

# Library and Learning Services

# Retention Schedule

# Records Management Policy

## Version Control and Approval

Version Number	Comments	Author	Date
V1.00	First stand-alone retention schedule	Joanne Dunham (Deputy University Librarian), David Jenkins (Records Manager)	August 2022

Version Number	Approved by	Date
V0.01	Draft distributed for comments to Library Management Team	Dec 2021
V1.00	First version approved by Director of Library and Learning Services	October 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 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no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed).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



UNIVERSITY OF  
LEICESTER

# 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](#).

# Records Management Policy

## Contents

1. Library and Student Enquiries.....	5
2. Content Services.....	6
3. Academic Engagement.....	7
4. Archives and Special Collections.....	8
5. Research Services.....	9

## 1. Library and Student Enquiries

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.01	Managing library registration and usage	Registration, usage, debtor information	Destroy 6 year from termination of library membership	Business requirement; Limitations Act 1980	Alma, Myritrac (laptop lockers)
1.02	User feedback (containing personal data)	Feedback forms; emails	Destroy 1 year from resolution	Business requirement	Email inboxes, LibAnswers
1.03	User Enquiries	Enquiries	Destroy identifiable data 1 year from resolution of enquiry	Business requirement	LibAnswers  <u>Please note:</u> anonymised enquiry data will be retained
1.04	Library promotion	Leaflets, events	Review 3 years from last use. Some material may be offered to archives	Business requirement	X:Drive



## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.05	Monitoring usage of library spaces (under the remit of University Librarian), library access	Group study space bookings; turnstile data	Destroy 3 years from end of academic year		Sentry and Connect2

### 2. Content Services

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.01	Processing requests for information resources containing copyright declarations	Copyright forms; scanning and photocopying forms	Destroy 7 years from fulfilment of request/signing declaration	Limitations Act 1980	Alma
2.02	The process of obtaining permissions from rights holders for use of published materials in teaching (which are time limited)	Reading List Digitisations and Course Pack Photocopying	Destroy 7 years from end of academic year or from date of expiry of permission (if longer)	Business requirement	SharePoint ; X:Drive
2.03	The process of recording outstanding scanning and photocopying requests, queries, orders from BL & NLS (which are granted in perpetuity)	Log of requests	Permanent	Business requirement	SharePoint; X:Drive
2.04	The process of obtaining permissions from rights holders for use of published materials in teaching (which are granted in perpetuity)	Reading List Digitisations and Course Pack Photocopying	Permanent	Business requirement	X:Drive
2.05	The provision of accessible scans	Requests	Destroy 7 years from end of academic year	Business requirement	X:Drive

## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.06	The process of providing digitisation requests	Digitisation requests	Destroy 6 years from end of academic year	Business requirement	TADC (Talis Aspire Digital Content)
2.07	Pricing rights and licences for library resource (in particular subscriptions and databases)	Subscription files; Invoices	Destroy 6 years from end of academic year	Business requirement	X:Drive
2.08	Managing and monitoring (inc. disposal) of library resource storage locations)	Quotes for stock moves	Destroy 6 years from end of academic year	Business requirement	X:Drive

### 3. Academic Engagement

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.01	Creating and managing reading lists	Published Reading Lists	Destroy 5 year from removal of associated module	Business requirement	Talis Aspire
3.02	Trend analysis of reading lists	Reports on reading lists; book usage reports	6 year from end of academic year	Business requirement	MS Teams; X:Drive
3.03	The processing of registering students to enable them to use NHS Open Athens	Registrations	Destroy 1 year from expiry of account	Business requirement	NHS Open Athens
3.04	Delivering Library academic skills and support	Statistics, teaching materials; online resources ; booking details	3 years from end of operational use training materials	Business requirement	Target Connect; X:Dive
3.05	Relationship management	Notes from SSCs, Academic Committees	6 year from end of academic year	Business requirement	[INSERT AND FURTHER INFORMATION]
3.06	Managing Library Champions – formal agreements	Volunteer Agreements	Destroy 4 years from end of engagement	Business requirement	Microsoft Forms; X:Drive



## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.07	Managing Library Champions – routine administration	Application forms; project sign up forms; activity logs; correspondence	Destroy 1 year from end of engagement	Business requirement	Microsoft Forms; X:Drive' Email Inboxes; MS Teams
3.08	Outputs of Library Champions	Reading lists; Blog posts; PowerPoint presentations; Guidance documents; Survey responses ; Infographics; Instagram posts; Newsletters	Destroy 6 years from end of academic year	Business requirement	Microsoft Forms; Social media channels; SharePoint; X:Drive

### 4. Archives and Special Collections

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.01	Accessioning and cataloguing archival collections	Accession and catalogue records	Permanent	Business requirement	CALM
4.02	Managing information on archive depositors	Collection Files	Permanent	Business requirement	CALM and A&SC X:Drive
4.03	Managing correspondence relating to copyright for digitised collections	Correspondence	Destroy 6 years from end of academic year	Limitations Act 1980	A&SC X:Drive
4.04	Formal copyright/licences relating to digitised collections	License agreements	Permanent	Business requirement	A&SC X:Drive
4.05	Processing of requests for copies of items from Special Collections	Copyright forms	Destroy 7 years from copy request	Business requirement	A&SC X:Drive
4.06	Governance of archive and special collection projects	Digital outputs; Evaluation	Destroy 6 years from end of project	Business requirement	A&SC X:Drive





## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.07	Managing volunteers in Archives and Special Collections project	Volunteers log; volunteer agreement forms; references	2 years from end of volunteering	Business requirement	A&SC X:Drive

### 5. Research Services

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.01	Providing information to funders	End of grant report; financial data	Destroy 6 years from end of academic year	Business requirement	Research Services X:Drive
5.02	Managing and monitoring workshops	Training and advocacy workshops; attendee lists; feedback	Destroy 2 years from end of academic year	Business requirement	Research Services X:Drive
5.03	Providing advice relating to research data and open access	Bespoke advice; correspondence	Destroy 6 years from end of academic year	Business requirement	Email Inboxes
5.04	The process of providing a platform for UOL to publish electronic journals - unpublished authors	Unpublished author data	Destroy 3 years from end of academic year	Business requirement	Online Journals Service
5.05	The process of providing a platform for UOL to publish electronic journals	Online Journals Service	Permanent	Business requirement	Online Journals Service
5.06	The management of applications/payment/compliance of the Open access Block Grants to the University.	Correspondence; financial records	Review 6 years from end of financial year	Business requirement	Email Inboxes; Research Services X:Drive
5.07	Reporting of the Open access Block Grants to the University.	Final Report	Permanent	Funder requirement	Leicester Research Archive (Figshare)



## Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.08	Management of data storage space and related advice and guidance	Correspondence; monitoring information	Destroy 6 years from end of academic year	Business requirement	Email Inboxes, Leicester Research Archive (Figshare)
5.09	Managing data collected during research and report writing on the publications of Leicester University academics	Metrics; bespoke reports	Destroy 6 years from end of academic year	Business requirement	Research Services X:Drive
5.10	The process of managing the final submissions of theses to the library as part of the University policy to award PhD level qualifications.	Theses; author consent forms	Permanent	Business requirement	Leicester Research Archive (Figshare)