

University of Warwick Records Retention Schedule – Version Control Document

This document sets out the changes made to the published University of Warwick Record Retention Schedule (RRS) over time.

Version		
1.0	This version of the RRS is taken from the third iteration of the Joint Information Systems Committee (JISC) generic records retention schedule and was published on the intranet as guidance for the appropriate period of retention for University information and data.	April 2016 – 12 April 2018
2.0	The content of version 2.0 remains the same as version 1.0. The significant changes in 2.0 are that: the RRS is now in Word Document (PDF) form, it contains a hyperlinked contents page and section headings, University of Warwick branding, details of version control and how to contact the University Records Manager for further advice on retention (e.g. if a class of record is not listed in the RRS).	12 April 2018 – 1 May 2018
2.1	<ul style="list-style-type: none"> • New entry included for Student Recruitment, Admission and Records, under Immigration Advice and Compliance section (pg. 7). • Amended entry: Archives Section, under Archives Access Control, action changed from ‘Last action on request + 1 year’ to ‘Last action on request + 3 years’ (pg. 150). • Development, Operations, Security and Training headings now include ‘ICT’ in their title, on the contents pages. • Entries under the Business Area ‘Taught Programme’ for summative and formative assessments amended to: ‘Undergraduate Scripts and ‘Postgraduate Scripts’ and now reflects the wording, and retention periods, used in the University’s Examination Regulations (pg. 18 - 19). • ‘Marks/Grades’ entry under the Business Area ‘Taught Programme’ amended to include the line alongside the existing retention period ‘once data has been uploaded to SITS’ (pg. 19). • The references to ‘Contact Archives Team’ have been replaced with: Contact University Archives hyperlinks throughout the RRS. The hyperlink generates a blank email addressed to the University’s Modern Records Centre (University Archives) and the intent is to make it easier for University Departments to use the RRS to make arrangements to transfer records in scope for preservation to the MRC. 	1 May 2018 – 10 May 2018

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2.2	<ul style="list-style-type: none"> Human Resources (HR) sections: Human Resources General, Workforce Management, Employee Contract Management, Trade Unions, Organisational Development, Equality and Diversity, Pension and Payroll, have been temporarily removed as they are under review by HR. A link has been included in these sections to those HR records for which the review is complete. These records will be incorporated into the University Records Retention Schedule once the full HR records retention review is completed. Accommodation Warwick records have been added to the University Records Retention Schedule (pg. 164 -168). New entry, Public Engagement Network, included in Customer Relations Management (Commercial Services) Section (pg. 159). 	10 May 2018 – 3 August 2018
2.3	<ul style="list-style-type: none"> The Version Control document for the University Records Retention Schedule will now contain the following terms: <ul style="list-style-type: none"> Amended Entry (Minor) - the wording, retention period or citation has been updated. Amended Entry (Substantive) – a section has undergone a complete revision which can include entries being amended, deleted and new entries being added. New Entry – a new record type has been added to the University Records Retention Schedule. Deleted Entry – a record type has now been deleted from the University Records Retention Schedule. Format Change – a change in the format of University Records Retention Schedule e.g. where a hyperlink was included to the Modern Records Centre (University Archives) Format Change: The references to ‘Destroy’ in the ‘Action at the end of retention period’ column have been replaced with: Destroy hyperlinks throughout the RRS. The hyperlink generates the Information Classification and Handling Procedure Framework, with the intent to make it easier for University Departments to understand the classification, handling and specifically the procedure for the disposal of information. Format Change: For records where the action at the end of the retention period is to: ‘Contact the University Archives Team’ the retention period has been amended to: ‘Transfer to University Archives once the record has passed out of active use.’ 	3 August 2018 – 25 November 2019

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Version	Notes on Amendments	Date published
2.3	<ul style="list-style-type: none"> • Format Change: All references to any legislation (or regulatory, contractual or professional obligations) included within the citation column, have now been hyperlinked. • Deleted Entry: Miscellaneous section removed from RRS. • Deleted Entry: Records Retention Schedule duplicated entry removed. • Deleted Entry: All redundant HR sections removed. • Amended Entry (Substantive): Scholarships (pg.15) • New Entry: ‘Dissertations’ within Taught Programme (pg.19). • Amended Entry (Substantive): Marketing (pg.35). • Amended Entry (Minor): ERDF abbreviation has now been defined - European Regional Development Fund (pg.47). • Amended Entry (Minor): ESIF abbreviation has now been defined - European Structural and Investment Funds (pg.47). • Amended Entry (Minor): ‘Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges)’ within Accounting (pg.49). • Amended Entry (Minor): ‘Records documenting the preparation of annual operating budgets’ within Planning & Budgeting (pg.51). • Amended Entry (Minor): ‘Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances’ within Planning & Budgeting (pg.51). • Amended Entry (Substantive): Payroll (pg.52). • Amended Entry (Substantive): Pensions (pg.53). • Amended Entry (Substantive): Governance – General (pg.69). • Amended Entry (Substantive): Committee Administration (pg.70). • Amended Entry (Substantive): Whistle-Blowing (pg.74). • New Entry: Major Incident Management (pg.78). • New Entry: ‘Major Incident Logs’ within Major Incident Management (pg.78). • Amended Entry (Substantive): Audit (pg.80). • New Entry: ‘Privacy Notices’ within Compliance Section (pg.89). • Amended Entry (Substantive): Human Resources General (pg.119). • Amended Entry (Minor): VAM acronym has now been defined - Variable Monthly (pg.119). • Amended Entry (Substantive): Workforce Management (pg.120). • Amended Entry (Minor): PCAPP abbreviation has now been defined - Postgraduate Certificate for Academic and Professional Practice (pg.122). 	3 August 2018 – 25 November 2019

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2.3	<ul style="list-style-type: none"> • Amended Entry (Minor): CCSG abbreviation has now been defined - Campus and Commercial Services Group (pg.123). • Amended Entry (Substantive): Employee Contract Management (pg.125). • Amended Entry (Substantive): Equality, Diversity and Inclusion (pg.131.) • Amended Entry (Minor): SPRR abbreviation has now been defined - Senior Performance and Remuneration Review (pg.134). • New Entry: Staff Rewards (pg. 134). • Amended Entry (Substantive): Records Management (pg.152). • New Entry: Related Companies – General (pg.161). • New Entry: Warwick Manufacturing Group (WMG) (pg.175). • New Entry: ‘Offsets Contract’ within Warwick Manufacturing Group (WMG) (pg.175). • New Entry: Warwick Medical School (WMS) (pg.176). • New Entry: ‘Undergraduate Assessments’ within Warwick Medical School (WMS) (pg.176). • New Entry: ‘Post-Graduate Assessments’ within Warwick Medical School (WMS) (pg.176). • New Entry: ‘Fitness to Practice Excluded Students Database’ within Warwick Medical School (WMS) (pg.176). • New Entry: ‘Post-Graduate Taught Professional Projects’ within Warwick Medical School (WMS) (pg.177). • The Estates Retention Schedule has now been incorporated into the University Records Retention Schedule: <ul style="list-style-type: none"> ○ Amended Entry (Substantive): Estates – General has been renamed Estates Management (pg.135). ○ Amended Entry (Substantive): Assets section has been incorporated into Estates Management (pg.137). ○ Amended Entry (Substantive): Waste Management has been renamed Waste and Recycling (pg.145). ○ Amended Entry (Substantive): Environmental Management has been renamed Energy and Sustainability (pg.143). ○ Amended Entry (Substantive): Property Management, Facilities Management, Energy and Sustainability and Waste and Recycling have all been incorporated within Estates Management. ○ Amended Entry (Minor): ‘Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health’ within Hazard Exposure Control (pg.98). 	3 August 2018 – 25 November 2019

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2.3	<ul style="list-style-type: none"> ○ Amended Entry (Minor): ‘Records documenting notifications to enforcing authorities of proposed work with asbestos’ within Hazard Exposure Control (pg.101). ○ Amended Entry (Minor): ‘Records documenting the provision of information, instruction and training for employees who are exposed to asbestos’ within Hazard Exposure Control (pg.102). ○ Amended Entry (Minor): ‘Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos’ within Hazard Exposure Control (pg. 102). ○ Amended Entry (Minor): ‘Records documenting the University’s response to accidents, incidents and emergencies involving asbestos’ within Hazard Exposure Control (pg.102). ○ Amended Entry (Minor): ‘Records documenting medical surveillance of individual employees who are exposed to asbestos’ within Hazard Exposure Control (pg.103) ○ New Entry: ‘Hazard Exposure Control – Non-ionising Radiation’ within Health & Safety (pg.108). ○ New Entry: ‘Operational Management’ within Estates Management (pg.135) ○ New Entry: ‘Permits to Work’ within Estates Management (pg.135.) ○ New Entry: ‘Gas Safety Certificates’ within Estates Management (pg.136). ○ New Entry: ‘Refrigerant Gas Logs’ within Estates Management (pg.136). ○ New Entry: ‘Minutes and Agendas from meetings with Contractors’ within Estates Management (pg.136). ○ New Entry: ‘Maintenance Contracts’ within Estates Management (pg.136). ○ New Entry: ‘Transport’ within Estates Management (pg.137). ○ New Entry: ‘Wayleave Agreements’ within Estates Management (pg.137). ○ New Entry: ‘Memoranda of Terms (MOU)’ within Estates Management (pg.138). ○ New Entry: ‘Landlords Consents’ within Estates Management (pg.138). ○ New Entry: ‘Licences’ within Estates Management (pg.138). ○ New Entry: ‘Register of records and documents deposited in safe custody’ within Estates Management (pg.138). ○ New Entry: ‘Listed buildings consents and correspondence’ within Estates Management (pg.138). ○ Amended Entry (Minor): ‘Health and Safety file’ within Estates Management (pg.138) ○ New Entry: ‘Operation and Maintenance Manuals’ within Estates Management (pg.138). ○ New Entry: ‘Building Specification File’ within Estates Management (pg.139). 	3 August 2018 – 25 November 2019

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2.3	<ul style="list-style-type: none"> ○ New Entry: 'New Structure' within Estates Management (pg.139). ○ Amended Entry (Minor): 'Records documenting assessments of the presence and condition of asbestos' within Estates Management (pg.139). ○ Amended Entry (Minor): 'Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it' within Estates Management (pg.140). 	3 August 2018 – 25 November 2019
2.4	<p>Text has been significantly updated throughout the University Records Retention Schedule (RRS) to incorporate the recently released Joint Information Systems Committee (JISC) RRS guidance for higher and further education institutions. This has resulted in certain citations being updated to their most recent version, the merging of certain record types and the deletion of irrelevant entries.</p> <ul style="list-style-type: none"> ● Deleted Entry: Quality Management ● Deleted Entry: Compliance ● Deleted Entry: Records Management ● Deleted Entry: Archives ● Deleted Entry: Redundant entries within Student Union Relations ● Deleted Entry: 'New Structure' within Estates Management ● New Entry: Press Team (pg. 32) ● New Entry: Information and Data Compliance (pg. 83) ● New Entry: Modern Records Centre (University Archive) (pg. 150) ● New Entry: Warwick Arts Centre (pg.173) ● New Entry: Humanities Research Centre (pg. 174) ● New Entry: Student Opportunity (pg. 175) ● New Entry: Campus Security (pg. 181) ● New Entry: Warwick Conferences (pg. 182) ● Amended Entry: All sections relating to ICT have now been renamed IT ● Amended Entry (Substantive): Publications and Collections (pg. 153) ● Amended Entry (Substantive): Warwick Medical School (WMS) (pg. 170) ● Amended Entry (Substantive): Scholarships (pg. 15) ● Amended Entry (Substantive): IT Development (pg. 113) 	25 November 2019

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	<ul style="list-style-type: none"> • Amended Entry (Minor): ‘Records documenting individual students’ attendance at examinations, and the handling of reports of mitigating circumstances’ within Assessment Administration (pg.13) • Amended Entry (Minor): ‘Records documenting individual students’ submission of assessed work and handling of reports of mitigating circumstances’ within Assessment Administration (pg.13) • Amended Entry (Minor): ‘Records documenting Personal Development Review’s (PDR’S)’ within Workforce Management (pg.120) • Amended Entry (Minor): ‘Certain specified examples of past dissertations made available as examples to students of an excellent display of academic rigor’ within Taught Programme (pg.19) • New Entry: ‘Keep Campus Moving - Student Parking Certificate Application’ within Estates Management (pg. 143) • New Entry: ‘Emergency Contact List’ within Business Continuity (pg. 74) • New Entry: ‘Vehicle Check Sheets’ within Estates Management (pg.127) 	25 November 2019
Version	Notes on Amendments	Date published
2.6	<ul style="list-style-type: none"> • New Entry: ‘Student Academic Misconduct Investigations’ within Student Complaints & Discipline (pg. 7) • New Entry: ‘Remote Proctoring Administration’ within Assessment Administration (pg. 11) 	12 July 2021

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