

Records

Management

Policy



1. Introduction

The Freedom of Information Act 2000 (FOIA) gives people the right to request information from public authorities. It is intended to promote a culture of openness and accountability amongst public sector bodies and therefore facilitate better public understanding of how the public authorities carry out their duties, why they make the decisions they do, and how they spend public money.

The FOIA enables people access to information which is held by/on behalf of public bodies.

O.S.A.T Ltd is dedicated to ensuring compliance of the FOIA through effective implementation of the Records Management and Retention Policy.

As a result, O.S.A.T Ltd will ensure that

- Information generated and received in the course of business is managed in an effective and secure manner.
- Information is made available to the public in response to specific requests in accordance and within FOIA timescales.

The successful implementation of the FOIA and the Centre's ability to respond to requests within the tight timescale allowed under the Act will depend greatly on the adherence to and effectiveness of the Records Management System.

The Centre is committed to ensuring that access to records is achieved, demonstrating that its business activities have been conducted in compliance with appropriate regulations and internal standards. This will be evident through the creation and management of authentic, reliable, complete and usable records, capable of supporting the Centre's functions and activities.

Good records management is of special significance in the context of the Centre's function, where the maintenance of academic records is a core activity.

IMPLEMENTATION

O.S.A.T LTD will endeavour to ensure that all records have regulatory, statutory or business value. That records are

- Captured, stored and protected against damage, loss or unauthorised access.
- Efficiently retrieved to requests received from the Public.
- Preserved in such a way as to ensure their ongoing retrievability and readability.
- Retained for periods of time consistent with regulatory, statutory and legal requirements. (Appendix 1)
- Records that are no longer needed are disposed of in a timely fashion and useless records not created or kept.

In addition to these legislative requirements, the Centre is committed to maximising the utilisation of its resources (i.e. staff, equipment and facilities) and ensuring 'openness and transparency' in the decision making process.

The records management programme identifies the phases that records go through. (Appendix 2)

STAGES OF RECORDS

Active records Active records are records, which are required and referred to constantly for current use and which need to be retained and maintained in office space and equipment close to users.

Semi-active records

Semi-active records are records, which are referred to infrequently and are not required constantly for current use. Semi-active records may be removed from office space to lower cost off-site storage until they are no longer needed.

Inactive records

Inactive records are records that are no longer required to carry out the functions for which they were originally created.

Permanently valuable records – archives

Permanently valuable records include those with long-term legal, operational, administrative, historical, scientific cultural and social significance.

Records Series/Classes

Groups of related records, which are created and used with a common purpose, for example, financial records; personnel records; student records; registry; examination results; committee minutes etc.

Record Retention Schedules

A Records Retention Schedule is a control document that describes the Centre's corporate records at a series level (see above) and indicates the length of time each series shall be retained as active before transfer to the semi-active storage; the length of time each series should be retained as semi-active prior to final disposition; and the final disposition of each series. This document serves as the legal authorisation for the disposal of records.

Disposition

Disposition is the action taken in regard to the disposal of active records, which can involve physical destruction by means of security shredding or recycling; transfer to archival storage for selective or full retention; or a special disposition through a formal act of transfer from the custody of the Centre.

Areas of Primary Responsibility

The Centre, Centre, Service area or office is responsible for retaining the Centre's "official" copy of a record. For example, the Registrar's Office is the office of primary responsibility for student's records; similarly Human Resources are responsible for maintaining personnel and employment records.



FREEDOM OF INFORMATION ACT 2000 IN RELATION TO RECORDS MANAGEMENT

Under the Freedom of Information Act, 2000 a record includes any memorandum, text or other document, any photograph, film or recording, or any form in which data are held (whether manual, mechanical or electronic), and anything that is part, or a copy, or a combination of the foregoing. Your personal notes scribbled on a page form a record; even yellow post-it stickers could count as a record.

If a document has been photocopied, only one record exists. However, if additions/amendments have been made to a copy, another record may exist. Existing records may not be deleted or amended.

Corrections of typographical errors, factual mistakes and mere rephrasing do not necessitate holding previous editions of a document. This does not constitute destruction or alteration of a record.

However, draft editions of a document (e.g. of a policy) are records – they document the decision-making process and, under the Act, a member of the public is entitled to this information if they so request.

Documents created, received and used by the Centre are official records because their content show how and why decisions were taken.

All emails and voicemails are Centre records not private records. They can be retrieved in the collection of records for scheduling by a Decision Maker. Please see ICT Acceptable Use Policy.

Private emails (i.e. correspondence by staff members of a private nature not connected with the official business of a Department) have no record status.

If a piece of artwork in the Centre has been paid for by public money it is a record.

While the following documents are “Records” as defined by the F.O.I. Act, it should be agreed that Centre Policy determine that they are destroyed within 24 hours and as such are not available for release under FOI request:

- Unsolicited Advertising/Promotional Material
- Product Brochures/Catalogues
- Unsolicited emails
- Trade publications by companies or public bodies
- Personal emails (not relating to Centre activities)

Outline of records kept by O.S.A.T LTD

Record systems in City and Islington Centre include paper Files, Electronic Document Management Images, Computer Generated Reports (Printouts), and other Electronic Media including Computer Disk and Tape where information is stored in a variety of formats (WP Documents, Spreadsheets, Databases, HTML etc). The status of documents as records in these systems will be determined in accordance with this policy.

Draft Documents/Working Papers

These items constitute a record if they:

- Evaluate policy options or alternatives.
- Were drafted for official purposes, (e.g. appraisal, approval, comment etc).
- Contain relevant information, such as substantive annotations, agreements, or comments, which add to the clear understanding of the formulation and execution of Centre policies, decisions, responsibilities or actions.
- Contain material not yet transcribed into more formal documents (notes taken at meetings, notes of a phone call etc). Once transcribed this material can be destroyed.

Draft documents can be incomplete, complete or final. Complete and final drafts constitute records of the Centre while incomplete drafts would generally not be considered records.

Support/Background Documents

Support Documents (Annotated copies complete drafts, working papers, policy options, studies, memoranda, correspondence that supports policy developments etc) must be retained on file where they are:

1. Needed to document and understand the evaluation of policy options, including rejected options.
2. Needed to understand the basis for deciding specific policy choices and courses of action.
3. Needed to supplement information in other records. (Technical documentation, drawings, calendars, calculations etc).

Minutes of Meetings

Hand-written manuscript can be destroyed when the Minutes have been typed and approved. A mere recording of decisions of a meeting does not give the flavour of the discussion which led to a decision; therefore, in this case, the manuscript record must not be destroyed.

- Recording minutes – do not record every discussion as verbatim. Record objective statements that explain concisely and accurately the subject discussed the decision taken and the desired action. Record a quotation only if the individual concerned expressly desires it.
- Rough minutes – destroy rough minutes once the final version has been prepared.

Details of timeframe required for documents can be seen in Appendix 1

Diaries

A diary is a record and accessible under FOI. Where a business diary also contains personal information being blacked out before release will protect this. It is best to keep personal and business appointments in separate diaries.

Websites

Websites that are no longer live due to replacement or removal are accessible under FOI. Printing down and filing is not as satisfactory as filing electronically or to CD. Where there is interaction with



a student/lecturer/client via the web all such information must be taken into a record-keeping system.

Computer Database Records, Computer-Generated Reports, Spreadsheets

Records held on computer databases and spreadsheets will be accessible under F.O.I. Similarly computer generated reports will also be accessible and all such reports should be examined to determine if they achieve the status of a record.

Contractor Records

Records created by contractors, consultants or outside agencies performing functions on behalf of the Centre may be needed to support the adequacy of Centre records. Contract provisions should explicitly define the documentation to be created and maintained by the contractor.

Departments/Sections should also make clear in contracts any information that may be discoverable under the provisions of the Freedom of Information Act, 1997 and for how long such information should be retained by the contractor. Access to such records is provided for in Section 6 (9) of the F.O.I Act, 1997.

Post It Notes and Stickers

“Post It” notes should not be left permanently on files. In the event of information on “Post It” notes being classified as a record the information should be transcribed to a standard paper note or the “Post It” Note photocopied and then stored on the file.

Architectural, Micro file, Photographic, Audio-visual, Multimedia, Technical Records

While these information storage mediums will, in normal circumstances, hold record status it may not be practical to store them on official files. Such information should be stored in appropriate environmental conditions with the official file containing a cross reference to such records identifying its location etc.

Legal Cases

All documents relating to legal issues are maintained for the duration of a legal case even if they would have been destroyed earlier.

Personal Files

All personal files, other than those with timed release/destruction limits, are held for a minimum of 6 years but this policy is subject to review.

Photocopies

Where precise copies exist (i.e. photocopies) in multiple locations, only one record exists – this is in the office of its originating source.

Emails

Email is potentially a record as its content usually concerns official business. It is therefore accessible under FOI act. All emails are Centre records not private records. Private email (i.e. not connected with the official business of the Centre) has no record status. Staff members are encouraged to control individual volume of emails periodically deleting non-essential materials.



However, emails, which fall within the definition of perpetual records under the FOI Act, are maintained whether within the staff member's allotted space or centrally.

Records of Telephone Conversations

A voicemail is a record. The Meridian Mail voicemail system in the Centre automatically deletes voicemail messages that are listened to, on the fifth day. Individual members of staff can delete messages on their individual phone unit. Records of all significant telephone conversations, informal meetings, and oral decisions should be taken and retained. These constitute records for the purposes of the F.O.I. Act.

Facsimile

The record status of facsimile transmissions should be determined either at time of transmission or receipt. If a fax has record status it should be placed in the appropriate official file.

Fax messages are automatically deleted when the buffer of the various fax machines gets full.

Some fax messages are stored on computer hard drives where fax facilities are available on individual computers.

Exam Papers & Certificates

Spare exam papers are generally returned to the relevant board and one copy retained by the Curriculum Manager.

Certificates are sent to students via the external mail, there are some exceptions. Any Certificates not collected are retained for 12 months, after this period they are returned to the Examination Board.

Coursework Assessment Records

It is recommended that Centre policy is that we return all coursework, where this is practical, to students after assessment to enable them to inform themselves of their progress. Students should retain any returned coursework and make it available to the Centre on request during the academic year of its creation. The Centre does not generally store students work, unless this is a requirement of the awarding body, particularly in relation to NVQ's. Following final examination board meetings, all assessed materials held by the Centre will be made available to students and will be disposed of if not collected by the end of the academic year, unless alternative arrangements have been made with the Tutor. In some instances, the materials used in the creation of coursework (e.g. physical models) may remain the property of the Centre.

Non-Record Documentary Material

The following are generally regarded as non-record material: -

- Centre documentary materials that do not meet the definition or conditions of Centre record status.
- Extra copies of records, where the sole reason for such copies is for convenience or reference.
- Copies of Centre publications and computer generated reports (which do not comply with the definition of a record as referred to in an earlier paragraph).



- Personal documentation stored on paper or on computer files that do not relate to, or have an effect on, Centre business.

RECORD RETENTION SCHEDULE

This policy sets out the minimum periods for which records should be retained. It is intended that this policy will be regularly updated to reflect and incorporate new and additional record categories.

The record retention schedule provides a mechanism to help ensure the Centre is maintaining necessary records for an appropriate length of time. The Centre is committed to effective records retention to ensure that it:

- meets legal standards,
- optimises the use of space,
- minimises the cost of record retention,
- preserves the history of the Centre,
- destroys outdated and useless records.

Records included in the record retention schedule should be original, unique or of continuing importance to the Centre. They should have legal, fiscal, administrative or historical purpose. Duplicate or multiple copies of these records should be disposed of when they are outdated and no longer useful.

Retention Period

The retention period should be the length of time that the record is useful or required to be kept by an external source, such as a law (Appendix 1. Although a length of time may be specified some Centres or Service areas may elect to keep documents longer. This is a decision for each particular Centre or Service area, however, space requirements and cost should be considered. If any record is related to an unresolved complaint, dispute or litigation involving the Centre, that record should not be discarded or destroyed regardless of the provisions of this record retention schedule.

Destruction of records

Records whose retention periods have expired should be destroyed promptly. Obsolete records absorb space, equipment, and supplies needed for active record, and make it more difficult to retrieve needed information from overcrowded filing cabinets. To destroy records:

1. Document the destruction of records according to the Centre's internal policies. The Centre Director or Head of Service area should approve any destruction of records; persons who create or use the records should be kept informed of the decision.
2. Records of a sensitive nature relating to personnel, medical, student records or other records that contain personal, evaluative, or confidential information, should be shredded or disposed of as confidential waste in accordance with the Data Protection Act 1998. Other records may be recycled or destroyed according to the standard procedures.

Appendix 1

Classes with 'Student Administration and Support

O.S.A.T Ltd Generic Record Retention Schedule		
Student Administration and Support		
Description	Retention Period	Reason
Course Information		
Records detailing the Structure and Content of each programme	Master copy kept permanently	e.g. Course Prospectuses, Qualification Offered
Records of Tuition and other course fees	Length of course + 6 years	Limitation Act 1980
Student Administration Development and Planning		
Records documenting the development and establishment of the institution's student administration strategy	Superseded + 10 years	
Records documenting the development and establishment of the institution's student administration policies	Superseded + 10 years	
Records documenting the development and establishment of the institution's student administration procedures	Superseded + 10 years	
Student Recruitment		
Records documenting the design, operation and summary results of student recruitment schemes	Current academic year + 5 years OR termination of scheme + 5 years	
Records documenting the issue of student recruitment materials in bulk to schools and other organisations	Current academic year	
Records documenting the handling of enquiries from prospective students	Current academic year + 1 year	
Records containing summaries and analyses of enquiry, recruitment and retention data	Current academic year + 5 years	e.g. Students QOE, Range of students classified by age, gender etc, Student progression, retention and completion data
Student Admission Policies and Procedures		
Records documenting the development and establishment of the	Superseded + 10 years	

institutions' admission criteria and policies		
Record documenting the handling of applications: successful applications	End of student relationship + 6 years	Limitation Act 1980
Record documenting the handling of applications for admission: unsuccessful applications	Current academic year + 1 year	
Records documenting the administration of the clearing process	Current academic year + 1 year	
Records containing data on overall student numbers	Current academic year + 1 year	
Student Admission and Registration/Enrolment		
Records documenting the registration of individual students on programmes	Termination of student relationship + 6 years	Limitation Act 1980
Records documenting the initial assessment of Students	Termination of student relationship + 6 years	Limitation Act 1980
Records containing summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	
Records documenting the design, conduct and review of induction programmes for new students	Completion of induction programme + 5 years	e.g. IT Security policies for students, IT illegal/inappropriate use, disciplinary procedures, Plagiarism/copyright, financial/payments of fees
Records documenting the administration of induction programmes and events for new students	Current academic year + 1 year	
Student Record Administration		
Records about the collection, maintenance, and use of personal information about students	Superseded + 6 years	Limitations Act 1980
Records containing full personal data on individual students	Minimum required. Variable for different types of personal data. Recommended maximum retention: End of 'registered student' relationship with institution + 6 year	Limitations Act 1980
Core student data	This is the minimal record kept to provide references from former students required for at least 10 years	N/A

Records of administration of Student Financial and employment support	Current + 6 years	e.g. New Deal, Modern Apprenticeship, Access Fun, ISR and ILR
Records containing standard analyses of data from individual students' records	Current academic year + 5 years	NA
Records documenting the handling of requests for ad hoc analyses of data from individual students' records	Last action on request + 1 year	NA
Records documenting the handling of individual students'/employers request for statements of results/transcripts	Last action on request + 1 year	NA
Final destination Surveys: individual responses	Completion of analysis of responses	NA
Student Progress and Assessment Administration		
Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress	Termination of relationship with student + 6 years	Limitation Act 1980
Records documenting the withdrawal of individual students from the institution	Termination of relationship with student + 6 years	Limitation Act 1980
Records documenting the termination of individual students' programmes	Termination of student relationship + 6 years	Limitation Act 1980
Records documenting the development and establishment of the institution's assessment and examination rules and procedures	Superseded + 10 years	
Records documenting the selection, appointment and training of external examiners	Termination of appointment + 1 year	
Records documenting the control of examination papers and examination scripts	Current academic year + 1 year	
Records documenting the timetabling of examinations	Current academic year + 1 year	
Records documenting the organisation of examination facilities, including special arrangements for students with special needs	Current academic year + 1 year	

Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances	Current academic year + 1 year	
Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students	Completion of students' programme + 6 years	Limitation Act 1980
Student Discipline		
Policies and Procedures for disciplinary proceedings against students	Superseded + 6 years	Limitation Act 1980
Records documenting the conduct and results of disciplinary proceedings against individual students	Last action on case + 6 years	Limitation Act 1980
Student Support and Welfare Management		
Records documenting the development and establishment of the institution's student support services strategy.	Superseded + 10 years	
Records documenting the development and establishment of the institution's student support services management policies	Superseded + 5 years	
Records documenting the development of the institution's student support services management procedures	Superseded + 3 years	
Records documenting the development and establishment of service standards for a student support service	Superseded + 1 year	
Records documenting the conduct and results of independent reviews of service quality, and the responses to the results	Superseded + 5 year	
Records documenting the provision of Welfare/Advice Services to individual students	Current year + 6 years	Limitation Act 1980
Student Counselling Services	Current year + 2 years	e.g. Counselling files

Student Health Services	Medical records permanent	
Records relating to the provision of Sports and Recreational facilities	Current year + 3 years	
Student Liaison		
Records relating to Meetings of Staff /Student Bodies	Permanent	e.g. minutes of meetings
Records documenting the design and conduct of surveys of Student satisfaction	Completion of survey + 3 years	
Results of user/customer surveys: individual responses	Completion of analysis of survey responses	
Results of student surveys: summaries and analyses of responses	Completion of survey + 3 years	
Student Complaint Handling		
Records documenting policies and procedures for handling student complaints	Permanent	e.g. Harassment and bullying policies, complaints procedures
Records documenting the handling of formal complaints made by individual students against the institution	Last action + 6 years	Limitation Act 1980
Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated	Last action on complaint + 3 years	
Student Associations and Unions		
Records relating to the operation and activities of the Students Union, and other clubs, associations and non-academic activities organised by students	Permanent	e.g. Constitution of SU, Code of Practice, List of officers
Student Publications	Permanent	e.g. Newspapers, event programmes

Centre Retention Schedule		
Centre Process	Description	Retention Period
Enrolment	Non ESF Enrolment forms (prior to 2003/2004) and relevant documentation	5 years
	ESF Enrolment forms and relevant documentation.	9 years
	Application forms and Employer Sponsorship Letters.	To be confirmed by LSC
	External qualifications, initial assessment and advice and guidance records.	To be confirmed by LSC
	Non ESF Records relating to the transfer and withdrawal of students	5 years
	ESF Records relating to the transfer and withdrawal of students	9 years
Registry	Registers	To be confirmed by LSC
	Records relating to the checking/audit/signing off of registers	To be confirmed by LSC
	Records relating to the checking/audit/signing off of registers	To be confirmed by LSC

Human Resources

Chartered Institute for Personnel and Development and AOC Generic Record Retention Schedule

Record	Statutory retention period	Statutory authority
Accident books, Accident records/reports	3 years after the date of the last entry (see below for accidents involving chemicals or asbestos)	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) (SI 1995/3163)
Accounting records	3 years for private companies, 6 years for public limited companies	Section 221 of the Companies Act 1985
Income tax and NI returns, income tax records and correspondence with the Inland Revenue	not less than 3 years after the end of the financial year to which they relate	The Income Tax (Employments) Regulations 1993 (SI 1993/744)
Medical records and details of biological tests under the Control of Lead at Work Regulations 1998	40 years from the date of the last entry	The Control of Lead at Work Regulations 1998 (SI 1998/543)
Medical records as specified by the Control of Substances Hazardous to Health Regulations 1999	40 years from the date of the last entry	The Control of Substances Hazardous to Health Regulations 1999 (COSHH) (SI 1999/437)

Medical records under the Control of Asbestos at Work Regulations 1987 and 1998	<ul style="list-style-type: none"> • 40 years from the date of the last entry • 4 years from the date of issue • medical records containing details of employees exposed to asbestos • medical examination certificates 	The Control of Asbestos at Work Regulations (SI 1987/2115, SI 1992/3068 and SI 1998/3235)
Medical records under the Ionising Radiations Regulations 1999	until the person reaches 75 years of age, but in any event for at least 50 years	The Ionising Radiations Regulations 1999 (SI 1999/3232)
Records of tests and examinations of control systems and protective equipment under the Control of Substances Hazardous to Health Regulations 1999	5 years from the date on which the tests were carried out	The Control of Substances Hazardous to Health Regulations 1999 (COSHH) (SI 1999/437)
Records relating to children	until the child reaches the age of 21	Limitation Act 1980
Records relating to events notifiable under the Retirement Benefits Schemes (Information Powers) Regulations 1995, Records concerning decisions to allow retirement due to incapacity, pension accounts and associated documents	6 years from the end of the scheme year in which the event took place, or the date upon which the accounts/reports were signed/completed.	The Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103)
Statutory Maternity Pay records, calculations, certificates (Mat B1s) or other medical evidence	3 years after the end of the tax year in which the maternity period ends	The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960)
Statutory Sick Pay records, calculations, certificates, self certificates	3 years after the end of the tax year to which they relate	The Statutory Sick Pay (General) Regulations 1982 (SI 1982/894)
wage/salary records (also overtime, bonuses, expenses)	6 years	Taxes Management Act 1970

Recommended retention periods (ie where no statutory retention periods exist)

Record	Recommended retention period
Actuarial valuation reports	Permanently
Application forms and interview notes (for unsuccessful candidates)	1 year
Assessments under Health and Safety Regulations and records of consultations with safety representatives and committees	Permanently
Inland Revenue approvals	Permanently
Money purchase details	6 years after transfer or value taken
Parental leave	5 years from birth/adoption of the child or 18 years if the child receives a disability allowance
Pension scheme investment policies	12 years from the ending of any benefit payable under the policy
Pensioners' records	12 years after benefit ceases
Personnel files and training records (including disciplinary records and working time records)	6 years after employment ceases
Redundancy details, calculations of payments, refunds, notification to the Secretary of State	6 years from the date of redundancy.
Senior executives' records	permanently for historical purposes
Trade union agreements	10 years after ceasing to be effective
Trust deeds and rules	permanently
Trustees' minute books	permanently

Finance

Retention of Account Records		
Purchase invoices and supplier documentation		
Document	Retention Period	Reason
Payments cash book or record of payment made	Six years from the end of the financial year in which the transaction was made	Companies Act/Charities Act
Purchase ledger		Companies Act/Charities Act
Invoice - revenue		Companies Act/Charities Act
Petty cash records		Companies Act, Charities Act and HMRC
Invoice – capital item	Ten years	Companies Act, Charities Act and HMRC
Successful quotations for capital expenditure	Permanently	Commercial considerations
± Although the Companies Act states 3 years for private companies and 6 years for public limited companies, the Charities Act states 6 years from the end of the financial year in which the transaction was made.		
Income/Monies received		
Document	Retention period	Reason
Bank paying in counterfoils	Six years from the end of the financial year in which the transaction was made	Companies Act/Charities Act
Bank statements		Companies Act/Charities Act
Remittance advices		Companies Act/Charities Act
Correspondence re donations		Companies Act/Charities Act
Bank reconciliations		Companies Act/Charities Act
Receipts cash book	Ten years	Companies Act/Charities Act and HMRC
Sales ledger		Companies Act/Charities Act and HMRC
Deeds of covenant/Gift Aid declarations	1x years after the last payment made/ Twelve years if payments outstanding or dispute regarding the deed	Data Protection Act
Legacies	Six years after the estate has been wound up	Data Protection Act
Payroll documentation		
Document	Retention period	Reason
Income tax/records re employees leaving i.e. P45	Six years plus current year	Taxes Management Act
Notice to employer of tax code (P6)	Six years plus current year	Taxes Management Act
Annual return of employees and directors expenses and benefits (P11D)	Six years plus current year	Taxes Management Act

Certificate of pay and tax deducted (P60)	Six years plus current year	Taxes Management Act
Notice of tax code change	Six years plus current year	Taxes Management Act
Annual return of taxable pay and tax deducted	Six years plus current year	Taxes Management Act
Records of pension deductions (including superannuation)	Six years plus current year	Pensions Act 1995
Clock cards	Two years after audit	Audit
Payroll and payroll control account	Six years plus current year	Companies Act/Charities Act and Taxes Management Act
Employee/personnel records		
Document	Retention period	Reason
Medical records and details of biological tests under the control of Lead at Work Regulations	Forty years from the date of the last entry	The Control of Lead at Work Regulations
Accident reports	Three years after last entry or end of investigation if later	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
Details of medical schemes	Permanently	Commercial
Organisation charts	Permanently	Commercial
Staff personnel records	Six years after employment ceases ±	Limitations Act 1980
Wages and salary records	Six years plus the current year	Taxes Management Act
Expense accounts/records		Taxes Management Act
Overtime records/authorisation		Taxes Management Act
Redundancy details, calculations of payments, refunds, notifications to the Secretary of State	Six years after employment has ceased	Data Protection Act
Life Assurance expression of wish forms	Six years after employment ceases or death	Data Protection Act
Applications for Jobs where the candidate is unsuccessful	Six months after notifying the unsuccessful candidate	Discrimination Acts 1975 and 1986 and Race Relations Act 1976 recommend six months. One year limitation for defamation actions under Limitation Act
Statutory Maternity Pay records, calculations of other medical evidence	Three years after the end of the tax year in which the maternity period ends	The Statutory Maternity Pay Regulations

Sickness records	Three years after the end of each tax year for Statutory Sick Pay purposes	Statutory Sick Pay (General Regulations)
±Records for key executives may be kept longer for historical purposes		
Buildings, plant and engineering		
Document	Retention period	Reason
Deeds of title	Permanently or until property disposed of±	Data Protection Act
Leases	Fifteen years after expiry	Limitation Act 1980
Final plans, designs and drawings of buildings, planning consents, building certifications, collateral warranties, record of historical interest and final health and safety file.	Permanently or until six years after property disposed of	Data Protection Act
Asbestos Register and Asbestos Disposal Certificates	Permanently. Property holder required to examine the premises for asbestos or possible asbestos materials, record the location of those materials and assess the risk, These assessments are to be recorded and provided to anyone who may disturb the asbestos	Control of Asbestos at work Regulations
Hazardous substances disposal of heavy metals and radioactive sources	Permanently	Data Protection Act
Plant and Machinery	Until on year after plant and machinery is removed from the building	Data Protection Act
Record of major refurbishments, warranties, planning consents, design documents, final health and safety file	Thirteen years for actions against contractors etc.	Data Protection Act
Pension records		
Document	Retention period	Reason
Details re current pensioners	Ten years after benefit ceases	Commercial
Pension scheme – next of kin / expression of wish forms	Six years after the date of death	Data Protection Act
All trust deeds and rules	Permanently	Companies Act, Commercial Pensions Act 1995
Trustees' minute book	Permanently	Companies Act
Annual accounts	Permanently	Companies Act

Investment and Insurance policy records	Permanently	Companies Act
Actuarial reports	Permanently	Companies Act
Contribution records	Permanently	Companies Act
Insurance documents		
Document	Retention period	Reason
Policies	Three years after lapse	Data Protection Act
Claims correspondence	Three years after settlement	Data Protection Act
Employer's Liability insurance certificate	Forty years	Employers' Liability (Compulsory Insurance Regulations 1998)
Accident reports and relevant correspondence	Three years after settlement	Data Protection Act
Other documents		
Document	Retention period	Reason
Trustee/director/governor minutes of meetings and decisions	Permanently	Data Protection Act
Annual accounts and annual review	Permanently	Data Protection Act
Major agreements of historical significance	Permanently	Data Protection Act
Investment certificates	Permanently	Companies Act, Charities Act, commercial
Health and Safety records	Three years for general records. Permanently for records relating to hazardous substances	Personal injury actions must generally be commenced within three years of injury. However industrial injuries not capable of detection within that period (e.g. asbestos) the time period may be substantially extended
Investment ledger	Permanently	Companies Act, Charities Act, commercial
Fixed asset register	Permanently	Companies Act, Charities Act, commercial
Contract with customers, suppliers or agents, licensing agreements, rental/hire purchase agreements, indemnities and guarantees and other agreements or contracts	Six years after expiry or termination of the contract. If the contract is executed as a deed, the limitation period is twelve years	Limitations Act 1980

Appendix 2

Example of Retention Schedule used by Universities

University Process	JISC Generic Record Retention Schedule			University Practice	
	Ref	Description	Retention Period	Retention Period	Official Copy Holder
Assignment Set	1.15	Records documenting the development of taught course assessments	Life of course		Academics
	3.16	Records documenting the development and establishment of the institution's assessment and examination rules and procedures	Superseded + 10 years		Registrar
Assignment Published	1.15	Final versions of taught course assessments	Life of course		Academics
Students submit completed Assignments	3.15	Schedules for submission, marking and return of coursework	Current academic year + 1 year	December after current year	School Admin
	1.15	Taught course student submitted/completed assessments	Current academic year + 1 year	December after current year	School Admin
	3.15	Records documenting individual students' submission of coursework	Current academic year + 1 year	December after current year	School Admin
	3.16	Records documenting individual students' submission or assessed work and handling of reports of mitigating circumstances	Current academic year + 1 year	Copy of Student file (originals) – retention could be 4/6 years	School Admin
Assignments marked, assessed. Moderated,	1.15	Records documenting marks awarded to submitted/completed assessments, including reviews in	Current academic year + 6 years		Central Admin / IT Services

records, published		response to notifications of mitigating circumstances and academic appeals.			
	3.13	Records documenting the handling and results of academic appeals by individual students	Last action on case + 6 years		School Admin
Awards made	1.15	Records documenting awards and classifications	Current academic year + 1 year		Central Admin / IT Services
Notification of Awards; Final Record	3.16	Records documenting the issue of awards lists and individual notifications of awards	Current academic year + 1 year		Registrar
	3.16	Registrar the collation of examination results and compilation of pass lists and individual notifications of results	Current academic year + 1 year		
	3.16	Pass Lists/Awards Lists	Issue of List + 10 years		

Review Frequency	Annually
Date policy approved and adopted	June 2017
Policy agreed by	Directors
Date policy published	June 2017
Next review date	January 2025