

Governance, Management and Administration Retention Schedule

Version Control and Approval

Version Number	Comments	Author	Date
V1.00	First stand-alone version. Content taken from old university-wide retention schedule and amendments made based on Jisc guidance and consultation with University Archivist.	David Jenkins (Records Manager)	July 2020
V2.00	Reviewed by key stakeholders. Increase in retention period for access to information requests. New section on Legal Services.	David Jenkins (Records Manager)/Rebecca Lord (Head of Strategic Planning)	November 2022

Version Number	Approved by	Date
V2.00	Aashish Khadia (Director of Planning Legal and Governance Services)	23 November 2022

Implementation Guidance

Principles to follow

- It is good practice to proactively dispose of records on a regular basis (at least once a year if not more frequently). This helps make the disposal/review process more manageable by keeping the quantity of records in your systems/storage locations to a manageable volume. If no proactive disposal takes place then it can make carrying out a review of records complex and time consuming (typically coinciding with the need to move offices or cleanse data from a system).
- Disposal actions need to be carried out when records are no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed). Retention periods will start to apply once a 'trigger' has been reached. For student data this will generally be the end of their studies. It is very rare for retention periods to start from the creation of a record.
- Retention rules apply to all information regardless of its format. This means that the same retention periods should apply to paper records as well as electronic records. The only exception to this might be when data has been extracted from a paper record and input into a system (i.e. transcribing information into a database and then regarding the information in this database as 'the record'). In cases where information has been transcribed it is usually beneficial to retain the paper original for a short period of time in case of any data quality concerns over the transcribed data.
- In order to make the proactive disposal of information easier it is good practice to store information in a way that supports the eventual disposal process. Examples might include arranging folders on the X:Drive by academic year so that a retention rule can be applied at the end of year. Similarly it is best practice to avoid large spreadsheets or database that include all of a School/Department's students over multiple cohorts as this can make the eventual disposal complex and time consuming, in these cases it is best practice to have a single spreadsheet/database based on a cohort year.
- The University Archives are the corporate memory of the University. Information transferred to the archive, in paper or digital form, is preserved permanently for staff, students, alumni and non-members of the University community to research within (subject to Information legislation). The Archives and Special Collections pages on the Library website tell you more about what we want to collect and how to transfer records, or you can [email the team](#) with any questions.

Records Management Policy

Where to go for more information

- For information on student data held locally please contact the relevant school or departmental Operations Manager in the first instance.
- For any queries about retention periods that are not covered by this retention schedule or records management in general please contact [Records Management](#).

Contents

1. Governance and Decision making	6
2. Organisation, Policy, Strategy and Structure	6
3. Project management	7
4. Relations Management.....	8
5. Managing quality and performance.....	8
6. Information Management and Compliance	9
7. Enquiries, Communications, and Complaints	9
8. Legal Services.....	10

Records Management Policy

1. Governance and Decision making

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.01	Preparing for meetings	Agendas, Administrative notes	Destroy 6 years from creation	Business Requirement	Records retained by designated Committee Secretary or relevant servicing office
1.02	Recorded decision and business of strategic decision making bodies including Council, Senate or Court, or committees of Council, Senate or Court	Minutes, Reports	Permanent. Transfer to Archives 6 years from creation	Business Requirement	Records retained by designated Committee Secretary or relevant servicing office and offered Archives and Special Collections
1.03	Recorded decision and business of operational decision making bodies including divisional team meetings, working groups, ad hoc groups	Minutes, Reports	Destroy 6 years from creation	Business Requirement	Records retained by designated Committee Secretary or relevant servicing office <u>Note:</u> Some ad hoc groups for special events might be of long term historical value. For these please contact the University Archivist.
1.04	Documenting the high-level governance framework of the University	Charter, Ordinances, Regulations	Permanent. Offer to Archives.	Business Requirement	Archives and Special Collections

2. Organisation, Policy, Strategy and Structure

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.01	Records documenting the organisational structure of the University	Organisational charts	Permanent. Offer to Archives.	Business Requirement	Archives and Special Collections



Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.02	Approved strategic and regulatory policies and procedures	Policies and associated procedures	Permanent. Offer to Archives.	Business Requirement	SharePoint/Planning/Archives and Special Collections
2.03	Operational procedures	Operational procedures, Guidance	Destroy 6 years from end of operational use	Business Requirement	Schools/Departments/Divisions
2.04	Documenting the high-level strategic goals and objectives of the University.	Strategies, Goals and Objectives, Reviews	Permanent. Offer to Archives.	Business Requirement	SharePoint/Archives and Special Collections
2.05	Operational strategies and business planning	Local Strategies, Area and Team Plans	Destroy 6 years from end of operational use	Business Requirement	Planning/Schools/Departments/Divisions

3. Project management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.01	Documentation associated with formal and non-formal project management	Project Initiation documents, Highlight reports, Project Plans	Destroy 6 years from end of project	Business Requirement	Schools/Departments/Divisions <i>Note:</i> Some project documents might be required for business as usual purposes. In these cases records should be transferred to the appropriate business unit for storage with other records

Records Management Policy

4. Relations Management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.01	Management of high level relations with external and government bodies	Finalised Statutory Returns	Permanent. Offer to Archives	Business Requirement	Planning Archives and Special Collections
4.02	Management of routine relations with external bodies	Preparations for Statutory Returns	Destroy 6 years from submission of return	Business Requirement	Planning
4.03	Agreed memoranda of understanding between the University and other bodies	Memoranda of Understanding	Permanent. Offer to Archives	Business Requirement	Archives and Special Collections

5. Managing quality and performance

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.01	Reporting on and analysing quality and performance	Reports	6 years from creation	Business Requirement	Schools/Departments/Divisions
5.02	Assessing quality and performance (involving the collection of personal data)	Feedback forms	3 years from collection of data	Data Protection Act 2018	Schools/Departments/Divisions
5.03	Assessing quality and performance (not involving the collection of personal data)	Statistics	10 years from collection of data	Business Requirement	Schools/Departments/Divisions

Records Management Policy

6. Information Management and Compliance

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.01	Documents relating to access requests received under statutory legislation	Data Subject Access Requests, Freedom of Information Requests, Environmental Information Regulation Requests	Destroy 6 years from closure of request	Business Requirement	Information Assurance Services
6.02	Handling requests from police where information is held by the University	Police requests	Destroy 6 years from closure of case	Business Requirement	Information Assurance Services
6.03	Handling requests from police where information is not held by the University	Police requests	Destroy 1 year from closure of case	Business Requirement	Information Assurance Services
6.04	Assessing and managing privacy related issues	DPIAs, Advice and guidance, Monitoring	Destroy 6 years from cessation of activity/last action	Business Requirement	Information Assurance Services
6.05	Documenting the disposal of information	Disposal certificates	Destroy 6 years from year of disposal	Business Requirement	Records Management
6.06	Management of the storage of information	Off-site storage inventories, Record surveys	Retain while records are in storage	Business Requirement	Records Management

7. Enquiries, Communications, and Complaints

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
7.01	Management in summary form of enquiries, compliments and complaints	Register of comments	Permanent. Offer to Archives	Business Requirement	Schools/Departments/Divisions/ University Archives



Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
7.02	Detailed management of enquiries, compliments and complaints	Enquiries; Complaints, Compliments	Destroy 6 years from resolution of case	Business Requirement	Schools/Departments/Divisions
7.03	Routine communications to University staff	Email memoranda	Destroy 3 years from date created	Business Requirement	Schools/Departments/Divisions

8. Legal Services

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.01	The provision of routine (non-contract/project specific) legal advice	One off pieces of advice	Destroy 12 months from date of advice	Business Requirement	Legal Services
8.02	The provision of contract/project specific legal advice	Advice related to contracts/projects	Destroy 6 years from date of advice	Business Requirement	Legal Services