

University of Warwick Records Retention Schedule (RRS)

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What is the Records Retention Schedule (RRS)?

The RRS is a continually evolving document and a key component in the management of the lifecycle of records (creation, receipt, maintenance, use, and disposition). The RRS defines the duration of time for which different records should be retained at the University. The RRS is published on the University's internet pages and transparently sets out the practices the University follows, or is working towards, in managing records in line with their retention periods. The RRS helps the University demonstrate compliance with its statutory, regulatory, and other information management obligations (E.g. GDPR [[Storage Limitation Principle](#)]; Freedom of Information Act 2000 [[Section 46 Code](#)]). The RRS helps with the efficient use of University resources for the storage of records and identifies records with historic research value for preservation at the University's [Modern Records Centre \(MRC\)](#).

Why is the University RRS such a lengthy document?

The University is a large and complex organisation and whilst there is overlap between Departments in relation to the records they regularly work with there are also many types of record which are unique to specific areas of the University. The University RRS is lengthy because it is a collection of the main records the University's many Departments works with. However when the RRS is thought about in terms of its individual sections, which each relates to a Department or a specific function, then these are short and on average contain only 19 entries, 7 different retention periods and span just 2 pages.

How do I search the RRS?

One way of searching the RRS is to review the hyperlinked contents page (on the following page) to see if there is a section that relates to the records you are looking for. A second approach is to press both 'CTRL and F' on your keyboard and type in a keyword (in terms of a description of a record you are trying to locate) in the search/navigation window that appears.

I can't find an entry for the records I work with in the RRS what should I do?

If you cannot find the records you work with in the RRS then please contact: RecordsManagement@warwick.ac.uk If you need to put together a new entry for the RRS to cover the records you work with then there is a range of guidance to help you (alongside meeting with the Information and Records Management Advisory Team). The [University Information and Records Management webpage](#) contains guidance on: retention scheduling at Warwick (and accompanying quick guide) as well as separate guidance on the procedure to follow when updating the RRS (including a template for a new RRS entry). **N.B The RRS is not set in a tablet of stone and retention periods need to be revised as functions and processes change.**

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Business area: STUDENT RECRUITMENT, ADMISSION & RECORDS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
STUDENT RECRUITMENT, ADMISSION & RECORDS	Student Administration Policy and Procedures Development	Records documenting the development and establishment of the institution's student administration policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Student Recruitment Schemes and Campaigns	Records documenting the design, conduct and summary results of student recruitment campaigns.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the design, operation and summary results of student recruitment schemes, events and campaigns.	Current academic year + 5 years OR Termination of scheme/campaign/event + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the issue of student recruitment materials in bulk to schools and other organisations.	Current academic year	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of enquiries from prospective students (no further relationship).	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of enquiries from prospective students (subsequently registered as student).	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records containing summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
	Student Admission	Records documenting the development and establishment of the institution's admission criteria.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the handling of applications for admission: successful applications.	End of student relationship + 7 years	Destroy	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the handling of applications for admission: unsuccessful applications.	Minimum: Completion of admissions process + 6 months. Recommended: Completion of admissions process + 1 year.	Destroy	The Equality Act 2010
		Records documenting the administration of the clearing process.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records containing data on overall student numbers.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
	Student Registration	Records documenting the registration of individual students on programmes.	Termination of student relationship + 7 years	Destroy	Best Practice at the University of Warwick
		Records containing summaries and analyses of data on registration of students on programmes	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Student Induction	Records documenting the design, conduct and review of induction programmes for new students.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
	Student Records Administration	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the handling of individual students'/employers' requests for statements of results/transcripts and requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the design and conduct of First Destination Surveys and (anonymised) summaries and analyses of the results of First Destination Surveys.	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
		First Destination Surveys: individual responses	Completion of analysis of responses	Destroy	JISC HE Records Retention Schedules
	Immigration Advice and Compliance	Records documenting immigration casework/compliance for students, including the retention of immigration permission from students.	6 years after permanent withdrawal	Destroy	OISC Code of Standards: 2016

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Business area: CORE STUDENT RECORD

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
CORE STUDENT RECORD	<p>The term <i>the Core Record of a student as a learner</i> (the Core Student Record) is used in the University Records Retention Schedule from version 2.5 (17 November 2020) to define that information that the University retains about its students in this capacity indefinitely.</p> <p>The Official Transcript of Studies (and therein):</p> <ul style="list-style-type: none"> Student Name Student Number Unique Learner Number Date of Birth Course Name and Code Programme Code Modules Studied (Year, Level, Module, Title, Mark, Grade, Result) Conferral Date Qualification Conferred End Date Class Conferred Start Date Level Studied Module Component Elements (Year, Module, Sequence, Mark, grade) <p>The following information has been retained for the production of the HEAR by the University from 2013 onwards:</p> <ul style="list-style-type: none"> Higher Education Statistics Agency (HESA) identification number Language(s) of instruction/examination Mode of Study (for each year the student is enrolled) Official length of programme Programme Details Additional Information (a full list of what this can entail can be found at this hyperlink) Professional status Programme entry requirements or access HESA level of qualification Programme Requirements <p>Other retained information:</p> <ul style="list-style-type: none"> Professional Accreditation, Professional Statutory and Regulatory Bodies Location of Study Work placements as part of studies Details of study abroad 			<p>This data is normally stored in digital form in SITS Student Records Management System.</p> <p>The intranet page Student Records Systems and Data Retention at Warwick provides guidance on the management of student records at the University over time.</p> <p>All other information about students should be managed in line with the specific provisions of the relevant other entries in the RRS for that data set.</p>	<p>JISC InfoNet – HEI Records Management</p> <p>Guidance on Managing Student Records</p> <p>Higher Educational Achievement Report</p> <p>ECTS User Guide 2015</p>

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Business area: STUDENT COMPLAINTS & DISCIPLINE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
STUDENT COMPLAINTS & DISCIPLINE	Student Disciplinary Case Handling	Records documenting the conduct and results of disciplinary proceedings against individual students.	Last action on case + 6 years	Destroy	Best Practice at the University of Warwick
	Student Academic Appeal Handling	Records documenting the handling and results of academic appeals by individual students.	Last action on case + 6 years	Destroy	Best Practice at the University of Warwick
	Student Complaint Handling	Records documenting the handling of formal complaints made by individual students against the institution.	Last action on case + 6 years	Destroy	Best Practice at the University of Warwick
		Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years	Destroy	Best Practice at the University of Warwick

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Business area: ACADEMIC PROGRAMME ADMINISTRATION

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
ACADEMIC PROGRAMME ADMINISTRATION	Academic Programme Administration Policy and Procedures Development	Records documenting the development and establishment of the institution's academic programme administration policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
ACADEMIC AWARD ADMINISTRATION	Academic Award Administration Policies and Procedures	Records documenting the development and establishment of the institution's academic award administration policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Academic Award Conferment	Records documenting the notification of awards to students and the issue of awards certificates.	Conferment of award + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the process of inviting, receiving and considering nominations for honorary awards.	Conferment of award + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting offers of honorary awards and responses received.	Conferment of award + 1 year	Destroy	JISC HE Records Retention Schedules
	Award Ceremony Administration	Records documenting the organisation of award ceremonies.	Completion of ceremony + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the production of award certificates.	Completion of ceremony + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the mailing of award certificates to students who do not attend ceremonies.	Completion of ceremony + 1 year	Destroy	JISC HE Records Retention Schedules

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Business area: ASSESSMENT ADMINISTRATION

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
ASSESSMENT ADMINISTRATION	Academic Assessment Administration Policies and Procedures	Records documenting the development and establishment of the institution's academic assessment administration policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	External Examiner Administration	Records documenting the selection, appointment and liaison with external examiners.	Termination of appointment + 1 year	Destroy	JISC HE Records Retention Schedules
	Assessment Administration	Records documenting the selection, appointment and the design and delivery of training for examination invigilators.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the timetabling of examinations.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting individual students' attendance at examinations and the handling of reports of mitigating circumstances (e.g. Medical notes etc.)	Graduation + 2 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances (e.g. Medical notes etc.)	Graduation + 2 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the issue of awards lists and individual notifications of awards.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules

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		Qualification Lists/Pass Lists/Awards lists	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Examination Board Administration	Records documenting the arrangements for meetings of a Board.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
SCHOLARSHIPS	Scholarships and Fellowships Administration	<p>Records documenting the award of scholarships and fellowships to individual students.</p> <ul style="list-style-type: none"> Records documenting the award of scholarships and fellowships to individual students in relation to students funded by external funders e.g. Research Councils UK (RCUK), may needs to be kept for a period that fits in with the T&C of the grant funding agreement. 	<p>Life time of grant + 6 years</p> <p>RCUK funded students – “The Research Organisation must retain all accounting information relating to the Grant for the current financial year plus the subsequent six years after the submission date of the final expenditure statement.”</p>	Destroy	Best Practice at the University of Warwick

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Business area: PRIZES

BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
PRIZES	Prizes Administration	Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
		List of prize winners	While prize is awarded	Destroy	JISC HE Records Retention Schedules

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Business area: TAUGHT PROGRAMME

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
TAUGHT PROGRAMME	Taught Programme Development	Records documenting the design and development of (modules of) taught programmes.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Taught Programme Review	Records containing data on, and analyses of, student numbers and other taught programme statistics.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		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	Destroy	JISC HE Records Retention Schedules
		Records documenting routine solicited feedback on taught programmes from students: individual feedback	Completion of analysis of feedback	Destroy	JISC HE Records Retention Schedules
		Records containing (anonymised) summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year	Destroy	JISC HE Records Retention Schedules
		Records containing reports of routine internal reviews of taught programmes.	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the conduct and results of formal independent reviews of taught programmes, and the responses to the results.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Taught Programme Delivery	Records documenting the preparation of teaching and learning materials.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Taught Student Assessment	Records documenting the design and development of assessments.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Undergraduate Scripts	Scripts written in invigilated examinations which are held by the University and which contribute to final degree credit, and all assessed work, which contributes to final degree credit.	Retained for two years following the meeting of the final year Board of Examiners in the case of successful candidates, and for two years after the final Board of Examiners at which an unsuccessful candidate was considered in the case of unsuccessful candidates.	Destroy	University of Warwick Examination Regulations

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	Undergraduate Scripts	<ul style="list-style-type: none"> First year examination answers or assessed essays which individually contribute less than 1 per cent of the final degree result. Scripts and assessed work not contributing to final degree credit 	Retained until 30 September following the Summer term meeting of the first year Board of Examiners in the case of successful candidates, or until 31 December following the September meeting of the first year Board of Examiners in the case of candidates allowed to proceed to the second year after the September examinations, and for two years following the final Board of Examiners at which the candidate is considered for all others.	Destroy	University of Warwick Examination Regulations
	Postgraduate Scripts	Scripts and assessed work of postgraduate courses.	Retained until two years after the date of the final invigilated examination.	Destroy	University of Warwick Examination Regulations
	Dissertations	Certain specified examples of past dissertations made available as examples to students of an excellent display of academic rigour.	Preserve in relevant University department once student consent for ongoing storage and access by third parties is received	Retain in Relevant Department and dispose when no further value as a learning tool	Best Practice at the University of Warwick
	Marks/Grades	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years (once this data has been uploaded to SITS).	Destroy	JISC HE Records Retention Schedules

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	Taught Student Monitoring & 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	Destroy	JISC HE Records Retention Schedules
	Teaching Quality & Standards Management	Records documenting the development of the institution's internal quality assurance processes.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the conduct and results of formal internal and external reviews of teaching quality, audits of teaching quality and standards and responses to the results.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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RESEARCH	Research Strategy and Policy Development	Records documenting the development and establishment of the institution's research strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Research Procedure Development	Records documenting the development of the institution's procedures relating to research.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
		Master copies of procedures relating to research.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Research Quality & Standards Management	Records documenting the development of the institution's internal quality assurance processes.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the conduct and results of formal internal reviews of research quality, and responses to the results.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the conduct and results of external reviews and audits of research quality and standards.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Research Business Development	Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the identification and exploration of new research opportunities, which lead to research projects.	Completion of project	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	Destroy	Limitation Act 1980
	Research Design & Planning	Records documenting the design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the design and planning of research projects which are undertaken: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Research Conduct	Records documenting the conduct of research funded by the Medical Research Council, except where other requirements are specified.	Completion of project + 10 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the conduct of clinical or public health studies funded by the Medical Research Council, except specific categories of records in studies for which consent was obtained.	Completion of project + 20 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the Medical Research Council.	Completion of project + 30 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the conduct of all other research funded by all other organisations.	Completion of project + 10 years	Destroy	JISC HE Records Retention Schedules

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Business area: RESEARCH

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Research Reporting	Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 1 year	Destroy	JISC HE Records Retention Schedules
		Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Research Project Management	Records documenting the management of internally funded research projects.	Completion of project + 3 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the management of externally funded research projects.	Completion of project + 6 years	Destroy	JISC HE Records Retention Schedules
	Research Programme Development	Records documenting the development of the institution's research programmes.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting routine monitoring of external developments and trends to inform the development of the institution's research programmes.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
	Research Programme Review	Records containing data on, and analyses of, student numbers and other programme statistics.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records containing reports of routine internal reviews of research programmes.	Current academic year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the conduct and results of formal independent reviews of research programmes, and the responses to the results.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Research Programme Assessment	Records documenting the conduct of formal assessments of work undertaken by research students.	Completion of student's programme + 6 years	Destroy	Limitation Act 1980

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.	Current academic year + 6 years	Destroy	Limitation Act 1980
	Research Supervisor Appointment & Training	Records documenting the appointment of supervisors for research students.	Termination of appointment + 1 year	Destroy	JISC HE Records Retention Schedules
	Research Student Monitoring & Support	Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	Completion of student's programme + 6 years	Destroy	JISC HE Records Retention Schedules

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Business area: EXTERNAL AFFAIRS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
EXTERNAL AFFAIRS	Public Relations, Strategy, Policies and Procedures Development	Records documenting the development and establishment of the institution's public relations strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Public Communications Management	Records documenting enquiries from members of the public and the responses provided.	Last action on enquiry + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the design and conduct of public surveys.	Completion of survey + 3 years	Destroy	JISC HE Records Retention Schedules
		Results of public surveys: individual responses	Completion of analysis of survey responses	Destroy	JISC HE Records Retention Schedules
		Results of public surveys: summaries and analyses of responses	Completion of survey + 3 years	Destroy	JISC HE Records Retention Schedules
		Records documenting complaints from members of the public, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	Destroy	JISC HE Records Retention Schedules
	Public Events Management	Records documenting the planning and impact/results of public events.	Completion of event + 3 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the organisation and administration of public events.	Completion of event + 1 year	Destroy	JISC HE Records Retention Schedules
	Official Visits Management	Records documenting the organisation and administration of official visits.	Completion of visit + 1 year	Destroy	JISC HE Records Retention Schedules
	Sponsorship Management	Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship + 6 years	Destroy	Limitation Act 1980

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Business area: EXTERNAL AFFAIRS

BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Donations Management	Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns).	Duration of relationship + 6 years	Destroy	Limitation Act 1980
		Records documenting the process of making donations to third parties.	Last action on donation + 6 years	Destroy	Limitation Act 1980

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Business area: PRESS TEAM

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
PRESS TEAM	Media Relations Strategy	Records documenting the development and establishment of the institution's media relations strategy	Superseded	Destroy	Best Practice at the University of Warwick
	Media Relations Procedure	Records documenting the development of the institution's procedures relating to media relations.	Superseded	Destroy	Best Practice at the University of Warwick
	Media Communications Management	Records documenting the institution's media contacts.	Superseded	Destroy	Best Practice at the University of Warwick
		Records documenting the planning and organisation of media briefings.	Date of briefing + 5 years Some specialised examples will need to be Archived	Destroy	Best Practice at the University of Warwick
		Records documenting the planning and organisation of media interviews.	Date of interview + 5 years	Destroy	Best Practice at the University of Warwick
		Transcripts of media interviews	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Press Releases	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry + 5 years	Destroy	Best Practice at the University of Warwick
	Media Monitoring	Records documenting the monitoring and analysis of media coverage of the institution. Including press cuttings	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick

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Business area: **PRESS TEAM**

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Photos related to the institution	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick

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Business area: MARKETING

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
MARKETING	Marketing Guidance	Records documenting the development and establishment of the institution's marketing guidance: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Marketing Operating Process and Practices	Records documenting the development of the institution's procedures relating to marketing.	Issue of procedures + 10 years	Destroy	Best Practice at the University of Warwick
	Market Research	Records documenting the design and development of market research tools.	Completion of research + 10 years	Destroy	Best Practice at the University of Warwick
		Market research data: data relating to identifiable individuals.	Completion of analysis of data	Destroy	Best Practice at the University of Warwick
		Market research data: aggregated data and analyses.	Completion of research + 10 years	Destroy	Best Practice at the University of Warwick
	Marketing Campaign Management	Records documenting the design, implementation and review of marketing campaigns.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Corporate Identity & Brand Management	Records documenting the design of the institution's corporate identity marks (logos etc.).	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the development of corporate style guides for official use of corporate identity marks.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Advertising Management	Records documenting the development, placement and impact of advertisements.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick

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Business area: STUDENT RELATIONS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
STUDENT RELATIONS	Student Relations Strategy, Policies and Procedures	Records documenting the development and establishment of the institution's student relations strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Student Communications Management	Records documenting the establishment and operation of staff-student liaison committees.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the design and conduct of student surveys.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Results of student surveys: individual responses	Completion of analysis of survey responses	Destroy	JISC HE Records Retention Schedules
		Results of student surveys: summaries and analyses of responses	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the design of, and overall response to, student suggestion schemes.	Closure of scheme + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of suggestions from individual students.	Last action on suggestion + 1 year	Destroy	JISC HE Records Retention Schedules

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Business area: GOVERNMENT RELATIONS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
GOVERNMENT RELATIONS	Government Relations Strategy, Policies and Procedures	Records documenting the development and establishment of the institution's government relations strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Government Communications Management	Records documenting general correspondence with government bodies.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting requests for information from government bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	Destroy	JISC HE Records Retention Schedules
	Government Consultations Management	Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government bodies (including records of internal consultation processes).	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the institution's formal responses to consultations conducted by government bodies.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Government Reporting	Records documenting the preparation and submission of reports to government bodies.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Government Inquiries/ Investigations Management	Records documenting the institution's participation in formal government or public inquiries.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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Business area: GOVERNMENT RELATIONS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Parliamentary Relations Strategy, Policies and Procedures	Records documenting the development and establishment of the institution's parliamentary relations strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Parliamentary Communications Management	Records documenting general correspondence with parliamentary bodies.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting requests for information from parliamentary bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	Destroy	JISC HE Records Retention Schedules
	Parliamentary Consultations Management	Records documenting the preparation of the institution's formal responses to consultations conducted by parliamentary bodies (including records of internal consultation processes).	Last action on consultation + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the institution's formal responses to consultations conducted by parliamentary bodies.	Last action on consultation + 3 years	Destroy	JISC HE Records Retention Schedules
	Parliamentary Inquiries & Investigations Management	Records documenting the institution's participation in formal parliamentary inquiries.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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Business area: STUDENTS' UNION RELATIONS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
STUDENTS' UNION RELATIONS	Students' Union Relations Strategy and Policy	Records documenting the development and establishment of the institution's students' union relations strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Code of Practice required by Section 22(3) of the Education Act 1994.	Superseded + 10 years	Destroy	JISC HE Records Retention Schedules
	Students' Union Relations Procedure	Records documenting the development of the institution's procedures relating to students' union relations.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
	Students' Union Funding	Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.	Current financial year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body.	Settlement of complaint + 6 years	Destroy	JISC HE Records Retention Schedules

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Business area: STUDENT FINANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
STUDENT FINANCE	Tuition Fees Administration Policy Development	Records documenting the development and establishment of the institution's tuition fees policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Tuition Fees Administration Procedure Development	Records documenting the development of the institution's procedures relating to tuition fees administration.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
	Tuition Fee Remission	Records documenting the handling of applications for remission of tuition fees: successful applications.	Determination of application + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.	Determination of application + 1 year	Destroy	JISC HE Records Retention Schedules
	Tuition Fee Setting	Records documenting the process of determining tuition fees.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Tuition Fee Collection	Records documenting the collection of tuition fees.	Current academic year + 1 year	Destroy	JISC HE Records Retention Schedules
	Student Financial Support Administration Policy and Procedure Development	Records documenting the development and establishment of the institution's student financial support policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Financial Aid Funds Administration	Records documenting the provision of financial aid funds to individual students.	Current financial/academic year + 6 years	Destroy	JISC HE Records Retention Schedules
	Crisis/Hardship Funds Administration	Records documenting the provision of crisis/hardship payments to individual students.	Current financial/academic year + 6 years	Destroy	JISC HE Records Retention Schedules

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Business area: STUDENT FINANCE

BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Bursaries Administration	Records documenting the award of bursaries to individual students.	Current financial/academic year + 6 years	Destroy	JISC HE Records Retention Schedules

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Business area: RESEARCH FINANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
RESEARCH FINANCE	Research Funding Administration	Records documenting the preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award).	Receipt of notification that application was unsuccessful + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).	Completion of project (i.e. termination of award) + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting EU-funded research, e.g. European Regional Development Fund (ERDF) & European Structural and Investment Funds (ESIF).	Receipt of award + 25 years OR specific terms of the funding agreement.	Destroy	See ERDF website

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
FINANCE	Finance Strategy, Policies and Procedures Development	Records documenting the development and establishment of the institution's finance strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Financial Accounting	Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the payment and/or reimbursement of employees' expenses.	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the payment of honoraria to third parties.* *(Unless honoraria are administered through the payroll)	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of petty cash.	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the receipt and processing of tuition fees.	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the preparation of annual accounts	Consult Finance Director (GFD)	Contact University Archives	JISC HE Records Retention Schedules
		Annual Accounts	Consult Finance Director (GFD)	Contact University Archives	JISC HE Records Retention Schedules
	Management Accounting	Records documenting analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year	Destroy	JISC HE Records Retention Schedules
	Statutory Accounting	Records documenting the preparation of the institution's statutory accounts.	Consult Finance Director (GFD)	Contact University Archives	JISC HE Records Retention Schedules

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Business area: FINANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Internal Accounting	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 2 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	Destroy	JISC HE Records Retention Schedules
	Funding Management	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the administration of research grants provided by research councils or corporate sponsors.	Termination of grant + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the administration of funding from European Structural Funds.	Final payment on the programme to the UK + 3 years (see note)	Destroy	JISC HE Records Retention Schedules
		Records documenting the administration of scholarship funds.	Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
	Financial Planning & Budgeting	Records documenting the preparation of annual operating budgets.	Current financial year + 2 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 2 years	Destroy	JISC HE Records Retention Schedules
	Payroll Administration	Record of P45's	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting payroll and wage information for unincorporated businesses including: details on overtime, bonuses, expenses and benefits in kind Pension benefits can relate to data covering many decades and benefits are paid over the lifetime of the member and any qualifying dependants. HR Pensions holds much source data which third parties and outside regulatory authorities could ask to see in the case of a dispute. The pension schemes will therefore wish to Destroy data only once the respective liabilities have been extinguished. This is kept under review.	Destroy once respective liabilities have been extinguished	Retain indefinitely	Legal obligation to carry out the efficient running of the pension schemes and provide information to the Pensions Regulator
	Pension Administration	Records documenting pension information. Pension benefits can relate to data covering many decades and benefits are paid over the lifetime of the member and any qualifying dependants. HR Pensions holds much source data which third parties and outside regulatory authorities could ask to see in the case of a dispute. The pension schemes will therefore wish to Destroy data only once the respective liabilities have been extinguished. This is kept under review.	Destroy once respective liabilities have been extinguished	Retain indefinitely	Legal obligation to carry out the efficient running of the pension schemes and provide information to the Pensions Regulator
	Tax Management	Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the institution's accounting for VAT.	Current tax year + 6 years	Destroy	JISC HE Records Retention Schedules

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Business area: FINANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Cash Management	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	Destroy	JISC HE Records Retention Schedules
		Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 10 years	Destroy	JISC HE Records Retention Schedules
	Investment Management	Records documenting the overall management of the institution's financial investment portfolio.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the purchase/sale of investments.	Current financial year (of transaction) + 6 years	Destroy	JISC HE Records Retention Schedules

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Business area: INSURANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
INSURANCE	Insurance Management Strategy, Policies and Procedures	Records documenting the development and establishment of the institution's insurance strategy, policies and procedures: key records.	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	Insurance Policy Management	Records documenting the arrangement and renewal of Employers' Liability insurance.	Expiry of policy + 6 years	Destroy	Limitation Act 1980
		Employers' Liability Insurance Certificates	Commencement/Renewal of policy + 40 years	Destroy	The Employers' Liability (Compulsory Insurance) Regulations (SI 1998/2573) Regulation 4(4)
		Records documenting the arrangement and renewal of insurance policies: all other insurance.	Expiry of policy + 6 years	Destroy	Limitation Act 1980
	Insurance Claim Administration	Records documenting claims, and the outcomes of claims, against insurance policies.	Settlement of claim + 6 years	Destroy	Limitation Act 1980

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Business area: PROCUREMENT

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
PROCUREMENT	Procurement Strategy, Policies and Procedures Development	Records documenting the development and establishment of the institution's procurement strategy, policies and procedures: key records.	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	Supplier Approval	Records documenting supplier evaluation criteria.	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval	Destroy	JISC HE Records Retention Schedules
		Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers.	Termination of approval	Destroy	JISC HE Records Retention Schedules
		Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection + 1 year	Destroy	JISC HE Records Retention Schedules
		Supplier database	While current	Destroy	JISC HE Records Retention Schedules
	Contract Tendering	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years	Destroy	Limitation Act 1980
		Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year	Destroy	JISC HE Records Retention Schedules

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Business area: PROCUREMENT

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		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	Destroy	JISC HE Records Retention Schedules
		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 contract + 6 years	Destroy	Limitation Act 1980
		Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 31 of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract + 6 years	Destroy	Limitation Act 1980
		Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2015 (SI 2015/102) or by Regulation 32(14) of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Termination of contract + 10 years	Destroy	Limitation Act 1980
		Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2015 (SI 2015/102) or for the Scottish Ministers, as required by the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Current year + 3 years	Destroy	JISC HE Records Retention Schedules
	Purchasing	Records documenting purchasing authorisation limits.	Superseded + 1 year	Destroy	JISC HE Records Retention Schedules

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Business area: PROCUREMENT

BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting internal authorisation for procurement.	Current financial year + 1 year	Destroy	JISC HE Records Retention Schedules
		Purchase Orders	Current financial year + 6 years	Destroy	Limitation Act 1980 HMRC 700/21
		Goods Received Notes/Goods Inwards Notes	3 months Current financial year + 6 years	Destroy	JISC HE Records Retention Schedules
	Contract Management	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	Destroy	Limitation Act 1980
		Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	Destroy	Limitation Act 1980

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Business area: CONSULTANCY

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
CONSULTANCY	Consultancy Strategy, Policies and Procedures Development	Records documenting the development and establishment of the institution's consultancy strategy, policies and procedures: key records.	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	Consultancy Prospect Management	Records documenting the handling of enquiries about consultancy, where no further action is taken.	Last action on enquiry + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	Receipt of notification that proposal/tender was unsuccessful + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.	Termination of contract + 6 years	Destroy	Limitation Act 1980
		Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is accepted (i.e. results in a contract): working papers.	Agreement of contract	Destroy	JISC HE Records Retention Schedules
	Consultancy Contract Management	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key records.	Termination of contract + 6 years	Destroy	JISC HE Records Retention Schedules
	Consultancy Project Delivery	Records documenting the management of consultancy projects: key records.	Termination of contract + 3 years	Destroy	JISC HE Records Retention Schedules
	Consultancy Project Management	Records documenting the scheduling of meetings, interviews and other project work.	Termination of contract	Destroy	JISC HE Records Retention Schedules
		Records documenting substantive project work.	Termination of contract + 3 years	Destroy	JISC HE Records Retention Schedules

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Business area: CONSULTANCY

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting project deliverables/outcomes: draft versions and working papers.	Termination of contract	Destroy	JISC HE Records Retention Schedules
		Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract + 6 years	Destroy	JISC HE Records Retention Schedules

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Business area: PLANNING & PERFORMANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
PLANNING & PERFORMANCE	Corporate Planning & Performance Management, Strategy, Policies and Procedures	Records documenting the development and establishment of the institution's corporate planning and performance management strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Strategic Performance Management	Records containing data on and analyses of, the institution's performance against its strategic plan.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records containing reports on the institution's performance against its strategic plan.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Operational Planning	Records documenting the development of the institution's annual operating plans: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Operational Performance Management	Records documenting the development of the institution's key performance indicators.	Superseded	Destroy	JISC HE Records Retention Schedules
		Records documenting benchmarking exercises with other comparable institutions.	Current + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting performance monitoring and analysis.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules

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Business area: PLANNING & PERFORMANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Management Information Collection, Analysis & Reporting	Dataset specifications and protocols for submission and collation of data.	Superseded	Destroy	JISC HE Records Retention Schedules
		Management information reports	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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Business area: GOVERNANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
GOVERNANCE	Governance Strategy	Records documenting the development and establishment of the institution's governance strategy: key records.	Superseded	Contact University Archives	Best Practice at the University of Warwick
	Governance Framework	Records documenting the establishment and development institution's governance structure and rules.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Statutory Committee Administration	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a statutory committee.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the appointment/election/designation of members of a statutory committee.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the unsuccessful applications to a statutory committee	Completion of application process + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the development of induction and training programmes for members of a statutory committee.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting training undertaken by individual members of a statutory committee.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the arrangements for meetings of a statutory committee.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the conduct of the business of a statutory committee: agenda, minutes and supporting papers.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick

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Business area: GOVERNANCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the conduct of the business of a statutory committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the conduct of reviews of the effectiveness and performance of a statutory committee.	Current academic year + 1 year Review to check details about the creation and disestablishment of committees	Destroy	Best Practice at the University of Warwick
		Register of interests of members of the institution's governing body.	Termination of appointment + 6 years	Destroy	Best Practice at the University of Warwick
	Non-Statutory Committee Administration	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Current academic year + 1 year Review to check details about the creation and disestablishment of committees	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the appointment/election/designation of members of a committee.	Transfer to University Archives once the record has passed out of active use.	Destroy	Best Practice at the University of Warwick
		Records documenting the development of induction and training programmes for members of a committee.	Superseded + 3 years	Destroy	Best Practice at the University of Warwick
		Records documenting training undertaken by individual members of a committee.	Termination of membership + 6 years	Destroy	Best Practice at the University of Warwick
		Records documenting the arrangements for meetings of a committee.	Current year + 1 year	Destroy	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current academic year + 1 year Review to check details about the creation and disestablishment of committees.	Destroy	Best Practice at the University of Warwick
	Executive Officers' Appointments Administration	Records documenting the appointment/ election/designation of the institution's executive officers.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Whistle-Blowing Public Interest Disclosure (Whistleblowing) Investigation	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998 .	Closure of case + 6 years	Destroy	Best Practice at the University of Warwick

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Business area: INSTITUTIONAL RESILIENCE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
INSTITUTIONAL RESILIENCE	Risk and Resilience Strategy, Policies and Procedures	Records documenting the development and establishment of the institution's risk management strategy, policies and procedures: key records.	Superseded + 6 years	Contact University Archives	Best Practice at the University of Warwick
	Institutional Risk Identification & Assessment	Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year	Destroy	Best Practice at the University of Warwick
	Business Continuity Planning	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	Destroy	Best Practice at the University of Warwick
	Emergency Contact List	Record documenting the emergency contact details of staff within a department	Terminations of Employment/Contract	Destroy	Best Practice at the University of Warwick
	Major Incident Logs	Records documenting the decisions taken during a major incident and the subsequent reports (Please refer to the University Major Incident Plan for a definition of a major incident)	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick

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Business area: INTERNAL AUDIT

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
INTERNAL AUDIT	Annual Planning, Strategy and Reporting to Audit and Risk Committee	Records documenting the annual Internal Audit plan and strategy, including changes made during the plan year.	Current financial year + 5 years Review every 2 years thereafter	Review	Best Practice at the University of Warwick
		Records documenting interim and final progress against annual plan.	Current financial year + 5 years Review every 2 years thereafter	Review	Best Practice at the University of Warwick
	Internal Audit Policies, Procedures and Templates	Master copies of Internal Audit's internal policies, procedures and templates.	Current year + 5 years	Destroy	Best Practice at the University of Warwick
	Self-assessment and External Review of Internal Audit	Records documenting periodic self-assessment of Internal Audit function.	Current year + 5 years Review every 2 years thereafter	Review	Best Practice at the University of Warwick
		Records documenting periodic external review of the Internal Audit function.	Current year + 10 years Review every 2 years thereafter	Review	Best Practice at the University of Warwick
	Internal Audit Assignment Management	Conduct and results of audits, and action taken to address issues raised.	Current year + five years Exception for records relating to ERDF funded projects (see below)	Destroy	Best Practice at the University of Warwick

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Business area: INTERNAL AUDIT

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Conduct and result of audits subject to legislation or external funder requirements.	Minimum of 6 years from date of publication Review every 2 years thereafter	Review	Best Practice at the University of Warwick
		Conduct and results of other Internal Audit assignments, including consulting engagements and investigations, and action taken to address issues raised.	Minimum of 6 years from date of publication. Review every 2 years thereafter	Review	Best Practice at the University of Warwick
		Internal Audit reports for all assignment types.	Permanent	Retain in Department	Best Practice at the University of Warwick
	External Service Providers	Contracts to engage external service providers of internal audit services.	Termination of contract/agreement awarded + 6 years	Destroy	Best Practice at the University of Warwick
		Internal Audit reports.	Permanent	Retain in Department	Best Practice at the University of Warwick

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Business area: LEGAL & COMPLIANCE SERVICES

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
LEGAL & COMPLIANCE SERVICES	Legal Framework	Records documenting the establishment and development of the institution's legal framework.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Legal Affairs Management Policy	Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Legal Affairs Management Procedure	Records documenting the development of the institution's procedures relating to the management of legal affairs.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Legal Claims 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.	End of claim + 6 years	Contact University Archives	Best Practice at the University of Warwick

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Business area: LEGAL & COMPLIANCE SERVICES

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Legal Advice	Records documenting legal advice requested by, and provided to, the institution concerning e.g.: <ul style="list-style-type: none"> • 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 	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting legal advice on other matters requested by, and provided to, the institution.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Contracts & Agreements Management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: agreements and contracts under seal (by deed).	Termination/end date of contract + 12 years	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: other contracts and agreements.	Termination/end date of contract + 6 years	Contact University Archives	Best Practice at the University of Warwick

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Business area: LEGAL & COMPLIANCE SERVICES

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Litigation Management	Records documenting litigation between the institution and third parties where legal precedents are set.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting litigation between the institution and third parties, which does not set legal precedents.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Data Protection Compliance - Legal	Records documenting the institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by the Data Protection (charges and information) Regulations 2018	Current year + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the handling of requests to exercise data subject rights under the GDPR 2016/679 and/or Data Protection Act 2018	Last action on request + 1 year	Destroy	Best Practice at the University of Warwick
		Records containing (anonymised) statistics, analyses and reports of requests to exercise data subject rights under the GDPR 2016/679 and/or Data Protection Act 2018	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Privacy Notices	Conclusion of the activity to which the Privacy Notice relates + 7 years	Destroy	Limitation Act 1980
	Freedom of Information Compliance - Legal	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36)	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick

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Business area: LEGAL & COMPLIANCE SERVICES

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36)	Completion of request handling process + 3 years	Destroy	Best Practice at the University of Warwick
	Environmental Information Compliance - Legal	Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391)	Completion of request handling process + 3 years	Destroy	Best Practice at the University of Warwick

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Business area: INTELLECTUAL PROPERTY RIGHTS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
INTELLECTUAL PROPERTY RIGHTS	IPR Exploitation Strategy and Policies	Records documenting the development and establishment of the institution's IPR exploitation strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	IPR Exploitation Procedure	Records documenting the development of the institution's procedures relating to IPR exploitation.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
		Master copies of procedures relating to IPR exploitation.	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	IPR Assignment	Records documenting the negotiation and completion of IPR assignments to third parties.	Life of IPR + 6 years	Destroy	Limitation Act 1980
	IPR Licensing	Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence + 6 years	Destroy	Limitation Act 1980
	IPR Strategy and Policies	Records documenting the development and establishment of the institution's IPR strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	IPR Management Procedure	Master copies of procedures relating to IPR management.	Superseded + 3 years	Destroy	JISC HE Records Retention Schedules
	IPR Protection	Records documenting the institution's applications for patents and patent certificates.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the institution's applications for other forms of IPR protection (registered trademarks, registered designs) and certificates of registration	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting applications for renewal of IPR protection, up to the maximum period permitted.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR.	Current year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting identified infringements of the institution's IPR, and action taken other than litigation.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
COPYRIGHT COMPLIANCE	Copyright Compliance Administration	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	Last action on application + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.	Period for which permission is granted + 6 years	Destroy	Limitation Act 1980
		Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the institution's participation in surveys/audits undertaken by the Copyright Licensing Agency.	Completion of survey/audit	Destroy	JISC HE Records Retention Schedules
		Records documenting the results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	Current + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements.	Last action on case + 1 year	Destroy	JISC HE Records Retention Schedules

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Business area: SECURITY & INFORMATION MANAGEMENT

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
SECURITY & INFORMATION MANAGEMENT	Security and Information Management Strategy and Policy Development	Records documenting the development and establishment of the institution's security and information management strategies and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Information Security and Information Management Lifecycle Assessment Form	Forms used to determine the level of information security and information management lifecycle when procuring a new system	Lifetime of System + 7 years	Destroy	Best Practice at the University of Warwick
	Records Management Procedure Development	Records documenting Records Management guidance and procedures	Superseded	Destroy	Best Practice at the University of Warwick
	Records Storage & Handling	Records documenting storage locations of records.	Superseded	Destroy	Best Practice at the University of Warwick
	Records Retention Schedule	Final versions of Records Retention Schedules	To be retained by the SIM team	N/A	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
HEALTH & SAFETY	Health & Safety Strategy, Policies and Procedures	Records documenting the development and establishment of the institution's health and safety strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Health & Safety Inspection	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 OR Superseded + 1 year	Destroy	JISC HE Records Retention Schedules
	Health & Safety Audit	Records documenting the conduct and results of health and safety audits.	Completion of audit + 5 years	Destroy	JISC HE Records Retention Schedules
	Health & Safety Consultation	Records documenting notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Termination of appointment + 1 year	Destroy	JISC HE Records Retention Schedules
		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 SI 1977/500).	Current year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at Work etc. Act 1974 (c. 37) and in accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Completion of election + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Completion of election + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly.	Current year + 50 years	Contact University Archives	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		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 (SI 1996/1513).	Current year + 5 years	Destroy	JISC HE Records Retention Schedules
		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 (SI 1996/1513).	Current year + 5 years	Destroy	JISC HE Records Retention Schedules
	Health & Safety Information, Instruction & Training Provision	Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	Current year + 5 years or Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	Health & Safety Hazard Identification & Risk Assessment	Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule.	Superseded + 5 years <i>As a minimum, risk assessments should be retained until they are superseded.</i> <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Health & Safety Hazard Exposure Control - Display Screen Equipment	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 10 years <i>As a minimum, risk assessments should be retained until they are superseded.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	Health & Safety Hazard Exposure Control - Noise	Records documenting the conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the provision of personal protective equipment to employees, to fulfil the institution's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Return of issued equipment + 1 year <i>A record of the issue of personal protective equipment should be included in an employee's staff record</i>	Destroy	Common Audit Requirement

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		Records documenting the maintenance of equipment provided to control exposure to noise, to fulfil the institution's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of examination/test/repair + 5 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting health surveillance of employees who are exposed to noise, carried out to fulfil the institution's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Date of last entry in record + 40 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the provision of information, instruction and training for employees who are exposed to noise, to fulfil the institution's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
	Health & Safety Hazard Exposure Control - Hazardous Substances	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents.	Current + 40 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3)

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		Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health.	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 6
		Records documenting the maintenance of equipment provided to control exposure to substances hazardous to health.	Date of examination/test/repair + 5 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4)
		Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health.	Last entry + 40 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(a)
		Records documenting the conduct and results of monitoring employees' general exposure to substances hazardous to health.	Last entry + 5 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 10(5)(b)
		Records documenting health surveillance of individual employees who are exposed to substances hazardous to health.	Date of last entry in record + 40 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 11(3)

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		Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the institution's response to accidents, incidents and emergencies involving substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	<p>Last action on event + 10 years</p> <p><i>Retaining records for a long period provides evidence of effective management of emergency situations.</i></p> <p><i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i></p>	Destroy	JISC HE Records Retention Schedules
	Health & Safety Hazard Exposure Control - Lead	Records documenting the conduct, review and revision of assessments of the risks to health created by work involving lead, to fulfil the institution's duties under Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	<p>Superseded + 10 years</p> <p><i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i></p> <p><i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i></p>	Destroy	JISC HE Records Retention Schedules
		Records documenting the maintenance of equipment provided to control exposure to lead.	Date of examination/test/repair + 5 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 8(4)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the conduct and results of monitoring employees' general exposure to lead (in air).	Last entry + 5 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 9(4)
		Records documenting medical surveillance of individual employees who are exposed to lead.	Date of last entry on record + 40 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2676) Regulation 10(5)
		Records documenting the provision of information, instruction and training for employees who are exposed to lead, to fulfil the institution's duties under Regulation 11 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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		Records documenting the institution's response to accidents, incidents and emergencies involving lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	<p>Last action on event + 10 years</p> <p><i>Retaining records for a long period provides evidence of effective management of emergency situations.</i></p> <p><i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i></p>	Destroy	JISC HE Records Retention Schedules
	Health & Safety Hazard Exposure Control - Asbestos	Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2012 (SI 2012/632).	<p>Completion of work to which the assessment relates + 10 years</p> <p><i>Retaining assessments provides evidence of effective management of risks over time.</i></p>	Destroy	JISC HE Records Retention Schedules

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		Records documenting the conduct, review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the preparation of written plans of work for undertaking work with asbestos.	Completion of work to which plan relates.	Destroy	Control of Asbestos Regulations (SI 2012/632) Regulation 7(2)
		Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Life of the building + 40 years <i>Retaining assessments provides evidence of effective management of risks associated with works carried out.</i>	Destroy	JISC HE Records Retention Schedules

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		Records documenting the provision of information, instruction and training for employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 10 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 70 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the maintenance of equipment provided to control exposure to asbestos.	Date of examination/test/repair + 5 years	Destroy	Control of Asbestos Regulations (SI 2012/632) Regulation 13(3)
		Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, to fulfil the institution's duties under Regulation 15 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Superseded + 70 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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		Records documenting the University's response to accidents, incidents and emergencies involving asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2012 (SI 2012/632).	<p>Last action on event + life of building + 40 years</p> <p><i>Retaining records for a long period provides evidence of effective management of emergency situations.</i></p> <p><i>A longer retention period may be appropriate if there have been potentially dangerous exposures</i></p>	Destroy	JISC HE Records Retention Schedules
		Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos.	Completion of work to which the assessment relates + life of the building + 40 years	Destroy	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(a)
		Records documenting the conduct and results of monitoring employees' general exposure to asbestos.	Date of monitoring + 5 years	Destroy	Control of Asbestos Regulations (SI 2012/632) Regulation 19(4)(b)
		Records documenting medical surveillance of individual employees who are exposed to asbestos.	Date of last entry on record + 40 years	Destroy	Control of Asbestos Regulations (SI 2012/632) Regulation 22(1)(b)

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		Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos.	Date of certificate + 4 years <i>In practice, these are likely to be retained as part of the health records required by Regulation 22 of SI 2012/632.</i>	Destroy	Control of Asbestos Regulations (SI 2012/632) Regulation 22(4)
	Health & Safety Hazard Exposure Control - Ionising Radiation	Records documenting the conduct, review and revision of assessments of the risks to health created by work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising Radiations Regulations	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the maintenance of personal protective equipment provided to control exposure to ionising radiation.	Date of examination/test/repair + 2 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 10(2)
		Records documenting the maintenance of other equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of examination/test/repair + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the preparation of contingency plans to deal with radiation accidents, to fulfil the institution's duties under Regulation 12 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded	Destroy	JISC HE Records Retention Schedules

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		Records documenting the provision of information, instruction and training for employees who are exposed to ionising radiation, to fulfil the institution's duties under Regulation 14 of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Superseded + 10 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i> <i>A longer retention period may be appropriate if there have been potentially dangerous exposures.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation.	Date of maintenance/testing + 2 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)
		Records documenting the monitoring of levels of ionising radiation in designated controlled areas.	Date of monitoring + 2 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant.	Date of assessment + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later. <i>Dose records are usually made and maintained by a dosimetry service on behalf of an employer. A dosimetry service provides summaries of dose records to an employer on whose behalf it makes and maintains the records.</i>	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 21(3)(a)
		Summaries of dose records.	Current year + 2 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7)
		Records documenting investigations into the exposure of 'classified persons' to ionising radiation.	Date of report of investigation + 2 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 22(4)
		Records documenting assessments of individual doses of ionising radiation received as a result of a radiation accident.	Date of accident + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 23(2)(b)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance.	Date of last entry + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 24(3)
		Reports of immediate investigations into possible overexposure to ionising radiation.	Date of report of investigation + 2 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(a)
		Reports of investigations into occurrences of overexposure to ionising radiation.	Date of report + 50 years OR Until the employee reaches (or would have reached, if deceased) 75 years, whichever is the later.	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(b)
		Records documenting tests to detect leakage from articles containing or embodying radioactive substances.	Completion of subsequent test on article OR Disposal of article + 2 years.	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 27(3)
		Records of the quantity and location of radioactive substances.	Disposal of radioactive substance + 2 years OR Date of record + 2 years, whichever is the longer.	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 28
		Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred.	Date of report + 2 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 30

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting immediate investigations into possible accidental release or theft of radioactive substances, where accidental release or theft was found to have occurred.	Date of report + 50 years	Destroy	Ionising Radiations Regulations (SI 2017/1075) Regulation 30
	Health & Safety Hazard Exposure Control – Non - Ionising Radiation	Hazard Exposure Control – Non ionising Radiation – Controlling and investigating exposure, assessing the risks to health, providing and maintain equipment to control exposure following ICNiRP guidelines, providing information, instruction and training for employees who are exposed to non-ionising radiation, monitoring levels of non-ionising radiation, testing to detect leakage from articles or equipment transmitting non-ionising radiations	Date of inspection/test/repair/training + 5 years	Destroy	EC Directives 2013/35/EC + ICNiRP guidelines
	Health & Safety Incident Recording, Reporting & Investigation	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises. <i>The contents of records to be kept are specified in Schedule 4 of (SI 2013/1471).</i>	Date of recording + 3 years	Destroy	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3) The Social Security (Claims and Payments) Amendment (No. 3) Regulations (SI 1993/2113) Regulation 2
		Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years	Destroy	JISC HE Records Retention Schedules

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		Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification + 3 years	Destroy	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (SI 2013/1471) Regulation 7(3)
	Health & Safety Incident Management	Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5).	Superseded + 5 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting fire safety arrangements made to fulfil the institution's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Superseded + 5 years <i>Retaining previous versions provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the nomination of 'competent persons' to implement fire-fighting measures to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person' <i>Retention of these records must comply with the provisions of the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679.</i> <i>'Competent persons' in this context are often referred to as 'fire wardens' or similar.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the provision of role-specific training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years <i>Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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		Records documenting the conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Review of assessment + 5 years <i>Retaining information about previous assessments provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the maintenance of premises, facilities and equipment to fulfil the institution's duties under Article 17 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years <i>Retaining maintenance history provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the appointment of 'competent persons' to assist in implementing fire safety measures to fulfil the institution's duties under Article 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Termination of status as 'competent person' <i>'Competent persons' in this context are often referred to as 'fire wardens' or similar.</i>	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years <i>Retaining information about previous drills etc. provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on the institution's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years <i>Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years <i>Retaining maintenance history provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the provision of fire safety training to employees to fulfil the institution's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years <i>Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the appointment of first aiders.	Termination of appointment	Destroy	JISC HE Records Retention Schedules
		Records documenting the provision of approved training for first aiders to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Current year + 3 years OR Superseded + 3 years <i>Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules
		Records documenting the provision of information about first aid arrangements to employees, to fulfil the institution's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years <i>Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Superseded + 3 years <i>Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.</i>	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
IT SERVICES	IT Systems Strategy and Policy Development	Records documenting the development and establishment of the institution's IT systems strategy and policies: key records.	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	IT Systems Management Procedure Development	Records documenting the development of the institution's procedures relating to the management of IT systems.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
		Master copies of procedures relating to the management of IT systems.	Superseded + 3 years	Destroy	JISC HE Records Retention Schedules
	IT Systems Development	Records documenting the initial development and post-implementation modification and maintenance of IT systems.	Decommissioning of system + 10 years	Destroy	Best Practice and the University of Warwick
		Records documenting the initial development of IT systems, which are not implemented.	Last action on development + 10 years	Destroy	Best Practice and the University of Warwick
		Records documenting the management of IT systems development projects (i.e. project management records).	Termination of project + 5 years	Destroy	JISC HE Records Retention Schedules
	IT Systems Operations Management	Records documenting the routine monitoring and testing of the operation of IT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting faults reported by users of IT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting user requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the maintenance of appropriate software licences for live IT systems.	Issue of new licence	Destroy	JISC HE Records Retention Schedules
	IT Systems Security Management	Records documenting the security arrangements for IT systems.	Decommissioning of system + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the opening, maintenance and closure of user accounts for IT systems.	Closure of account + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting routine monitoring of the use of IT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting attempted or actual security breaches of the institution's IT systems, and action taken.	Last action on incident + 1 year	Destroy	JISC HE Records Retention Schedules
		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	Destroy	JISC HE Records Retention Schedules
		Records documenting the removal/return of mobile IT systems hardware and software from/to the institution's premises.	Return of equipment + 3 months	Destroy	JISC HE Records Retention Schedules
		Records documenting arrangements for the sanitisation of institutional IT equipment prior to disposal.	Disposal of equipment + 1 year	Destroy	JISC HE Records Retention Schedules
	IT Systems Training	Records documenting the development of technical and application training for IT system users.	Superseded + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
HUMAN RESOURCES - GENERAL	Human Resources – General	Records relating to non-employees (i.e. honorary/visiting appointments)	While employment continues up to 7 years after employment ceases	Destroy	Limitation Act 1980
		Records relating to Variable Monthly Staff (VAM) (Personal record form, request to engage, contracts, right to work).	While worker engaged and up to 7 years after employment ceases.	Destroy	Limitation Act 1980

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WORKFORCE MANAGEMENT	Recruitment and Selection	Records of application forms (for all appointed applicants).	While employment continues and up to 7 years after employment ceases	Destroy	Limitation Act 1980
		Records of application forms for unsuccessful applicants where no Tier 2 sponsored person was appointed	6 months after notifying unsuccessful candidates	Destroy	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
		Records of application forms for unsuccessful applicants in the medium received where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Destroy	Limitation Act 1980
		Records documenting shortlisting information where no Tier 2 sponsored person was appointed.	6 months after the offer has been accepted by successful candidate	Destroy	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
		Records documenting shortlisting information for a role where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Destroy	Limitation Act 1980
		Records of interview notes, interview summary outcomes and any tests (appointee and unsuccessful interviewees) where no Tier 2 sponsored person was appointed.	6 months	Destroy	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)
		Records of interview notes, interview summary outcomes and any tests for all interviewed candidates (appointee and unsuccessful interviewees) where a Tier 2 sponsored person was appointed	For the life of the sponsorship plus 1 year (up to 7 years max)	Destroy	Limitation Act 1980
		Copies of unsuccessful candidate's right to work documents and qualifications taken at interview stage.	Completion of the recruitment process	Destroy	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Any references obtained for unsuccessful candidates	6 months after the offer has been accepted by successful candidate	Destroy	Best Practice at the University of Warwick
		Records documenting job descriptions and person specifications.	For however long operationally it is required	Destroy	Best Practice at the University of Warwick
		Copy of job description and person specification for a role where a Tier 2 sponsored person was appointed.	For the life of the sponsorship plus 1 year (up to 7 years max)	Destroy	Limitation Act 1980
		Records documenting job evaluation information.	While employment continues and up to 7 years after employment ceases	Destroy	Limitation Act 1980
		Records documenting internal authorisation for recruitment.	Current year + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the advertising of vacancies including screenshots of adverts and any further particulars taken on first day advertised by HR showing URL and date	Completion of recruitment process + 9 months unless post holder recruited is a Tier 2 visa holder, in which case the life of the sponsorship plus 1 year (7 years max)	Destroy	Immigration, Asylum and Nationality Act 2006 and Limitation Act 1980
		Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process	Destroy	Best Practice at the University of Warwick
		Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	Destroy	Best Practice at the University of Warwick

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		Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	Destroy	Best Practice at the University of Warwick
	Training and Development	Records documenting Postgraduate Certificate for Academic and Professional Practice (PCAPP) reports/completions and similar forerunner accredited courses.	Completion data: whilst employment continues and up to 7 years after employment ceases. Portfolios are usually retained for 2 years after completion/exam board, but when PCAPP is linked to probation, data and portfolios are kept until Probation Board has taken place.	Destroy	Limitation Act 1980
		Records documenting Personal Development Review's (PDR'S).	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting job-specific statutory/regulatory training requirements for the employee and the training provided to meet these requirements.	Whilst employment continues and up to 7 years after employment ceases. However, training records relating to hazard exposure control may need to be retained for longer. Refer to the Health & Safety section for details.	Destroy	Limitation Act 1980

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		Records relating to operational working practices to support training and development: the set-up, application/booking, administration, completion and feedback of training activities.	Up to 24 months beyond the completion of the e-learning activity.	Destroy	Best Practice at the University of Warwick
		Records documenting the employee's training and development needs (department), and the action taken to meet these needs (personal/career development learning history).	Department - for one previous year/ LDC - while employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting induction information undertaken by employee.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting the development, overall delivery and assessment of specific induction programmes for academic and professional services Heads of Department, Campus and Commercial Services Group (CCSG) and Estates induction and Welcome to Warwick.	Current year + 5 years.	Destroy	Best Practice at the University of Warwick
		Records documenting the administration of induction programmes.	Completion of programme + 1 year or termination of programme + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the administration of local departmental induction programmes.	Completion of programme + 1 year or termination of programme + 1 year	Destroy	Best Practice at the University of Warwick

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		Records containing summary information on workforce training and development needs. Training needs analysis for Estates and CCSG.	Current year and ongoing until reviewed.	Destroy	Best Practice at the University of Warwick
		Records documenting the development of training and development programmes to meet defined needs.	Current year + 1 year.	Destroy	Best Practice at the University of Warwick
		Records containing individual feedback on training and development programmes.	Current year + 1 year.	Destroy	Best Practice at the University of Warwick
		Records documenting (anonymised) workforce feedback on training and development programmes.	Current year + 5 years.	Destroy	Best Practice at the University of Warwick
		Records documenting management analyses of the impact of training and development programmes.	Current year + 5 years.	Destroy	Best Practice at the University of Warwick
		Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation + 2 years	Destroy	Best Practice at the University of Warwick
		Records containing summary (anonymised) results of workforce surveys and consultations.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the handling of individual applications for the Coaching and Mentoring Scheme and monitoring of the mentor-mentee relationship and outcomes.	Completion of the Scheme + 1 year	Destroy	Best Practice at the University of Warwick
	Pulse Staff Survey	Pulse staff survey responses	Completion of survey + retention of anonymised data for 6 years	Destroy	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
EMPLOYEE CONTRACT MANAGEMENT	Employee Contract Management	<p>Records documenting the employee's employment contracts with the University including changes to contract and terms and conditions.</p> <p>Pension benefits can relate to data covering many decades and benefits are paid over the lifetime of the member and any qualifying dependants. HR Pensions holds much source data which third parties and outside regulatory authorities could ask to see in the case of a dispute. The pension schemes will therefore wish to Destroy data only once the respective liabilities have been extinguished. This is kept under review.</p>	Destroy once respective liabilities have been extinguished	Retain Indefinitely	Legal obligation to carry out the efficient running of the pension schemes and provide information to the Pensions Regulator
		Records documenting formal case management of underperformance, sickness management, disciplinary and grievances.	If formal sanction outcome letter retained on the employee's personal file for the duration of the sanction. Case management information held for 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting annual leave (including requests to buy additional leave).	7 years	Destroy	Limitation Act 1980
		Records containing employee's basic personal details (e.g. change of address forms, change to personal details forms, emergency contacts).	Superseded and while employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980

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		For Tier 2 and 5 sponsored staff and visitors, a history of the person's current and all previous contact details to be kept (address & phone number)	For the life of the sponsorship and up to 1 year afterwards (up to 7 years max).	Destroy	Limitation Act 1980
		Personal record information (including bank details).	No longer than required in order to pay employee and deleted as soon after the cessation of employment as possible, once final payments have been made.	Destroy	Best Practice at the University of Warwick
		Records documenting the authorisation and administration of special leave (e.g. compassionate leave, study leave).	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting DBS information.	Should be deleted following recruitment process unless assessed as relevant to ongoing employment relationship. Once the conviction is spent should be deleted unless it is an excluded profession.	Destroy	Rehabilitation of Offenders Act 1974 and Information Commissioner's Employment Practices Code Part 1.7.4 and 2.15.3
		Records documenting disability frameworks and access to work reports.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Employment references received for employment at the University.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting exit interviews.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting TUPE transfers.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting the authorisation and administration of flexible working requests.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting qualifications and professional qualifications including affiliations / chartered membership if required for a role.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records of requests to access systems e.g. SAP, Cognos etc.	Whilst employee has access to system.	Destroy	Best Practice at the University of Warwick
		Records documenting the end of a fixed term contract and the consultation meeting notes.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting informal management processes including: one to one notes, records of informal discussions, return to works, informal letters of concern.	Whilst the process that the information is connected to is still current (this should be a maximum of 12 months).	Destroy	Best Practice at the University of Warwick

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		Records of leavers forms.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting the authorisation and administration of Maternity, Paternity, Adoption and Shared Parental Leave.	4 years after the end of the tax year in which the pay period ends. If a Tier 2 sponsored person records of dates of leave for the life of the sponsorship plus 1 year (up to 7 years max).	Destroy	For Maternity Leave: Regulation 26, Statutory Maternity Pay (General) Regulation 1986 (SI 1986/1960) and Limitation Act 1980
		Records documenting the authorisation and administration of Keeping In Touch (KIT) days.	4 years after the end of the tax year in which the maternity pay period ends.	Destroy	For Maternity Leave: Statutory Maternity Pay (General) Regulation 1986 (SI 1986/1960) and Limitation Act 1980
		Records documenting the authorisation and administration of statutory leave entitlements e.g. parental leave.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting employees' authorisation for non-statutory payroll deductions.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting references for mortgage, banks and visas.	For operational working period.	Destroy	Best Practice at the University of Warwick

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		Records of Occupational Health referrals and reports.	While employment continues and up to 10 years after employment ceases. For staff under health surveillance, health information should be kept for 40 years.	Destroy	Best Practice at the University of Warwick
		Records documenting an employee's probation.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting cases for promotion for academic staff	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting redeployment information.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting the employee's termination of employment by resignation, redundancy or dismissal.	7 years from the resignation, redundancy or dismissal.	Destroy	Limitation Act 1980
		Records documenting the authorisation and administration of requests for additional increments.	While employment continues and up to 7 years after employment ceases.	Destroy	Limitation Act 1980
		Records documenting information on restructures.	7 years from the restructure.	Destroy	Limitation Act 1980
		Records documenting right to work and immigration information.	2 years after the termination of employment.	Destroy	Immigration, Asylum and Nationality Act 2006 and Limitation Act 1980
		Records documenting settlement agreements.	7 years from the date of employment ending.	Destroy	Limitation Act 1980

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		Records documenting employment tribunal claims.	No longer than 7 years from the end of a claim or action.	Destroy	Limitation Act 1980
		Records documenting the employee's sickness absence information. Pension benefits can relate to data covering many decades and benefits are paid over the lifetime of the member and any qualifying dependants. HR Pensions holds much source data which third parties and outside regulatory authorities could ask to see in the case of a dispute. The pension schemes will therefore wish to Destroy data only once the respective liabilities have been extinguished. This is kept under review.	Destroy once respective liabilities have been extinguished	Retain Indefinitely	Legal obligation to carry out the efficient running of the pension schemes and provide information to the Pensions Regulator
		Records of working time opt-out forms.	3 years from the date on which they were entered into.	Destroy	Regulations 5 and 9, Working Time Regulations 1998 (SI 1998/1833)
		Records relating to hours worked and payments made to workers. Pension benefits can relate to data covering many decades and benefits are paid over the lifetime of the member and any qualifying dependants. HR Pensions holds much source data which third parties and outside regulatory authorities could ask to see in the case of a dispute. The pension schemes will therefore wish to Destroy data only once the respective liabilities have been extinguished. This is kept under review.	Destroy once respective liabilities have been extinguished	Retain Indefinitely	Legal obligation to carry out the efficient running of the pension schemes and provide information to the Pensions Regulator

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
EQUALITY, DIVERSITY & INCLUSION	Equality, Diversity & Inclusion	Records documenting the development and establishment of the institution's equality and diversity strategy: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the development and establishment of the institution's policies on equality and diversity: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the institutional and departmental Athena SWAN Charter Mark submissions, containing statistical and other pertinent information.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the preparation of the institution's Athena (Gender) equality submissions, plus final departmental Athena submissions.	Issue of submission + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the institutional Race Equality Charter Mark submission, containing statistical and other pertinent information.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the preparation of the institution's race equality submission.	Issue of submission + 1 year	Destroy	JISC HE Records Retention Schedules
		Annual Workforce Profile Report, which documents statistical information on the staff cohort of the University.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Termly Equality and Diversity Committee Papers plus papers to go to Steering, Senate and Council.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Dignity contact report forms (informal) plus monitoring database.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Surveys on equality, diversity and inclusion issues.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records documenting the development of the institution's procedures relating to the management of equality and diversity.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
		Master copies of procedures relating to the management of equality and diversity.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Records containing summary statistical information resulting from equality monitoring.	Current year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	Destroy	JISC HE Records Retention Schedules
		Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
STAFF REWARDS	Reward	Records documenting employee's remuneration and rewards (e.g. Merit Pay, Senior Performance and Remuneration Review (SPRR) and long service information).	While employment continues and up to 7 years after employment ceases	Destroy	Limitation Act 1980
		Records documenting recognition scheme awards	While employment continues and up to 7 years after employment ceases	Destroy	Limitation Act 1980

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
ESTATES MANAGEMENT	Estate Management Strategy and Policy Development	Records documenting the development and establishment of the institution's estate management strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Estate Management Procedure Development	Records documenting the development of the institution's procedures relating to estate management.	Issue of procedures + 1 year	Destroy	Best Practice at the University of Warwick
	Operational Management	Permits to work, roof, hot works, confined spaces etc. for all works	Date of completion of works then 3 years according to current Estates Health and Safety Policy OR in the case of any specific claims relating to an activity governed by a permit, this will be kept for 6 years after it is settled	Destroy	Limitation Act 1980
		Gas Safety Certificates including confirmation that the safety check has included an examination of the matters referred to in paragraphs (a) to (d) of regulation 26(9) of the Gas Safety (Installation and Use) Regulations 1998	End of year covered by the certificate + 2 years	Destroy	Health and Safety Executive Gas Records

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Refrigerant Gas Logs – Stationary Refrigeration and Air Conditioning Equipment containing more than 3kg of Fluorinated Greenhouse Gas are required to hold a records log. This should contain information about the Refrigeration gas company and their engineers that maintain the equipment, the leak checking results, any repairs and subsequent checks that were completed and any gas that was replaced or topped up. These records should be kept with the equipment and available for engineers to view before they commence work, the Environment Agency can request to see any records when required.	Creation of record + 5 years	Destroy	EC 2014 No 517 F-gas Regulations
		Minutes and Agendas from meetings with contractors	End of meeting year + 6 years	Destroy	National Archives Information Management Schedule-Buildings
		Maintenance contracts and related correspondence	End of contract period + 12 years	Destroy	The National Archives Records Management Retention Scheduling 5. Contractual Records
	Transport	Records of Driving licence checks for staff and students driving Vehicles owned, leased or loaned to the University, and on insurance provided by the University of Warwick or relevant insurance company	Retained for 6 months after superseded (in the case of the final check) and current record for 12 months after a student or staff has left'	Destroy	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Vehicle Check Sheets	Check sheets that record that each vehicle was checked each morning for oil, lights, radiator etc. As well as who was driving the vehicle that day	12 months after check sheet completed	Destroy	Best Practice at the University of Warwick
	Asset Management	Records documenting the value of the institution's capital assets.	Current financial year + 6 years	Destroy	Best Practice at the University of Warwick
		Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	Destroy	Best Practice at the University of Warwick
	Property Management - Property Acquisition	Records documenting the acquisition of ownership of properties.	Disposal of property + 12 years	Destroy	Best Practice at the University of Warwick
		Deeds of title for properties owned by the institution.	Disposal of property	Destroy	Best Practice at the University of Warwick
		Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	Destroy	Best Practice at the University of Warwick
		Records documenting the negotiation of leases and original lease agreements.	Expiry of lease + 15 years	Destroy	Best Practice at the University of Warwick
		Wayleave Agreements - Documents recording permission for access to land by utilities	Surrender, expire or termination + 12 years	Destroy	National Archives Information Management Schedule Buildings
		Memoranda of Terms (MOU) - Document recording the initial party's wishes for lease or license.	Surrender, expire or termination + 16 years	Destroy	National Archives Information Management Schedule Buildings
		Landlords Consents - Document recording consent from Landlord for works to property during a lease period	Surrender, expire or termination + 16 years	Destroy	National Archives Information Management Schedule Buildings
		Licences - Document recording the agreement between parties for specific conditional use of land or premises.	Surrender, expire or termination + 16 years	Destroy	National Archives Information Management Schedule Buildings

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Register of records and documents deposited in safe custody - Information register listing location and detail of property documents such as leases, licenses and title deeds.	Superseded	Destroy	National Archives Information Management Schedule Buildings
		Listed buildings consents and correspondence	5 years after issue if available digitally	Review	National Archives Information Management Schedule Buildings
	Property Development	Records documenting the development of properties.	Disposal of property	Destroy	JISC HE Records Retention Schedules
		Health and Safety File for a structure. These will only now be historical as these are now incorporated in the Operation & Maintenance manuals held by Estates, for all structures.	From commissioning to demolition of property OR disposal of interest in property	Transfer to new owner, or in case of demolition, Destroy	As required by Regulation 12(5) of the Construction Design and Management Regulations 2015 to any new owner.
		Operation & Maintenance Manuals. Folders and files containing manufacturers information, contractors instructions, contractors contact details and as built/installed drawings of the building fabric, as well as electrical & mechanical installations	From commissioning to demolition of property OR disposal of interest in property	Transfer to new owner, or in case of demolition, Destroy	Section 2 of the O&M, the Health and Safety file, is a statutory requirement and replaces Health and Safety File for a structure. This is a University of Warwick procedure
		Records documenting applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent.	Destroy	Best Practice at the University of Warwick
		Building specification file	End of contract + 6 years	Check corresponding as built information exists then Destroy	National Archives Records Management Retention Scheduling 5. Contractual Records
	Property Maintenance	Records documenting routine inspections of property.	Date of inspection + 5 years	Destroy	Best Practice at the University of Warwick
		Records documenting major maintenance works on property.	Disposal of property	Destroy	Best Practice at the University of Warwick

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		Records documenting minor maintenance works on property.	Completion of works + 15 years	Destroy	Best Practice at the University of Warwick
		Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Completion of work to which the assessment relates + life of building plus 40 years	Destroy	Best Practice at the University of Warwick
		Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it. (Condition Surveys)	Life of building + 40 years	Destroy	Best Practice at the University of Warwick
	Property Disposal	Records documenting the disposal of properties by sale, transfer or donation.	Disposal of property + 12 years	Destroy	Best Practice at the University of Warwick
	Property Security Management	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.	Completion of subsequent inspection	Destroy	Best Practice at the University of Warwick
		Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	Destroy	Best Practice at the University of Warwick
		Records of security passes issued to visitors	Expiry of pass + 1 month	Destroy	Best Practice at the University of Warwick
		Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the conduct of routine security surveillance of properties.	Creation + 1 month	Destroy	Best Practice at the University of Warwick
		Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year	Destroy	Best Practice at the University of Warwick
	Property Leasing-out	Records documenting leasing-out arrangements for properties.	Expiry of lease + 12 years	Destroy	Best Practice at the University of Warwick
	Space Management	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	Destroy	Best Practice at the University of Warwick

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	Facilities Management-Facilities Strategy and Policy Development	Records documenting the development and establishment of the institution's facilities strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Records documenting the development and establishment of the institution's facilities strategy and policies: working papers.	Issue of document + 1 year	Destroy	Best Practice at the University of Warwick
	Facilities Management Procedure Development	Records documenting the development of the institution's procedures relating to facilities management.	Issue of procedures + 1 year	Destroy	Best Practice at the University of Warwick
		Master copies of procedures relating to facilities management.	Superseded + 10 years	Destroy	Best Practice at the University of Warwick
	Facilities Development	Records documenting the specification of requirements for facilities.	Completion of works + 15 years	Destroy	Best Practice at the University of Warwick
		Records documenting the development of interior design and fit-out schemes.	Completion of works + 15 years	Destroy	Best Practice at the University of Warwick
		Records documenting the carrying out of interior decoration and fitting-out works.	Completion of works + 15 years	Destroy	Best Practice at the University of Warwick
	Facilities Maintenance	Records documenting routine inspections of facilities.	Completion of two subsequent inspections	Destroy	Best Practice at the University of Warwick
		Records documenting the carrying out of major maintenance works within facilities.	Completion of works + 15 years	Destroy	Best Practice at the University of Warwick
		Records documenting the carrying out of minor maintenance works within facilities.	Current year + 5 years	Destroy	Best Practice at the University of Warwick
	Facilities Security Management	Records documenting the conduct and outcomes of security inspections of facilities.	Completion of two subsequent inspections	Destroy	Best Practice at the University of Warwick
		Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month	Destroy	Best Practice at the University of Warwick

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		Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident + 1 year	Destroy	Best Practice at the University of Warwick
	Facilities Compliance Management	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection	Destroy	Best Practice at the University of Warwick
		Original licences and certificates	Superseded	Destroy	Best Practice at the University of Warwick
	Energy and Sustainability - Environmental Strategy, Policies and Procedures Development	Records documenting the development and establishment of the institution's environmental management strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
		Master copies of procedures relating to environmental management.	Superseded + 10 years	Destroy	Best Practice at the University of Warwick
	Environmental Audit	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	Destroy	Best Practice at the University of Warwick
	Environmental Hazard Identification & Risk Assessment	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	Destroy	Best Practice at the University of Warwick
	Environmental Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year	Destroy	Best Practice at the University of Warwick
	Environmental Awareness Promotion	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current + 5 years	Destroy	Best Practice at the University of Warwick

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	Environmental Incident Recording, Reporting & Investigation	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years	Destroy	Best Practice at the University of Warwick
		Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years	Destroy	Best Practice at the University of Warwick
		Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	Destroy	Best Practice at the University of Warwick
	Utilities Management	Records documenting routine monitoring of the institution's use and consumption of energy and water	Current year + 5 years	Destroy	Best Practice at the University of Warwick
		Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy and water, and action taken to address issues raised.	Completion of review + 5 years	Destroy	Best Practice at the University of Warwick
	Waste and Recycling - Waste Management	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).	Removal of waste consignment + 3 years	Destroy	The Special Waste Regulations (SI 1996/972) Regulation 15(4) <i>The Hazardous Waste (England and Wales) Regulations (SI 2005/894) repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here.</i>

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		Records documenting hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).	Removal of waste + 3 years	Destroy	The Hazardous Waste (England and Wales) Regulations (SI 2005/894) Regulation 49(1)
	Keep Campus Moving - Student Parking Certificate Application	Records documenting the application and subsequent correspondence relating to Student applications to park on campus successful	Notice of Decision + 4 years	Destroy	Best Practice at the University of Warwick
		Records documenting the application and subsequent correspondence relating to Student applications to park on campus unsuccessful	Notice of Decision + 12 months	Destroy	Best Practice at the University of Warwick

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Business area: EQUIPMENT MANAGEMENT

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
EQUIPMENT MANAGEMENT	Equipment & Consumables Strategy and Policy Development	Records documenting the development and establishment of the institution's equipment and consumables strategy and policies: key records.	Superseded + 5 years	Destroy	JISC HE Records Retention Schedules
	Equipment & Consumables Management Procedure Development	Records documenting the development of the institution's procedures relating to the management of equipment and consumables.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
		Master copies of procedures relating to the management of equipment and consumables.	Superseded + 3 years	Destroy	JISC HE Records Retention Schedules
	Equipment & Consumables Selection	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items	Life of item + 6 years	Destroy	Limitation Act 1980
		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	Destroy	JISC HE Records Retention Schedules
		Records documenting the development of specifications for, and the selection of, equipment/consumables: other items	Life of item	Destroy	JISC HE Records Retention Schedules
	Equipment & Consumables Storage	Records documenting the monitoring of the condition of stored equipment/consumables.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the stock inventory for equipment/consumables.	Superseded	Destroy	JISC HE Records Retention Schedules
		Records documenting routine stocktaking and stock checking.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the movement of stock into and from storage.	Current year + 1 year	Destroy	JISC HE Records Retention Schedules

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	Equipment Installation/Commissioning	Records documenting the installation of equipment: major items.	Decommissioning/removal + 6 years	Destroy	Limitation Act 1980
		Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal + 40 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the installation of equipment: other items.	Decommissioning/removal	Destroy	JISC HE Records Retention Schedules
		Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994 (SI 1994/3140).	Decommissioning/removal of plant <i>A Health and Safety File is transferred to the new owner when a structure is sold.</i>	Destroy	JISC HE Records Retention Schedules
		Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 11 (1) and 11 (2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Decommissioning	Destroy	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(i) and 11(2)(a)(iii)
		Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 11 (2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	Destroy	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(ii)
	Equipment Inspection, Testing & Maintenance	Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/ Removal + 6 years	Destroy	Limitation Act 1980
		Maintenance logs for equipment	Life of equipment + 6 years	Destroy	The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 5(2) Limitation Act 1980
		Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	Destroy	The Provision and Use of Work Equipment Regulations (SI 1998/2306) Regulation 6(3)
		Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Decommissioning/ Disposal + 15 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health, as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Date of examination/test/repair + 5 years	Destroy	The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4)
		Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2012 (SI 2012/632).	Date of examination/test/repair + 5 years	Destroy	The Control of Asbestos Regulations (SI 2012/632) Regulation 13(3)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead, as required by Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	Date of examination/test/repair + 5 years	Destroy	The Control of Lead at Work Regulations (SI 2002/2676) Regulation 8(4)
		Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation, as required by Regulation 11(2) of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of examination/test/repair + 2 years	Destroy	The Ionising Radiations Regulations (SI 2017/1075) Regulation 11(2)(b)
		Records documenting the examination, testing and repair of other equipment provided to control exposure to ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of examination/test/repair + 5 years	Destroy	The Ionising Radiations Regulations (SI 2017/1075) Regulation 10(1)
		Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, as required by Regulation 19(4) of the Ionising Radiations Regulations 2017 (SI 2017/1075).	Date of maintenance/testing + 2 years	Destroy	The Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c)
		Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 11 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of subsequent report OR date of report + 2 years, whichever is the later	Destroy	The Lifting Operations and Lifting Equipment Regulations (SI 1998/2307) Regulation 11(2)(a)(iv)
	Equipment & Consumables Disposal	Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		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 + 15 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal of item + 6 years	Destroy	Limitation Act 1980
		Records documenting the transfer of ownership of equipment/consumables.	Disposal of item + 1 year	Destroy	JISC HE Records Retention Schedules

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Business area: MODERN RECORDS CENTRE (UNIVERSITY ARCHIVES)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
MODERN RECORDS CENTRE (UNIVERSITY ARCHIVES)	Archives Strategy, Policies and Procedures Development	Records documenting the development and establishment of the institution's archives strategy, policies and procedures: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Archives Acquisition	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	Preserve	Best Practice at the University of Warwick
		Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	Preserve	Best Practice at the University of Warwick
		Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	Preserve	Best Practice at the University of Warwick
	Archives Organisation & Description	Records documenting the institution's scheme of arrangement for its archives.	Life of records arranged according to the scheme	Preserve	Best Practice at the University of Warwick
		Records documenting the development of the institution's standard descriptive model for its archives.	Life of records described using the model	Preserve	Best Practice at the University of Warwick
		Records containing the descriptions of the records held as archives.	Life of records	Preserve	Best Practice at the University of Warwick
	Archives Storage & Handling	Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the movement of archives from/to storage.	Return of items + 1 year	Destroy	Best Practice at the University of Warwick
	Archives Access Control	Records documenting requests for access to archives.	Last action on request + 3 years	Destroy	Best Practice at the University of Warwick
	Archives Conservation	Records documenting conservation work undertaken on items in the archives.	Life of records	Preserve	Best Practice at the University of Warwick
	Archives Disposal	Records documenting authorisation for the disposal of de-accessioned records.	Permanent	Preserve	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Archives Promotion & Exploitation	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Superseded	Destroy	Best Practice at the University of Warwick
		Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	Superseded	Destroy	Best Practice at the University of Warwick
		Records documenting enquiries about (items in) the archives, and the responses provided. Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.	Last action + 5 years	Destroy	Best Practice at the University of Warwick
		Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	Current + 3 years	Destroy	Best Practice at the University of Warwick
		Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).	Last action on project + 5 years	Destroy	Best Practice at the University of Warwick
		Records documenting loans of items from the archives to third parties.	Termination of loan + 5 years	Destroy	Best Practice at the University of Warwick

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Business area: PUBLICATIONS & COLLECTIONS

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
PUBLICATIONS & COLLECTIONS	<p>The following section is based on the activities described in SPECTRUM, the UK Museum Documentation Standard. SPECTRUM is published by the Museums Documentation Association (MDA). References to SPECTRUM in this publication refer to Version 5.0.</p> <p>SPECTRUM sets out 21 procedures, of which 8 are identified as Primary Procedures. This section reflects 7 of the 8 Primary Procedures.</p>				
	Collections Strategy and Policy Development	Records documenting the development and establishment of the institution's collections strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Collections Management Procedure Development	Records documenting the development of the institution's procedures relating to collections management.	Issue of procedures + 1 year	Destroy	Best Practice at the University of Warwick
		Master copies of procedures relating to collections management.	Superseded + 3 years	Destroy	Best Practice at the University of Warwick
	Collections Promotion	Records documenting the design and development of promotional materials.	While materials are current	Destroy	Best Practice at the University of Warwick
		Records documenting academic and expert enquiries about collections and the responses given.	Permanent	Retain in Department	Best Practice at the University of Warwick
	Collections Use	Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are rejected.	Last action on request / proposal + 1 year.	Destroy	Best Practice at the University of Warwick
		Records documenting the authorised use of collections or objects, and actions taken to facilitate, monitor or control use (e.g. checking environmental conditions, handling / operating objects; taking samples from objects)	Permanent	Retain in Department	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Object Receipt	Records documenting the receipt of objects which are not currently part of the institution's collections. SPECTRUM: Object Entry Records	Permanent	Retain in Department	Best Practice at the University of Warwick
	Object Borrowing	Records documenting loans of objects to the institution by other organisations or by individuals. SPECTRUM: Loans In (borrowing objects)	Permanent	Retain in Department	Best Practice at the University of Warwick
	Object Acquisition	Records documenting the acquisition of objects for the institution's collections. SPECTRUM: Accession Records	Permanent	Retain in Department	Best Practice at the University of Warwick
	Object Location & Movement Control	Records documenting the location and movement of objects within the institution's premises. SPECTRUM: Location and Movement Records	Permanent	Retain in Department	Best Practice at the University of Warwick
	Object Cataloguing	Records documenting key information about objects in the institution's collections. SPECTRUM: Catalogue Records	Permanent	Retain in Department	Best Practice at the University of Warwick
	Object Dispatch	Records documenting objects which have left the institution's premises. SPECTRUM: Object Exit Records	Permanent	Retain in Department	Best Practice at the University of Warwick
	Object Lending	Records documenting loans of objects to other organisations or to individuals. SPECTRUM: Loans Out (lending objects)	Permanent	Retain in Department	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Publications Acquisition	Records documenting the process of selecting publications to purchase.	Completion of purchase	Destroy	Best Practice at the University of Warwick
		Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	Destroy	Best Practice at the University of Warwick

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
RELATED COMPANIES - GENERAL	Related Companies Strategy and Policy Development	Records documenting the development and establishment of the institutions related companies' strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Procedure Development	Records documenting the development of the institution's procedures relating to the formation and management of related companies.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
	Formation	Records documenting the formation of the related company.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Oversight & Review	Records documenting the oversight and periodic review of the performance of the related company.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Exit / Wind-up	Records documenting the winding-up of the related company or the disposal of the institution's interest in it.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
COMMERCIAL SERVICES - GENERAL	Commercial Services Strategy and Policy Development	Records documenting the development and establishment of the institution's commercial services strategy and policies: key records.	Superseded + 3 years	Destroy	JISC HE Records Retention Schedules
	Commercial Services Procedure Development	Records documenting the development of the institution's procedures relating to the commercial services.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
CUSTOMER RELATIONS MANAGEMENT (Commercial Services)	Customer Relations Management (Commercial Services)	Records documenting enquiries about the commercial services and the responses provided.	Last action on enquiry + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of complaints from customers of the commercial services.	Last action on complaint + 3 years	Destroy	JISC HE Records Retention Schedules
		Records documenting unsolicited customer feedback on the commercial services and the responses provided.	Last action on feedback + 3 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the design of commercial services customer surveys and the (anonymised, if necessary) analysis of responses.	Last action on survey + 3 years	Destroy	JISC HE Records Retention Schedules
		Individual responses to commercial services customer surveys.	Completion of analysis of responses	Destroy	JISC HE Records Retention Schedules
	Public Engagement Network	Records of internal contacts (to University of Warwick) who have signed up to hear about public engagement news and opportunities.	Contact details retained until requested to be removed or details become demonstrably defunct.	Destroy	Best Practice at the University of Warwick

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STUDENT SERVICES - GENERAL	Student Services Strategy and Policy Development	Records documenting the development and establishment of the institution's student services strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Procedure Development	Records documenting the development of the institution's procedures relating to the student services.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
CUSTOMER RELATIONS MANAGEMENT (Student Services)	Customer Relations Management (Student Services)	Records documenting enquiries about the student services and the responses provided.	Last action on enquiry + 1 year	Destroy	JISC HE Records Retention Schedules
		Records documenting the handling of complaints from customers of the student services.	Last action on complaint + 3 years	Destroy	JISC HE Records Retention Schedules
		Records documenting unsolicited customer feedback on the student services and the responses provided.	Last action on feedback + 3 years	Destroy	JISC HE Records Retention Schedules
		Records documenting the design of student services customer surveys and the (anonymised, if necessary) analysis of responses.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
		Individual responses to student services customer surveys.	Completion of analysis of responses	Destroy	JISC HE Records Retention Schedules

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Business area: TEACHING - GENERAL

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TEACHING - GENERAL	Teaching Strategy and Policy Development	Records documenting the development and establishment of the institution's teaching strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Teaching Procedure Development	Records documenting the development of the institution's procedures relating to teaching.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
LEARNING - GENERAL	Learning Support Strategy and Policy Development	Records documenting the development and establishment of the institution's learning support strategy and policies: key records.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	JISC HE Records Retention Schedules
	Learning Support Procedure Development	Records documenting the development of the institution's procedures relating to learning support.	Issue of procedures + 1 year	Destroy	JISC HE Records Retention Schedules
	Learning Support Resource Development	The types of records produced will depend on the type of resource being developed.	Life of resource + 2 years	Destroy	JISC HE Records Retention Schedules
	Learning Support Resource Delivery	The types of records produced will depend on the type of resource being developed.	Life of resource + 2 years OR Current year + 1 year	Destroy	JISC HE Records Retention Schedules

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK ACCOMMODATION – ALLOCATIONS	Accommodation Contract	Records documenting the establishment of formal contractual relationship between Warwick Accommodation and Student; Electronic	Termination of contract + 6 years	Destroy	Limitation Act 1980
		Records documenting the establishment of formal contractual relationship between Warwick Accommodation and Student; Manual	Termination of contract + 6 years	Destroy	Limitation Act 1980
	Short Term Let Agreement	Records documenting the establishment of a letting agreement between Warwick Accommodation and Student; Electronic, Manual	End of academic year + 1 year	Destroy	Best Practice at the University of Warwick
	Allocation Plan	Records documenting the development and establishment of the Warwick Accommodation Allocation Plan for the corresponding year.	Superseded + 10 years	Destroy	Best Practice at the University of Warwick
	Allocation Policy	Records documenting the development and establishment of the Warwick Accommodation Allocation Policy for the corresponding year.	Superseded + 10 years	Destroy	Best Practice at the University of Warwick
	Accommodation Application	Records documenting the students application to accommodation provided by Warwick Accommodation; Successful applications	Superseded by the contract if accepted (see contracts)	Destroy	Limitation Act 1980
		Records documenting the students application to accommodation provided by Warwick Accommodation; Unsuccessful applications	Start of current academic year + 1 year	Destroy	Best Practice at the University of Warwick

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University of Warwick Records Retention Schedule (RRS)

Business area: Warwick Accommodation – Allocations

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records documenting the students application to accommodation provided by Warwick Accommodation; Specific requirements – supporting evidence	Decision + 3 months	Destroy	Best Practice at the University of Warwick
	Accommodation Enquires	Records documenting the handling of enquiries from prospective and current students	Current academic year + 2 years	Destroy	Best Practice at the University of Warwick
	Information packs and other advice publications for students	Published documentation made available to public; Brochures etc.	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Inventories	Records documenting the room facilities associated with the contracted room and common areas	End of academic year + 6 years	Destroy	Limitation Act 1980
	Rents	Records documenting the development and establishment of Warwick Accommodation rents for the corresponding year.	Superseded + 10 years	Destroy	Best Practice at the University of Warwick
	Students Lists	Records documenting the collation of students in list format for information purposes; Business need	Superseded or end of academic year	Destroy	Best Practice at the University of Warwick
	Transfer Requests Form	Records documenting the request to alter student allocation	End of current academic year	Destroy	Best Practice at the University of Warwick
	Academic Withdrawal Requests	Record from Student Records documenting students withdrawal request that may result in termination of accommodation licence; Warwick accommodation resident	End of Licence + 1 year	Destroy	Best Practice at the University of Warwick

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University of Warwick Records Retention Schedule (RRS)
Business area: Warwick Accommodation – Allocations

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Fault Reporting	Records documenting faults reported by occupants of Warwick Accommodation residences, and action taken to investigate and resolve the problem	End of current academic year + 1 year	Destroy	Best Practice at the University of Warwick
	Mass Hall Allocator	Record documenting the process of allocating students into halls of residence via a random ballot	End of current academic year + 1 year	Destroy	Best Practise at the University of Warwick
	Residential Life Application Templates and Warden Instructions	Record documenting the allocation of students to residences based on their application information and specific requirements	End of current academic year	Destroy	Best Practise at the University of Warwick
	Off Campus Allocation	Record documenting the student allocations and transfers for the Warwick Accommodation Off Campus portfolio	End of current academic year + 1 year	Destroy	Best Practise at the University of Warwick
	Off Campus Property Contact Details	Records documenting the collection of contact details of current occupants in Warwick Accommodation properties, in order to add to adverts for prospective occupants to view	End of current academic year	Destroy	Best Practise at the University of Warwick
	Arrival and Departure Key Slips	Records documenting the collection and return of student keys, these will be scanned and saved to the students accommodation profile and associated with the contract	Termination of contract + 6 years	Destroy	Best Practice at the University of Warwick

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Business area: Warwick Accommodation - Off campus

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK ACCOMMODATION - OFF CAMPUS	Head Leasing Scheme (HLS) Enquiries	Records documenting enquiries from current and prospective landlords	Last action + 1 year	Destroy	Best Practice at the University of Warwick
	Rent Assessments	Records documenting the development and establishment of proposed rents offered to landlords for the corresponding year	Superseded + 1 year	Destroy	Best Practice at the University of Warwick
	Head Leasing Scheme Application	Records documenting the landlords application to Head Leasing Scheme (HLS) provided by Warwick Accommodation; Successful applications	Superseded by the contract if accepted (see contracts)	Destroy	Best Practice at the University of Warwick
		Records documenting the landlords application to HLS provided by Warwick Accommodation; Unsuccessful applications (University rejects property)	Start of current academic year	Destroy	Best Practice at the University of Warwick
		Records documenting the landlords application to HLS provided by Warwick Accommodation; Unsuccessful applications (landlord rejects offer)	Start of current academic year + 1 year	Destroy	Best Practice at the University of Warwick
	HLS Contract	Records documenting the establishment of formal contractual relationship between University of Warwick and Landlord; Electronic	Termination of contract + 6 years	Destroy	Limitation Act 1980
		Records documenting the establishment of formal contractual relationship between University of Warwick and Landlord; Manual	Termination of contract + 6 years	Destroy	Limitation Act 1980
	Landlord Land Registry Details	Records documenting landlord property ownership for information purposes; Business need	While current + 1 year	Destroy	Best Practice at the University of Warwick

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Business area: Warwick Accommodation - Off campus

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Landlord Lists	Records documenting the landlord name and address; contact details, in list format for information purposes; Business need	Superseded or end of academic year	Destroy	Best Practice at the University of Warwick
		Records documenting the Company landlord name, company registration number and address; contact details, in list format for information purposes; Business need	Superseded or end of academic year	Destroy	Best Practice at the University of Warwick
	Landlord Invoices	Records documenting remedial and compliance work	End of Licence + 6 years	Destroy	Best Practice at the University of Warwick
	Landlord Bank Details	Records documenting landlord's bank details, and address of relevant property	End of Licence + 6 years	Destroy	Best Practice at the University of Warwick
	FP20 SharePoint	Records documenting landlord's proposed contractual arrangement; Agreed	End of Licence + 6 years	Destroy	Best Practice at the University of Warwick
		Records documenting landlord's proposed contractual arrangement; Not agreed	Current + 1 year	Destroy	Best Practice at the University of Warwick
	Contractor Key Log	Records documenting the signing in and out of Warwick Accommodation property keys for the purpose of contractor use	Current academic year + 1 year	Destroy	Best Practice at the University of Warwick
	Student Key Log	Records documenting the return of Warwick Accommodation student property keys at the end of tenancy	End of tenancy + 1 year	Destroy	Best Practice at the University of Warwick
	MyFiles	Student Occupancy list, sent to ITS to facilitate administration of Myfiles, updated termly	Superseded or end of academic year	Destroy	Best Practice at the University of Warwick
	Student Car Parking Agreements	Records documenting the agreement between Warwick Accommodation and the customer for the use of parking facilities in Warwick Accommodation properties	End of agreement + 6 years	Destroy	Best Practice at the University of Warwick

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Business area: Warwick Accommodation - Off campus

BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Out of Hours Contact List	Record documenting contact details for emergency call out purposes	Supersedes current list	Destroy	Best Practice at the University of Warwick
	Approved Contractors List	Record documenting details of approved third party contractors used by Warwick Accommodation	Supersedes current list	Destroy	Best Practice at the University of Warwick

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Business area: Warwick Accommodation – Staff & Family Housing

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK ACCOMMODATION – STAFF & FAMILY HOUSING	Assured Short hold Tenancy Agreement	Records documenting the establishment of formal contractual relationship between Staff and Family Housing and individual; Manual	Termination of contract + 6 years	Destroy	Housing Act 1988 and Limitation Act 1980
	Staff & Family Accommodation Application	Records documenting the individuals application for accommodation provided by Staff and Family Housing; Successful applications	Superseded by the contract if accepted (see AST agreement)	Destroy	Limitation Act 1980
		Records documenting the individuals application for accommodation provided by Staff and Family Housing; Unsuccessful applications	End of decision process or add to waiting list	Destroy	Best Practice at the University of Warwick
		Records documenting the individuals application for accommodation provided by Staff and Family Housing; Waiting List	End of academic year if unsuccessful	Destroy	Best Practice at the University of Warwick
	Tenancy	Records documenting the individuals occupation of Staff & Family Housing and the activities that facilitate the occupancy; Council tax, Utility Bills, rent collection etc.	Termination of Tenancy + 1 year	Destroy	Best Practice at the University of Warwick
	Right to Rent Check	Records documenting checks are carried out to confirm that a tenant or lodger can legally rent a residential property in England	End of Tenancy + 1 year	Destroy	Section 22 of the Immigration Act 2014
	Relocation Service	Records documenting the individuals enquiry for assistance when relocating to The University of Warwick and processes associated	End of enquiry and annually reviewed	Destroy	Best Practice at the University of Warwick
	Staff and Family Room Inspections	Record documenting the condition of a property to check the maintenance and cleanliness in relation to tenancy dates	End of Tenancy + 1 year or until final account finalised, whichever is sooner	Destroy	Best Practice at the University of Warwick

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Business area: Warwick Accommodation – Staff & Family Housing

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Staff and Family Car Parking Application	Record documenting the application for car parking permits for Staff and Family properties	End of tenancy/submission (whichever is sooner) + 12 months	Destroy	Best Practice at the University of Warwick

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University of Warwick Records Retention Schedule (RRS)

Business area: CAMPUS CLEANING SERVICES

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
CAMPUS CLEANING SERVICES	Campus Room Inspections	Record of termly room inspections to check the maintenance and cleanliness of the campus bedrooms	Current academic year + 1	Destroy	Best Practice at the University of Warwick
	Contractor Signing-in Sheets	Record documenting the signing in and out of approved contractors to perform works in students residences as per the UUK Code of practice requirements	12 months	Destroy	Best Practice at the University of Warwick
	Damage Charge Dockets	Records documenting student charges caused by damage to rooms or common areas	Current academic year + 1	Destroy	Best Practice at the University of Warwick
	Staff Key Signing Forms	Record documenting the signing out and in of pass fobs to Accommodation staff to bedrooms and common areas as per their allocated work	Current academic year + 1	Destroy	Best Practice at the University of Warwick
	Room Access Records	Record documenting the access to bedrooms of all in-house staff and contractors as per the UUK Code of Practice requirements	Current academic year + 1	Destroy	Best Practice at the University of Warwick

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University of Warwick Records Retention Schedule (RRS)
Business area: WARWICK MANUFACTURING GROUP (WMG)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK MANUFACTURING GROUP (WMG)	Offsets Contract	Copies of contracts and associated schedules (plus Minutes of Steering Group meetings) pertaining to Offsets contracts. These are maintained as exemplars for future contracts (for e.g. implementation schedules, costings).	End of Contract + 10 years	Destroy	Best Practice at the University of Warwick

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University of Warwick Records Retention Schedule (RRS)

Business area: WARWICK MEDICAL SCHOOL (WMS)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK MEDICAL SCHOOL (WMS)	Undergraduate Assessments	Summative and Formative Assessments	Retained for two years following final exam board	Destroy	University of Warwick Examination Regulations
	Postgraduate Assessments	Summative and Formative Assessments	Retained for two years following final exam board	Destroy	University of Warwick Examination Regulations
	Fitness to Practise Medical Schools Council (MSC) Excluded Students' Database (Warwick Medical School) – MB ChB Students	<p>WMS held Fitness to Practise records of excluded students' data entered onto the MSC Excluded Students by WMS:</p> <ul style="list-style-type: none"> • Known name(s) including any changes of name by Deed Poll • Current gender and gender at birth • Date of birth • Name of the school which the student was excluded from • UCAS ID • Photograph • A copy of the outcomes letter at the end of fitness to practise proceedings <p>This is an externally managed database used by Medical Schools (including Warwick Medical School) in line with the Protocol (see citation) to securely share fitness to practise information in order to protect the public from risk and to prevent fraudulent applications to courses which lead to entry to a registered profession in the UK.</p>	<p>This is held by WMS</p> <p>Completion of procedure letter, issued + 12 months</p> <p>N.B. the information is held for 10 years on the externally managed excluded students database</p>	Destroy	Protocol for sharing information on students found unfit to practise on courses leading to entry to a registered profession. The protocol set out that the General Medical Council (GMC) and MSC and participating schools will not use the data supplied for any purpose other than that set out in the protocol.

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Business area: WARWICK MEDICAL SCHOOL (WMS)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Health, Welfare and Professionalism and Fitness to Practise	Health, Welfare and Professionalism and Fitness to Practise records for students who achieve full registration with the GMC, normally at the end of their Foundation Year 1 training placement.	Up to a maximum of three years and 30 days after graduation with the award of MB ChB.	Destroy	Protocol for sharing information on students found unfit to practise on courses leading to entry to a registered profession. The protocol set out that the GMC, MSC and Dental Schools' Council and participating schools will not use the data supplied for any purpose other than that set out in the protocol.
	Health, Welfare and Professionalism and Fitness to Practise	Health, Welfare and Professionalism and Fitness to Practise records for students that permanently withdraw from the course with an award of BMed Sci or without an award.	Completion of procedure letter, issued + 12 months	Destroy	Protocol for sharing information on students found unfit to practise on courses leading to entry to a registered profession. The protocol set out that the GMC, MSC and Dental Schools' Council and participating schools will not use the data supplied for any purpose other than that set out in the protocol.
	Health, Welfare and Professionalism and Fitness to Practise – Diploma in Orthodontic Therapy students	Health, Welfare and Professionalism and Fitness to Practise records for Diploma in Orthodontic Therapy students who successfully complete the course and achieve registration with the GDC as an Orthodontic Therapist.	Graduation + 2 years	Destroy	Protocol for sharing information on students found unfit to practise on courses leading to entry to a registered profession. The protocol set out that the Dental Schools' Council and participating schools will not use the data supplied for any purpose other than that set out in the protocol.

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Business area: WARWICK MEDICAL SCHOOL (WMS)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Health, Welfare and Professionalism and Fitness to Practise – Diploma in Orthodontic Therapy students	Health, Welfare and Professionalism and Fitness to Practise records for Diploma in Orthodontic Therapy students who permanently withdraw from the Diploma in Orthodontic Therapy course without an award.	Completion of procedure letter, issued + 12 months	Destroy	Protocol for sharing information on students found unfit to practise on courses leading to entry to a registered profession. The protocol set out that the Dental Schools' Council and participating schools will not use the data supplied for any purpose other than that set out in the protocol.
	Post-Graduate Taught Professional Projects	The Record detailing the output of Post-Graduate Taught Professional Projects	Retained for two years following final exam board	Destroy	Best Practice at the University of Warwick

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Business area: WARWICK ARTS CENTRE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK ARTS CENTRE	Engagement Records for Arts Centre Customers	Individuals who have engaged* with Warwick Arts Centre e.g. bookers, attenders, donors, visitors etc. *Engagement can include: attending a performance or event (paid or unpaid), purchasing or being signed up as a member, being a subscriber, making an Education, Schools and Group booking, making an enquiry, opening an email, visiting website or signing up to a mailing list.	Last engagement with Warwick Arts Centre + 6 years (cease communications activity after 3 years)	Destroy/Anonymise record if permission is withdrawn or when 6 year period has elapsed	Best Practice at the University of Warwick
	Donation Records	Fundraising to individuals who have engaged with Warwick Arts Centre	Duration of relationship + 7 years	Destroy/Anonymise record if permission is withdrawn or when 7 year period has elapsed	The Development and Alumni Relations Office (DARO) Retention Policy for Donors Gift Aid

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University of Warwick Records Retention Schedule (RRS)
Business area: HUMANITIES RESEARCH CENTRE

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
HUMANITIES RESEARCH CENTRE	Book Proposals	Unsuccessful book proposal – created for Routledge to consider a publication – not taken any further.	Current academic year + 6 months	Destroy	Best Practice at the University of Warwick
		Successful book proposal – created for Routledge to consider a publication – taken on by Routledge.	Current academic year + 3 years	Destroy	Best Practice at the University of Warwick
	Conference Proposals	Unsuccessful conference application – proposal for HRC funding and support for a conference – rejected.	Current academic year + 6 months	Destroy	Best Practice at the University of Warwick
		Successful conference application – proposal for HRC funding and support for a conference – supported.	Current academic year + 3 years	Destroy	Best Practice at the University of Warwick
	Conference Online Booking Forms	To enable delegates to register (and pay) to attend the conference.	Completion of Event + 6 months	Destroy	Best Practice at the University of Warwick
	Internal Research Funding	Unsuccessful applications – for the HRC to consider providing funding for the research activity mentioned in the application – rejected.	Current academic year + 6 months	Destroy	Best Practice at the University of Warwick
		Successful applications - for the HRC to consider providing funding for the research activity mentioned in the	Current academic year + 3 years	Destroy	Best Practice at the University of Warwick

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Business area: STUDENT OPPORTUNITY (SO)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
STUDENT OPPORTUNITY (SO)	Workshops	Records relating to the design and development of credit bearing modules of taught programmes	Transfer to University Archives once the record has passed out of active use.	Contact University Archives	Best Practice at the University of Warwick
	Student surveys and analysis of student data	Including but not limited to work experience, bursary, myAdvantage records, student feedback	Current academic year + 5 years with data anonymised or pseudoanonymised (where anonymisation is not possible)	Destroy	Best Practice at the University of Warwick
	Student attendance data	Registers of attendance for SO events including (but not limited to) skills workshops, employer events, volunteering activities	Current academic year	Destroy	Best Practice at the University of Warwick
	Student attendance data	myAdvantage and Warwick Volunteers database records relating to student attendance at SO events including (but not limited to) skills workshops, employer events, volunteering activities	Last log-in after Graduation + 3 years	Records anonymised by Career Hub for myAdvantage. Records deleted from WV database	Best Practice at the University of Warwick
	Student Enquiries	Records documenting enquiries from students or alumni	Last action + 1 year	Destroy	Best Practice at the University of Warwick
	Contact details for potential event speakers	For events including but not limited to Inspiring Women, Careers Sector Events etc.	Last Contact + 3 years	Destroy	Best Practice at the University of Warwick
	Student References	Provision of references for students relating to SO activities only	1 year	Destroy	Best Practice at the University of Warwick

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Business area: WARWICK EMPLOYMENT GROUP (WEG)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK EMPLOYMENT GROUP (WEG)	Recruitment and Selection Registered Candidates (that never applied for a role)	Website account details for unsuccessful Unitemps candidates who have never applied for a job or worked though Unitemps (records include name, address, contact information, university details if applicable, skills and experience, referees and CV)	2 years from the last date of any activity on Unitemps website unless candidate has requested deletion in which case delete immediately	Destroy	Warwick Employment Group (WEG) Best Practice
	Recruitment and Selection Registered Candidates (that applied for roles but were unsuccessful)	Website account details for unsuccessful Unitemps candidates who have applied for roles but never worked for Unitemps (records include name, address, contact information, university details if applicable, skills and experience, referees, CV, interview notes)	2 years from the last date of any activity on Unitemps website unless candidate has requested deletion in which case delete 1 year after last application	Destroy	Conduct of Employment Agencies and Employment Business Regulations 2003 (Conduct Regulations)
	Recruitment and Selection Registered Candidates (that applied for roles)	Covering letters, application details, shortlisting records, criminal conviction statement – yes/no	1 year from date of unsuccessful application 2 years from end of assignment for successful applicants	Destroy	Conduct of Employment Agencies and Employment Business Regulations 2003 (Conduct Regulations)

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Business area: WARWICK EMPLOYMENT GROUP (WEG)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Recruitment and Selection Website registration details and details for candidates who have worked for Unitemps	The website registration details include: <ul style="list-style-type: none"> Contact details University details Skills/experience Qualifications Referees References CV Interview Notes 	2 years from the last date of any activity on Unitemps website records are hidden and are inaccessible to staff and users. After 7 years, records are then Destroyed. For deletion requests all records are hidden immediately and then deleted 2 years after the candidate last worked and 1 year after last application.	Destroy	Conduct of Employment Agencies and Employment Business Regulations 2003 (Conduct Regulations) Limitation Act 1980
	Recruitment and Selection Details for candidates who have worked for Unitemps	<ul style="list-style-type: none"> Name Date of birth Details of assignments Terms of engagement with temporary worker Confidentiality agreements Records held relating to right to work in the UK Notification and consideration of reasonable adjustments 	Records are deleted 7 years after candidate last worked through Unitemps, (must also be 1 year after last application and 2 years of inactivity on the website) For deletion requests all records are hidden immediately and then deleted 7 years after the candidate last worked and 1 year after last application.	Destroy	Conduct of Employment Agencies and Employment Business Regulations 2003 (Conduct Regulations) Working Time Regulations 1998 Limitation Act 1980 Immigration, Asylum and Nationality Act 2006 and Limitation Act 1980

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Business area: WARWICK EMPLOYMENT GROUP (WEG)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Contract Management	<p>National Minimum Wage documentation:</p> <ul style="list-style-type: none"> • Total pay by the worker and the hours worked by the worker • Overtime/shift premiums; • Any deduction or payment of accommodation; • Any absences e.g. rest breaks, sick leave, holiday; • Any travel or training during working hours and its length; <p>Total number of hours in a pay reference period – this sets the averaging period to calculate whether a worker has been paid NMW e.g. workers paid weekly have a pay reference period of one week</p>	<p>7 years after candidate last worked through Unitemps, (must also be 1 year after last application and 2 years of inactivity on our website)</p> <p>7 years after candidate last worked through Unitemps for deletion requests</p>	Destroy	<p>National Minimum Wage Act 1998</p> <p>Limitation Act 1980</p>
	Contract Management	Completion of payroll new starter (and amendment) forms so that temps can be set up on the WUEL payroll by the Payroll Office (bank details, national insurance numbers, etc)	No longer than required in order to set the temp up on the WUEL payroll (within 3 months)	Destroy	Warwick Employment Group (WEG) Best Practice
	Pension Administration	We are given access to reports from pensions on the eligibility of temps for the pensions scheme and we write to them to inform them of their status and to give them information on the scheme	Accessing of Report + 1 year	Destroy	Warwick Employment Group (WEG) Best Practice

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Business area: WARWICK EMPLOYMENT GROUP (WEG)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Search Higher - Recruitment and Selection	Work-seeker records including application form/CV, details of assignments, suitability checks and interview notes for unsuccessful candidates	SearchHigher retains candidate's personal data for 2 years after the date on which they last provided work-finding services. (contacting candidates, assessing suitability, putting forward for job opportunities and managing relationship with candidates) Upon expiry of that period SH will seek further consent. Where consent is not granted SH will delete the data held	Destroy	Conduct of Employment Agencies and Employment Business Regulations 2003 (Conduct Regulations)
	Jobs.ac.uk – Jobs by email account registration	Job-seeker record to enable sign up to our jobs by email service (name, email address, job search preferences including location, marketing preferences)	After 2 years of inactivity on the account	Destroy	Warwick Employment Group (WEG) Best Practice
	Marketing	Online jobseeker surveys	Opening of survey + 1 year	Destroy/Anonymise	Warwick Employment Group (WEG) Best Practice
	College.jobs.ac.uk - Website Account Registrations	Job seeker accounts to enable them to sign up for jobs by email service and to apply for certain jobs (name, email address, job search preferences including location, marketing preferences)	After 1 year of inactivity on their account	Destroy	Warwick Employment Group (WEG) Best Practice
	Recruitment	Job applications made through the website for certain roles (both unsuccessful and successful)	Applications for jobs are kept for 180 days	Destroy	Warwick Employment Group (WEG) Best Practice

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
	Account Management	Client contact details	7 years from last activity	Destroy	Conduct of Employment Agencies and Employment Business Regulations 2003 (Conduct Regulations)
	Marketing	Collection of contact details of potential writers for articles and blogs on our websites.	Last correspondence + 2 years	Destroy	Warwick Employment Group (WEG) Best Practice

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Business area: CAMPUS SECURITY

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
CAMPUS SECURITY	Security	Records documenting the conduct and results of security inspections of properties, and action taken to address issued raised.	Creation + 2 years	Destroy	Universities UK (UUK) Code of Practice for the Management of Student Housing
		Records documenting property access controls to secure areas (e.g. access registers, security data logs).	Creation + 1 year	Destroy	Best Practice at the University of Warwick
		Records documenting the conduct of routine Security surveillance of properties/facilities.	Completion of subsequent inspection	Destroy	Best Practice at the University of Warwick
		Records documenting occurrences of unauthorised access to facilities, and action taken.	Creation + 6 years	Destroy	Best Practice at the University of Warwick
		Incident Reports	Current academic year + 6 years	Destroy	Best Practice at the University of Warwick
	Car Parking	Car Park Permits	Current academic year + 6 years	Destroy	Best Practice at the University of Warwick
		Car Park Enforcement documents (parking tickets etc.)	Current academic year + 6 years	Destroy	Best Practice at the University of Warwick
		Car Park Application Forms	Current academic year + 6 years	Destroy	Best Practice at the University of Warwick
	Logs	Key Issue / Return Logs	Creation + 2 years	Destroy	Best Practice at the University of Warwick
		Visitor Log	Creation + 1 month	Destroy	Best Practice at the University of Warwick
	Events	Outdoor Event Forms	Creation + 1 years	Destroy	Best Practice at the University of Warwick
		External Speaker and Major Event Form	Creation + 2 years	Destroy	Best Practice at the University of Warwick

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Business area: WARWICK CONFERENCES

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK CONFERENCES	Event Management	Sales Folder – contains contractual and financial information	Current year + 6 years	Destroy	Warwick Conferences Best Practice
		Working Event Folder – containing operational information and external client personal & sensitive information relating to the event	End of event + 1 year	Destroy	Warwick Conferences Best Practice
		Guest and Event Organisers email of material to Warwick Conferences	End of event + 3 months	Destroy	Warwick Conferences Best Practice
		Full Event Management Service – contains all delegate registration and payments, contractual and financial information, exhibition organisation, speaker liaison, sponsors and all associated communication and planning	Current year + 6 years	Destroy	Warwick Conferences Best Practice
		Client Presentations (sent in advance in preparation for their event)	End of event + 7 days	Destroy	Warwick Conferences Best Practice
	Administration	Operational Information – Handover diaries, day to day operational communications between departments & shifts, meeting notes, guest names, contact details, room numbers, special requests, diets and accessibility	End of calendar year + 2 years	Destroy	Warwick Conferences Best Practice
		Internal Communications (word document, email, handover diary, Duty Managers log)	End of calendar year + 2 years	Destroy	Warwick Conferences Best Practice
	Client Relationship Management	Qualtrics system holding personal contact information that the guest has logged requesting feedback.	Completion of survey + 6 months	Destroy	Warwick Conferences Best Practice
	Management Systems	Bed & Breakfast Bookings	Day of departure + 7 years	Destroy	Warwick Conferences Best Practice

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Delegate Registration Information	End of event + 7 years	Destroy	Warwick Conferences Best Practice
		Kinetic Core Module	End of event + 7 years	Destroy	Warwick Conferences Best Practice
		Kinetic Warwick Food & Drink Catering Module	End of event + 7 years	Destroy	Warwick Conferences Best Practice
	Finance	Guest Charges	Current year + 6 years	Destroy	Warwick Conferences Best Practice
		Records producing forecasted and actual hours worked against income	Current year + 6 years	Destroy	Warwick Conferences Best Practice
	Sales	Prospect Customer Data (including name and contact details)	Current year + 6 years	Destroy	Warwick Conferences Best Practice
	Guest Records	Registration cards	Day of departure + 1 year	Destroy	Warwick Conferences Best Practice
		Records of Guests registering for Log on codes for guest computers	Date of registration + 1 year	Destroy	Warwick Conferences Best Practice
		Guest Wi-Fi Registration Information	Date of registration + 1 year	Destroy	Warwick Conferences Best Practice
		Records of Lost Property	3 months	Destroy	Warwick Conferences Best Practice
		Records showing parcel delivery/storage/collection information for event organisers	3 months	Destroy	Warwick Conferences Best Practice
	Event Production	Records of consent for filming and photographs on behalf of a client	Date of signed consent + 5 years	Destroy	Warwick Conferences Best Practice
		Storage of raw video footage and photographs on behalf of the client	Date of storage + 5 years	Destroy	Warwick Conferences Best Practice
	Marketing	Mailings and mailshots	Date of consent + 7 years	Destroy	Warwick Conferences Best Practice
		Photos and Video's containing personal images or footage	Date of signed consent + 5 years	Destroy	Warwick Conferences Best Practice

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Business area: WARWICK CONFERENCES

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
		Records of consent for filming and photographs for marketing use	Date of signed consent + 5 years	Destroy	Warwick Conferences Best Practice
		Exhibitions Data	Receipt of data + 7 years	Destroy	Warwick Conferences Best Practice
		Communication Data that includes any communication that you send to us whether that be through our website, through email, text, social media messaging, social media posting or any other communication that you send us. We process this data for the purposes of communicating with you.	Receipt of data + 2 months	Destroy	Warwick Conferences Best Practice
		Marketing Data that includes data about your preferences in receiving marketing from us and our third parties and your communication preferences. We process this data to enable you to partake in our offers and promotions.	Receipt of data + 7 years	Destroy	Warwick Conferences Best Practice

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Business area: WARWICK VOLUNTEERS (WV)

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BUSINESS AREA	ACTIVITY	RECORD GROUP	RETENTION PERIOD	ACTION AT END OF RETENTION PERIOD	CITATION
WARWICK VOLUNTEERS (WV)	Student volunteering activity	Records relating to the volunteering activities including (but not limited to) projects, roles and volunteering hours.	Current academic year + 7 years	Destroy	Best Practice at the University of Warwick
	Student attendance data	Registers of attendance for WV training sessions and workshops	Current academic year + 7 years	Destroy	Best Practice at the University of Warwick
	Session Feedback/ Surveys	Including but not limited to session feedback, annual feedback and volunteering fair.	Current academic year + 5 years with data anonymised or pseudoanonymised (where anonymisation is not possible)	Destroy	Best Practice at the University of Warwick
	DBS application	Supporting documentation for DBS application	Application date + 1 year	Destroy	Best Practice at the University of Warwick
	Certificate of Good Conduct (CoGC)	Records documenting CoGC information	Current academic year + 7 years	Destroy	Best Practice at the University of Warwick
		Supporting documentation for CoGC	Current academic year + 1 year	Destroy	Best Practice at the University of Warwick
	Contact details for external partners	Records documenting external partners and for events including but not limited to the Volunteering Fair	Last Contact + 3 years	Destroy	Best Practice at the University of Warwick
	Offices held by student volunteers	Student Executive and Project Leader roles	Current academic year + 7 years	Destroy	Best Practice at the University of Warwick
	Student Testimonials	Including but not limited to feedback and case studies	Current academic year + 7 years	Destroy	Best Practice at the University of Warwick
	Marketing	Records of consent for filming and photographs for marketing use	Date of signed consent + 5 years	Destroy	Best Practice at the University of Warwick
	Student Subscriber/ Recruitment lists	List of active volunteers who subscribe to the newsletter	Current academic year + 7 years	Destroy	Best Practice at the University of Warwick

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