / USS / USPS  SAP / CIS  StarRez  SAP SRM / myPurchase &amp; Cogent  Cognos TM1  Fishare X Drive records plus Intend  SAP &amp; BarclayCard Spend Management  SAP Debtor records</p>

<b>6 Human resources</b>	
Pre-employment Contracts Leave and absence Performance, capability and conduct Workforce planning Occupational health	SAP Core HR – uBase SAP ESS / MSS – myJob/myTeam SAP Fiori – mySAPMobile SAP erecruitment – e- Recruitment Learning Management System
<b>7 Information resources</b>	
IT infrastructure IT security Information management compliance Library, museum and archive services	Library Management System - Ex Libris Alma ORDA – figshare for Institutions and locally written front-end (see Research) StarPlus – Ex Libris Primo Resource lists – Ex Libris Leganto Digital Preservation – Ex Libris Rosetta Library Help Desk Suite – Springshare LibApps
<b>8 Governance and Corporate affairs</b>	
Governance Strategic planning, performance management and reporting Statutory and regulatory reporting and compliance Legal affairs management Insurance Health and Safety management Survey management Liaison with government and statutory bodies	University minute books Committee minutes Cognos TM1 Cognos analytics Risk Registers Planning round documentation Strategic and operational plans Policies and procedural guidance
<b>9 External and public relations</b>	
Public relations Media relations Marketing Survey management Alumni relations and fundraising	Raisers Edge Social media accounts University web pages

## 1. TEACHING

	Record description	Retention	Action at end of retention	Citation
<b>1.1</b>	<b>Taught programme development, delivery and review</b>			
1.1.1	Development of teaching strategy and its implementation	When superseded + 10 years. Likely to be held as part of committee records	Review for further retention or disposal	UoS / JISC
1.1.2	Teaching quality and standards management Audits and reviews of performance, and responses to results Analyses of performance against implementation strategy	Closure + 5 years	Dispose	UoS / JISC
1.1.3	Taught programme development and review Records of development and formal review of curriculum, programmes and courses	Life of course / programme + 10 years	Review for further retention or disposal	UoS / JISC
1.1.4	Taught programme and accreditation Records of approval / accreditation from professional, statutory, regulatory or formal bodies	Life of course / programme / accreditation or until superseded	Review for further retention or disposal	UoS / JISC
1.1.6	Taught programme review Records used to inform continuing programme development, including feedback and internal reviews	Life of course / programme + 5 years	Dispose	UoS / JISC
<b>1.2</b>	<b>Taught course development, approval, delivery and review</b>			
1.2.1	Core records detailing the development and approval of individual courses within taught degree programme	Permanent retention. Likely to be held as part of committee records	University archive	
1.2.2	Course handbooks produced for cohort of students	Permanent retention of 1 copy per academic year	University archive	
1.2.3	Teaching and Learning material produced during life of a taught course for a cohort of students	Retention will vary due to nature and medium of materials and on-going pedagogic value	Dispose	
1.2.4	Formal reviews of individual taught degree courses– final reports and core	Held as part of relevant committee papers	University archive	

	Record description	Retention	Action at end of retention	Citation
	working papers			



## 2. RESEARCH & INNOVATION

	Record description	Retention	Action at end of retention	Citation
<b>2.1</b>	<b>Data and project conduct records</b>			
	<p>Staff responsible for research data should:-</p> <p>(a) Determine a trigger event (from which to calculate the retention period) and a retention period that is consistent with legislative / regulatory requirements, research sponsors, governance sponsors or discipline specific characteristics of the project</p> <p>(b) Document the trigger event and retention period applied to the research data</p> <p>(c) Put in place mechanisms for applying the retention period and documenting subsequent activities such as disposal or long term preservation</p> <p>Where such documentation has been developed and agreed to manage research data this will take precedence over the generic guidance set out below</p> <p>For further information please refer to guidance on Research Data Management by the University Library, or speak to the University records manager. Personal data should be anonymised at the earliest possible opportunity.</p>			
2.1.1	Records of research funded by the European Regional Development Fund, operating under state aid rules	Grant of last aid + 10 years	Review for further retention or disposal	ERDF
2.1.2	<p>Primary /raw research data and related material relating to clinical or public health studies or other studies requiring consent funded by the MRC:</p> <p>'Related material' includes includes approvals, information on the consent process (including signed consent forms), meta-data, information relating to analysis and methodology, quality assurance records that demonstrate the validity of the data and/or adherence to experimental protocols, calibration data, collaborative agreements, intellectual property ownership, management and agreements and other relevant correspondence.</p>	<p>Primary / raw research data and related material should be held securely and subject to the same retention criteria unless differing periods for retention are set out by research sponsors. This might consist of a minimum retention period of 10 years, or up to 20 years, and in some cases beyond that period. The retention period for primary/raw data and related material from population health or clinical studies will be informed by the relevant regulatory framework, the legal requirements outlined in guidance from the MHRA and any additional requirements identified by ethics committees or professional codes.</p> <p>see MRC guidance:-</p>	Review for further retention or disposal	MRC

	Record description	Retention	Action at end of retention	Citation
		<a href="https://mrc.ukri.org/documents/pdf/retention-framework-for-research-data-and-records/">mrc.ukri.org/documents/pdf/retention-framework-for-research-data-and-records/</a> <a href="https://mrc.ukri.org/publications/browse/good-research-practice-principles-and-guidelines/">https://mrc.ukri.org/publications/browse/good-research-practice-principles-and-guidelines/</a>		
2.1.3	Research relating to clinical or public health studies or other studies requiring consent funded by the MRC: Other records	As above	Review for further retention or disposal	MRC
2.1.4	Records of other research funded by the MRC	As above	Review for further retention or disposal	MRC
2.1.5	Records of other research General minimum retention period for research data not covered by specific funder, regulator, discipline guidance, data providers	As above	Review for further retention or disposal	UoS / JISC
<b>2.2</b>	<b>Research grants and consultancy</b>			
2.2.1	Unsuccessful applications for external funding	Content: Notification of unsuccessful application + 1 year Metadata on costing & awards tool: Submission of application + 5 years	Dispose	UoS / JISC
2.2.2	Successful applications for external funding, contracts and administrative records along project lifecycle	End of research + 6 years	Review for further retention or disposal	UoS / JISC
<b>2.3</b>	<b>Ethics, Integrity &amp; Research Governance</b>			
2.3.1	Applications, approvals and amendments for ethical approval, not covered by specific funder, regulator or discipline guidance' to 'Applications, approvals and amendments for ethical approval or other aspects of research governance (e.g. HRA approval) not covered by specific funder, regulator or discipline guidance	End of research + 10 years minimum. Requirements for research ethics should be aligned to funder requirements. See MRC guidance: <a href="https://mrc.ukri.org/publications/browse/good-research-practice-principles-and-guidelines/">https://mrc.ukri.org/publications/browse/good-research-practice-principles-and-guidelines/</a>	Review for further retention or disposal	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
2.3.2	Case files of investigations into ethics breaches, research misconduct and research governance for health or social care research	Closure of case + 6 years	Review for further retention or disposal	UoS / JISC
<b>2.4</b>	<b>REF</b>			
2.4.1	REF preparations – records relating to individual staff circumstances	REF submission + 1 year	Dispose	UoS / JISC
2.4.2	REF preparations – other records	REF submission + 7 years	Dispose	UoS / JISC
2.4.3	REF submissions	Permanent retention	University archive	UoS / JISC
<b>2.5</b>	<b>Intellectual Property Rights</b>			
2.5.1	Patent applications and renewals	Life of Patent + 30 years	Review for further retention or disposal	UoS
2.5.2	IP assignments	Life of IP rights + 6 years	Review for further retention or disposal	UoS / JISC
2.5.3	IP licensing	Termination of licence + 6 years	Review for further retention or disposal	UoS / JISC
<b>2.6</b>	<b>Other</b>			
2.6.1	External quality assurance – pathology Returns correspondence Ethical approval and consent Reference samples of material capable of long term storage	Academic Year + 10 years The Human Tissue Authority's guidance on records retention sets out guidance on records management to allow traceability for activities here:- <a href="https://www.hta.gov.uk/faqs/record-retention">https://www.hta.gov.uk/faqs/record-retention</a>	Dispose	RCP HTA
2.6.2	Samples of degradable pathology materials	Assessment + 1 month	Dispose	RCP

### 3. STUDENT ADMINISTRATION AND SUPPORT

Note – Some information may be retained permanently on the student record. This could include (but is not limited to):-

Personal details, current addresses, next of kin details, registration summary, programme and assessment details, previous qualifications, previous organisations, postgraduate details, attendance, ancillary documents

	Record description	Retention	Action at end of retention	Citation
<b>3.1</b>	<b>Enquiries</b>			
3.1.1	Enquiries from registered students. Enquiries from prospective applicants and alumni are dealt with elsewhere	End of relationship + 6 years. Certain information may be retained permanently	Dispose	
<b>3.2</b>	<b>Recruitment and admissions</b>			
3.2.1	Outreach records	End of scheme + 2 years	Dispose	UoS / JISC
3.2.2	Enquiries Prospectus request	Once stated year of entry has passed enquiries relating to that year will be deleted If no year of entry indicated retain for current Academic Year + 1 year	Dispose	UoS / JISC
3.2.3	Records of enquirers who did not proceed to apply	At the end of the cycle + 2 years	Dispose	UoS / JISC
3.2.4	Records of applicants who did not proceed to register Correspondence Application documentation (including previous qualifications) Assessment documentation (including interview notes) Decisions (initial and confirmation)	End of admissions cycle containing the later of i) the last activity or ii) date of entry + 3 years	Dispose	UoS / JISC
3.2.5	Records of applicants who become registered students Correspondence Application documentation (including previous qualifications) Assessment documentation (including interview notes)	End of relationship + 6 years. Certain information may be retained permanently	Review for further retention or possible permanent preservation	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
	Decisions (initial and confirmation)			
3.2.6	Admissions policies Student admissions policy Terms and conditions Entry requirements	End of admissions cycle + 10 years	Review for further retention or possible permanent preservation	UoS / JISC
3.2.7	Apprenticeship records.	Departments are required to retain apprenticeship documentation in line with Education and Skills Funding Agency (ESFA) funding requirements for a period of up to 10 years.	Dispose	UoS
<b>3.3</b>	<b>Accommodation</b>			
3.3.1	Unsuccessful applications and applications not taken up	Academic Year + 1 year	Dispose	UoS / JISC
3.3.2	Successful applications Applications Tenancy agreements and terminations Inventories transfer forms	Academic Year + 6 years	Dispose	UoS / JISC
3.3.3	History of tenancy	Academic Year + 6 years	Dispose	UoS / JISC
3.3.4	Photographs Images of students in UoS accommodation used for identification and related accommodation purposes	End of accommodation tenure + 1 year	Review for further retention or disposal	UoS / JISC
<b>3.4</b>	<b>Enrolment</b>			
3.4.1	Records documenting activities supporting student matriculation.	Some information retained permanently. Other documentation, end of relationship + 6years.	Dispose	
<b>3.5</b>	<b>Finance</b>			
3.5.1	Application and award of financial bursaries and scholarships; charges and fees, maintenance grant requests, hardship funds, allowances, non-payment of fees and similar matters	End of relationship + 6 years. Additional retention may be required to address outstanding payments	Dispose	
3.5.2	Administering UK student loans: cross-checking with Student Loans Company whether applicants are registered with	Financial Year + 6 years	Dispose	1980 c58 s5

	Record description	Retention	Action at end of retention	Citation
	UoS and have a correct record of students' year and programme Download of applicants from SLC Information from SLC on year and programme			
3.5.3	Applications for financial aid / hardship funds Correspondence with student Completed application form Evidence of financial position Outcome letter Minutes of decision making body Annual spreadsheet of allocated funds	Financial Year + 6 years	Review for further retention or dispose	1980 c58 s5
3.5.4	Allocating scholarship, grants, bursaries and prizes Records generated by assessment of applications, including students proposal, application, correspondence, committee minutes and outcome letter Reports of the project funded by the grant or bursary	Financial Year + 6 years	Review for further retention or dispose	UoS / JISC
3.5.5	Unsuccessful applications for financial assistance	Financial Year + 6 months	Dispose	UoS / JISC
<b>3.6</b>	<b>Immigration</b>			
3.6.1	Sponsors licence Documents submitted as part of the application to become a licensed sponsor	Duration of the licence	Dispose	Current UKVI policy
3.6.2	Staff and student recruitment and record management Applications Copies of immigration documentation (passport and BRP cards) History of student contact details Absence record ATAS requirements	End of sponsorship + 1 year or until a UKVI compliance officer has examined and approved, whichever is shorter	Dispose	Current UKVI policy

	Record description	Retention	Action at end of retention	Citation
	Start-Up endorsement process Screenshots of advertisements Applications for shortlisted candidates Job descriptions			
<b>3.7</b>	<b>Attendance</b>			
3.7.1	Records documenting activities supporting attendance monitoring	End of relationship + 6 years. Shorter periods may apply	Dispose	
<b>3.8</b>	<b>Assessment</b>			
3.8.1	Development and establishment of assessment and examination regulations	Retained within appropriate committee minutes and University Calendar	University archive	UoS
3.8.2	Examination and assessment guidelines and handbooks	Issue of new edition + 10 years. Documents relating to accredited courses may need to be retained permanently	Review for further retention or disposal	
3.8.3	Student attendance at examinations / assessments	Academic Year + 1 year. Extended retention may be required in certain cases	Dispose	
3.8.4	Record of coursework submission	Academic Year + 1 year. Extended retention may be required in certain cases	Dispose	
3.8.5	Records concerning the appointment of individual external examiners	The end of the individuals appointment + 6 years	Dispose	
3.8.6	External examiners reports	Academic Year + 5 years	Dispose	UoS / JISC
3.8.7	Records relevant to special / extenuating circumstances, such as interruption, deferral, mitigating circumstances	End of relationship with student + 6 years. Extended retention may be required in certain cases	Dispose	
3.8.8	Examination papers - written examination questions answered by students sitting a formal University examination	Permanent	University Library	
3.8.9	Processes supporting the arrangements for examinations, timetables, room bookings etc	Academic Year + 1 year	Dispose	
3.8.10	Invigilation reports	Academic Year + 1 year. Extended retention may be required in certain cases	Dispose	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
3.8.11	Taught course assessment outputs Assessed research projects Dissertations Essays Assignments Examination scripts	Retain for 1 year following graduation  Assessed work that forms part of an academic appeal to be retained for 6 years following the last action on the case  Longer retention may be necessary if stipulated by external accrediting bodies, and may be required in certain cases. Local variations may apply	Dispose	UoS / JISC
3.8.12	PhD theses	One copy to be retained permanently	Institutional repository	
3.8.13	Activities supporting - the notification of awards and issuing of certificates; accreditation with external bodies; reference provision; transcript provision	End of relationship + 6 years. Certain information may be retained permanently	Dispose	
3.8.14	Record of assessments / attainments awarded	Permanent	Permanent retention	UoS / JISC
3.8.15	Formal procedures such as academic appeals, grievances or complaints invoked as a result of assessment activities	Last action on case + 6 years	Review for further retention or disposal	1980 c58 s5
<b>3.9</b>	<b>Progress Appeals, Academic Appeals, Complaints, Discipline</b>			
3.9.1	Informal proceedings Cases that do not proceed to formal proceedings	Retain for 1 year following closure. Certain information may be retained until end of relationship + 6 years	Dispose	UoS / JISC
3.9.2	Formal proceedings relating to progress, academic appeals, complaints and conduct	Last action on the case + 6 years. Certain information may be retained permanently	Review for further retention or disposal	1980 c58 s5
3.9.3	Safeguarding Child welfare concerns that are referred on to Sheffield Safeguarding Children's Board or the police	Records should be kept for 6 years after the referral to the Sheffield Safeguarding Children's Board or the police unless any need to be retained longer (eg due to relevant legal action; requirement to comply with any other statutory	Dispose	



	Record description	Retention	Action at end of retention	Citation
		requirements)		
3.9.4	Safeguarding Child welfare concerns that do not necessitate a referral to Children's Social Care or the police. In such circumstances the University should make a record of the concern and outcome	Records should be kept for 1 year after the child / adult concerned ceases to engage with the University	Dispose	
3.9.5	Safeguarding If concerns have been raised about an adult's (student / member of staff) behaviour around children or vulnerable adults	Records should be retained until adult reaches statutory retirement age or for 10 years if that is longer.	Dispose	
3.9.6	Safeguarding Concerns or cases investigated resulting in no further action. The case is not a genuine FTP issue, lacks substance or is addressed through another route	Retain until end of student relationship	Dispose	
3.9.7	Fitness to Practice Cases referred for informal warning and action plan Cases investigated resulting in no further action Cases referred to FTP committee where no action is taken Cases referred to FTP committee resulting in written warning, including cases where warning is offered without convening a full committee. Evidence of misconduct but students FTP is not impaired to the point requiring sanctions	End of relationship + 6 years	Dispose	
3.9.8	Fitness to Practice Cases referred to FTP committee resulting in written warning and other sanctions (undertakings, conditions, suspension, expulsion). FTP impairment is	End of relationship + 50 years	Dispose	

	Record description	Retention	Action at end of retention	Citation
	proven or partially proven and a warning / sanctions imposed			
<b>3.10</b>	<b>Certification</b>			
	<b>To follow</b>			
<b>3.11</b>	<b>Student Support</b>			
3.11.1	Records documenting careers support for students	End of relationship + 3 years	Dispose	UoS / JISC
3.11.2	Records documenting disability support for students	End of relationship + 6 years	Review for further retention or disposal	UoS / JISC
3.11.3	Records documenting counselling support for students	End of relationship + 6 years	Review for further retention or disposal	UoS / JISC
3.11.4	Records documenting welfare support and guidance for students	End of relationship + 6 years	Review for further retention or disposal	
3.11.5	Records documenting academic support and guidance for students	End of relationship + 6 years		
<b>3.12</b>	<b>Service evaluation and feedback</b>			
3.12.1	Individual responses to service evaluation and feedback	Retain for 6 months following completion of analysis	Dispose	
3.12.2	Summaries and analyses of evaluation and feedback	Completion of survey + 5 years	Review for further retention or dispose	
<b>3.13</b>	<b>Equality and Diversity</b>			
	<b>To follow</b>			

## 4. ESTATE MANAGEMENT

	Record description	Retention	Action at end of retention	Citation
<b>4.1</b>	<b>Property management</b>			
4.1.1	Acquisition of property by purchase and disposals Land Registry records Valuations and surveys	Disposal of property + 12 years	Review for further retention or dispose	1980 c58 s8
4.1.2	Evidence of title Title deeds	Retain until disposal of property	Copy to University archive	UoS / JISC
4.1.3	Acquisition of property by lease	End of lease + 15 years	Dispose	1980 c58 s14B
4.1.4	Negotiations for properties not acquired	End of negotiations + 6 years	Dispose	1980 c58 s2
4.1.5	Leasing out to third parties Subletting or wayleave agreements	End of lease + 6 years	Dispose	1980 c58 s2
4.1.6	Subletting or wayleave agreements executed as deeds	End of lease + 12 years	Dispose	1980 c58 s8
4.1.7	Property access controls Key registers Signing in and absence books Security logs	Closure + 2 years	Dispose	UoS / JISC
4.1.8	Security passes Swipe cards Parking permit records	Expiry + 1 year	Dispose	UoS / JISC
4.1.9	Security surveillance of property CCTV images	Creation + 7 days	Dispose	UoS / JISC
4.1.10	Security incidents and action taken	Closure + 1 year	Dispose	UoS / JISC
4.1.11	Enforcement inspections	When superseded	Dispose	UoS / JISC
4.1.12	Evaluation of options for meeting premises requirements Capacity survey reports Space surveys and audits	Completion of next survey + 5 years	Dispose	UoS / JISC
<b>4.2</b>	<b>Property maintenance</b>			
4.2.1	Major works	End of works + 15 years	Review for further retention or	1980 c58 s14B

	Record description	Retention	Action at end of retention	Citation
	Project files Contract for building works Contractor review reports		dispose	
4.2.2	Minor works	End of works + 6 years	Dispose	1980 c58 s2
4.2.3	Statutory maintenance, inspection and testing Inspection Risk assessment and testing of items and systems including lifts, boilers, fire systems, alarms and water hygiene	Completion of maintenance + 6 years	Dispose	UoS / JISC
4.2.4	Statutory maintenance, inspection and testing Occupational hygiene reports Noise and lighting surveys and assessments Electrical inspections and testing	Completion + 5 years  Completion + 40 years	Dispose	UoS / JISC
4.2.5	Health and Safety and operational maintenance files	Disposal of property	Dispose	SI 2015/51 reg 4(7)
4.2.6	Planning and Building Control regulations applications and approvals	Disposal of property or expiry of consent	Dispose	UoS / JISC
4.2.7	Assessment, monitoring or removal of asbestos	Completion + 40 years	Review for further retention or dispose	SI 2012/632 reg (13(3).
<b>4.3</b>	<b>Environmental management</b>			
4.3.1	Monitoring use / consumption of energy. Reviews of energy use Meter readings	Completion + 5 years	Dispose	UoS / JISC
4.3.2	Display energy certificates	Expiry + 3 years	Dispose	UoS / JISC
4.3.3	Energy performance certificates	Expiry + 10 years	Dispose	UoS / JISC
4.3.4	Air conditioning system inspection reports	When superseded	Dispose	SI 2012 / 3118 reg 20(1)
4.3.5	Environmental audits	Completion of audit + 5 years	Dispose	UoS / JISC
4.3.6	Waste management Non-hazardous waste transfer notes	Creation + 2 years	Dispose	SI 2011 / 988 reg 35(6)
4.3.7	Waste management hazardous waste consignment notes	Creation + 5 years	Dispose	SI 2005 / 894 reg 48 (6a)(a)

	Record description	Retention	Action at end of retention	Citation
4.3.8	Hazardous waste registration	Expiry + 1 year	Dispose	UoS / JISC
4.3.9	Registers of confidential waste removed for disposal by contractors	Closure + 3 years	Dispose	UoS / JISC
4.3.10	Water Trade effluent consent	While scheduled activities are current	Dispose	UoS / JISC
4.3.11	Emissions management Records associated with sources covered by the EU emissions trading scheme	Creation + 10 years	Dispose	601/212 66.1
4.3.12	Emissions management Records associated with sources not covered by the EU emissions trading scheme: records specified in Part 7 of the CRC energy efficiency scheme order 2010	End of phase + 7 years	Dispose	SI 2010 / 768 art 57(2)
4.3.13	Records associated with the CRC energy efficiency scheme: position in performance table for first year of participation: first footprint and annual reports	As long as membership is held	Dispose	SI 2010 / 768 art 57(3)
4.3.14	Radioactive substances: permitting Note: Permits and required records must be kept past the time when all radioactive substance activity has ceased until surrender of the permit. Permits issued under reg 13 of the Environmental Permitting (England and Wales) regulations 2010 Records required to be made by permits Quantity and location of radioactive substances	As long as required by EA	Dispose	EA 2011 3.1.1(d)  EA 2012 4.1.1(d)
4.3.15	Radioactive substances: general Maintenance of respiratory protective equipment Monitoring of designated areas Testing of sealed sources and containers Investigation of loss or theft of	Creation of record or disposal of substance + 2 years	Dispose	SI 2017/1075 regs 11(2) (b), 19(8), 20(5)(c), 28(3)(b), 29(b), 31(5)

	Record description	Retention	Action at end of retention	Citation
	radioactive substances where no occurrence Summaries of dose records Immediate reports following investigation of protective equipment			
4.3.16	Radioactive substances: Investigation of loss or theft / dose limitation Records of investigations following a notifiable occurrence Detailed reports of investigation of PPE records of decision making in relation to dose limitation	Creation + 30 year, or until age 75, whichever is later	Dispose	SI 2017/1075 reg 31(5), sch 3 para15

## 5. FINANCE

	Record description	Retention	Action at end of retention	Citation
<b>5.1</b>	<b>Financial Management Accounting</b>			
5.1.1	Finance strategy development and management planning	Completion + 10 years	Review for further retention or dispose	UoS / JISC
5.1.2	Financial procedures	When superseded + 10 years	Review for further retention or dispose	UoS / JISC
5.1.3	Signed Annual Accounts of the University and subsidiary companies	Permanent retention		1970 c9 s34 1980 c58 s2,5
5.1.4	Records of capital assets and decisions to dispose of them Inventory asset register Disposal forms	Financial Year + 7 years	Review for further retention or dispose	1970 c9 s34 1980 c58 s2,5 1994 c23 s77(1)
5.1.5	Management accounting Monitoring income and expenditure against annual operating budgets Action to deal with variances Analyses of internal deployment of financial resources	5 years from creation	Dispose	UoS / JISC
5.1.6	Budgeting Preparation of annual operating budget	5 years from creation	Dispose	UoS / JISC
5.1.7	Preparation and filing of tax returns: VAT accounting	Financial Year + 7 years	Dispose	1970 c9 s34 1994 c23 Sch11 para 6(3)
5.1.8	Administration of bank accounts Bank statements Standing Orders Direct Debit mandates Paying-in and withdrawal slips	Financial Year + 7 years	Dispose	1970 c9 s34 1980 c58 s2,5
5.1.9	Purchases and incoming payments Invoices Credit notes Delivery notes	Financial Year + 7 years	Dispose	1970 c9 s34 1980 c58 s2,5 1994 c23 s77(1) HMRC2.4

	Record description	Retention	Action at end of retention	Citation
	Income and expenditure batches Receipts BACS reports Till rolls Petty cash records Fees for tuition and accommodation			
5.1.10	Expenses Claim forms and receipts Payment forms	Financial Year + 7 years	Dispose	1970 c9 s34 1980 c58 s2,5
5.1.11	Research funding Allocations from statutory funding councils Research project applications Award letters Invoices	Financial Year + 7 years from end of contract	Dispose	1980 c58 s5
5.1.12	Management of projects funded by the European Regional Development Funds Financial and workforce records Project management and implementation records	Date of last payment + 7 years	Dispose	Regulation 1303 / 2013
5.1.13	Investment management Fund managers reports Records of purchase and sale of investments	Financial Year + 7 years	Dispose	1970 c9 s34 1980 c58 s5
5.1.14	Workings and documentation in support of year end accounts, including journal documents	Financial Year + 7 years	Review for further retention or dispose	1970 c9 s34 1980 c58 s2, 5
<b>5.2</b>	<b>Commercial Services</b>			
5.1.1	Active legal agreements (including supporting documentation and legal advice)	End of contract + 12 years	Dispose	
5.2.2	Correspondence with contract counterparties	End of contract + 12 years	Dispose	
5.2.3	Project files including draft documents and email correspondence	End of contract + 12 years	Dispose	



	Record description	Retention	Action at end of retention	Citation
<b>5.3</b>	<b>Subsidiary Companies</b>			
5.3.1	Records concerning the formation of a subsidiary company	Life of company + 6 years	Dispose	
5.3.2	Proposals for the formation of a subsidiary company where the company was not formed	Last action on the proposal + 6 years	Dispose	
5.3.3	Periodic review and oversight of the subsidiary company by the University	Current financial year + 6 years	Dispose	
5.3.4	Winding-up or disposal of the University's interest in the subsidiary company	Winding-up or disposal of interest + 6 years	Dispose	
<b>5.4</b>	<b>Tax</b>			
5.4.1	University and subsidiaries statutory tax returns	Financial Year + 6 years	Dispose	
5.4.2	Options to tax correspondence	Financial Year + 20 years	Review for further retention or dispose	
5.4.3	HMRC agreements, rulings and elections	Financial Year + 20 years	Review for further retention or dispose	
5.4.4	Tax technical memos and documents supporting decisions including capital assets, commercial projects and non-standard research contracts	Financial Year + 20 years	Review for further retention or dispose	
5.4.5	Tax disclosures	Financial Year + 20 years	Review for further retention or dispose	
<b>5.5</b>	<b>Payroll and pension administration</b>			
	Retention periods for all of these activities should be current tax year + 6 years. Where individuals have any pension membership the retention period should be end of employment + 75 years, because all of these elements affect pensionable salary and in turn the contributions and benefits payable.			
5.5.1	Calculation and payment of individual salaries and other payments and deductions Contract copies and variations Union subscriptions	Financial Year + 6 years	Dispose	1980 c58 s5
5.5.2	Employer PAYE records not required to be sent to HMRC under SI 2003/2682 Wages sheets Records of payments and deductions	Financial Year + 6 years	Dispose	SI 2001/1004 Sch 4 paras 7(15), 26(1)(a) SI 2003/2682 reg 97(1)

	Record description	Retention	Action at end of retention	Citation
	Payslip copies			
5.5.3	Statutory Sick Pay Self-certification forms Departmental forms	End of employment + 75 years - see HR 6.3.1/6.3.2)	Dispose	UoS / JISC
5.5.4	Statutory maternity pay Self-certification forms Departmental returns	End of employment + 75 years - see HR 6.3.1/6.3.2)	Dispose	SI 1986/1960 reg 26(1)
5.5.5	Employer and employee pension scheme contributions: Individual membership of pension schemes Annual returns Application forms Expression of wish forms Opt-out forms	End of employment + 75 years	Dispose	1980 c58 s32
<b>5.6</b>	<b>Procurement</b>			
5.6.1	Supplier tendering – evaluation of prospective suppliers Pre-qualification questionnaires and scores	Award of contract + 1 year	Dispose	UoS / JISC
5.6.2	Supplier tendering – invitation to tender stage ITT Specifications award criteria Tenders and quotation	End of contract + 6 years	Review for further retention or dispose	HMRC 2.4
5.6.3	Evaluation of tenders and negotiations with prospective suppliers – successful bids Evaluation scores Correspondence Award letters Form of contract OJEU contract award notices	End of contract + 6 years	Dispose	1980 c58 s5
5.6.4	Evaluation of tenders and negotiations with prospective suppliers – unsuccessful bids	Award of contract + 1 year	Dispose	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
	Evaluation scores Correspondence			
5.6.5	Supply contract management Contract variations Performance monitoring	End of contract + 6 months	Review for further retention or dispose	HMRC 2.4
5.6.6	Documentation of progress and decisions in public procurement	Award of contract + 3 years	Dispose	2015/102 reg 84(9)
<b>5.7</b>	<b>Insurance</b>			
5.7.1	Insurance certificates	Expiry + 40 years	Dispose	UoS / JISC
5.7.2	Insurance policies	Expiry + 6 years	Dispose	UoS / JISC
5.7.3	Insurance claims Arrangement and renewal correspondence Claims correspondence	Expiry + 6 years	Dispose	UoS / JISC

## 6. HUMAN RESOURCES

	Record description	Retention	Action at end of retention	Citation
<b>6.1</b>	<b>Pre-employment</b>			
6.1.1	Applications from successful and unsuccessful candidates where shortlisted for final interview and the successful applicant is a Non-EEA National sponsored on a Tier 2 visa	End date of sponsorship + 1 year	Dispose	UKVI
6.1.2	Applications from successful and unsuccessful candidates where successful applicant is not being sponsored on a Tier 2 visa	Academic Year + 5 years	Dispose	Uos / JISC
6.1.3	Interview notes from successful and unsuccessful candidates, where the successful applicant is a Non-EEA National sponsored on a Tier 2 visa	End date of sponsorship + 1 year	Dispose	UKVI
6.1.4	Interview notes from successful and unsuccessful candidates, where the successful applicant is not being sponsored on a Tier 2 visa	Date of recruitment decision + 6 months	Dispose	UoS / JISC
6.1.5	Assessment tests and references for all candidates (both successful and unsuccessful)	Date of recruitment decision + 6 months	Dispose	UoS / JISC
6.1.6	Date of criminal records check, the name of the subject, the type of check, the position in question, the unique number on the certificate, the name of the members of HR staff	End of employment + 50 years	Dispose	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
	who dealt with the case, and the recruitment decision made			
6.1.7	Risk Assessments in relation to DBS checks	Date of recruitment decision + 6 months	Dispose	UoS / JISC
6.1.8	<p>Recruitment process</p> <p>Where the successful candidate is a non-European Economic Area (EEA) national and requires sponsorship under Tier 2 (General), all interview notes made for all candidates must be uploaded into e-Recruitment after a decision has been made by the selection panel. All the interview notes for the post should be attached in e-Recruitment against the successful candidate.</p> <p>For non-sponsored individuals, any paperwork stored within the recruiting department should only be retained for a maximum of 6 months after the date of appointment. It is advised to retain it for this period in case of a claim of unfair discrimination. Any paper copies retained within a recruiting department should be considered as highly confidential and stored within a secure environment which has restricted access, e.g. a locked filing cabinet.</p>			
6.1.9	<p>Eligibility to work</p> <p>Once eligibility to work evidence has been received by HR, any local copies must be destroyed. This includes copies in the 'sent' folders of eMail accounts, which must be reviewed and cleared on a monthly basis.</p>			
<b>6.2</b>	<b>Contracts</b>			
6.2.1	Contracts of employment, basic personal details, job description, changes to terms and conditions, including change of hours letters, changes to salary, additional payments / deductions, resignation, termination and/or retirement letters	Permanent		UoS / JISC
6.2.2	Documents relating to an employees contract of employment (staff files) unless otherwise specified Health and Safety training record / Occupational Health records	End of employment + 6 years	Dispose	1980 c58 s5
		End of employment + 50 years	Dispose	
6.2.3	Documents relating to a casual worker's registration / eligibility to work	End of employment + 6 years	Dispose	1980 c58 s5

	Record description	Retention	Action at end of retention	Citation
6.2.4	Documents relating to appointment of (unpaid) inbound secondments	Period of secondment + 6 years	Dispose	1980 c58 s5
6.2.5	Documents relating to (unpaid) visiting / honorary titles	Period of title + 6 years	Dispose	1980 c58 s5
6.2.6	Honorary / Visiting titles Any documentation must be retained in a secure and confidential location for the period of the title + 6 years, then destroyed/deleted.			
6.2.7	Database Where a department has a requirement for a local records keeping system, this must be held in a secure and confidential location and the HR department must be made aware of this system.			
6.2.8	Promotions Promotion cases must be destroyed once the annual round is complete and the appeals timeframe has passed. A record of the outcome is retained on the central record.			
6.2.9	Probation The Probation process is managed via Google Drive. The review forms will be deleted 5 years after the end of the probation period.			
<b>6.3</b>	<b>Leave and absence</b>			
6.3.1	Records relating to non-statutory pay affecting absences	End of employment + 75 years – see 5.5.3	Dispose	UoS / JISC
6.3.2	Records relating to statutory parental leave (inc maternity, paternity etc)	End of employment + 75 years – see 5.5.4	Dispose	UoS / JISC
6.3.3	Sickness absence management process Fit Certificates must be sent directly to the Payroll office. Manager's notes from Return to Work interviews and any informal discussions around management of absence must be kept locally in a secure and confidential location. Any informal records must be destroyed upon termination of the line management relationship, however key records relating to formal resolutions may need to be retained and you must liaise your HR contact before destroying any documents. Records documenting absence due to sickness are to be retained for 50 years following the termination of employment			
6.3.4	Parental leave Any forms associated with Maternity, Paternity and Shared Parental Leave must be forwarded to the Payroll office. Local copies must not be retained. Pregnancy Risk Assessments must be held locally until the risk has passed and then forwarded to HR for uploading onto the central record.			
6.3.5	Annual leave Where possible, departments must use myJob/myTeam to manage annual leave. Any annual leave records outside of the system must not be held beyond the current +1 leave year.			
<b>6.4</b>	<b>Performance, capability and conduct</b>			
6.4.1	Documents detailing formal	Last action on case + 6 years	Dispose	1980 c58 s5

	Record description	Retention	Action at end of retention	Citation
	disciplinary proceedings against the employee			
6.4.2	Documents detailing formal grievances raised by the employee (response / action taken / outcome)	Last action on case + 6 years	Dispose	1980 c58 s5
6.4.3	Records of any warnings / improvements notes / actions issued under the disciplinary policy or capability policy	Last action on case + 6 years	Dispose	1980 c58 s5
6.4.4	SRDS process SRDS forms, including assessments of employee's training and development needs/action taken, must be held centrally within each Department in a secure and confidential location	Retain for 5 years from completion	Dispose	UoS / JISC
6.4.5	Casework Manager's notes from any informal discussions around performance must be kept locally in a secure and confidential location. Any informal records must be destroyed upon termination of the line management relationship, however key records relating to formal resolutions must be retained and you must liaise with your HR contact before destroying any documents.			
<b>6.5</b>	<b>Workforce planning</b>			
6.5.1	Records documenting assessment and analysis of workforce requirements, identification and evaluation of options. Held centrally within each Department in a secure and confidential location	Retain for 5 years from completion	Dispose	UoS / JISC
<b>6.6</b>	<b>Occupational health</b>			
6.6.1	Occupational health records – employees not subject to COSHH or ionising regulations	Date of last entry + 10 years	Dispose	UoS / JISC
6.6.2	Documentation of health monitoring and surveillance carried out to meet statutory duties under SI 2005/1643,	End of employment + 50 years	Dispose	SI 2002/2677 regs 10(5)(a), 11(3), Sch3 para 4(3) SI 2012/632 regs 19(4)(a), 22(1)(b)

	Record description	Retention	Action at end of retention	Citation
	2002/2677, 2012/632, 1999/3242 Accident reports Dangerous occurrence reports List of people exposed to biological agents or asbestos Records of exposures and incidents			



## 7. INFORMATION RESOURCES

	Record description	Retention	Action at end of retention	Citation
<b>7.1</b>	<b>IT infrastructure</b>			
7.1.1	Information strategy	Permanent		UoS / JISC
7.1.2	Initial development, modification and maintenance of IT systems Network configuration and maps Change control documents	Life of system + 5 years	Dispose	UoS / JISC
7.1.3	Systems development projects Project management documents	End of Project + 5 years	Review for further retention or dispose	UoS / JISC
7.1.4	Monitoring and testing of IT systems Network alerts	Academic Year + 1 year	Dispose	UoS / JISC
7.1.5	Monitoring of server activity Log files	Academic Year + 1 year	Dispose	UoS / JISC
7.1.6	User requests for technical and application support and reporting of problems Call logs Incident reports Job sheets Emails to helpdesks	Completion of task + 1 year	Dispose	UoS / JISC
7.1.7	Management of data storage including backup, archiving Server maintenance log sheets Backup reports Register of backup tapes	Academic Year + 1 year	Dispose	UoS / JISC
7.1.8	Request to recover data from backup or archive	Completion of task + 3 months	Dispose	UoS / JISC
7.1.9	Licensing Licence agreements for live systems	When superseded	Dispose	UoS / JISC
7.1.10	Security arrangements for IT systems Requests for SSL certificates	Life of the system + 5 years	Dispose	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
7.1.11	User account management Registration forms Requests to close accounts	Expiry of account	Dispose	UoS / JISC
7.1.12	Monitoring use and breaches of IT systems Monitoring forms Case files	Academic Year + 1 year	Dispose	UoS / JISC
7.1.13	Connection of third party equipment to UoS networks Departmental network administrator's authorisations	Termination of connection + 6 years	Dispose	UoS / JISC
7.1.14	Connection of third party equipment to UoS networks: IP address allocation DHCP logs	Date of allocation + 6 months	Dispose	UoS / JISC
7.1.15	Web pages	Date of going live + 6 years	See website archiving project. Possible retention	UoS / JISC
<b>7.2</b>	<b>IT security</b>			
7.2.1	Creating username, password and email account Registration forms Auditable log of activity within Identity Management System	Academic Year + 6 months	Dispose	UoS / JISC
7.2.2	Providing ICT services across networks Audit and exception files produced during network and email use History files produced during network and email usage reports Network traffic logs Reports of network traffic information	Date of creation + 6 months	Dispose	UoS / JISC
7.2.3	Maintaining network security IT security problem reports	Academic Year + 2 years	Review for further retention or dispose	UoS / JISC
7.2.4	Security analysis reports	Academic Year + 5 years	Dispose	UoS / JISC
7.2.5	Record of equipment which regularly causes difficulty on network, with details of users	Academic Year + 1 year	Dispose	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
<b>7.3</b>	<b>Information Management compliance</b>			
7.3.1	Copyright permissions Copyright declaration forms CLA audits Logs of copying and recording carried out under licence	Academic Year + 6 years	Dispose	1980 c58 s5
7.3.2	Applications for patents Patent applications Certificates of grant Supplementary certificates Extensions	Life of right + 6 years	Dispose	UoS / JISC
7.3.3	Applications for registered trade marks Applications Trade mark certificates	Permanent		UoS / JISC
7.3.4	Compliance with Data Protection Act, Freedom of Information Act and Environmental Information Regulations Request logs Case files Correspondence with ICO	Academic Year + 3 years	Dispose	UoS / JISC
7.3.5	Determining recordkeeping requirements for business activities and departments Business process maps Survey and audit records	Academic Year + 3 years	Dispose	UoS / JISC
7.3.6	Classification of information Business Classification schemes File plan metadata schemes	While active	Dispose	UoS / JISC
7.3.7	Retention Schedules	While active		UoS / JISC
7.3.8	Authorisation for disposal of records	Academic Year + 25 years	Dispose	UoS / JISC
7.3.9	Vital records schedules	While active		UoS / JISC
7.3.10	Access to records Requests and issue records	Academic Year + 1 year	Dispose	UoS / JISC
7.3.11	Activities supporting the management of the University records centre	While active + 25 years	Review for further retention or dispose	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
7.3.12	Correspondence with departments regarding record keeping issues	Academic Year + 3 years	Dispose	UoS / JISC
<b>7.4</b>	<b>Library, museum and archive services</b>			
7.4.1	Special collections and archives: Documentation of collection policies Collection policies Accession registers - permanent Catalogue and box lists Selection criteria Depositor / donor agreements Indexes Disposal authorisations Loan and object movement records Location registers Exhibition records Conservation records Loans	While active	Review for further retention or dispose	UoS / JISC
7.4.2	Library collections: Collection policies Catalogue records Access records	While active + 1 year	Dispose	
7.4.3	Library acquisitions: Library system purchase records (NOT finance system records)	Lifetime of system	Dispose	
7.4.4	Library material loans and reservations	Anonymise after purge of user records: retain anonymised records for lifetime of system at least	Review for further retention or disposal	
7.4.5	Entry control data	Anonymise after 1 year; retain anonymised records for lifetime of system at least	Review for further retention or disposal	
7.4.6	Resource lists	End of course + 4 years	Dispose	
7.4.7	Library Helpdesk system data including enquiries	End of active case + 3 years	Dispose	
7.4.8	Digital Preservation	Retention policy is set by material to be ingested into digital preservation system	Review for further retention or disposal	

	Record description	Retention	Action at end of retention	Citation
7.4.9	Registration of users	End of registration + 1 year	Dispose	UoS / JISC
7.4.10	Special collections and archives: Use of collections Requests for access Enquiries	Academic Year + 6 years	Dispose	UoS / JISC
7.4.11	Library loans Library user loan history	End of registration + 1 year	Dispose	UoS / JISC
7.4.12	Inter-Library loan records Request forms	End of registration + 1 year	Dispose	UoS / JISC

## 8. GOVERNANCE AND CORPORATE AFFAIRS

	Record description	Retention	Action at end of retention	Citation
<b>8.1</b>	<b>Governance</b>			
8.1.1	Charter	Permanent	University archive	UoS / JISC
8.1.2	Official University publications including annual reports and financial statements, Calendar, prospectuses and formal publications for students	Permanent	University archive	UoS / JISC
8.1.3	Formal committees listed in University Calendar Agenda Minutes Supporting papers	Permanent	University archive	UoS / JISC
8.1.4	Other committees and working groups Agenda Minutes Supporting papers	Academic Year + 6 years	Review for further retention or dispose	1980 c58 s5
8.1.5	Copies of agenda, minutes and papers, circulated for information (statutory and non-statutory)	Academic Year + 1 year	Dispose	UoS / JISC
8.1.6	Notices of meetings	Academic Year + 1 year	Dispose	UoS / JISC
8.1.7	Register of interests	End of employment + 6 years	Dispose	1980 c58 s5
8.1.8	Policy development Key records	Retain until superseded + 10 years	Review for further retention or dispose	UoS / JISC
8.1.9	Policy development Working papers	Academic Year + 1 year	Dispose	UoS / JISC
8.1.10	Procedure development	Academic Year + 1 year	Dispose	UoS / JISC
8.1.11	Organisational restructuring Planning statements Organisation plans Organisation charts	Academic Year + 5 years	Review for further retention or dispose	UoS / JISC
<b>8.2</b>	<b>Strategic planning, performance management and reporting</b>			
8.2.1	Final major strategy documents	Permanent. Contained within University committee minutes. University archive	University archive	UoS / JISC
8.2.2	Development of local strategy and	Academic Year + 6 years	Review for further retention or	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
	planning Faculty, departmental and Professional Services planning narratives		dispose	
8.2.3	Corporate performance management Analyses of performance against strategic plan Audits and reviews of strategic planning and performance and responses	Academic Year + 6 years	Review for further retention or dispose	UoS / JISC
8.2.4	Management information and analysis	Retain until superseded	Dispose	UoS / JISC
8.2.5	Internal and external audit reports	Academic Year + 5 years	Dispose	UoS / JISC
8.2.6	Risk management and business continuity Risk assessment reports Contingency plans Business recovery plans Disaster plans Emergency planning exercise documentation	Academic Year + 10 years	Review for further retention or dispose	UoS / JISC
<b>8.3</b>	<b>Statutory and regulatory reporting</b>			
8.3.1	Compilation of statutory returns including supporting documentation on compiling the return, data and system management	Academic Year + 10 years	Dispose	UoS / JISC
8.3.2	Final versions of statutory returns associated briefings and evidence of VC sign-off	Academic Year + 20 years	Dispose	UoS / JISC
8.3.3	Compilation of returns to PSRBs	Academic Year + 10 years	Dispose	UoS / JISC
8.3.4	Final versions of returns to PSRBs	Academic Year + 10 years	Dispose	UoS / JISC
8.3.5	Administration of student surveys (NSS and Graduate Outcomes)	Academic Year + 7 years	Dispose	UoS / JISC
<b>8.4</b>	<b>Legal affairs management</b>			
8.4.1	Contracts under seal Contract agreements Contractor review reports	End of contract + 12 years	Review for further retention or dispose	UoS / JISC
8.4.2	Contracts not under seal	End of contract + 6 years	Dispose	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
	Contract agreements Contractor review reports			
8.4.3	Licensing Identification of licensing requirements Acquisition and maintenance of licenses Management of compliance with license conditions	End of licence + 6 years	Dispose	UoS / JISC
8.4.4	Records of legal support, representation and litigation regarding claims by or against UoS	Date of settlement or withdrawal + 6 years	Review for further retention or dispose	UoS / JISC
8.4.5	Records of legal advice on interpretation of legislation affecting UoS's legal framework, or responsibilities, relationship with central government or regulators, employee relations, or health, safety and environmental matters	Academic Year + 25 years	Review for further retention or dispose	UoS / JISC
8.4.6	Records of legal advice provided by UoS to adults Case files	Closure of case + 6 years	Dispose	UoS / JISC
8.4.7	Employers' liability insurance certificates	Permanent		SI 1998 / 2573 reg 4(4)
<b>8.5</b>	<b>Health and Safety management</b>			
8.5.1	Documentation of risk assessment Risk assessment forms Safety inspection forms Fire drill reports	Retain until superseded + 5 years	Dispose	UoS / JISC
8.5.2	Records of injuries, dangerous occurrences and notifiable diseases to meet statutory duties under SI 2013/1471 Accident / incident forms Statistics	Permanent on health & safety system		SI 2013/1471 reg 12(1)(2)
8.5.3	Substances hazardous to health: testing and general monitoring	Date of last entry + 40 years	Dispose	SI 2002/2677 regs 9(4), 10(5)(b) SI 2012/632 reg 19(4)(b)



	Record description	Retention	Action at end of retention	Citation
	Records of tests and repairs carried out in accordance with SI 2002/2677 reg 9(2) and (3) Records of general monitoring of employees exposure			
8.5.4	Radioactive substances: summary and immediate information Investigation reports Summary of dose record Overexposure – report of immediate investigation	End of employment + 50 years	Dispose	SI 2017/1075 regs 22(6)(a)(i), 22(7)23(, 26(2)(a)
8.5.5	Radioactive substances: medical surveillance, accidents and exposure Occupational health records Investigation reports Dose assessments	End of employment + 50 years	Dispose	SI 2017/1075 regs 22(3)(a), 24(2)(c), 25(2)(c), 26(2)(b)
8.5.6	Risk assessments and reviews for all genetic modification work	End of project work + 10 years	Dispose	Regulation 7(2) of the Genetically Modified Organisms (Contained Use) Regulations 2014
8.5.7	Documentation of training and instruction carried out to meet statutory duties under SI 2005/1643, 2002/2677, 2012/632, 1999/3242	Date of last entry + 40 years	Dispose	JISC
8.5.8	Health and safety audit reports and inspection reports	Retain previous report + 5 years	Dispose	JISC
8.5.9	Training course registers Training course content	3 years Superseded + 3 years	Dispose	JISC
<b>8.6</b>	<b>Liaison with government, statutory and sector bodies</b>			
8.6.1	General correspondence with government, parliamentary or statutory bodies	Academic Year + 10 years	Review for further retention or dispose	
8.6.2	Records of the University's formal participation in government, parliamentary or public inquiries / consultations	Academic Year + 10 years	Review for further retention or dispose	

	Record description	Retention	Action at end of retention	Citation
8.6.3	Records of nominations and decisions for honorary awards	Academic Year + 5 year	Dispose	

## 9. EXTERNAL AND PUBLIC RELATIONS

	Record description	Retention	Action at end of retention	Citation
<b>9.1</b>	<b>Public relations</b>			
9.1.1	Records of complaints from members of the public, internal handling and responses	Last action on the case + 6 years	Dispose	UoS / JISC
9.1.2	Records of planning and impact / results of public events and official visits	Academic Year + 5 years	Dispose	UoS / JISC
9.1.3	Records of the organisation and administration of public events and official visits	Academic Year + 1 year	Dispose	UoS / JISC
<b>9.2</b>	<b>Media relations</b>			
9.2.1	Media enquiries and responses provided	Academic Year + 5 years	Dispose	UoS / JISC
9.2.2	Monitoring and analysis of media coverage involving UoS	Academic Year + 5 years	Dispose	UoS / JISC
9.2.3	Planning and organisation of media briefings and interviews	Academic Year + 1 year	Dispose	UoS / JISC
9.2.4	Recordings and transcripts of media briefings and interviews	Academic Year + 5 years	Dispose	UoS / JISC
9.2.5	Press release and cuttings	Permanent retention	University archive	UoS / JISC
<b>9.3</b>	<b>Marketing</b>			
9.3.1	Records of the design of corporate identity marks and logos and the development of corporate style guides and official use of identity marks	Retain until superseded	Review for further retention, possible permanent preservation or dispose	UoS / JISC
9.3.2	Design of promotional materials and advertisements	Retain until superseded	Review for further retention or dispose, possible permanent preservation or dispose	UoS / JISC
9.3.3	Planning and conduct of marketing campaigns	Academic Year + 5 years	Dispose	UoS / JISC
<b>9.4</b>	<b>Survey management</b>			
9.4.1	Records of the design and conduct of staff surveys	Academic Year + 5 years	Final reports / analysis possible review for permanent retention. Remaining	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
	Surveys on public attitudes to UoS User satisfaction surveys Anonymised summaries and analysis		material dispose	
9.4.2	Individual responses	Academic Year + 6 months	Dispose	UoS / JISC
<b>9.5</b>	<b>Alumni relations and fundraising</b>			
9.5.1	Basic records concerning individual alumni, donors and supporters	Permanent retention	When a supporter dies the supporter's record is updated to ensure that the supporter can no longer be contacted	UoS
9.5.2	Records of transactions with donors to the University	Permanent retention	When a supporter dies the supporter's record is updated to ensure that the supporter can no longer be contacted	UoS
9.5.3	Financial transactions information	Relevant transaction + 6 years	Dispose	1980 c58 s2,5
9.5.4	Statistics, surveys and research relating to alumni, donors and supporters	While necessary for reference and future planning purposes	Dispose	UoS / JISC
<b>9.6</b>	<b>Fundraising, Events and Publications</b>			
9.6.1	Design, conduct and results of fundraising campaigns and initiatives	While necessary for reference and future planning purposes	Review for further retention or disposal	UoS / JISC
9.6.2	Reports on outcomes of fundraising campaigns and initiatives	Completion of campaign + 6 years	Review for further retention or disposal	UoS / JISC
9.6.3	Planning and organisation of events and meetings (e.g. reunions, corporate occasions) for cohorts of alumni, donors and supporters	While necessary for reference and future planning purposes	Dispose	UoS / JISC
9.6.4	Reports on outcomes of events for cohorts of alumni, donors and supporters	Completion of event + 6 years	Dispose	UoS / JISC
9.6.5	Publications relating to events of institutional significance, eg Installation of the new Chancellor	Permanent retention	University archive (2xcopies)	UoS
9.6.6	Regular publications (e.g. magazines) for alumni, donors and supporters	Permanent retention	University archive (2xcopies)	UoS / JISC
9.6.7	Irregular publications for alumni, donors and supporters, or concerning fundraising campaigns and	While necessary for reference and future planning purposes	Review for further retention or disposal	UoS / JISC

	Record description	Retention	Action at end of retention	Citation
	initiatives/events			
9.6.8	Due diligence research for donation acceptance	Permanent retention	Permanent retention within department	UoS

<b>List of Citations</b>	
<b>Acts of Parliament</b>	
1970 c 9	Taxes Management Act 1970
1980 c 58	Limitation Act 1980
1986 c 14	Animals (Scientific Procedures) Act 1986
1994 c 23	Value Added Tax Act 1994
2010 c 15	Equality Act 2010
<b>Statutory Instruments and EU Regulations</b>	
1986/1960	Statutory Maternity Pay (General) Regulations
1998/1833	Working Time Regulations
1998/2573	Employers' Liability (Compulsory Insurance) Regulations
2001/1004	Social Security (Contributions) Regulations
2002, sixth edition published 2013	Control of Substances Hazardous to Health Regulations, Approved Code of Practice and Guidance
2003/2682	Income Tax (Pay As You Earn) Regulations
2004/1031	Medicines for Human Use (Clinical Trials) Regulations
2005/50	Blood Safety and Quality Regulations
2005/894	Hazardous Waste (England and Wales) Regulations
2010/768	CRC Energy Efficiency Scheme Order

2011/988	Waste (England and Wales) Regulations
601/2012	Regulation on the monitoring and reporting of greenhouse gas emissions pursuant to Directive 2003/87/EC
2012/632	Control of Asbestos Regulations
2012/1916	Human Medicines Regulations
2012/3118	Energy Performance of Buildings (England and Wales) Regulations
2013/1471	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations
2015/51	Construction (Design and Management) Regulations
2015/102	Public Contracts Regulations
2017/1075	Ionising Radiations Regulations
<b>UK and EU statutory guidance</b>	
2007/589/EC	Decision establishing guidelines for the monitoring and reporting of greenhouse gas emissions pursuant to Directive 2003/87/EC
ENTR	ENTR/F/2/SF/dn D (2009) 35810: European Commission detailed guidelines on good clinical practice specific to advanced therapy medicinal products
ERDF	European Regional Development Fund document retention guidance 2016
HMRC	Keeping VAT records 2016
UKVI	HM Government Sponsor guidance appendix D: keeping records for sponsorship Jul 2018
<b>Professional guidance</b>	
BMA	The occupational physician: guidance for specialists and others practising occupational health 2013
EA 2011	How to comply with your EPR RSR environmental permit – sealed sources 2011
EA 2012	How to comply with your EPR RSR environmental permit – open sources and receipt, accumulation and disposal of radioactive waste on non-nuclear sites 2012
Home Office guidance	Guidance on the operation of the Animals (Scientific Procedures) Act 1986 2014

CPMP	CPMP/ICH/135/95: Note for guidance on good clinical practice 2002
JISC	Model records retention schedule 2007
MRC GRP	Good research practice 2012
MRC PIMR	Personal information in medical research 2000, 2003
RCP	The retention and storage of pathological records and specimens 5th ed 2016
UoS / JISC	The University of Sheffield internal departmental requirement, derived from the JISC model records retention schedule 2007
HTA	Human Tissue Authority

<b>Change History</b>	
<b>v 0.1 February 2019</b>	Document created from composite documents received from departments
<b>v1 March 2019</b>	Amendments made to content. Approved by Information Management Group / UEB
<b>v2 June 2019</b>	Amendments made to content. Approved by Information Management Group / UEB. Published on University web pages
<b>v2.1 Nov 2019</b>	Amendment made to content. MRC research retention guidance amended from 30 to 20/25 years
<b>v2.2 Feb 2020</b>	Minor amendment to details within 3.6.2 and revision of review amendment to March 2021
<b>v2.3 Apr 2020</b>	Minor amendments to Research section including re-wording guidance at introduction to 2, and re-wording that was requested in 2.1.5 ( <i>data providers</i> ) and 2.3.2 ( <i>research governance for health or social care research</i> )
<b>V2.4 Jan 2021</b>	<p>Minor amendments to:-</p> <p>(2) <i>Research &amp; Innovation</i></p> <p>2.1.2 – Change to records description &amp; retention guidance - to take into account comments from University Research Ethics Committee and more closely align to MRC policy and guidance documentation</p> <p>2.1.3 – 2.1.5 change to retention to align to 2.1.2.</p> <p>2.3 changed to <i>Ethics, Integrity &amp; Research Governance</i></p> <p>2.3.1 added <i>or other aspects of research governance (e.g. HRA approval) not covered by specific funder, regulator or discipline guidance'</i></p> <p>(3) Student Administration and Support – inclusion of line for apprenticeship records (3.2.7)</p>


