

Quick Guide to setting a record retention period at the University of Warwick

This quick guide should be used alongside the guidance '*Records Retention Scheduling at the University of Warwick*' to develop retention periods for University records for their inclusion in the [University Records Retention Schedule \(RRS\)](#). For records that contain [personal data](#) then the [storage limitation principle](#) of the [General Data Protection Regulation](#) must be adhered to when considering appropriate retention periods. Please contact the [University Records Management Advisor](#) to discuss the inclusion of a record in the RRS.

1. Appraise the record

- If a record is not listed on the RRS then check whether other organisations' (e.g. Universities) have set a retention period for this type of record to benchmark retention periods.
- Where there is not a retention precedent for the University to consider then the value of the record to the University of Warwick needs to be appraised and understood by the Department (subject matter expert) responsible for the record.
- Those other Departments across the University with an interest in the record (or that might hold duplicates) should be engaged in discussions about retention.

2. Research whether retention is required to fulfil statutory, regulatory, contractual or professional requirements?

- The subject matter experts in the relevant University Department with knowledge of the record should comment on whether there are: legislative, regulatory, contractual, audit or professional sector obligations - that make provision for the length of time a record is to be retained.
- If there is a defined period for keeping the record then contact the [University Records Management Advisor](#) to include the record and specified retention period in the University RRS (consider also whether the record has preservation value as discussed at point five below).

3. Is retention required as evidence (e.g. in a dispute or to complete a current information access request)?

- Where a dispute arises or there is a current request made under a statutory/regulatory access regime it is important that the University has access to the existing records relevant to the matter the request concerns. Consult the ICO guidance on this area titled: [retention and destruction of requested information](#).
- The setting of a retention period should not be based on retaining a type of record '*just in case*' it is needed (and without a legitimate reason to retain the record).

4. Is retention required to meet the business needs of the University?

- Consider the business need for which the record was created and the time the record will remain 'active' (accessed) whilst that business transaction is fulfilled. If the record is dormant consider whether the purpose for its creation has concluded and whether there is any remaining rationale for the record being retained.
- 1 When considering a retention period for records containing [personal data](#) the [storage limitation principle](#) of the GDPR must be adhered to and as such consider the [lawful basis](#) under which a record containing personal data is being processed and for how long the lawful basis will apply.

5. Is permanent retention required because the record is of historic research value?

- Those records selected for preservation will reflect and provide the essential evidence of the University's most significant functions and activities. If the record type identified is likely to have lasting value both the [University Archivist](#) and [University Records Management Advisor](#) should be engaged in discussions about its retention period.